



FIRST 5 ALAMEDA COUNTY COMMISSION MEETING AGENDA

Thursday, June 2, 2022
9:00 AM – 11:30 AM

Members of the public may access this meeting via:
Zoom Meeting: <https://zoom.us/j/92447816455>
Meeting ID: 924 4781 6455

Commissioners: Chair: Renee Herzfeld, Vice Chair: Cecilia Oregón, Dave Brown, Scott Coffin, Andrea Ford, Tomás A. Magaña M.D., Karina Moreno, Kimi Watkins-Tartt

Alternates: George Ayala, Anissa Basoco-Villarreal, Sarah Oddie

1. Call to Order

Commission Chairperson Renee Herzfeld will call this meeting to order at 9:00 AM.

2. Public Comment

This portion of the meeting is reserved for persons desiring to address the Commission on any matter not on the agenda. Speakers are limited to three minutes except as otherwise ordered by the Chairperson.

3. Consent Calendar

The consent calendar may be voted on in one motion. Commissioners may pull any consent item for discussion or separate vote.

- a. Approve Special Commission Meeting Minutes from May 26, 2022
- b. Approve Commission Meeting Minutes from April 28, 2022
- c. Approve the GASB 54 Fund Balance Commitment
- d. Approve the Resolution to Fund the FY 2022-2023 ACERA 401(h) Account Authorization

4. Receive Executive Committee Report

5. Receive Staff Announcements

- a. Receive General Staff Report

6. Communication from Commissioners

7. FY 2022-23 Proposed Budget and FY 2022-30 Proposed Long Range Financial Plan – Final Readings

Recommended Actions: Approve the following:

- a. FY 2022-23 Proposed Budget.
- b. FY 2022-23 Contract Authorizations.
- c. FY 2022-31 Proposed Long Range Financial Plan.

Information about access:

Please contact Julia Otani at julia.otani@first5alameda.org or (510) 227- 6987 three business days in advance if you need special assistance or translation/interpretation support so we can make reasonable arrangements to ensure accessibility. We will swiftly resolve any requests for accommodation to resolve any doubt whatsoever in favor of accessibility.

8. Receive First 5 Alameda County FY 2022-27 Strategic Plan – Final Reading

Recommended Action: Approve the First 5 Alameda County FY 2022-27 Strategic Plan.

9. Receive Universal Transitional Kindergarten Presentation from Alameda County Office of Education

10. Receive First 5 California Commission and First 5 Association Updates

11. Receive Legislation and Public Policy Updates

12. Adjournment

Information about access:

Please contact Julia Otani at julia.otani@first5alameda.org or (510) 227- 6987 three business days in advance if you need special assistance or translation/interpretation support so we can make reasonable arrangements to ensure accessibility. We will swiftly resolve any requests for accommodation to resolve any doubt whatsoever in favor of accessibility.



First 5 Alameda County Special Commission Meeting
May 26, 2022, 9:00 AM - 9:10 AM
Zoom Webinar Meeting ID: 970 5969 6606

Commissioners Present: Chair: Renee Herzfeld, Scott Coffin, Andrea Ford, Karina Moreno
Commissioner Alternate: Sarah Oddie for Supervisor Brown
Absent: Cecilia Oregón, Tomás A. Magaña M.D., Kimi Watkins-Tartt
First 5 Staff Present: Kristin Spanos, Tyson Jue, Brittney Frye, Christine Hom, Julia Otani, Charla Black-Edwards

AGENDA ITEM SPEAKER	DISCUSSION HIGHLIGHTS	ACTION	FOLLOW UP
CALL TO ORDER			
R. Herzfeld	The Commission meeting was called to order by Chair Herzfeld who gaveled in at 9:04 AM. Chair Herzfeld shared that the meeting was being recorded.	None	None
1. PUBLIC COMMENT			
R. Herzfeld	There was no Public Comment.	None	None
2. Resolution Adopting Findings That There is a Proclaimed State of Emergency and That Meeting In Person Poses Imminent Health and Safety Risks to Attendees and Authorizing Remote Teleconference Meetings for the Commission and Committees For the Period of May 26, 2022-June 25, 2022, Pursuant to AB 361			
K. Spanos	[Attachment] Ms. Spanos recommended that the Commission adopt the resolution for the period of May 26, 2022-June 25, 2022. Chair Herzfeld asked if there was any public comment before taking a vote. Chair Herzfeld facilitated the vote to approve the resolution adopting findings that there is a proclaimed state of emergency and that meeting in person poses imminent health and safety risks to attendees and authorizing remote teleconference meetings for the Commission and Committee meetings for the period of May 26, 2022-June 25, 2022, pursuant to AB 361.	Motion: Andrea Ford Second: Sarah Oddie No abstentions. Motion passed.	Ms. Otani will record the vote and send the resolution to Chair Herzfeld for her signature via DocuSign.
3. ADJOURNMENT			
R. Herzfeld	Chair Herzfeld adjourned the meeting and gaveled out at 9:07 AM	None	None

Respectfully Submitted By: Julia Otani, Executive Assistant



First 5 Alameda County Commission Meeting
April 28, 2022, 9:00 AM – 11:30 AM
Zoom Webinar Meeting ID: 951 1561 2493

Commissioners Present: Chair: Renee Herzfeld, Cecilia Oregón, Dave Brown, Scott Coffin, Karina Moreno, Tomás A. Magaña M.D., Kimi Watkins-Tartt
Alternates Present: Anissa Basoco-Villarreal, Sarah Oddie

First 5 Staff Present: Kristin Spanos, Charla Black-Edwards, Lisa Forti, Brittney Frye, Christine Hom, Tyson Jue, Carla Keener, Erika Kuempel, Julia Otani, Ana Rasquiza,
 Alma Reyes, Michele Rutherford, Laura Schroeder

Guest Presenters: Dr. Christina Branom, Jim Hickman

AGENDA ITEM SPEAKER	DISCUSSION HIGHLIGHTS	ACTION	FOLLOW UP
1. CALL TO ORDER AND ROLL CALL			
R. Herzfeld	The Commission meeting was called to order by Chair Herzfeld who gaveled in at 9:04 AM. Chair Herzfeld shared that the meeting was being recorded. Commissioners Herzfeld, Oregón, Coffin, Magaña and Alternates Basoco-Villarreal, Oddie stated their names to indicate that they were present for the meeting. Chair Herzfeld welcomed newly appointed Commissioner Andrea Ford and Alternate George Ayala to the First 5 Commission.	Commissioner Moreno joined at 9:07am.	None
2. PUBLIC COMMENT			
R. Herzfeld	There was no public comment.	None	None
3. CONSENT CALENDAR			
R. Herzfeld	[Attachment] A. Approve Special Commission Meeting Minutes from April 21, 2022. B. Approve Commission Meeting Minutes from February 17, 2022. Chair Herzfeld asked if there was any public comment before taking a vote to approve. Chair Herzfeld facilitated the vote to approve the April 21, 2022 Special Commission Meeting and the February 17, 2022 Commission Meeting minutes.	Motion: C. Oregón Second: A. Basoco-Villarreal No abstentions. Motion passed.	None
4. RECEIVE EXECUTIVE COMMITTEE REPORT			
R. Herzfeld	Chair Hezfeld reported to the Commission that the Executive Committee met on April 21, 2022. The committee met in closed session to review the CEO performance evaluation and determined that they will review the compensation again after the class and compensation survey is completed. The February Executive Committee Meeting minutes were approved.	None	None
5. RECEIVE STAFF ANNOUNCEMENTS			
K. Spanos	[Attachment] Ms. Spanos presented the General Staff Announcements and CEO Contract Authorizations. A. Receive General Staff Report Ms. Spanos provided an overview of the Staff Update slides.	None	None

AGENDA ITEM SPEAKER	DISCUSSION HIGHLIGHTS	ACTION	FOLLOW UP
5. RECEIVE STAFF ANNOUNCEMENTS (Continued)			
K. Spanos	<p>B. Receive CEO Contract Authorizations Report</p> <p>There were 5 contracts approved by the CEO that were between \$50,000 to \$250,000 per contract action since the last Commission meeting; the summary is located in the meeting packet.</p>		
6. COMMUNICATION FROM COMMISSIONERS			
R. Herzfeld	<p>Alternate Basoco-Villarreal shared that Alameda County Social Services Agency, along with Health Care Services Agency, has approved \$100,000 a year for the next 5 years towards the Fatherhood initiative. The Board of Supervisors approved \$5 million in ARPA funds towards child care efforts, \$1 million will go to First 5.</p>	None	None
7. RECEIVE PRESENTATION FROM APPLIED SURVEY RESEARCH ON KINDERGARTEN READINESS ASSESSMENT			
<p>K. Spanos L. Schroeder C. Branom</p>	<p>[Attachment]</p> <p>Ms.Spanos, Ms. Schroeder and Dr. Christina Branom presented the Applied Survey Research on Kindergarten Readiness Assessment. The guest speakers from the Research Advisory Group were Mr. Edgar Chavez, Ms. LaRichea Smith and Ms. Clarissa Doutherd.</p>	<p>Commissioner Coffin left at 9:51am.</p>	<p>Supervisor Brown joined at 10:04am. Commissioner Watkins-Tartt joined at 10:31am.</p>
8. APPROVE RESOLUTION AUTHORIZING THE SUBMITTAL OF THE GRANT APPLICATION TO FIRST 5 CALIFORNIA AND AGREEMENT TO EXECUTE THE GRANT AWARD NOTIFICATION (GAN) IF AWARDED			
T. Jue	<p>[Attachment]</p> <p>Mr. Jue presented the Resolution Authorizing the Submittal of the Grant Application to First 5 California and Agreement to Execute the Grant Award Notification (GAN) if Awarded. Chair Herzfeld asked if there was any public comment before taking a vote. Chair Herzfeld facilitated the vote to approve the resolution.</p>	<p>Motion: D. Brown Second: K. Watkins-Tartt No Abstentions. Motion passed.</p>	None
9. APPROVE FIRST 5 CALIFORNIA FY 2020-21 ANNUAL REPORT			
L.Forti	<p>[Attachment]</p> <p>Ms. Forti presented the First 5 California FY 2020-21 Annual Report. Chair Herzfeld asked if there was any public comment before taking a vote. Chair Herzfeld asked if there was any public comment before taking a vote to approve the First 5 California FY 2020-21 Annual Report.</p>	<p>Motion: T. Magaña Second: C. Oregon No Abstentions. Motion passed.</p>	None
10. RECEIVE FIRST 5 ALAMEDA COUNTY FY 2022-27 STRATEGIC PLAN - FIRST READING			
<p>K. Spanos J Hickman L. Forti T. Jue B. Frye C. Keener M. Rutherford</p>	<p>[Attachment]</p> <p>Ms. Spanos, Mr. Hickman from Hickman Strategies, Ms. Hom, Ms. Keener, Ms. Rutherford, Mr. Jue, Ms. Frye and Ms. Forti presented the First 5 Alameda County FY 2022-27 Strategic Plan - First Reading.</p>	None	None

AGENDA ITEM SPEAKER	DISCUSSION HIGHLIGHTS	ACTION	FOLLOW UP
11. FIRST 5 CALIFORNIA AND FIRST 5 ASSOCIATION UPDATES			
K. Spanos	[Attachment] K. Spanos presented the First 5 California and First 5 Association Updates.	None	None
12. LEGISLATION AND PUBLIC POLICY UPDATES			
A. Rasquiza	[Attachment] A. Rasquiza presented the Legislation and Public Policy Updates.	None	None
13. ADJOURNMENT			
R. Herzfeld	Chair Herzfeld adjourned the meeting and gaveled out at 11:32 AM.	None	None

Respectfully Submitted By: Julia Otani, Executive Assistant



To: First 5 Alameda County Commission

From: Christine Hom, Finance Officer

Date: June 2, 2022

Subject: GASB 54 Fund Balance Commitment

REQUESTED ACTION

To review the classification of the fund balance.

BACKGROUND

There is no single number in governmental accounting and financial reporting that attracts more interest and discussion than *fund balance*. Fund balance, also referred to as net assets, is the difference between asset and liabilities in the governmental funds balance sheet.

The Governmental Accounting Standards Board (GASB) adopted Statement No. 54, Fund Balance Reporting and Governmental Fund Type Definitions. This statement requires governments to revise how fund balance is reported in its financial statements. The planned use of net assets is required to be reported in various categories depending on the constraints imposed on the use of resources. The categories in which governments are required to categorize fund balance are (in order of most to least constrained): Nonspendable, Restricted, Committed, Assigned and Unassigned. The more constrained the resources, the less likely they can be redeployed to other uses.

GASB 54

A hierarchy of fund balance classifications has been created by the Governmental Accounting Standards Board (GASB), based primarily on the extent to which governments are bound by constraints on resources reported in the funds. This approach which is referred to as GASB 54 is intended to provide users more consistent and understandable information about a fund's net resources. GASB 54 went into effect in FY 2010-2011, and for the first time F5AC's fund balance was presented accordingly in the financial statements for the fiscal year which ended on June 30, 2011. In summary, the hierarchy of five possible classifications of fund balance is:

Nonspendable Fund Balance

- Amounts that cannot be spent due to form; for example, inventories and prepaid amounts. Also, long-term loan and notes receivables, and property held for resale would be reported here.
- Amounts that must be maintained intact legally or contractually.

Restricted Fund Balance

- Amounts constrained for a specific purpose by external parties, constitutional provision or enabling legislation.

Committed Fund Balance

- Amounts constrained for a specific purpose by a government using its highest level of decision-making authority. It would require action by the same group to remove or change the constraints placed on the resources.
- Action to constrain resources must occur prior to year-end; however, the amount can be determined in the subsequent period.

Assigned Fund Balance

- For amounts constrained for the intent to be used for a specific purpose by a governing board or a body or official that has been delegated authority to assign amounts.

Unassigned Fund Balance

- For any remaining amounts not classified as any of the above.

F5AC's Sustainability Fund or stabilization fund currently meets the definition of "Assigned" as defined in GASB 54. At the end of the current fiscal year, it is estimated that F5AC will have approximately \$30.8 million in fund balance which will be reported in the audited financial statements as previously approved by the Commission in June 2021 to be in compliance the requirements of GASB 54.

PROPOSED ACTION TO DESIGNATE FUND BALANCE

1. To accept Staff's recommendation to designate a portion of fund balance not exceeding \$10.1 million of net assets as of June 30, 2022, as "Committed" to maintain intact funds for Contracts and Grants, in accordance with the FY 2022-23 budget that is up for adoption by the Commission on June 2, 2022.
2. To accept Staff's recommendation to "Assign" a portion of ending fund balance not exceeding \$20.7 million of net assets as of June 30, 2022, for budget stabilization (balancing the budget), in accordance with the Long Range Financial Plan to be adopted by the Commission on June 2, 2022. Funds committed to budget stabilization shall only be used to maintain F5AC services as long as possible during anticipated funding declines in accordance with the Long Range Financial Plan. They can only be committed to other uses by a majority vote of the Commission. These funds are not anticipated to be replenished after they are used for budget stabilization.

FISCAL IMPACT

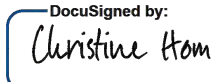
This action is for classification purposes only. There is no fiscal impact.

Use of Fund Balance	Maximum Amount	GASB 54 Classification
FY 2022-23 budgeted Contracts and Grants	\$10.1 million	Committed Fund Balance
Budget stabilization - Long Range Financial Plan	\$20.7 million	Assigned Fund Balance

RECOMMENDATION:

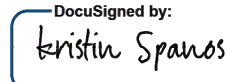
That the Commission approve the classification of fund balance as outlined above.

Submitted by:

DocuSigned by:

5659DF0B756A46A...

Christine Hom
Finance Officer

Reviewed by:

DocuSigned by:

ED630B4561544E4...

Kristin Spanos
Chief Executive Officer



To: First 5 Alameda County Commission
From: Christine Hom, Finance Officer
Date: June 2, 2022
Subject: FY 2022-2023 ACERA 401(h) Account Authorization

ACTION REQUESTED

That the Commission review the resolution to fund the FY 2022-2023 ACERA 401(h) account with the purpose of providing tax free health benefits to retirees.

BACKGROUND

In order for the Alameda County Employees Retirement Association (ACERA) to provide tax-free health benefits to its retirees, it is required that participating agencies such as First 5 Alameda County establish and pay post-retirement benefits through a 401(h) account. In 2007-08, the Commission authorized the establishment of such an account.

The 401(h) account, also called the Advance Reserve Account, is funded by a portion of regular First 5 retirement contributions. First 5 contributions are then supplemented by the Supplemental Retiree Benefits Reserve (SRBR) in the amount of the 401(h) contribution. The effect is a no-cost transaction.

For FY 2022-2023 (and every year), it is required that the participating member agencies of ACERA authorize the required contributions to the account. The required contribution is determined by ACERA's actuary, Segal Consulting. Based on the actuarial analysis, First 5's contribution for FY 2022-2023 is \$79,964.34. The contribution per pay period is \$3,075.55 beginning with pay period 22-14.

FISCAL IMPACT

There is no fiscal impact.

RECOMMENDATION

That the Commission approve the resolution to fund the FY 2022-2023 ACERA 401(h) account authorization.

Submitted by:

DocuSigned by:
Christine Hom
5659DF0B756A46A...
Christine Hom
Finance Officer

Reviewed by:

DocuSigned by:
Kristin Spanos
ED630B4561544E4...
Kristin Spanos
Chief Executive Officer

RESOLUTION**FIRST 5 ALAMEDA COUNTY
RESOLUTION APPROVING 401(h) ACCOUNT
PURSUANT TO SECTION 31592**

WHEREAS, in 1996, the Alameda County Employees' Retirement Association ("ACERA") Board of Retirement informed the Board of Supervisors that by adoption of Resolution No. 96-111, the Board of Retirement had established a health benefits account intended to satisfy the requirements of Internal Revenue Code ("IRC") Section 401(h) and the regulations thereunder ("401(h) Account") in order to provide non-vested, tax-free health benefits to eligible County and Participating Employer retirees (collectively, the "Retirees"); and

WHEREAS, in 1996, this Board of Supervisors adopted Resolution No. R-96-634, which provided that ACERA could offer such non-taxable benefits if the County designated a portion of its contribution to ACERA for a fiscal year as a contribution to the 401(h) Account, and

WHEREAS, under Section 31592.4 and Article 5.5 of the County Employees Retirement Law of 1937 ("CERL"), assets in the Supplemental Retiree Benefit Reserve ("SRBR") at the end of a fiscal year of ACERA may, in the immediately succeeding fiscal year, be transferred to the Employer Advance Reserve account of the Participating Employers, and treated as a contribution to ACERA by the County and as applicable by other Participating Employers to the extent that in the immediately succeeding fiscal year the County and other Participating Employers make contributions to ACERA's 401(h) Account in order to pay for retiree health benefits; and

WHEREAS, Section 31592.4 and Article 5.5 of the CERL thus permit the Participating Employers to contribute to a 401(h) Account and pay for retiree health benefits for a fiscal year without increasing the First 5 Alameda County's total contributions to ACERA for that fiscal year; and

WHEREAS, commencing with the 1996-1997 fiscal year, and for each fiscal year thereafter, the County has directed that a specified portion of its fiscal year contribution to ACERA for that year be contributed to the 401(h) Account; and

WHEREAS, in 2007 First 5 Alameda County authorized ACERA to establish and manage a 401(h) sub-account on its behalf to provide tax free health benefits for its retirees.

NOW THEREFORE, IT IS RESOLVED AS FOLLOWS:

1. In fiscal year July 1, 2022 - June 30, 2023, First 5 Alameda County shall contribute to ACERA \$79,964.34 to be used only for the payment of retiree health benefits. This contribution shall be made on the terms and conditions set forth in the Agreement between First 5 Alameda County and ACERA concerning such contributions, executed on June 28, 2007.

2. This contribution shall be designated, in writing, as being only for First 5 Alameda County's IRC § 401(h) Account and such designation shall be made at the time of the contribution.

3. Such contribution is contingent on the Board of Retirement immediately transferring, in accordance with Government Code §31592.4, an amount equal to such contribution from ACERA's SRBR account to First 5 Alameda County's Advance Reserve account. Such amount shall be treated as a contribution for pension and therefore shall be applied to reduce the pension contribution otherwise required by First 5 Alameda County for the fiscal year beginning July 1, 2022.

4. No party, including any existing or future First 5 Alameda County employee, retiree, spouse or dependent, shall have any vested rights, contractual rights or other rights in or to any retiree health benefits or payment or subsidy for any such benefits nor shall any such person or ACERA have any such rights to have First 5 Alameda County contribute towards paying or subsidizing the cost of any retiree health benefits provided by ACERA under the 401(h) Account or otherwise. First 5 Alameda County may modify or terminate, at any time and without any limitation, its decision to contribute to First 5 Alameda County's 401(h) Account. This modification or termination may occur even if it may affect any employee first hired prior to the date of such modification, any person who retired prior to such date, and/or any person who became a spouse or dependent of an employee or retiree prior to such date.

5. All contributions by First 5 Alameda County to its 401(h) sub-account shall be governed by requirements of the IRC and all administrative and other applicable rules established by ACERA governing such sub-account and ACERA's 401(h) Account.



FIRST 5 ALAMEDA COUNTY EXECUTIVE COMMITTEE MEETING AGENDA

Thursday, May 26, 2022

Members of the public may access this meeting via:

Zoom Meeting: <https://zoom.us/j/91852571763>

Meeting ID: 918 5257 1763

9:30 AM – 10:45 AM

Commissioners:

Chair: Renee Herzfeld, *Vice Chair:* Cecilia Oregón, Scott Coffin

1. **Public Comment**
2. **Staff Announcements**
 - a. General Staff Announcements
 - b. CEO Contract Authorizations
3. **Approval of Minutes from April 21, 2022**
Recommended Action: Approve Minutes from April 21, 2022.
4. **Approval of the Amended First 5 Alameda County Bylaws**
Recommended Action: Approve the amendment of the First 5 Alameda County Bylaws.
5. **Approval of the First 5 Alameda County Governance Policies**
Recommended Actions: Approve revisions to the following existing policies and adopt new policies:
 - a. Financial Policies
 - b. Conflict of Interest Code
 - c. Conflict of Interest Policy (NEW)
 - d. Incompatible Activities Statement and Policy (NEW)
 - e. Records Retention and Destruction Policy and Schedule (NEW)
6. **Review Revisions to Employee Handbook**
Recommended Action: Approve the revisions to the Employee Handbook.
7. **Review FY 2022-23 Proposed Budget and FY 2022-30 Proposed Long Range Financial Plan – Final Readings**
Recommended Actions: Executive Committee recommends that the Commission approve the following:
 - a. FY 2022-23 Proposed Budget.
 - b. FY 2022-23 Contract Authorizations.
 - c. FY 2022-30 Proposed Long Range Financial Plan.

Information about access:

Please contact Julia Otani at julia.otani@first5alameda.org or (510) 227- 6987 3 business days in advance if you need special assistance or translation/interpretation support so we can make reasonable arrangements to ensure accessibility. We will swiftly resolve any requests for accommodation to resolve any doubt whatsoever in favor of accessibility.

8. Review GASB 54 Fund Balance Commitment

Recommended Action: Executive Committee recommends that the Commission approve the GASB 54 Fund Balance Commitment.

9. Review FY 2022-23 ACERA 401(h) Account Authorization

Recommended Action: Executive Committee recommends that the Commission approve the FY 2022-23 ACERA 401(h) Account Authorization.

10. Adjournment

Information about access:

Please contact Julia Otani at julia.otani@first5alameda.org or (510) 227- 6987 3 business days in advance if you need special assistance or translation/interpretation support so we can make reasonable arrangements to ensure accessibility. We will swiftly resolve any requests for accommodation to resolve any doubt whatsoever in favor of accessibility.



First 5 Alameda County Executive Committee Meeting
April 21, 2022, 9:15 AM – 10:30 AM
Zoom Webinar Meeting ID: 933 6125 1102

Commissioners Present: Chair: Renee Herzfeld, Scott Coffin
 Not Present: Vice Chair: Cecilia Oregon
 First 5 Staff Present: Kristin Spanos, Tyson Jue, Brittney Frye, Christine Hom, Julia Otani

AGENDA ITEM SPEAKER	DISCUSSION HIGHLIGHTS	ACTION	FOLLOW UP
CALL TO ORDER			
R. Herzfeld	The meeting was called to order by Chair Herzfeld who gaveled in at 9:18 AM and stated that the meeting was being recorded. Commissioners Herzfeld and Coffin stated their names to indicate they were present for the meeting.	None	None
1. PUBLIC COMMENT			
R. Herzfeld	There was no Public Comment.	None	None
Chair Herzfeld announced changes to the agenda. The Executive Committee moved to Closed Session at 9:19 and reconvened the meeting at 9:49am.			
8. PUBLIC EMPLOYEE PERFORMANCE EVALUATION - CLOSED SESSION (HELD PURSUANT TO GOV. CODE §54957)			
	The Executive Committee moved to closed session at 9:19am.	None	None
9. REPORT ON ANY ACTION TAKEN IN CLOSED SESSION			
R. Herzfeld	The Executive Committee reconvened at 9:49am. Chair Herzfeld reported that the Executive Committee will wait to review the CEO compensation and personal time after the class and compensation study is presented. Their recommendation is that the salary survey is completed every two years.	None	None
10. APPROVAL OF THE COMPENSATION FOR THE CHIEF EXECUTIVE OFFICER			
R. Herzfeld	Chair Herzfeld noted that there is no action that will be taken for this item.	None	None
2. STAFF ANNOUNCEMENTS			
K. Spanos	[Attachment] Ms. Spanos noted that the General Staff Announcements and CEO Contract Authorizations are included in the meeting packet for review. The Return to Work Update will be provided in writing.	None	None
3. APPROVAL OF MINUTES FROM FEBRUARY 10, 2022			
R. Herzfeld	[Attachment] Chair Herzfeld asked if there was any public comment before taking a vote to approve the minutes. Chair Herzfeld facilitated the vote to approve the February 10, 2022 Executive Committee Meeting minutes.	Motion: S. Coffin Second: R. Herzfeld No Abstentions. Motion passed.	None

AGENDA ITEM SPEAKER	DISCUSSION HIGHLIGHTS	ACTION	FOLLOW UP
4. APPROVAL OF THE AMENDED FIRST 5 ALAMEDA COUNTY BYLAWS			
	[Attachment] Ms. Spanos noted that the Amended First 5 Alameda County Bylaws will be presented at the June Executive Committee Meeting.	None	None
5. APPROVAL OF THE FIRST 5 ALAMEDA COUNTY GOVERNANCE POLICIES			
	[Attachment] Ms. Spanos noted that the First 5 Alameda County Governance Policies will be presented at the June Executive Committee Meeting.	None	None
6. FY 2022-23 PROPOSED BUDGET - FIRST READING			
	[Attachment] Ms. Spanos noted that the FY 2022-23 Proposed Budget - First Reading was informational only and will be presented at the full Commission Meeting.	None	None
7. FY 2022-30-PROPOSED LONG RANGE FINANCIAL PLAN - FIRST READING			
	[Attachment] Ms. Spanos noted that the FY 2022-30 Proposed Long Range Financial Plan - First Reading was informational only and will be presented at the full Commission Meeting.	None	None
11. ADJOURNMENT			
R. Herzfeld	Chair Herzfeld gavelled out and adjourned the meeting at 9:55AM.	None	None

Respectfully Submitted By: Julia Otani, Executive Assistant



FIRST 5 ALAMEDA COUNTY EXECUTIVE COMMITTEE MEETING AGENDA

Thursday, May 26, 2022

Members of the public may access this meeting via:

Zoom Meeting: <https://zoom.us/j/91852571763>

Meeting ID: 918 5257 1763

9:30 AM – 10:45 AM

Commissioners:

Chair: Renee Herzfeld, *Vice Chair:* Cecilia Oregón, Scott Coffin

1. **Public Comment**
2. **Staff Announcements**
 - a. General Staff Announcements
 - b. CEO Contract Authorizations
3. **Approval of Minutes from April 21, 2022**
Recommended Action: Approve Minutes from April 21, 2022.
4. **Approval of the Amended First 5 Alameda County Bylaws**
Recommended Action: Approve the amendment of the First 5 Alameda County Bylaws.
5. **Approval of the First 5 Alameda County Governance Policies**
Recommended Actions: Approve revisions to the following existing policies and adopt new policies:
 - a. Financial Policies
 - b. Conflict of Interest Code
 - c. Conflict of Interest Policy (NEW)
 - d. Incompatible Activities Statement and Policy (NEW)
 - e. Records Retention and Destruction Policy and Schedule (NEW)
6. **Review Revisions to Employee Handbook**
Recommended Action: Approve the revisions to the Employee Handbook.
7. **Review FY 2022-23 Proposed Budget and FY 2022-30 Proposed Long Range Financial Plan – Final Readings**
Recommended Actions: Executive Committee recommends that the Commission approve the following:
 - a. FY 2022-23 Proposed Budget.
 - b. FY 2022-23 Contract Authorizations.
 - c. FY 2022-30 Proposed Long Range Financial Plan.

Information about access:

Please contact Julia Otani at julia.otani@first5alameda.org or (510) 227- 6987 3 business days in advance if you need special assistance or translation/interpretation support so we can make reasonable arrangements to ensure accessibility. We will swiftly resolve any requests for accommodation to resolve any doubt whatsoever in favor of accessibility.

8. Review GASB 54 Fund Balance Commitment

Recommended Action: Executive Committee recommends that the Commission approve the GASB 54 Fund Balance Commitment.

9. Review FY 2022-23 ACERA 401(h) Account Authorization

Recommended Action: Executive Committee recommends that the Commission approve the FY 2022-23 ACERA 401(h) Account Authorization.

10. Adjournment

Information about access:

Please contact Julia Otani at julia.otani@first5alameda.org or (510) 227- 6987 3 business days in advance if you need special assistance or translation/interpretation support so we can make reasonable arrangements to ensure accessibility. We will swiftly resolve any requests for accommodation to resolve any doubt whatsoever in favor of accessibility.



First 5 Alameda County Executive Committee Meeting
April 21, 2022, 9:15 AM – 10:30 AM
Zoom Webinar Meeting ID: 933 6125 1102

Commissioners Present: Chair: Renee Herzfeld, Scott Coffin
 Not Present: Vice Chair: Cecilia Oregon
 First 5 Staff Present: Kristin Spanos, Tyson Jue, Brittney Frye, Christine Hom, Julia Otani

AGENDA ITEM SPEAKER	DISCUSSION HIGHLIGHTS	ACTION	FOLLOW UP
CALL TO ORDER			
R. Herzfeld	The meeting was called to order by Chair Herzfeld who gaveled in at 9:18 AM and stated that the meeting was being recorded. Commissioners Herzfeld and Coffin stated their names to indicate they were present for the meeting.	None	None
1. PUBLIC COMMENT			
R. Herzfeld	There was no Public Comment.	None	None
Chair Herzfeld announced changes to the agenda. The Executive Committee moved to Closed Session at 9:19 and reconvened the meeting at 9:49am.			
8. PUBLIC EMPLOYEE PERFORMANCE EVALUATION - CLOSED SESSION (HELD PURSUANT TO GOV. CODE §54957)			
	The Executive Committee moved to closed session at 9:19am.	None	None
9. REPORT ON ANY ACTION TAKEN IN CLOSED SESSION			
R. Herzfeld	The Executive Committee reconvened at 9:49am. Chair Herzfeld reported that the Executive Committee will wait to review the CEO compensation and personal time after the class and compensation study is presented. Their recommendation is that the salary survey is completed every two years.	None	None
10. APPROVAL OF THE COMPENSATION FOR THE CHIEF EXECUTIVE OFFICER			
R. Herzfeld	Chair Herzfeld noted that there is no action that will be taken for this item.	None	None
2. STAFF ANNOUNCEMENTS			
K. Spanos	[Attachment] Ms. Spanos noted that the General Staff Announcements and CEO Contract Authorizations are included in the meeting packet for review. The Return to Work Update will be provided in writing.	None	None
3. APPROVAL OF MINUTES FROM FEBRUARY 10, 2022			
R. Herzfeld	[Attachment] Chair Herzfeld asked if there was any public comment before taking a vote to approve the minutes. Chair Herzfeld facilitated the vote to approve the February 10, 2022 Executive Committee Meeting minutes.	Motion: S. Coffin Second: R. Herzfeld No Abstentions. Motion passed.	None

AGENDA ITEM SPEAKER	DISCUSSION HIGHLIGHTS	ACTION	FOLLOW UP
4. APPROVAL OF THE AMENDED FIRST 5 ALAMEDA COUNTY BYLAWS			
	[Attachment] Ms. Spanos noted that the Amended First 5 Alameda County Bylaws will be presented at the June Executive Committee Meeting.	None	None
5. APPROVAL OF THE FIRST 5 ALAMEDA COUNTY GOVERNANCE POLICIES			
	[Attachment] Ms. Spanos noted that the First 5 Alameda County Governance Policies will be presented at the June Executive Committee Meeting.	None	None
6. FY 2022-23 PROPOSED BUDGET - FIRST READING			
	[Attachment] Ms. Spanos noted that the FY 2022-23 Proposed Budget - First Reading was informational only and will be presented at the full Commission Meeting.	None	None
7. FY 2022-30-PROPOSED LONG RANGE FINANCIAL PLAN - FIRST READING			
	[Attachment] Ms. Spanos noted that the FY 2022-30 Proposed Long Range Financial Plan - First Reading was informational only and will be presented at the full Commission Meeting.	None	None
11. ADJOURNMENT			
R. Herzfeld	Chair Herzfeld gavelled out and adjourned the meeting at 9:55AM.	None	None

Respectfully Submitted By: Julia Otani, Executive Assistant



To: First 5 Alameda County Executive Committee

From: Kristin Spanos, CEO
Tyson Jue, Chief of Staff
Christine Hom, Finance Officer

Date: May 26, 2022

Subject: Amended First 5 Alameda County Bylaws

ACTION REQUESTED

Approve the amendment of the First 5 Alameda County Bylaws

BACKGROUND

First 5 Alameda County contracted with VIVA Social Impact Partners to review First 5's governance policies. On October 7, 2021, VIVA presented their recommendation for the revisions to the First 5 Alameda County bylaws.

The following substantive edits to the Bylaws are being proposed:

ARTICLE VI. OFFICERS

SECTION 2. ELECTION AND TERM OF OFFICE

Officers shall be elected by the Commission at the first meeting of each calendar year

SECTION 5. CHIEF EXECUTIVE OFFICER

Based on input from the Commission, the Chair of the Commission shall draft the annual evaluation of the CEO for consideration and action by the Commission and shall thereafter administer the evaluation.

Based on the annual evaluation, the Executive Committee shall set the compensation of the CEO on an annual basis.

ARTICLE VIII. COMMITTEES

SECTION 3. COMMITTEE STRUCTURE/AUTHORITY

A. Executive Committee

The Executive Committee shall be a standing Committee of the Commission. Membership of the Executive Committee shall be comprised of the Chair of the Commission, the Vice-Chair of the Commission, and one other voting member of the Commission, appointed each year at the first Commission meeting of the calendar year by the Chair of the Commission. The Vice-Chair shall serve as the Chair of the Executive Committee. The Executive Committee shall meet in open session in compliance with the Brown Act except where a closed session is warranted and allowed by law. The duties of the Executive Committee shall include the review and approval of governance-related policies and procedures including fiscal, administrative, operations and human resources, including approving

AGENDA ITEM 4

the compensation of the CEO on an annual basis. The duties also include reviewing and recommending for adoption by the Commission the following:

- Annual budget;
- Audited financial statements; and
- Other tasks delegated to the Executive Committee by the full Commission.

Any decision by the Executive Committee requiring adoption by the Commission may be placed on the Consent Calendar at the next Commission meeting. Any decisions taken by the Executive Committee that do not require Commission approval shall be reported to the full Commission.

Members of the Executive Committee shall serve for one (1) calendar year, provided that members may be reappointed to serve additional terms.

FISCAL IMPACT

There is no fiscal impact.

RECOMMENDATION


On June 24, 2021, the First 5 Alameda County Commission authorized the expansion of the charge of the Executive Committee until June 30, 2022 to include review, discussion and decision making on governance-related matters due to the uncertainty associated with the ongoing pandemic and our preparations for returning to the office in 2022.

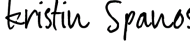
The Commission expanded “the charge of the Executive Committee to include review, discussion and decision making on governance related matters. Historically, the Executive Committee has acted in the capacity of reviewing agency operational issues including finance, human resources and administrative items and policies to support business processes. The additional function of reviewing governance related policies and procedures including but not limited to the governing ordinance and Commission bylaws will allow the Executive Committee to efficiently support necessary updates to agency practices. Any formal action taken by the Executive Committee in this area will be reported back to the Commission. In addition, the Executive Committee may make final recommendations to the Commission to consider.”

First 5 Alameda County staff recommend that the Executive Committee approve the amendment of the First 5 Alameda County Bylaws.

Submitted by:

Approved by:


DocuSigned by:

 40C297C52D6641E

DocuSigned by:

 ED639B4561544E4

Tyson Jue
Chief of Staff

Kristin Spanos
Chief Executive Officer

Reviewed by:

DocuSigned by:

 5659DF0B756A46A

Christine Hom
Finance Officer



FIRST 5 ALAMEDA COUNTY BYLAWS

ARTICLE I. AUTHORITY

The First 5 Alameda County Commission (the Commission or ~~County Commission~~F5AC Commission) is established in accordance with California Health and Safety Code Section 130140.

ARTICLE II. PURPOSE AND INTENT

SECTION 1. PURPOSE

The First 5 Alameda County Commission is created for the purposes of promoting, supporting, and improving the early development of children from the prenatal stage to five years of age. These purposes shall be accomplished through the establishment, institution, and coordination of appropriate standards, resources, and integrated and comprehensive programs emphasizing community awareness, education, nurturing, child care, social services, health care, systems building and research. ~~The Commission's primary purpose is to adopt and implement the County's strategic plan.~~

SECTION 2. INTENT

The Commission's intent is to facilitate the creation and implementation of an integrated, comprehensive, and collaborative system of information and services to enhance optimal early childhood development. It is further the intent to integrate the Commission's planning and programs with existing service delivery systems for children from prenatal to age five and their families including but not limited to the Alameda County Social Services and Health Care Services Agencies, the Interagency Children's Policy Council, the Child Care Planning Council, and community based providers.

ARTICLE III. POWERS AND DUTIES

The powers and duties of the First 5 Alameda County Commission shall include, but are not limited to, the following:

- A. Perform any and all duties imposed on them collectively or individually by law or by these Bylaws;
- B. Prescribe the duties and fix the compensation, if any, of all officers, agents and employees of the ~~commission~~Commission;
- C. Supervise all officers, agents, employees, and advisory committees of the Commission to assure that their duties are performed properly;

- D. Meet at such times and places as required by these Bylaws;
- E. Approve the annual strategic plan for the support and improvement of early childhood development within the county, after conducting at least one public hearing on the proposed ~~county~~ strategic plan;
- F. On at least an annual basis, review the ~~county~~ strategic plan and revise as necessary and appropriate after conducting a public hearing to consider proposed revisions;
- G. Submit the ~~county~~ strategic plan and any revisions to it to the State Commission;
- H. Approve an annual budget;
- I. Prepare and adopt an annual audit and report pursuant to Health and Safety Code Section 130150 (b) and conduct public hearings;
- J. Elect the Officers of the Commission;
- K. Apply for gifts, grants, donations, or contributions of money, property, facilities, or services from any person, corporation, foundation, or other entity, or from the state or any agency or political subdivision thereof, or from the federal government or any agency instrumentality thereof, in furtherance of a program of early childhood development;
- L. Enter into such contracts as necessary or appropriate to carry out the provisions and purposes of the Children and Families First Act;
- M. Conduct at least one public hearing on each annual report prepared by the State Commission pursuant to Health and Safety Code Section 130150 (b);
- N. Consider the State Commission's findings and research and apply them to the ~~county~~ strategic plan as deemed appropriate;
- O. Solicit technical assistance from the State Commission as deemed necessary and appropriate;
- P. Provide input to the State Commission regarding guidelines and other matters as the Commission deems necessary and appropriate;
- Q. Make recommendations to the Board of Supervisors or the County Administrator for changes in ordinances or services necessary or appropriate to carry out an integrated and comprehensive program which is consistent with the strategic plan.

ARTICLE IV. OFFICES

SECTION 1. PRINCIPAL OFFICE

The principal office of the commission is located in Alameda County, State of California.

SECTION 2. CHANGE OF ADDRESS

The designation of the commission's principal office may be changed by amendment of these Bylaws. The Commission may change the principal office from one location to another within the named county by noting the changed address and effective date below, and such changes of address shall not be deemed, nor require, an amendment of these Bylaws:

1850 Fairway Drive, San Leandro, CA 94577	Dated: January 1, 1999
1100 San Leandro Blvd., Suite 120 San Leandro, CA 94577	Dated: May 5, 2003
1115 Atlantic Avenue, Alameda, CA 94501	Dated: April 19, 2013

ARTICLE V. MEMBERSHIP OF COUNTY COMMISSION

SECTION 1. APPOINTMENT OF COMMISSIONERS

The County Commission shall be appointed by the Alameda County Board of Supervisors and shall consist of at least five but not more than nine members.

- A. Two members of the County Commission shall be from among the county health officer and persons responsible for management of the following county functions: children's services, public health services, behavioral health services, social services, and tobacco and other substance abuse prevention and treatment services.
- B. One member of the County Commission shall be a member of the ~~board~~ Board of supervisors Supervisors.
- C. The remaining members of the County Commission shall be from among the persons described in clause (i) and persons from the following categories: recipients of project services included in the county strategic plan; educators specializing in early childhood development; representatives of a local child care resource or referral agency, or a local child care coordinating group; representatives of a local organization for prevention or early intervention for families at risk; representatives of community-based organizations that have the goal of promoting nurturing and early childhood development; representatives of local school districts; and representatives of local medical, pediatric, orobstetric associations or societies.

SECTION 2. ALTERNATE MEMBERS

Each of the three Alameda County Commission members appointed by the County Board of Supervisors shall designate one alternate Commission member in writing to the Commission Chair for each of the following membership categories below:

- A. For each Alameda County Commission member appointed pursuant to subsection (A) of Section 1, the alternate nominee shall be proposed by each involved member.
- B. For the Alameda County Commission member appointed pursuant to subsection (B) of Section 1, the alternate nominee shall be proposed by the involved member.

Alternate members are encouraged to attend Commission meetings when the designated county representative is not present to participate and vote on their behalf. Alternate members may not serve as elected officers, but may serve on ad hoc or standing committees of the Commission.

SECTION 2. TERMS OF OFFICE

Members of the County Commission shall serve for either a two-year term or a four-year term. Thereafter all appointments shall be for four-year terms. No appointee shall serve as a member of the County Commission for more than twelve consecutive years, unless the County Board of Supervisors waives this provision upon a majority vote of its members.

Alternate members, appointed to fill the three county Alternate positions shall serve at the discretion of the appointed County Commissioner and only so long as they are employed by the County of Alameda.

SECTION 3. REMOVAL AND FUTURE APPOINTMENTS

Any ~~commissioner~~ Commissioner or ~~alternate~~ Alternate can be removed by the County Board of Supervisors at any time. The Board of Supervisors will then appoint a replacement commissioner to take the removed Commissioner's place and serve out the remainder of the Commissioner's term. The Commission may recommend to the Board of Supervisors that a Commissioner be removed due to his or her non-attendance at meetings or for other just cause.

Whenever a vacancy occurs due to resignation, removal, or expiration of a Commissioner's term, the Board of Supervisors will appoint the replacement or in the case of term expiration, the Board of Supervisors may reappoint the Commissioner to another term or the Commissioner shall serve until the appointment of a successor.

SECTION 4. COMPENSATION

Members of the County Commission shall not be compensated for their services, except they shall be paid reasonable per diem and reimbursement of reasonable expenses for attending meetings and discharging other official responsibilities as authorized by the County Commission.

ARTICLE VI. OFFICERS**SECTION 1. DESIGNATION OF OFFICERS**

The officers of the Commission shall be a Chair and a Vice-Chair. The Chair and Vice-Chair shall perform the duties of their respective offices, and such other duties as may be approved by the Commission.

SECTION 2. ELECTION AND TERM OF OFFICE

Officers shall be elected by the Commission at the first meeting of each calendar year and each officer shall hold office for one year, or until he or she resigns or is removed or is otherwise disqualified to serve, or until his or her successor shall be elected and qualified, whichever occurs first.

SECTION 3. DUTIES

The Chair shall preside at all meetings. In the absence of the Chair, the Vice-Chair shall assume the duties of the Chair.

SECTION 4. REMOVAL AND RESIGNATION

Any officer may be removed as officer, either with or without cause, by the Commission, at any time. Any officer may resign at any time by giving written notice to the Commission. Any such resignation shall take effect at the date of receipt of such notice or at any later date specified therein, and, unless otherwise specified therein, the acceptance of such resignation shall not be necessary to make it effective.

SECTION 5. ~~EXECUTIVE DIRECTOR/~~CHIEF EXECUTIVE OFFICER

The Commission shall hire ~~an Executive Director/a~~ Chief Executive Officer (CEO) who shall act under the authority of, and in accordance with the direction of, the County Commission. The ~~Executive Director/~~Chief Executive Officer, with the approval of the County Commission, will be authorized to hire such other staff as necessary or appropriate.

Based on input from the Commission, the Chair of the Commission shall draft the annual evaluation of the CEO for consideration and action by the Commission and shall thereafter administer the evaluation.

Based on the annual evaluation, the Executive Committee shall set the compensation of the CEO on an annual basis.

ARTICLE VII. MEETINGS

SECTION 1. PLACE OF MEETINGS

Meetings shall be held within Alameda County at a place designated from time to time by the Commissioners.

SECTION 2. REGULAR MEETINGS

Regular meetings of Commissioners shall be held on a regular basis at a time and place to be specified by formal action of the Commission. The Commission shall meet up to six times per year.

SECTION 3. SPECIAL MEETINGS

Special meetings of the County Commission may be called by the Chair, the Vice-Chair, or by any two Commissioners. Such meetings shall be held at the place designated by the person or persons calling the special meeting.

SECTION 4. OPEN MEETINGS

All meetings of the Commission, except those closed sessions permitted by law, shall be open and public. All meetings shall conform to the Ralph M. Brown Act, including requirements for notice of meetings, preparation and distribution of agendas and written materials, teleconferencing, inspection of public records, closed sessions and emergency meetings, maintenance of records, and disruption of a public meeting. Those provisions of law which govern the conduct of meetings of this Commission are hereby incorporated by reference into these Bylaws.

SECTION 5. QUORUM FOR MEETINGS

A quorum shall consist of a majority of the voting members of the First 5 Alameda County Commission.

SECTION 6. MAJORITY ACTION AS BOARD ACTION

Every act or decision done or made by a majority of the ~~commissioners~~ Commissioners present at a meeting duly held at which a quorum is present is an official, formal action of the Commission.

SECTION 7. CONDUCT OF MEETINGS

Meetings of the Commission shall be presided over by the Chair of the Commission, or in their absence, by the Vice-Chair of the Commission or, in the absence of each of these persons, by a Chairperson chosen by a majority of the ~~commissioners~~ Commissioners present at the meeting.

ARTICLE VIII. COMMITTEES

Section 1. SUBCOMMITTEES OF THE COMMISSION

The Commission may establish standing or ad hoc subcommittees by formal action of the Commission and shall appoint members of the Commission to serve on the subcommittee, as the Commission deems necessary. The Commission may designate a subcommittee as advisory only or the Commission may delegate decision-making authority to the subcommittee. The Commission shall designate one member of each subcommittee to serve as chairperson.

Section 2. ADVISORY COMMITTEES.

The Commission may establish standing or ad hoc committees composed of members of the Commission and/or members of the community. These committees shall act in an advisory capacity to the Commission. The Commission shall designate one member of the committee to serve as chairperson.

Section 3. COMMITTEE STRUCTURE/AUTHORITY

A. Executive Committee

The Executive Committee shall be a standing Committee of the Commission. Membership of the Executive Committee shall be comprised of the Chair of the Commission, the Vice-Chair of the Commission, and one other voting member of the Commission, appointed each year at the first Commission meeting of the calendar year by the Chair of the Commission. The Vice-Chair shall serve as the Chair of the Executive Committee. The Executive Committee shall meet in open session in compliance with the Brown Act except where a closed session is warranted and allowed by law. The duties of the Executive Committee shall include the review and approval of governance-related policies and procedures including fiscal, administrative, operations and human resources, including approving the compensation of the CEO on an annual basis. The duties also include reviewing and recommending for adoption by the Commission the following:

- Annual budget;
- Audited financial statements; and
- Other tasks delegated to the Executive Committee by the full Commission.

Any decision by the Executive Committee requiring adoption by the Commission may be placed on the Consent Calendar at the next Commission meeting. Any decisions taken by the Executive Committee that do not require Commission approval shall be reported to the full Commission.

Members of the Executive Committee shall serve for one (1) calendar year, provided that members may be reappointed to serve additional terms.

ARTICLE IX. AMENDMENT OF BYLAWS**SECTION 1. AMENDMENT**

Except as may otherwise be specified under provisions of law, these Bylaws, or any of them, may be altered, amended, or repealed and new Bylaws adopted by approval of the Commission at any duly- noticed regular or special meeting.

ADOPTED: By a vote of 8 to 0 on August 26, 1998

AMENDED: By a vote of 5 to 0 on October 15, 2015

AMENDED: By a vote of 8 to 0 on August 18, 2016

AMENDED: By a vote of 6 to 0 on February 22, 2018

AMENDED: By a vote of # to # on April 21, 2022

DRAFT

FIRST 5



First 5 Alameda County Bylaws

Tyson Jue

Executive Committee

May 26, 2022

Modification or Creation of Governance Policies

VIVA Social Impact Partners presented their recommendations for the modification or creation of the following policies at the October 7, 2021 Executive Committee.

Policy	Considered by Executive Committee on:
Media Policy	February 10, 2022
Investment Policy	February 10, 2022
First 5 Alameda County Bylaws	April 21, 2022
Conflict of Interest Policy, Declaration of Interests	April 21, 2022
Financial Policies: Procurement, Purchasing and Contracting; Administrative Costs; Accounting, Financial Reporting, Auditing; Financial Reserves & Goals; Budget Adoption & Amendments	April 21, 2022

Chief Executive Officer

Evaluation and Compensation

Consistent with current practice and in consultation with legal counsel, the bylaws now codify the following process:

- Based on input from the Commission, the Chair of the Commission shall draft the annual evaluation of the CEO for consideration and action by the Commission and shall thereafter administer the evaluation.
- Based on the annual evaluation, the Executive Committee shall set the compensation of the CEO on an annual basis.

Executive Committee

Structure and Authority

Additions to the Bylaws include:

Membership of the Executive Committee

- Appointed each year at the first Commission meeting of the calendar year by the Chair of the Commission
- The Vice-Chair shall serve as the Chair of the Executive Committee
- Serve for one calendar year and may be reappointed

Duties of the Executive Committee shall include

- Review and approve governance-related policies and procedures including fiscal, administrative, operations and human resources, including approving the compensation of the CEO on an annual basis
- Reviewing and recommending for adoption by the Commission the following:
 - Annual budget;
 - Audited financial statements; and
 - Other tasks delegated to the Executive Committee by the full Commission

Decisions

- Decisions requiring adoption by the Commission may be placed on the Consent Calendar at the next Commission meeting
- Decisions not requiring Commission approval shall be reported to the full Commission



To: First 5 Alameda County Executive Committee

From: Kristin Spanos, CEO
Tyson Jue, Chief of Staff
Christine Hom, Finance Officer

Date: May 26, 2022

Subject: First 5 Alameda County Governance Policies

ACTION REQUESTED

To approve revisions to the following existing policies and adopt new policies:

- a. Financial Policies
- b. Conflict of Interest Code
- c. Conflict of Interest Policy (NEW)
- d. Incompatible Activities Statement and Policy (NEW)
- e. Records Retention and Destruction Policy and Schedule (NEW)

BACKGROUND

First 5 Alameda County contracted with VIVA Social Impact Partners to review First 5's governance policies. On October 7, 2021, VIVA presented their recommendations for the modification or creation of the following policies to the Executive Committee:

Policy	To be considered by Executive Committee on:
Financial Policies: Procurement, Purchasing and Contracting; Administrative Costs; Accounting, Financial Reporting, Auditing; Financial Reserves & Goals; Budget Adoption & Amendments	May 26, 2022
Conflict of Interest Policy, Declaration of Interests	May 26, 2022

Financial Policies: First 5 Alameda County originally adopted Financial Policies on June 24, 2004. The policies are reviewed by staff on an annual basis and revisions are brought to the Executive Committee and Commission for consideration and approval as necessary. F5AC Finance staff worked with James Harrison, agency legal counsel and Kevin Harper, CPA, to review the policies to ensure compliance with state and federal law, current GASB accounting standards and industry best practices.

Proposed edits are shown in the attachment as “track changes” for easy identification. The following substantive revisions are proposed to the Financial Policies to be effective July 1, 2022:

1. **II. FINANCIAL RESERVES AND GOALS:** Addition of language regarding use and treatment of the Children’s Sustainability Fund to support budgeted activities.
2. **IV. REVENUE ACCOUNTING:** Clarification of language regarding receipt, use and treatment of Proposition 10 revenue and Other Revenue.
3. **VII. PURCHASING AND CONTRACTING:** Addition of language clarifying purchasing and contracting methods and activities, modification of authorization and execution thresholds.
4. **VIII. ADMINISTRATIVE COST POLICY:** Clarification of budgeted expenses (i.e., infrastructure, personnel and contracts) and allocations between the categories of Administrative, Evaluation and Program Expenses.

Conflict of Interest Code: First 5 Alameda County originally adopted its Conflict of Interest Code on May 25, 2006. The code is brought to the Commission for review at minimum biennially as required by the Alameda County Board of Supervisors in accordance with the Political Reform Act (Government Code § 81000 et seq.). F5AC staff worked with James Harrison, agency legal counsel to review revisions to the code to ensure compliance with legal requirements.

Proposed edits are shown in the attachment as “track changes” for easy identification and include the addition of language around legal authority, updates to the designated positions required to disclose and the assigned disclosure category.

Conflict of Interest Policy: F5AC staff worked with James Harrison, agency legal counsel to draft a Conflict of Interest Policy to formalize guidelines for Commissioners, Advisory Bodies and Staff around mitigating risk of an actual or perceived conflict of interest in the course of performing agency related activities. The Policy provides clear definition of “conflict of interest”, outlines circumstances where recusal from voting or participation is required and also includes reference to the Declaration of Interests process and Incompatible Activities Statement disclosure for staff.

Incompatible Activities Statement and Policy: First 5 Alameda County’s Incompatible Activities Statement was developed to assist employees with understanding the nature of incompatible activities consistent with the provisions of Government Code section 1126. The prohibited activities described in the Statement and Policy are inconsistent, incompatible, in conflict with, or inimical to the duties of officers and employees of F5AC. All employees must file a Certification of Receipt of the Statement upon initial hire and as part of the agency’s ethics training requirement.

Records Retention and Destruction Policy: F5AC staff worked with Kristen Rogers, attorney with Olson Remcho, to draft a Records Retention and Destruction Policy and a Records Retention Schedule. The policy and schedule impose specific retention periods for F5AC records in accordance with state and federal laws. The adoption of the policy and schedule is in accordance with best practice. On the advice of legal counsel, the policy and schedule should be formally adopted by the Commission.

FISCAL IMPACT

There is no fiscal impact.

RECOMMENDATION


On June 24, 2021, the First 5 Alameda County Commission authorized the expansion of the charge of the Executive Committee until June 30, 2022 to include review, discussion and decision making on governance-related matters due to the uncertainty associated with the ongoing pandemic and our preparations for returning to the office in 2022.

The Commission expanded “the charge of the Executive Committee to include review, discussion and decision making on governance related matters. Historically, the Executive Committee has acted in the capacity of reviewing agency operational issues including finance, human resources and administrative items and policies to support business processes. The additional function of reviewing governance related policies and procedures including but not limited to the governing ordinance and Commission bylaws will allow the Executive Committee to efficiently support necessary updates to agency practices. Any formal action taken by the Executive Committee in this area will be reported back to the Commission. In addition, the Executive Committee may make final recommendations to the Commission to consider.”

First 5 Alameda County staff recommend that the Executive Committee approve the following recommendations:

1. Approve the updates to the Financial Policies
2. Approve the updates to the Conflict of Interest Code
3. Adopt the Conflict of Interest Policy
4. Adopt the Incompatible Activities Statement and Policy
5. Adopt the Records Retention and Destruction Policy and Schedule

Submitted by:

DocuSigned by:

 5659DF0B756A46A...

 Christine Hom
 Finance Officer


Approved by:

DocuSigned by:

 ED639B4561544E4...

 Kristin Spanos
 Chief Executive Officer

Reviewed by:

DocuSigned by:

 10C297C52D6641F...

 Tyson Jue
 Chief of Staff

FIRST 5



Governance Policies

Tyson Jue and Christine Hom

May 26, 2022

Modification or Creation of Governance Policies

VIVA Social Impact Partners presented their recommendations for the modification or creation of the following policies at the October 7, 2021 Executive Committee

Policy	Considered by Executive Committee on:
Media Policy	February 10, 2022
Investment Policy	February 10, 2022
First 5 Alameda County Bylaws	May 26, 2022
Conflict of Interest Policy, Declaration of Interests	May 26, 2022
Financial Policies: Procurement, Purchasing and Contracting; Administrative Costs; Accounting, Financial Reporting, Auditing; Financial Reserves & Goals; Budget Adoption & Amendments	May 26, 2022

Financial Policies

Updates and edits to ensure compliance with state and federal law, current GASB accounting standards and industry best practices

Review provided by agency legal counsel and CPA consultant:

- II. Financial Reserves and Goals: Addition of language regarding use and treatment of the Children’s Sustainability Fund to support budgeted activities.
- IV. Revenue Accounting: Clarification of language regarding receipt, use and treatment of Proposition 10 revenue and Other Revenue.
- VII. Purchasing and Contracting: Addition of language clarifying purchasing and contracting methods and activities, modification of authorization and execution thresholds.
- VIII. Administrative Cost Policy: Clarification of budgeted expenses (i.e., infrastructure, personnel and contracts) and allocations between the categories of Administrative, Evaluation and Program Expenses.

Conflict of Interest Code

Biennial edits reviewed by Commission and updates to Code submitted to Board of Supervisors

Review provided by agency legal counsel:

- Addition of language around legal authority
- Updates to Designated Positions, Categorizations for CY 2022
 - Removal of Commissioner/Alternate individual names, replaced with “Designated Official”
 - Updates to list of Designated Employees and Disclosure Categories

Conflict of Interest Policy

New policy developed to formalize guidelines for Commissioners, Advisory Bodies and Staff around mitigating risk of an actual or perceived conflict of interest while performing agency related activities

New policy drafted by legal counsel:

- Includes definition of “conflict of interest” and “economic interest”
- Clarifies circumstances where recusal from participation or voting is required
- Reference to Incompatible Activities Statement and Declaration of Interests process

Incompatible Activities Statement and Policy

Updated statement and policy consistent with provisions of Government Code section 1126

Review provided by agency legal counsel:

- Clarifies prohibited activities that are incompatible or in conflict with the duties of officers and employees of F5AC
- All staff must file a Certification of Receipt of the Statement upon hire and as part of the agency's ethics training requirement

Records Retention and Destruction Policy and Schedule

New policy to impose specific retention periods for F5AC records in accordance with state and federal laws.

Review provided by agency legal counsel:

- Policy and schedule establishes a process and a schedule for the retention and destruction of all records retained by First 5 Alameda County.
- Adoption of Policy and Schedule is in accordance with best governmental practice and state and federal laws.
- Legal counsel recommends the formal adoption by the Commission of the Policy and Schedule.



First 5 Alameda County Financial Policies

~~Approved June 24, 2004~~
~~Revised June 22, 2006~~
~~Revised May 24, 2007~~
~~Revised September 22, 2011~~
~~Revised April 24, 2014~~
~~Revised October 15, 2015~~
~~Revised April 20, 2017~~
~~Revised June 21, 2018~~
~~Revised December 12, 2019~~
Effective July 1, 2022

FIRST 5 ALAMEDA COUNTY

FINANCIAL POLICIES

TABLE OF CONTENTS

I. ACCOUNTING, FINANCIAL REPORTING AND AUDITING	<u>32</u>
II. FINANCIAL RESERVES AND GOALS	<u>43</u>
III. BUDGET ADOPTION AND AMENDMENT	<u>54</u>
IV. REVENUE ACCOUNTING	<u>64</u>
V. INVESTMENTS.....	<u>75</u>
VI. CASH COLLECTIONS AND DISBURSEMENTS.....	<u>85</u>
VII. PURCHASING AND CONTRACTING.....	<u>96</u>
VIII. ADMINISTRATIVE COST POLICY	<u>167</u>

FIRST 5 ALAMEDA COUNTY FINANCIAL POLICIES

First 5 Alameda County (F5AC) is an independent governmental organization dedicated to assuring that there is a comprehensive system of early intervention services for children 0 to 5 years of age and families in Alameda County. The California Children and Families First Act of 1998 (Proposition 10) created a program in the state for the purposes of promoting, supporting, and improving the early development of children from the prenatal stage to five years of age. The intent of this act is to enable counties to create and implement an integrated, comprehensive and collaborative system of information and services to enhance optimal early childhood development.

F5AC is governed by nine commissioners who are appointed by the Alameda County Board of Supervisors. F5AC's primary funding source is Proposition 10 tobacco taxes.

As a legally separate and fiscally independent agency, F5AC has the responsibility to establish and maintain sound financial policies that will assure F5AC's continuing ability to achieve its goal of improving health and developmental outcomes of children in Alameda County ages 0 to 5. The overriding fiscal policy of F5AC is to maintain programs at a constant level of funding as indicated in the current through the following strategic plans and a 10 Year Long Range Financial Plan through 2025 in the face of declining Proposition 10 revenue stream by strategically drawing from reserves.

The goal of establishing the financial policies as detailed herein is to provide F5AC management with appropriate guidance to facilitate management decisions and to document the Commission's delegation of decision making to management. Management will implement these policies through adoption of an agency Procedures Manual which includes financial management procedures documented in processes.

I. ACCOUNTING, FINANCIAL REPORTING & AUDITING UPDATED 5/26/2022

F5AC will establish and maintain the highest standard of accounting practices.

- A. A comprehensive accounting process will be maintained to provide complete and timely financial information necessary to effectively operate F5AC.
- B. Accounting procedures will be documented to guide employees in their tasks, to assure consistency in F5AC’s accounting practices, and to assist during employee turnover (see First 5 Alameda County Procedures Manual).
- C. F5AC will follow the financial reporting standards established by the Governmental Accounting Standards Board.
- D. The Code of Federal Regulations Part 200, OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (“Uniform Guidance”) will serve as the basis in ensuring appropriate use of federal funds and oversight of federally-funded awards, subrecipients for executed agreements beginning after December 26, 2017.
- E. An annual audit will be performed by an independent certified public accountant in accordance with the requirements of California law, First 5 California, ~~in accordance with~~ the contract with Alameda County, ~~and per~~ the Uniform Guidance.
- F. F5AC will prepare and issue timely quarterly financial reports to F5AC’s management and staff comparing budget~~ed~~ and actual expenditures for the period, and will provide more frequent reports as requested. It will also prepare and issue a six-month mid-year report for budget review purposes.
- G. To the extent possible, F5AC shall organize and assign work duties and responsibilities so that no single employee performs a complete accounting cycle. Employees with access to cash and other physical assets will not also have access to the accounting records. Established procedures shall require proper authorizations by designated persons for all significant actions taken.

II. **FINANCIAL RESERVES AND GOALS** **UPDATED 5/26/2022**

Sufficient financial reserves in the Children’s Sustainability Fund are critical to F5AC’s ability to achieve its mission of improving health and developmental outcomes of children ages 0 to 5 in Alameda County.

- A. F5AC will maintain the Children’s Sustainability Fund in accordance with the 10 Year Long Range Financial Plan established by the Commission on March 25, 2004, and any subsequently approved Long Range Plans. Prudent use of reserves will enable F5AC to maintain programs at a constant level of funding through the following strategic plans through 2025 in the face of declining Proposition 10 revenues.
- B. F5AC will maintain specific reserves required by law and/or debt covenants and any general reserve requirements as may be set from time to time by the Commission. F5AC will maintain an amount in the Children’s Sustainability Fund, at a minimum, equal to six months of the corresponding fiscal year’s operating expenses plus an amount to cover fiscal obligations under the Reduction in Workforce Policy.

F5AC will maintain sufficient reserves to support the cost of reimbursement in the case of audit exception in federal fiscal leveraging.

- C. The Commission may approve use of the Children’s Sustainability Fund during the fiscal year to support budgeted activities with adjustments to be made to the corresponding Long Range Financial Plan.
- C.D. Unspent funds at year end will close to the Children’s Sustainability Fund.

III. BUDGET ADOPTION AND AMENDMENT UPDATED 5/26/2022

The budget is the central financial planning document that encompasses all revenue and expenditure decisions related to operations and to capital expenditures. It establishes the level of service to be provided by F5AC within the restriction of anticipated available funds.

- A. F5AC Commission will adopt, by resolution, a budget by June 30 ~~each~~ for the ensuing year.
- B. The annual budget will be a balanced budget consisting of budgetary revenues, restricted carryover and, in accordance with the 10 Year Long Range Financial Plan, augmentation from the Children's Sustainability Fund.
- C. F5AC will maintain a budgetary control process to ensure compliance with the budget. The budget will be managed at the program level (i.e. program will not overspend its budget).
- D. The Commission will formally review F5AC's fiscal condition, and amend the budget if necessary, approximately six months after the beginning of each fiscal year.
- E. Budget transfers between ~~strategies~~programs and budget adjustments that increase the authorized spending level of a ~~strategy~~program must be approved by the Commission.

IV. REVENUE ACCOUNTING

UPDATED 5/26/2022

F5AC will maintain adequate control over revenues for accounting and reporting purposes. The accounting process will provide for timely and accurate recording and processing of revenue transactions as well as any specific reporting required.

A. Proposition 10 Revenue

- a. Revenue received for the operation of the Commission is initiated and submitted from the California State Children and Families Commission on a monthly basis, based on Proposition 10 funds collected by the State of California. The revenue allocated and transferred to the Commission is based on the percentage of Alameda County live births to California State live births. The funds are remitted by First 5 California directly to the Alameda County Treasury where they are placed in the Children and Families Trust Fund.
- b. First 5 California submits a Disbursement to Counties by Month Report which reflects funds collected for the month and distributed to counties based on their percentage of live births to the total State live births. The revenue remitted by the State is reviewed and documented by Finance staff each month to determine the reasonableness of the revenue.

B. Other Revenue

The Commission may receive other revenue not otherwise related to its Proposition 10 funding allocation from such sources as the State Commission, other local county or state departments, the federal government, and private foundations. These funds may be restricted in how they are used and require special accounting information to track and report periodically. The use of these revenues must have a formal grant or funding agreement including a budget or plan establishing restrictions and parameters of the funding agreement in place, which shall include a budget or plan establishing restrictions and parameters on the use of the funds. State and Federal funds, as well as private grants, may be utilized as long as F5AC determines that the total costs and requirements of accepting the funds are judged not to adversely impact general operations. If new revenue is received after the budget is adopted, the Commission shall delegate authority to the CEO to begin spending new program revenue consistent with Purchasing and Contracting policies and the increased appropriation will be presented in the mid-year budget modification. Authority to sign and execute revenue agreements shall be delegated by the Commission to the CEO.

- C. Revenue will be maximized to the extent possible by using Proposition 10 funds to match in accordance with F5AC's Fiscal Leveraging Policy, ~~adopted by the Commission on September 2000, and any subsequently approved policies.~~
- ~~A. State and Federal funds, as well as private grants, may be utilized as long as F5AC determines that the total costs and requirements of accepting the funds are judged not to adversely impact general operations.~~
- ~~B. Accounting for third party grants or contracts will allow for separate reporting of the activity as both a program of F5AC and in accordance with the requirements of the grant or contract.~~
- D. If more than one funding source is available for financing a project, the most restrictive sources will be used first.

V. INVESTMENTS UPDATED 2/10/2022

Adequate cash management and investment ~~procedures-policies~~ help ensure that sufficient funds are available to meet current expenditures.

The Commission will review and approve the Investment Policy (Investment Policy Revisions 2.10.2022) in accordance with the California Government Code section 53646 every two years. F5AC staff will review the Policy internally on an annual basis and will propose revisions to the Commission as needed but no less than every two years.

- ~~A. The investment policy shall require that idle cash is invested in accordance with the following order of priority: 1) Legality, 2) Safety, 3) Liquidity and 4) Yield.~~
- ~~B. F5AC shall maintain a cash management process which includes receipt of Proposition 10 tax revenues from the County treasury, disbursement of funds and prudent investment of its available cash in accordance with Commission policy in order to provide adequate funds for current operating expenditures.~~
- ~~C. F5AC will only invest in those investments authorized by the California Government Code section 53601.~~

VI. CASH COLLECTIONS AND DISBURSEMENTS UPDATED 5/26/2022

Cash collections and disbursements shall be adequately controlled to ensure timely processing and accurate recording in F5AC's accounting records. ~~A part of the overall maintenance of adequate accounting procedures is the ability to control cash collections and disbursements.~~ Accounting procedures for these areas ~~to ensure timely processing and recording~~ are reflected in detail in the First 5 Procedures Manual.

- A. Disbursements whether in the form of checks, electronic transfers or other means will be approved by the Chief Executive Officer or other designated alternate staff, adequately documented, and accurately recorded in the accounting records. A process for retaining and retrieving supporting disbursements documentation will be maintained.
- B. The processes for cash collections and disbursements will provide for segregation of duties to the greatest extent possible. Bank reconciliations will be performed on a timely basis and reviewed on a timely basis by the Finance Officer or designee.
- C. All cash collections whether in the form of checks or currency will be deposited in a timely manner, safeguarded until properly deposited, and accurately recorded in the accounting records.
- D. A receivables process will be maintained that identifies and bills all amounts due F5AC on a timely basis. The process will identify overdue receivables and provide timely collection notices.

VII. PURCHASING AND CONTRACTING

UPDATED 5/26/2022

- A. Guiding Principles and Policy Overview
- B. Authorization and Execution Thresholds
- C. Competitive and Non Competitive Procurement Processes
- D. Procurement Notification and Appeals
- E. Sole Source Procurement
- F. General Purchasing Policies
- G. Pre-Authorized Contracting

The Purchasing and Contracting Policy provides Guiding Principles and Policy Overview, Authorization and Execution Thresholds, Competitive and Non Competitive Procurement Processes, Procurement Notification and Appeals, Procurement Exceptions, General Purchasing Policies and Pre-Authorized Contracting in accordance with Health & Safety Code Sections 130140 and 130150: and Government Code Section 54201, et seq.

A. Guiding Principles and Policy Overview

Guiding Principles: Purchasing goods and services is a critical strategy to leverage the economic strength of First 5 tax dollars to improve communities. The guiding principles of F5AC procurement and contracting are:

1. **Create strategic impact** by funding programs that advance the goals in the F5AC Strategic plan and show evidence of effectiveness;
2. **Promote inclusion and equity** by funding programs that are responsive to the diverse needs of the community and have been shaped with community input;
3. **Promote increased service integration** by funding programs that reduce fragmentation of existing services, that increase access to services, and that promote collaboration;
4. **Build on community strengths and enhance community capacity** by funding programs that build on organizational and neighborhood assets and help community participants and service providers further develop their capacities.

Policy Overview:

F5AC shall procure goods and services using an accessible, fair, and uniform process, allowing for free and open competition aligned with the Commission’s values of diversity, equity and inclusion. The purchasing process shall provide for the efficient purchasing for F5AC supplies, equipment and services. It shall prevent unnecessary purchases of materials and supplies, and provide compliance with budgetary requirements and with applicable State Contracting codes.

It is important to note that the Purchasing Policy is supplemented by more detailed procedural guidance in the F5AC Procedures Manual.

B. Authorization and Execution Thresholds

1. The purchase of goods or services above \$25,000 requires a contract be put in place.
2. Contracts and amendments up to \$100,000 in the aggregate may be approved by the Chief Executive Officer and signed by the Chief Executive Officer, Director of Operations, Finance & Technology or Designee.
3. Contracts and amendments from \$100,000 - \$150,000 in the aggregate may be approved by the Chief Executive Officer and signed by the Chief Executive Officer, Director of Operations, Finance & Technology or Designee, and will be shared with the F5AC Executive Committee as an Informational Item.
4. Contracts and amendments from \$150,000 - \$300,000 in the aggregate may be approved by the Executive Committee with authority to sign and execute delegated to the Chief Executive Officer, Director of Operations, Finance & Technology or Designee and will be shared with the F5AC Commission as an Informational Item.
5. Contracts and amendments of \$300,000 and above in the aggregate require Commission approval with authority to sign and execute delegated to the Chief Executive Officer, Director of Operations, Finance & Technology or Designee.
6. Ancillary payments to vendors (e.g., training costs, honorariums, advertisements) shall not exceed 10% of the contract amount or \$25,000, whichever is lower, and must be authorized by the Chief Executive Officer, Director of Operations, Finance & Technology or Designee and will not be attributed to the \$300,000 limit for Commission approval if budget funds are available.

C. Competitive and Non-Competitive Procurement Processes

Detailed guidance for each competitive and non competitive process, including solicitation templates, may be found in the F5AC Procedures Manual. Competitive bidding may be conducted at any dollar amount of a procurement in support of planned program activities supporting.

1. No bid/quotes: For goods and services up to \$25,000, F5AC may select the provider directly without the need for bids/quotes, keeping within F5AC budget availability. This process shall not be used when it is reasonably foreseeable that the recurring purchases would exceed the no-bid/quote threshold in the aggregate. *For Federally-funded purchases, the bid or quote threshold for micro-purchases is \$10,000
2. For goods and services from \$25,000 - \$75,000, the user must obtain three written bids/quotes from vendors or from the vendors' published price lists. The award may be made to vendor submitting the lowest bid or best value that is responsive to the needs of the Commission. If less than three responses are received, the user must

demonstrate that sufficient outreach and diligence were undertaken and document why the requirement for three bids was not met.

3. For goods and services from \$75,000 - \$100,000, the user must conduct an informal solicitation using an Informal Request for Proposal/Qualifications (IRFP/Q) solicitation process. The award will be recommended to the highest ranked proposer based on the evaluation method set forth in the solicitation, or other method deemed appropriate for a formal bidding process. The solicitation shall be posted publicly on First 5 Alameda's website and publicized through other appropriate channels that extend First 5 Alameda's reach to prospective applicants. IRFP/Qs shall be posted for a minimum of 10 business days prior to the submission deadline. Any exceptions to the posting period shall be approved by the Chief Executive Officer, Director of Operations, Finance & Technology or Designee. IRFP/Q solicitations shall be written to include the scope of work, specifications, and terms and conditions of the proposed purchase or contract. The solicitation shall provide sufficient details to assist prospective applicants in calculating an accurate, unconditioned, and stable bid.

4. For goods and services in excess of \$100,000, the user must conduct a formal Request for Proposal/Qualifications (RFP/Q) solicitation process. The award will be recommended to the highest ranked proposer based on the evaluation method set forth in the solicitation, or other method deemed appropriate for a formal bidding process. The solicitation shall be posted publicly on F5AC's website and publicized through other appropriate channels that extend First 5 Alameda's reach to prospective applicants. Formal RFP/Qs shall be posted for a minimum of 15 business days prior to the submission deadline. Any exceptions to the posting period shall be approved by the Chief Executive Officer, Director of Operations, Finance & Technology or Designee. Formal RFP/Q solicitations shall be written to include the scope of work, specifications, and terms and conditions of the proposed purchase or contract. The solicitation shall provide sufficient details to assist prospective applicants in calculating an accurate, unconditioned, and stable bid.

5. As needed an IRFP/Q or RFP/Q may be structured to award to a pool of vendors. Pool vendors will be selected by the evaluation method set forth in the solicitation. Admittance into the pool does not guarantee a contract. Pools shall be refreshed at least once every 2 years. When pools are refreshed, First 5 Alameda may, at its discretion, allow for existing members to remain in the pool without re-qualifying if there have been no material changes in the qualifications of the pool member.

6. For services frequently used by F5AC, including but not limited to printing and catering, an IRFP/Q or RFP/Q may be structured to create a preferred vendor list, from which F5AC users may select a vendor without an additional procurement process. Admittance on to the list does not guarantee a contract. Preferred vendor lists shall be refreshed at least once every 2 years. When lists are refreshed, First 5 Alameda may, at its discretion, allow for existing members to remain on the list

without re-qualifying if there have been no material changes in the qualifications of the list member.

7. F5AC may procure services using cooperative agreements or piggybacking on procurements with other public agency partners, and may allow public partners to piggyback on F5AC solicitation opportunities. Cooperative agreements and piggybacking are permissible when a public entity or cooperative purchasing program allows other entities to utilize all or a portion of the goods and services as originally advertised, competed, evaluated, and awarded. Additionally, First 5 Alameda may include assignability clauses to contracts procured by First 5 Alameda to allow other public agencies to piggyback on these opportunities. When applicable, First 5 Alameda may also leverage contracts awarded by the State of California without further competitive bidding (Public Contracts Code Section 10298 et seq.).
8. Purchases of goods and services using Federal funds will adhere to requirements within the Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards.
9. All procurements listed must have appropriate documentation and approval by the Chief Executive Officer, Director of Operations, Finance & Technology or Designee and is required for all purchases.

D. Procurement Notification and Appeals

Once a procurement decision has been made through the Informal Request for Proposals or formal Request for Proposals solicitation process, F5AC will notify all proposers in writing of the intent to award the contract. Consistent with F5AC's commitment to developing community organization capacity, unsuccessful proposers will be provided the opportunity for a de-briefing. In the de-briefing, F5AC officials will explain the rationale for the procurement decision. The de-briefing process can help minimize appeals and may lead to higher quality proposals in the future.

The notification shall also outline the administrative appeals procedure, which includes these elements:

- Appeals must be filed in writing no longer than five business days from the date of the award notification.
- Appeals must include name, address, telephone of the party appealing, the title of the RFP/Q being appealed, and a detailed description of the legal and factual grounds of the appeal, with any supporting documentation.
- The appeal may only contest an administrative or procedural aspect of the procurement process, and may not appeal the merits of the proposal as determined by the evaluations scores and resulting ranking.
- All appeals will be routed to the Finance Officer who will serve as the Appeals Officer as designated by the CEO.

The Appeals Officer, at her/his discretion, may make a decision regarding the appeal without requesting further documentation. New grounds raised after the initial appeal letter is filed will not be considered. F5AC will confirm receipt of the appeal, will conduct an investigation and will notify the protestor within a reasonable amount of time.

If the appeal is upheld, F5AC may take one or more of the following actions:

- Refer the results back to the RFP/Q selection committee and direct them to review its decision and make a selection
- Conduct interview with each of the bidders and then make a selection.
- Terminate the RFP/Q without making a selection, and re-open the RFP/Q process.

E. Sole Source Procurement

Sole source procurement should only be used when competitive procurement providers are deemed infeasible for at least one of the following reasons:

- It has been determined that there is only one viable provider of the required services in the community due to the unique quality, durability, availability, exclusivity or fitness for a particular use sought by F5AC.
- After solicitation of a number of sources, competition is deemed inadequate.
- All providers of a particular service(s) will receive funding.
- The agency/individual was pre-selected by an external funder for this service.
- Categorical exemptions defined as purchases that do not lend themselves to a competitive procurement process, for example purchases where costs are regulated by a third party (bus tokens, postage), purchases that are governed by a different F5AC policy (conference, travel, event sponsorship), or items or service not possible to compete (subscriptions, memberships.)

Whenever sole source procurement is used, the rationale must be justified in writing and approved and signed by the CEO, Director of Operations, Finance & Technology or Designee before the contract is executed. Elements of a justification should include:

- Effort made to solicit bids, if any, and results;
- Summary of the reason for the sole source, based on the exceptions listed above;
- Cost information to justify the cost as reasonable and fair;
- Cost information for similar services and differences that should be noted and explained;
- A description of the vendor's previous work with F5AC and/or existing knowledge of the unique services being sought by F5AC.

For each IRFP/Q or RFP/Q issued, F5AC will establish and communicate to the prospective vendors the bidding or application procedures and evaluation criteria in order to ensure a fair bid or application process and enable F5AC to determine the most cost effective

proposals. IRFP/Q and RFP/Qs will also be posted on the agency's website until the procurement is closed.

F5AC will utilize standardized bidding and application procedures, requests for proposals, contracting provisions, and processes to ensure consistent and effective procurement of supplies, equipment and services.

F. General Purchasing Policies

1. To the extent possible, vendors located in Alameda County will be considered.
2. In accordance with the requirements set forth in Government Code section 130140(d)(4)(B) and Public Contract Code section 3410, preference will be given to United States grown produce and United States processed foods, when there is a choice and when it is economically feasible to do so. In accordance with the statute, F5AC can make the determination of what is "economically feasible", considering the total cost, quantity and quality of the food and the budget and policies of F5AC.
3. In accordance with the requirements set forth in Government Code section 130140(d)(4)(B) and Public Contract Code sections 22150 to 22154, F5AC will purchase recycled products instead of non-recycled products whenever recycled products are available at the same or lesser total cost than non- recycled products. In addition, F5AC will require vendors of supplies to comply with the Government Code and Public Contract Code sections referenced above, which require that such businesses certify in writing the minimum, if not exact, percentage of postconsumer materials in the products and supplies offered or sold to F5AC. F5AC may waive this certification requirement if the percentage of postconsumer material can be verified in a written advertisement, such as a product label, catalog, or website.
4. F5AC will pay invoices within 40 days of receipt. When discounts are offered, invoices will be paid within the discount period.
5. Payment of goods and services will follow guidelines as outlined in the First 5 Procedures Manual for:
 - Vendor invoices
 - Employee reimbursements
 - Agency credit card purchases
 - Purchase Orders
 - Contracts
6. F5AC will perform a review on all contracts or awards on an annual basis to ensure current value, effective work performance and/or continuation of program or project as included in the current approved Strategic Plan and will determine if the contract is renewable or if the services or project will be released for competitive bidding.

G. Pre-Authorized Contracting

If F5AC is the recipient of non-First 5 Proposition 10 funds and is required to subcontract to specific organizations, these funds shall be subcontracted to the recipient organization without the application of the procurement policy. In the event that the Commission is required to include specific subcontractors in its proposals and selected for award of funds, the requirements of this policy shall not apply. If the Commission receives unallocated funds or funds that are not dedicated to a specific sub-recipient, the requirements of the policy will apply for use of those funds.

~~F5AC will provide a system of controls over all purchasing and contracting activities. A purchasing process shall provide for the efficient purchasing for F5AC supplies, equipment and services. It shall prevent unnecessary purchases of materials and supplies, and provide compliance with budgetary requirements.~~

~~A. To the extent possible, vendors located in Alameda County will be considered.~~

~~B. In accordance with the requirements set forth in Government Code section 130140(d)(4)(B) and Public Contract Code section 3410, preference will be given to United States grown produce and United States processed foods, when there is a choice and when it is economically feasible to do so. In accordance with the statute, F5AC can make the determination of what is "economically feasible", considering the total cost, quantity and quality of the food and the budget and policies of F5AC.~~

~~C. In accordance with the requirements set forth in Government Code section 130140(d)(4)(B) and Public Contract Code sections 22150 to 22154, F5AC will purchase recycled products instead of non-recycled products whenever recycled products are available at the same or lesser total cost than non-recycled products. In addition, F5AC will require vendors of supplies to comply with the Government Code and Public Contract Code sections referenced above, which require that such businesses certify in writing the minimum, if not exact, percentage of postconsumer materials in the products and supplies offered or sold to F5AC. F5AC may waive this certification requirement if the percentage of postconsumer material can be verified in a written advertisement, such as a product label, catalog, or website.~~

~~D. F5AC will obtain formal proposals through a request for proposal process or request a sole source for each purchase of supplies, equipment or services in an amount of \$25,000 or more. For purchases of supplies, equipment or services in dollar amounts greater than \$5,000* but less than \$25,000, F5AC shall obtain at least three documented quotes. The best proposal shall be determined based on the best combination of price and quality. Quotes may~~

~~be obtained in writing or from published price lists. Purchases of supplies, equipment or services in dollar amounts less than \$5,000 may be made at purchaser's discretion, keeping within budget guidelines.~~

~~*For Federally funded purchases, the bid or quote threshold is \$3,000.~~

~~E. Purchases of goods and services will follow guidelines as outlined in the First 5 Procedures Manual for:~~

~~I. Employee reimbursements up to \$1,000~~

~~II. Vendor payments~~

~~III. Agency credit card purchases~~

~~IV. Contracts~~

~~Appropriate documentation and approval by the Chief Executive Officer, Director of Operations & Technology or designated staff are required for all purchases.~~

~~F. Contracts of \$50,000 and above require commission approval, and are signed by the chair or vice chair of the Commission or an alternate Commissioner as designated. Contracts under \$50,000 may be signed by the Chief Executive Officer or Director of Operations & Technology. Ancillary payments to vendors (e.g. training costs, honorariums, advertisements) shall not exceed 10% or \$25,000, whichever is lower, be authorized by the CEO or Director of Operations & Technology and will not be attributed to the \$50,000 limit for Commission approval if budget funds are available.~~

~~G. F5AC will pay invoices within 40 days of receipt. When discounts are offered, invoices will be paid within the discount period.~~

~~H. For each request for proposal issued, F5AC will establish and communicate to the prospective vendors the bidding or application procedures and evaluation criteria in order to ensure a fair bid or application process and enable F5AC to determine the most cost effective proposals.~~

~~I. F5AC will utilize standardized bidding and application procedures, requests for proposals, contracting provisions, and processes to ensure consistent and effective procurement of supplies, equipment and services.~~

VIII. ADMINISTRATIVE COST POLICY UPDATED 5/26/2022

Per ~~Health and Safety Code Sections 130140(d)(5) and 130151(b)(2), paragraph 5, subdivision d, Section 130140 of the Health and Safety Code, as amended in Assembly Bill 109,~~ each county commission is required to adopt in a public hearing a limit on the percentage of the county commission’s operating budget that may be spent on administrative functions. The guidelines for adoption must be consistent with the First 5 Financial Management Guide.

1. Definition of Administrative Costs

~~The Guide requires a definition of administrative costs in each county.~~ In Alameda County, administrative costs are defined as follows:

Costs incurred in support of ~~the~~ general management and administration ~~of a First 5 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 specifically benefited cost objective.

Administrative costs are distinguished from Program and Evaluation costs, which are defined as follows:

Program costs:- Costs incurred by a ~~First 5 commission~~ readily assignable to a program or service provider (other than for evaluation activities) and/or in the execution of direct service provision.

Evaluation costs:- Costs incurred ~~by a First 5 commission~~ in the evaluation of funded programs based on their accountability framework and data collection and evaluation for required reporting to the state and local stakeholders.

2. Allocation of Administrative Costs

First 5 Alameda County allocates administrative costs as indicated in the attached Schedule A. ~~Indirect costs will be allocated to Programs using appropriate methods. Direct costs are not allocated to Programs.~~

3. Limit on Administrative Costs

The upper limit to be spent on administrative costs is up to 15% of the operating budget.

4. Monitoring of Administrative Costs

The limit on administrative costs will be reviewed annually at the time of budget adoption. Administrative costs will be monitored throughout the year and will be reported on during the mid-year and year-end budget reports.

Administrative Cost Policy - Schedule A

The expenses listed are budgeted and may be assigned to program or evaluation costs if the item provides direct clear value to either program or evaluation costs and there is clear, auditable justification (labeled as “allocable”). They are allocated between Administrative, Evaluation and Program Expenses as follows:

<i>Expense</i>	<i>Cost-Center Administrative Expenses</i>	<i>Allocable or Direct Evaluation Expenses</i>	<i>Rationale/Allocation Method Program Expenses</i>
<u>Building Maintenance, Repairs</u>	<u>100%</u>		
Communications	<u>Admin Allocable</u>	Direct and Allocable	Costs are direct when bills are linked to programs. Where bills are not linked to individuals, costs are allocable by head count. <u>Allocable</u>
<u>**Contractual</u>	<u>See chart below</u>		
Copying/Printing	<u>Admin Allocable</u>	Allocable	<u>Head count Allocable</u>
Equipment Leases, Rentals, Maintenance	<u>Admin Allocable</u>	Direct and Allocable	If the equipment is purchased for program use, it is direct. Equipment for general or shared use is allocable by head count. <u>Allocable</u>
Equipment Purchase	<u>Admin Allocable</u>	Allocable	<u>Head count Allocable</u>
Insurance	<u>Admin Allocable</u>	Allocable	<u>Head count Allocable</u>
Memberships, Dues	<u>Admin Allocable</u>	<u>Direct Allocable</u>	<u>Charged directly to division Allocable</u>
<u>*Personnel</u>	<u>See chart below</u>		
Postage	<u>Admin Allocable</u>	Direct and Allocable	When postage is for a specific program, it is direct. If shared, it is

			allocable by head count <u>Allocable</u>
Professional Services & Fees	<u>Admin</u> <u>Allocable</u>	Allocable	<u>Head count</u> <u>Allocable</u>
Space Rental	<u>A</u> <u>Allocable</u>	<u>Direct</u> <u>Allocable</u>	<u>Based on Square Footage</u> <u>Allocable</u>
Supplies	<u>Admin</u> <u>Allocable</u>	Direct and Allocable	If employees order supplies for specific program use, it is direct; otherwise it is allocable by <u>head count</u> <u>Allocable</u>
Taxes & Fees	<u>100%</u>		
Travel	<u>Admin</u> <u>Allocable</u>	<u>Direct</u> <u>Allocable</u>	<u>Charged directly to division</u> <u>Allocable</u>
Utilities	<u>100%</u>		
Depreciation	<u>Admin</u> <u>100%</u>	Allocable	Percentage of budget

*Personnel budgeted within Operational Support and (AIT)(PPE) Data and Evaluation strategies are allocated between Administrative, Evaluation and Program expenses as follows:

<u>Personnel</u>	<u>Administrative Expenses</u>	<u>Evaluation Expenses</u>	<u>Program Expenses</u>
<u>Office, Facilities Management</u>	<u>100%</u>		
<u>Administrative Staff</u>	<u>Allocable</u>	<u>Allocable</u>	<u>Allocable</u>
<u>Directors</u>	<u>Allocable</u>	<u>Allocable</u>	<u>Allocable</u>
<u>Human Resources Staff</u>	<u>100%</u>		
<u>Finance Staff</u>	<u>100%</u>		
<u>Finance Staff - Contracts & Budget Specialists</u>	<u>Allocable</u>		<u>Allocable</u>
<u>Information Technology Staff</u>	<u>Allocable</u>	<u>Allocable</u>	<u>Allocable</u>
<u>Policy, Planning, Evaluation Staff</u>		<u>Allocable</u>	<u>Allocable</u>
<u>CEO Office Staff</u>	<u>Allocable</u>	<u>Allocable</u>	<u>Allocable</u>

**Contracts budgeted within Operation Support and Data and Evaluation strategies (AIT) (PPE) are allocated between Administrative, Evaluation and Program expenses as follows:

<u>Contracts</u>	<u>Administrative Expenses</u>	<u>Evaluation Expenses</u>	<u>Program Expenses</u>
<u>Legal</u>	<u>Allocable</u>		<u>Allocable</u>
<u>Finance related/Audit</u>	<u>100%</u>		
<u>HR related</u>	<u>100%</u>		
<u>Strategic Planning</u>	<u>100%</u>		

AGENDA ITEM 4.3a

<u>Infrastructure</u>	<u>100%</u>		
<u>Evaluation</u>		<u>100%</u>	
<u>Data Management</u>	<u>Allocable</u>	<u>Allocable</u>	<u>Allocable</u>



FIRST 5 ALAMEDA COUNTY CONFLICT OF INTEREST CODE

APPROVED BY F5AC COMMISSION ON MAY 25, 2006

APPROVED BY ALAMEDA COUNTY BOARD OF SUPERVISORS ON MAY 22, 2007

REVISIONS PROPOSED MAY 26, 2022

Conflict of Interest Code of
The First 5 Commission of Alameda County ~~(F5AC)~~

~~The Political Reform Act, Government Code sections 81000, et seq., requires state and local government agencies to adopt and promulgate Conflict of Interest Codes. The Fair Political Practices Commission has adopted a regulation, California Code of Regulations, title 2, section 18730, which contains the terms of a standard Conflict of Interest Code, which can be incorporated by reference, and which may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act after public notice and hearings.~~

~~Therefore, the terms of California Code of Regulations, title 2, section 18730, and any amendments to it duly adopted by the Fair Political Practices Commission along with the attached Appendices in which officials and employees are designated and disclosure categories are set forth, are hereby incorporated by reference and constitute the Conflict of Interest Code of the First 5 Commission of Alameda County.~~

~~The terms of 2 Cal. Code of Regs. Section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission along with the attached Appendices in which officials and employees are designated and disclosure categories are set forth, are hereby incorporated by reference and constitute the Conflict of Interest Code of the First 5 Commission of Alameda County.~~

All designated employees shall file their statements of economic interests with the First 5 Commission of Alameda County. Upon receipt of the statements of the Board members and the Chief Executive Officer, the agency shall make and retain a copy and forward the originals to the Alameda County Board of Supervisors, which shall be the filing officer. Statements for all other designated employees shall be retained by the First 5 Commission of Alameda County, and shall be made available for public inspection and reproduction. (Gov. Code section 81008.)

APPENDIX A

<u>Designated Position</u>	<u>Assigned Disclosure Category</u>
Board of Commissioners	1, 2, 3
Ex-Officio Representatives	1, 2, 3
Consultants*	4

APPENDIX B**Disclosure Categories of Staff****Category 1**

All business positions, investments in, or income (including gifts and loans) received from any entities that provide serves of the type which are eligible to receive Proposition 10 funding.

Category 2

All interests in real property within the jurisdiction. Real property shall be deemed to be within the jurisdiction if the property or any part of it is located within or not more than two miles outside the boundaries of the jurisdiction or within two miles of any land owned or used by the agencies.

Category 3

All business positions, investments in, or income (including gifts and loans) received from business entities that manufacture, provide or sell services or supplies of a type utilized by the agency and associated with the job assignment of designated position assigned to this disclosure category.

Category 4

Individuals who perform under contract the duties of any designated position shall be required to file statements of Economic Interests disclosing reportable interest in the categories assigned to that designated position.

In addition, individuals who, under contract, participate in decisions which affect financial interests by providing information, advice, recommendations or counsel to the agency which could affect financial interest shall be required to file Statements of Economic Interests, unless they fall within the Political Reform Act's exceptions to the definition of consultant. The level of disclosure shall be as determined by the Chief Executive Officer (or head) of the agency.

* The Chief Executive Officer may determine in writing that a particular consultant, although a "designated position" is hired to perform a range of duties that are limited in scope and thus is not required to comply with the disclosure requirements described in this section. Such determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of disclosure requirements. A copy of the written determination is a public record and shall be retained by the agency and made available for public inspection in the same manner and location as this conflict of interest code

A list of the individuals required to file disclosures under this category and their respective levels of disclosure is on file in the Commission's Chief Executive Officers' office.

APPENDIX A

Designated Position

Assigned Disclosure Category

Board of Commissioners	1, 2, 3
Ex-Officio Representatives	1, 2, 3
Consultants*	4
Staff listed in Appendix B	1, 2, 3

CONFLICT OF INTEREST DISCLOSURE CATEGORIZATIONS CY 20~~22~~16

DESIGNATED OFFICIALS	DISCLOSURE CATEGORY
COMMISSIONER, CHAIR	1, 2, 3
COMMISSIONER, VICE CHAIR	1, 2, 3
COMMISSIONER ALTERNATE	1, 2, 3
COMMISSIONER	1, 2, 3
EX-OFFICIO REPRESENTATIVES	4
CONSULTANTS	4

Title	Disclosure Category	Individual
Commissioner, Chair	1, 2, 3	Pamela Simms-Mackey
Commissioner, Vice Chair	1, 2, 3	Renee Herzfeld
Commissioner	1, 2, 3	Wilma Chan
Commissioner	1, 2, 3	Scott Coffin
Commissioner	1, 2, 3	Lori Cox

AGENDA ITEM 4.3b

Commissioner	1, 2, 3	Cecilia Echeverria
Commissioner	1, 2, 3	Tomas Magana
Commissioner Alternate	1, 2, 3	Michelle Love
Commissioner Alternate	1, 2, 3	Karina Rivera
Commissioner Alternate	1, 2, 3	Kimi Watkins-Tartt
Ex-Officio Representatives	1, 2, 3	None
Consultants	4	None

APPENDIX B

Designated Employees	Disclosure Category
Accounting Manager	1, 2, 3
Accounts Payable Specialist	1, 2, 3
Chief Executive Officer	1, 2, 3
Chief of Staff	1, 2, 3
Communications Specialist	1, 2, 3
Contracts and Budget Specialist	1, 2, 3
Director of Human Resources	1, 2, 3
Director of Operations, Finance & Technology	1, 2, 3
Director of Policy, Planning, Policy & Evaluation	1, 2, 3
Director of Programs	1, 2, 3
Evaluation Specialist	1, 2, 3
Family & Community Support Programs Manager	1, 2, 3
Fathers Corps Program Administrator	1, 2, 3
Finance Administrator	1, 2, 3

Finance Officer	1, 2, 3
Help Me Grow Developmental Screening Coach	1, 2, 3
Help Me Grow Prevention Manager	1, 2, 3
Help Me Grow Program Services Coordinator	1, 2, 3
Help Me Grow Senior Community Liaison	1, 2, 3
Human Resources Administrator	1, 2, 3
Interim Director of Early Care and Education	1, 2, 3
Office & Facilities Manager	1, 2, 3
Parent Engagement Administrator	1, 2, 3
Payroll & Finance Manager	1, 2, 3
Program Administrator, Early Care & Education	1, 2, 3
Program Administrator, Neighborhoods Ready for School	1, 2, 3
Program Administrator, Training	1, 2, 3
Provider Support Manager	1, 2, 3
Quality Improvement Coach	1, 2, 3
Quality Counts Rating Manager	1, 2, 3
Quality Rating Improvement Systems Administrator	1, 2, 3
Senior Administrator, Information Systems	1, 2, 3
Senior Administrator, Data & Evaluation	1, 2, 3
Senior Administrator, Early Care and Education	1, 2, 3
Senior Administrator, Help Me Grow	1, 2, 3
Senior Administrator, Policy & Data	1, 2, 3
Senior Administrator, Programs	1, 2, 3



FIRST 5 ALAMEDA COUNTY CONFLICT OF INTEREST POLICY

5/26/2022

I. Purpose:

The F5AC Conflict of Interest Policy provides F5AC Commissioners, Advisory Bodies, and Staff with guidelines for carrying out their fiduciary duties while mitigating the risk of an actual or perceived conflict of interest.

II. Policy

It is the policy of F5AC to avoid even the appearance of impropriety involving conflict of interest issues. F5AC promotes business practices that comply with conflict of interest and disclosure requirements, including but not limited to, the California Political Reform Act of 1974 and California Government Code sections 1090-1097 and 1125-1129 and F5AC's Conflict of Interest Code. When a Commissioner, Staff member, or Contractor in a position to influence a decision identifies a conflict of interest, that person must not participate in or give consideration to the matter from that point forward. A "decision" includes influencing a decision by discussing, advising, or making recommendations to the decisionmaker (i.e., a Commissioner, the Commission or the CEO) either directly or indirectly, that is, without significant intervening substantive review. Such discussion or advice includes conducting research, investigating, preparing or presenting any report, analysis or opinion, and providing information orally or in writing, all of which may be perceived as influencing the decision.

A perceived conflict of interest can also pose as great a risk to F5AC as an actual conflict of interest. Perceived conflicts should be treated with the same care as actual conflicts of interest under this Policy. This includes instances where F5AC Commissioners, Advisory Body members, and Staff members have involvement with an individual or organization that could be perceived to impair their objectivity.

It is the policy of F5AC that Commissioners must recuse themselves from making, participating in making, or in any way attempting to use their official position to influence a decision involving a grant or contract which financially benefits the Commissioner or the entity the Commissioner represents.

F5AC Commissioners, Staff members, and Contractors are prohibited from negotiating a contract with or participating in the hiring of a prospective employee, or, the supervising of an employee, if the contractor, prospective employee, or employee is an immediate family member. This prohibition includes discussing, making, participating in making, or using their official position to influence, directly or indirectly, the negotiations or employment process in favor of their immediate family member. Upon hire and as determined during the course of employment, F5AC will require Staff members to review and sign the Incompatible Activities Statement. (see Appendix A)

F5AC Commissioners, Advisory Body members and Staff members may be required to complete a Declaration of Interests (see Appendix B) to disclose any direct, indirect or perceived conflicts of interest and recuse themselves from making, participating in making or in any agency activity that may be perceived as influencing the decision.

III. Definitions

A “conflict of interest” means that a person, their spouse, or their dependent child, has an “economic interest” in or relationship with a potential party to a contract with F5AC. A conflict of interest exists when:

- i. The person involved makes, participates in, or uses their official position to influence a F5AC decision;
- ii. It is foreseeable that the decision will have a material effect on the person’s “economic interest;” and,
- iii. The effect of the decision on the person’s economic interest will be distinguishable from its effect on the public generally.

However, government salaries, per diem expenses, and reimbursement for travel from a nonprofit entity, are all specifically excluded from the definition of income under the Political Reform Act. A government salary also does not constitute an interest in a contract (under Government Code section 1090) unless the contract directly involves the department of the entity that employs a Commissioner, in which case, the Commissioner must disclose the interest on the record and refrain from participating in the decision.

An “economic interest” is defined as any fee, money, investment, or financial gain, or benefit directly or indirectly from or by reason of any dealings with or service for F5AC. An “economic interest” includes, but is not limited to, specific types of investments, business positions, interests in real property, and reportable sources of income of the person, their spouse or dependent child.

An “immediate family member” is defined as a spouse, mother, father, brother, sister, child, grandmother or grandfather, son-in-law, daughter-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle or grandchild, step-parent, step-child or any person living in the employee's household.

IV. Contract or Grant Eligibility Requirements

Commissioners and organizations with which they are affiliated are eligible to receive contract/grant funds if the following requirements are adhered to:

- 1. A Commissioner is required to recuse him or herself from any participation or consideration of the grant or contract before the Commission;
- 2. The Commissioner may not participate in any way in the presentation of the matter, in discussing the issue with other Commissioners or employees of F5AC, or in the vote on the funding.

This provision also applies if the Commissioner or an organization with which the Commissioner is affiliated has a subcontract with a F5AC grantee or contractor. In such a case, the Commissioner is required to recuse themselves when the funding is considered by the Commission since there is a financial benefit that may result from the award.

V. Policy Review

This policy will be periodically reviewed by F5AC.

Any verbal statements or representations cannot, in any way, change or alter the written policies and procedures presented in these guidelines.

Appendix A: FIRST 5 ALAMEDA COUNTY INCOMPATIBLE ACTIVITIES STATEMENT

INTRODUCTION

The purpose of the Incompatible Activities Statement (“Statement”) is to protect the outstanding record of personal integrity established by officers and employees in carrying out First 5 Alameda County (“F5AC”) responsibilities to the public and to other state and local agencies.

To assist employees with understanding the nature of incompatible activities, the following statement has been adopted, consistent with the provisions of Government Code section 1126. The prohibited activities described below are inconsistent, incompatible, in conflict with, or inimical to the duties of officers and employees of F5AC.

Activities which discredit F5AC or are detrimental to its goals, or are contrary to the best interests of the commission are not specifically covered by this Statement. However, such activities may be in violation of state law and may result in employee discipline.

The procedures for an employee to appeal a decision or obtain permission to engage in an outside activity or employment are described below under “Appeal Procedures”.

For purposes of this Statement, “employee” includes all officers and regular, permanent employees of F5AC.

GENERAL POLICIES

This Statement will be given to all current and future employees of F5AC. All potential employees must be informed that in accepting employment with F5AC, they consent to this Statement. Employees are expected to read the Statement, clarify any questions they may have about it, and sign the statement. The original signed statement shall be maintained in the employee’s personnel file.

This Statement does not attempt to specify every activity that may be incompatible, nor should it be taken as the only rules that must be observed and adhered to by an employee. The prohibited activities are provided as examples; specific activities must directly relate to an employee’s job.

PROHIBITED ACTIVITIES

Employment, activities, and enterprises that may cause, or give the appearance, of incompatibility or conflict of interest are prohibited under this Statement. Prohibited activities include, but are not limited to, all of the following:

1. PRESTIGE OR INFLUENCE

A F5AC employee shall not:

- Use the prestige or influence of F5AC for the employee’s private gain or advantage or the private gain or advantage of another

- Use his or her status as a F5AC employee to solicit directly or indirectly business of any kind or to purchase goods or services for private use at discounts from a person who does business with the commission
- Receive compensation, from other than F5AC, for lobbying the Legislature, the Governor, or any state or local agency, on any issue affecting the F5AC or matters under its jurisdiction

2. USE OF F5AC TIME AND PROPERTY

Subject to applicable laws, rules, or regulations, each employee shall devote his or her full time, attention, and efforts to his or her commission employment during his or her hours of duty with F5AC. Accordingly, no F5AC employee shall use commission time, facilities, equipment or supplies for his or her private gain or advantage, or for the private gain or advantage of another person. Examples of misuse of commission time and property include, but are not limited to:

- Using F5AC organizational resources, such as postage or office supplies, for personal or private gain or advantage; and
- Arranging for employment outside of commission service during the employee's regular work hours with F5AC, excluding situations in which the employee uses vacation leave or paid time off (PTO) for those hours

3. CONFIDENTIAL INFORMATION

No employee shall utilize his or her status as a F5AC employee to acquire access to confidential information other than on behalf of F5AC.

Additionally, no employee shall use such information for private gain or advantage or provide confidential information to persons to whom issuance of this information has not been authorized.

4. GIFTS

No employee shall receive or accept, directly or indirectly, any gift, including money, or any service, gratuity, favor, entertainment, hospitality, loan, or any other thing of value from anyone who:

- Is doing, or is seeking to do, business of any kind with F5AC
- Is seeking a grant from F5AC
- Or whose activities are regulated or controlled by F5AC

Gifts should not be accepted under circumstances from which it could be reasonably concluded that the gift was intended to influence an employee's future official activities or reward him or her for past ones.

Exceptions to the above restrictions on gifts include inexpensive advertising items bearing the name of firms, such as pens, pencils, paperweights, calendars, and other gifts of minimal value. Gifts of this nature are acceptable.

5. OUTSIDE COMPENSATION FOR F5AC DUTIES

No employee shall receive or accept money or any other consideration from anyone other than F5AC for the performance of his or her duties as a F5AC employee.

No employee shall prepare, present, or publish any speech, article, or other writing relating to the operation of F5AC for compensation from a source other than the commission without prior approval of F5AC.

6. ACTIVITIES UNDER EMPLOYEE'S JURISDICTION

No employee shall perform an act or activity in other than his or her capacity as a F5AC employee knowing that the act may later be subject, directly or indirectly, to the employee's control, inspection, review, audit or enforcement. For example, a F5AC employee who reviews grants proposals should not provide consultation services to an outside organization whose proposals the employee would later review as part of his/her work with F5AC.

7. OUTSIDE EMPLOYMENT

Accepting outside employment is permissible for F5AC employees when this employment does not conflict with F5AC work. If a F5AC employee is in doubt as to whether employment outside of F5AC may conflict with the employee's position with F5AC, the employee shall inform his or her supervisor in writing prior to accepting such employment. If the supervisor cannot reach a decision, the supervisor will consult with the Ethics Officer, Human Resources Administrator, and/or CEO prior to making a decision.

General prohibitions on outside employment include, but are not limited to:

- Any employment outside of commission service for which the employee is selected or retained wholly or partially because of his or her position with F5AC, unless this work is for a public entity or another First 5 agency
- Employment by a person doing work financed by F5AC
- The private practice of law or other outside employment by an employee who is a member of the State Bar which may require his or her appearance before any state agency, Board or Commission, or any committee of the Legislature on behalf of his or her outside employer or client regarding a matter in which F5AC is involved

8. CAMPAIGN ACTIVITIES

Pursuant to Government Code section 8314, no employee shall participate in campaign activity, as specified in section 8314, on commission-compensated time.

9. ADDITIONAL INCOMPATIBLE ACTIVITIES AND NOTICE PROCEDURES

Although this Statement attempts to anticipate the types of incompatible activity issues that are most likely to arise for F5AC employees, it is not a complete list. Therefore, when F5AC learns that an employee is involved in an activity that F5AC believes is inconsistent, incompatible, in conflict with, or inimical to the employee's employment with F5AC, the CEO, after consultation with the F5AC Ethics Officer, shall provide a written explanation of F5AC's decision that the activity in question should be terminated. Unless otherwise justified for good cause, the activity in question shall be terminated within 30 days of receiving F5AC's decision. F5AC's decision is prospective only and is subject to the review and appeal process as described below.

APPEAL PROCEDURES

Employees may file a complaint concerning the application of this Statement with the Ethics Officer of F5AC.

Employees are expected to comply with written or verbal work orders given to them by their supervisors. If an employee believes that an order to perform a specific duty is incompatible with his/her activities, the employee may ask his or her supervisor for a written order to perform that specific duty. (Supervisors need not provide written orders where the orders given employees do not relate to an incompatible act). If a supervisor refuses to provide a written order, an employee may submit a written summary of the supervisor's order to his/her personnel file. If an employee believes an order is in violation of this Statement, he or she has a right to pursue the issue through the grievance/complaint process, if the employee continues to have a good faith belief in the validity of the complaint, after conferring with the Ethics Officer of F5AC.

PENALTY FOR VIOLATION OF STATEMENT

An employee who violates a provision of this Statement is subject to disciplinary action, including termination, in the case of intentional violation.

ETHICS OFFICER

The Ethics Officer will develop provisions for educating employees about potential appeal of conflict violations, and in the case of unintentional violations, the Ethics Officer will direct the employee on the appropriate procedure and documentation to cure accidental or unintentional violations, with all related reporting requirements, including reports to the CEO and/or the Commission as appropriate where material issues are impacted.

An employee may also seek a prospective clearance of a potential conflict through a reasoned opinion or guidance from the Ethics Officer. If appropriate, the Ethics Officer may then seek assistance from the Attorney General's Office or specialized counsel. An employee retains the right to seek advice from the FPPC on any aspect of the Political Reform Act that affects his or her official duties.

FILING AND CERTIFICATION REQUIREMENT

All employees must file a Certification of receipt of this Statement upon

- Initial appointment
- A change in duties or circumstances that raises the issue of potential conflict with this Statement

Additionally, all those employees subject to ethics training requirements must certify that they have reviewed the Statement as part of the ethics training required to be completed once every two calendar years.

CERTIFICATION

The following certification is to be signed and submitted by employees to comply with the Incompatible Activities Statement.

APPENDIX B: DECLARATION OF INTERESTS

In order for First 5 Alameda County to maintain an equitable and transparent funding process, we are asking that you disclose the names of agencies and businesses where you have a direct, indirect or appearance of conflict of interest.

Direct conflicts: defined as

- having a current or previous relationship with the agency (e.g. employment by the agency of you or your spouse or dependent children, current/past board membership, your child or an immediate family member receives services from the agency),
- having an interest in property that is within 500 feet of the agency, or
- receiving income or a gift from the agency within the last 12 months.

Indirect conflicts: defined as

- any family members (other than spouse or dependent children) having a current or previous relationship with the agency (e.g. employment, current/past board membership).

Appearance of conflict of interest: defined as

- Any situation where it could be perceived that a conflict exists (e.g. you have a strong bias for or against the agency, you are friends with the Executive Director of the agency).

Please include the names of agencies or businesses where you have direct, indirect or perceived conflicts of interest and the nature of your relationship:

Agency/Business	Nature of Relationship

Name: _____
(Please print)

Signature: _____ Date: _____



FIRST 5 ALAMEDA COUNTY INCOMPATIBLE ACTIVITIES STATEMENT AND POLICY 5/26/2022

INTRODUCTION

The purpose of the Incompatible Activities Statement (“Statement”) is to protect the outstanding record of personal integrity established by officers and employees in carrying out First 5 Alameda County (“F5AC”) responsibilities to the public and to other state and local agencies.

To assist employees with understanding the nature of incompatible activities, the following statement has been adopted, consistent with the provisions of Government Code section 1126. The prohibited activities described below are inconsistent, incompatible, in conflict with, or inimical to the duties of officers and employees of F5AC.

Activities which discredit F5AC or are detrimental to its goals or are contrary to the best interests of the commission are not specifically covered by this Statement. However, such activities may be in violation of state law and may result in employee discipline.

The procedures for an employee to appeal a decision or obtain permission to engage in an outside activity or employment are described below under “Appeal Procedures”.

For purposes of this Statement, “employee” includes all officers and regular, permanent employees of F5AC.

GENERAL POLICY

This Statement will be given to all current and future employees of F5AC. All potential employees must be informed that in accepting employment with F5AC, they consent to this Statement. Employees are expected to read the Statement, clarify any questions they may have about it, and sign the statement. The original signed statement shall be maintained in the employee’s personnel file.

This Statement does not attempt to specify every activity that may be incompatible, nor should it be taken as the only rules that must be observed and adhered to by an employee. The prohibited activities are provided as examples; specific activities must directly relate to an employee’s job.

PROHIBITED ACTIVITIES

Employment, activities, and enterprises that may cause, or give the appearance, of incompatibility or conflict of interest are prohibited under this Statement. Prohibited activities include, but are not limited to, all of the following:

1. PRESTIGE OR INFLUENCE

A F5AC employee shall not:

- Use the prestige or influence of F5AC for the employee's private gain or advantage or the private gain or advantage of another
- Use his or her status as a F5AC employee to solicit directly or indirectly business of any kind or to purchase goods or services for private use at discounts from a person who does business with the commission
- Receive compensation, from other than F5AC, for lobbying the Legislature, the Governor, or any state or local agency, on any issue affecting the F5AC or matters under its jurisdiction

2. USE OF F5AC TIME AND PROPERTY

Subject to applicable laws, rules, or regulations, each employee shall devote his or her full time, attention, and efforts to his or her commission employment during his or her hours of duty with F5AC. Accordingly, no F5AC employee shall use commission time, facilities, equipment or supplies for his or her private gain or advantage, or for the private gain or advantage of another person. Examples of misuse of commission time and property include, but are not limited to:

- Using F5AC organizational resources, such as postage or office supplies, for personal or private gain or advantage; and
- Arranging for employment outside of commission service during the employee's regular work hours with F5AC, excluding situations in which the employee uses vacation leave or paid time off (PTO) for those hours

3. CONFIDENTIAL INFORMATION

No employee shall utilize his or her status as a F5AC employee to acquire access to confidential information other than on behalf of F5AC.

Additionally, no employee shall use such information for private gain or advantage or provide confidential information to persons to whom issuance of this information has not been authorized.

4. GIFTS

No employee shall receive or accept, directly or indirectly, any gift, including money, or any service, gratuity, favor, entertainment, hospitality, loan, or any other thing of value from anyone who:

- Is doing, or is seeking to do, business of any kind with F5AC
- Is seeking a grant from F5AC
- Or whose activities are regulated or controlled by F5AC

Gifts should not be accepted under circumstances from which it could be reasonably concluded that the gift was intended to influence an employee's future official activities or reward him or her for past ones.

- Exceptions to the above restrictions on gifts include inexpensive advertising items bearing the name of firms, such as pens, pencils, paperweights, calendars, and other gifts of minimal value. Gifts of this nature are acceptable.

5. OUTSIDE COMPENSATION FOR F5AC DUTIES

No employee shall receive or accept money or any other consideration from anyone other than F5AC for the performance of his or her duties as a F5AC employee.

No employee shall prepare, present, or publish any speech, article, or other writing relating to the operation of F5AC for compensation from a source other than the commission without prior approval of F5AC.

6. ACTIVITIES UNDER EMPLOYEE'S JURISDICTION

No employee shall perform an act or activity in other than his or her capacity as a F5AC employee knowing that the act may later be subject, directly or indirectly, to the employee's control, inspection, review, audit or enforcement. For example, a F5AC employee who reviews grants proposals should not provide consultation services to an outside organization whose proposals the employee would later review as part of his/her work with F5AC.

7. OUTSIDE EMPLOYMENT

Accepting outside employment is permissible for F5AC employees when this employment does not conflict with F5AC work. If a F5AC employee is in doubt as to whether employment outside of F5AC may conflict with the employee's position with F5AC, the employee shall inform his or her supervisor in writing prior to accepting such employment. If the supervisor cannot reach a decision, the supervisor will consult with the Ethics Officer, Human Resources Administrator, and/or CEO prior to making a decision.

General prohibitions on outside employment include, but are not limited to:

- Any employment outside of commission service for which the employee is selected or retained wholly or partially because of his or her position with F5AC, unless this work is for a public entity or another First 5 agency
- Employment by a person doing work financed by F5AC
- The private practice of law or other outside employment by an employee who is a member of the State Bar which may require his or her appearance before any state agency, Board or Commission, or any committee of the Legislature on behalf of his or her outside employer or client regarding a matter in which F5AC is involved

8. CAMPAIGN ACTIVITIES

Pursuant to Government Code section 8314, no employee shall participate in campaign activity, as specified in section 8314, on commission-compensated time.

9. ADDITIONAL INCOMPATIBLE ACTIVITIES AND NOTICE PROCEDURES

Although this Statement attempts to anticipate the types of incompatible activity issues that are most likely to arise for F5AC employees, it is not a complete list. Therefore, when F5AC learns that an employee is involved in an activity that F5AC believes is inconsistent, incompatible, in conflict with, or inimical to the employee's employment with F5AC, the CEO, after consultation with the F5AC Ethics Officer, shall provide a written explanation of F5AC's decision that the activity in question should be terminated. Unless otherwise justified for good cause, the activity in question shall be terminated within 30 days of receiving F5AC's decision. F5AC's decision is prospective only and is subject to the review and appeal process as described below

APPEAL PROCEDURES

Employees may file a complaint concerning the application of this Statement with the Ethics Officer of F5AC.

Employees are expected to comply with written or verbal work orders given to them by their supervisors. If an employee believes that an order to perform a specific duty is incompatible with his/her activities, the employee may ask his or her supervisor for a written order to perform that specific duty. (Supervisors need not provide written orders where the orders given employees do not relate to an incompatible act). If a supervisor refuses to provide a written order, an employee may submit a written summary of the supervisor's order to his/her personnel file. If an employee believes an order is in violation of this Statement, he or she has a right to pursue the issue through the grievance/complaint process, if the employee continues to have a good faith belief in the validity of the complaint, after conferring with the Ethics Officer of F5AC.

PENALTY FOR VIOLATION OF STATEMENT

An employee who violates a provision of this Statement is subject to disciplinary action, including termination, in the case of intentional violation.

ETHICS OFFICER

The Ethics Officer will develop provisions for educating employees about potential appeal of conflict violations, and in the case of unintentional violations, the Ethics Officer will direct the employee on the appropriate procedure and documentation to cure accidental or unintentional violations, with all related reporting requirements, including reports to the CEO and/or the Commission as appropriate where material issues are impacted.

An employee may also seek a prospective clearance of a potential conflict through a reasoned opinion or guidance from the Ethics Officer. If appropriate, the Ethics Officer may then seek assistance from the Attorney General's Office or specialized counsel. An employee retains the right to seek advice from the FPPC on any aspect of the Political Reform Act that affects his or her official duties.

FILING AND CERTIFICATION REQUIREMENT

All employees must file a Certification of receipt of this Statement upon

- Initial appointment
- A change in duties or circumstances that raises the issue of potential conflict with this Statement

Additionally, all those employees subject to ethics training requirements must certify that they have reviewed the Statement as part of the ethics training required to be completed once every two calendar years.

CERTIFICATION

The following certification is to be signed and submitted by employees to comply with the Incompatible Activities Statement.



INCOMPATIBLE ACTIVITIES STATEMENT CERTIFICATION

I have received, read and understood a copy of the First 5 Alameda County Incompatible Activities Statement.

I am not engaged in any incompatible activity at the present time. Before entering into any activity which might be considered incompatible, I will discuss the nature of the activity with my supervisor.

▶ _____
Signature Date

Typed or Printed Name

Title Employee ID Number

(Please complete and forward this page to Human Resources)



**FIRST 5 ALAMEDA COUNTY COMMISSION RECORDS RETENTION
AND DESTRUCTION POLICY**

5/26/2022

I. Purpose:

This policy provides guidance for the orderly retention of records in compliance with state law, and the purging of records that do not have to be retained. To reduce costs associated with the storage and retention of obsolete records, this policy allows First 5 Alameda County to reduce records inventories that are obsolete and no longer have a public use.

II. Application

This policy applies to all First 5 Alameda County employees and officials.

III. Policy

The First 5 Alameda County Commission (“Commission”) hereby adopts this policy in order to facilitate the proper retention and destruction of agency records. This policy provides guidelines and procedures for the retention of records and destruction of obsolete records.

Health and Safety Code section 130140.1 permits the Commission to dispose of its real and personal property. State law provides that certain types of records are required by law to be filed and preserved for specific periods of time. Accordingly, the Commission adopts this resolution based on its finding that destruction or disposition of particular categories of records pursuant to this policy and the accompanying Records Retention Schedule (Attachment A) will not adversely affect any interest of the Commission or the public. That Retention Schedule identifies by category the types of records to be destroyed or disposed of and reasonably identifies the information contained in the records in each category.

All First 5 Alameda County records shall be retained in full compliance with this policy and applicable law. The Commission authorizes for destruction any record that is not expressly required by law to be filed and preserved or destroyed within a specified time period and is more than two years old. Any First 5 Alameda County record that has not fulfilled the administrative, fiscal, or legal purpose for which it was created or received shall not be destroyed or disposed of.

Destruction of First 5 Alameda County records shall be permitted only in compliance with the requirements of state law and this policy.

III. Definitions

The terms used in this policy shall have the following meanings:

“First 5 Alameda County Record” means a writing (as defined below) regarding the conduct of First 5 Alameda County business, which is in the custody of a First 5 Alameda County employee or officer, and is kept either (1) because a law requires it to be kept or (2) because it is necessary or convenient to the discharge of the employee’s or officer’s duties and was made or retained for the purpose of preserving its informational content for future reference. Records do not include magazines or publications not produced by First 5 Alameda County; library or museum material intended solely for reference or exhibition; transitory writings, including working papers, appointment logs, notes, calculations or preliminary internal drafts, or internal correspondence (including intra-agency memoranda transmitted by e-mail or any intra-office messaging system), that are not retained by First 5 Alameda County in the ordinary course of business even if they contain information relating to the conduct of the First 5 Alameda County’s business; and unofficial duplicates of documents kept only for convenience or reference. If no law requires a writing to be kept, then the custodian shall consider the following in determining whether the writing is a First 5 Alameda County record that must be retained: the writing’s informational content; the purpose for which it was prepared or retained; and the manner of its use. “Writing” means any handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored.

IV. Procedures

A. Records Retention

A First 5 Alameda County record category identifies the type of record to be retained. The content of each record category has been evaluated based upon its administrative, operational, fiscal, contractual, legal, and historical value to determine an appropriate retention period. This evaluation has resulted in the attached Records Retention Schedule (Attachment A), which is included as a component of this policy.

For each type of record the schedule identifies the following:

1. Category of Record: identifies the type of First 5 Alameda County record to be retained.
2. Description or Example of Record: describes the record by content and may include examples of records that are covered by the Record Series.
3. Retention Period: establishes the period of time the document must be retained.

The retention period is a threshold guide to assist staff in determining when a record series becomes obsolete. Obsolete records are eligible for inclusion in a destruction resolution in

accordance with this policy, unless longer retention is required by a legal hold or a contractual obligation, or it is determined in accordance with this policy that a particular record within a records series should be retained longer.

B. Contractual obligations may impose longer retention periods

First 5 Alameda County has contracted with various grantors to receive funding in addition to its Proposition 10 funding or other sources of funding. Those various grant agreements are referred to in the Records Retention Schedule as “funding source agreements” to distinguish them from grant agreements in which First 5 Alameda County is the grantor.

As a condition of receiving monies through funding source agreements, First 5 Alameda County has agreed to retain certain records specified in the grant agreements for a set length of time. First 5 Alameda County records specified in each funding source agreement must be retained for the period of time set forth in the funding source agreement, even if it is a longer retention period than the retention stated on the Records Retention Schedule.

C. Electronic Document Management System

First 5 Alameda County uses an Electronic Document Management System to store certain electronic records. All records stored in the Electronic Document Management System are subject to this Records Retention and Destruction Policy. Additionally, First 5 Alameda County will adopt an administrative policy for converting and storing paper records in the Electronic Document Management System in compliance with California state law.

D. Destruction of Records

The Records Retention Schedule sets the minimum retention period before a First 5 Alameda County record becomes obsolete. It does not authorize destruction of obsolete records. To destroy those records, additional agency staff action is required.

First 5 Alameda County records may not be destroyed until approved for destruction in accordance with Section IV.F of this policy. First 5 Alameda County records include writings listed on the Records Retention Schedule, as well as writings that meet the definition of a First 5 Alameda County record even if not listed on the Records Retention Schedule.

For those First 5 Alameda County records that are not listed on the Records Retention Schedule, staff shall provide the agency’s legal counsel with a description of the writings, their administrative, operational, contractual, fiscal and historical value, and why staff believes they are obsolete and should be destroyed. Agency legal counsel will review and provide advice regarding any legal requirements for the retention of the writings.

E. Legal Hold

A Legal Hold places a freeze on any destruction authorization for a particular record or type of record. A Legal Hold refers to the duty of First 5 Alameda County to preserve and not destroy any records potentially relevant to any of the following actions which First 5 Alameda County may be involved in: a reasonably anticipated claim or litigation; an ongoing claim or litigation; a pending employee grievance; a pending regulatory or governmental investigation; a pending subpoena; a pending Public Records Act request; a pending audit or similar legal matter. Any records subject to a legal hold must be preserved in all forms in which the record exists, including both paper and electronic formats.

Any part of this policy that permits purging or destruction of records is superseded when a legal hold is placed on the records, and such records may not be destroyed. Destruction in accordance with this policy may resume after notice is provided by the attorney responsible for the matter that the legal hold has been lifted and is no longer in effect.

F. Destruction of First 5 Alameda County Records

Prior to destroying any records, the following steps shall be completed.

1. Staff shall consider the following factors for records that have reached the expiration of their retention period:
 - Is the record subject to a legal hold?
 - Does the record have a specific administrative or fiscal function that justifies longer retention? A department may retain a record past its minimum retention period for operational purposes where it can demonstrate the record meets an extraordinary administrative or fiscal need.
 - Does the record have a specific historical/archival value that justifies longer retention? Records with archival value are to be preserved because they contain information of continuing and enduring value to First 5 Alameda County, provide valuable research data, or document the history of First 5 Alameda County.

If the answer to any of the questions is yes, the record will not be proposed for destruction.

2. A list will be made of all records to be destroyed and submitted to the CEO or their designee for written approval. The list of records shall not include any First 5 Alameda County records subject to a legal hold, and the CEO or their designee shall sign a destruction form so attesting.
3. The CEO or their designee will coordinate with any department to destroy the approved records.

In the event a department desires to retain a record series beyond its retention period, the appropriate staff person shall complete a form stating the basis for retaining the records for a longer period than set in the Records Retention Schedule.

G. DESTRUCTION

The secure destruction of any record shall be by any mechanism which shall render its content forever unreconstructable.

H. TRAINING

Staff and officials will be trained annually on what First 5 Alameda County records to keep, and what non-records may be purged.

I. RESPONSIBILITIES

The CEO or their designee will monitor the procedures for this policy and coordinate with Directors and/or department/division heads as required. Each department will have a single point of contact, responsible for records applicable to the specific department. Each department's point of contact will forward all award documentation and non-funded applications, review tools, and declination letters to the Contract Administration and Purchasing Department. The Contract Administration and Purchasing Department will enter the information into the official Electronic Document Management System folder.

J. REFERENCES/LEGAL AUTHORITY

California state law makes it a crime to destroy a record of a public agency without authorization. State law authorizes First 5 Alameda County to dispose of personal property (Health and Safety Code Section 130140.1(b)(2)(C)), which includes First 5 Alameda County Records.

**Attachment A
First 5 Alameda County Records Retention Schedule**

CATEGORY OF RECORD	DESCRIPTION OR EXAMPLE OF RECORD	MINIMUM LEGAL RETENTION PERIOD¹
Accounting Records – General Ledger	General Ledger	4 to 7 years or until audited
Accounting Records – Permanent Books of Accounts	Records showing items of gross income, receipts and disbursement (including inventories, per IRS regulations)	Permanent
Accounts Payable	Journals, statements, asset inventories, account postings with supporting documents, vouchers, investments, invoices and back-up documents, purchase orders, travel expense reimbursements, petty cash, postage, PERS reports, check requests, etc.	Until audited + 4 years
Accounts Receivable	Receipts for deposited checks, coins, currency; checks received, reports, investments, receipt books, cash receipts, cash register tapes, payments for building permits/parking permits/Transient Occupancy Tax, etc.	Until audited + 4 years
Agenda / Agenda Packets	Board– agendas and packets can be imaged immediately for retention, if desired.	2 years
Agenda reports (staff reports)	Board - Originals can be imaged immediately for retention, if desired. The imaged record can serve as the “original” record, if desired.	2 years
Agendas/Minutes – External Meetings with Grantees, Consultants, Contractors, or Vendors	Includes agenda, minutes, meeting summaries and attendance record, if any, for meetings with grantees, consultants, contractors, or vendors.	Contract completion plus 7 years, or project completion plus 7 years, whichever is greater (unless funding source agreement requires longer period)

¹ **Explanation of Retention Periods.** The retention period begins to run from the date of the event, the conclusion of the matter, or the date of the document referenced, whichever is later. Until superseded, but retain for a minimum of two years means that the minimum retention period is two years and that if a superseding retention period reduces that timeline, First 5 will retain all records for the full two years if they were created prior to the date of the superseding retention period.

Attachment A
First 5 Alameda County Records Retention Schedule

	NOTE: Transfer records to Contract Compliance Department if related to compliance or performance issues.	
Agendas/Minutes for Internal Department Meetings	Includes agenda, minutes, meeting summaries and attendance record, if any, for meetings within a single department, or between two or more departments. Department initiating meeting is custodian of record.	2 years
Annual Financial Report	May include independent auditor analysis	Until audited + 2 years
Audit Reports	Financial services; internal and/or external reports	Current + 4 years Sec. of State Guidelines recommends permanent retention
Bank Account Reconciliations	Bank statements, receipts, certificates of deposit, etc.	4 years
Bids, Successful	Includes plan and specifications; notices/affidavits.	4 years
Bids, Unsuccessful	Unsuccessful bid packages only	2 years
Brochures/ Publications	Informational/promotional documents created for or by First 5 Alameda County.	2 years
Budget, Annual	Annual operating budget approved by Board	Current + 2 years
Conflict of Interest Code	Conflict of Interest Code – required under Political Reform Act; must be reviewed by July 1st of every even-numbered year and amended if necessary	Permanent

Attachment A
First 5 Alameda County Records Retention Schedule

<p>Contracts</p>	<p>Original contracts and agreements, working documents, records, and back-up materials, relating to external entities such as grantees, contractors, consultants, or vendors. Can include leases, license agreements, service/maintenance contracts, etc.</p> <p>Original contracts/agreements regarding the development of real property, design, specifications, surveying, planning, supervision, testing, or observation of construction or improvement to real property; may include records of retention releases, retention withheld, change orders, program evaluations, grant recipient reviews, grant financials/budgets etc.</p>	<p>10 years after termination/completion</p> <p>F5AC cannot destroy any nondischarged contract to which F5AC is a party</p>
<p>Correspondence</p>	<p>General correspondence, including letters and e-mail; Various files, not related to specific cases and not otherwise specifically covered by the retention schedule.</p> <p>All other general substantive correspondence, external and internal. Includes emails, memos and letters involving substantive issues not related to a grant, contract, lobbying, employment, or public records request, and that do not fall under any other retention category. If subject matter requires longer retention, use the longer retention period. Does not include advertisements, newsletters, invitations, and mailings of general interest. Correspondence that is transitory and does not document substantive issues does not have to be retained. See First 5 AC</p>	<p>2 years</p>

Attachment A
First 5 Alameda County Records Retention Schedule

	Records Retention and Destruction Policy for details.	
Correspondence – Internal/External exchanged with or regarding Grantees, Contractors, Consultants or Vendors	<p><u>Internal</u>: Substantive correspondence exchanged internally regarding grantees, contractors, consultants or vendors not listed under “Contract Documents”.</p> <p><u>External</u>: Routine correspondence, including emails, memos and letters, exchanged with grantees, contractors, consultants, or vendors NOTE: Transfer to Contract Compliance Department internal and external correspondence related to compliance or performance issues.</p>	Contract completion plus 7 years, or project completion plus 7 years, whichever is greater (unless funding source agreement requires longer period)
Credit Cards, First 5 Alameda County-owned	Credit card bills or statements and related receipts. Other records related to use of First 5 Alameda County-owned credit cards (policies, correspondence, etc.)	Until audited + 4 years
Deeds, Real Property (Grant Deeds)	File with recorded documents; originals may not be destroyed.	Permanent
Deferred Compensation Reports	Finance - pension/retirement funds	3 years
Demographic/ Statistical Data		Current + 2 years
EEOC Records (Equal Employment Opportunity Commission)	Records, reports showing compliance with federal equal employment requirements (EEO-4 Reports, etc.)	3 years
Employee Benefit Plan Documents	Benefit plans (including “cafeteria” and other plans); health insurance programs; records regarding COBRA – extension of benefits for separated employees, insurance policies (health, vision, dental, deferred compensation, etc.),	Employment termination plus 10 years (unless funding source agreement requires longer retention)

Attachment A
First 5 Alameda County Records Retention Schedule

Employee Benefit Invoices	Copies of monthly invoices received from benefit carriers. (Originals are provided to Finance)	2 years
Employee Benefits Records	Documentation of benefits elections, beneficiary designations, eligibility determinations, COBRA notices for each employee. Includes records required to determine retirement benefits for each employee, related forms, and loan documents related to same; and age & social security information.	Employment termination plus 10 years (unless funding source agreement requires longer retention)
Employee Bonds (Fidelity)	Form of insurance that covers employer (First 5 Alameda County) for losses resulting from fraudulent acts of specified employees	While current + 2 years
Employee Exposure Record	Record of employee exposure to certain toxic substance or harmful physical agent, and related records, if any (e.g. material safety data sheets, chemical inventory, etc.).	Exposure plus 30 years
Employee Information - Applicant Identification Records	Personnel--Data regarding race, gender, national origin of applicants	Received + 2 years
Employee Information, General	Name, address, date of birth, occupation, rate of pay and weekly compensation earned	4 years 60201(d)(12): Cannot destroy a record that specifies the amount of compensation paid to district employees or officers or to independent contractors providing personal or professional services to the district ... However, such a record may be destroyed or disposed of

**Attachment A
First 5 Alameda County Records Retention Schedule**

		seven years after the date of payment.
Employee Leave of Absence Records	Records related to employee leave of absence, including dates and hours of leave used, records relating to any dispute regarding designation of leave (except see litigation), and related correspondence.	Employment termination plus 30 years
Employee Personnel File - Medi-Cal Administrative Activities (MAA) Contract	Employee Personnel Files (described above) related to any employee whose position is paid for by MAA. Note: Do not destroy any personnel file information if there is any pending claim or litigation.	The longer of: (1) Employment termination plus 10 years; or (2) Termination of MAA Agreement plus 5 years
Employee Personnel Files	Personnel files, including employment application and resume, job descriptions, performance reviews, new hire forms, disciplinary records, conference, training, and related certificates, separation records, and related correspondence. Note: Do not destroy any personnel file information if there is any pending claim or litigation.	Employment termination plus 10 years (unless funding source agreement requires a longer period of retention).
Employee Programs	May include Employee Assistance Program (EAP), Employee Recognition program, etc.	2 years
Employee, Medical Records (routine)	Records of first aid treatment for minor injuries (burns, splinters, etc.); records relating to medical leave taken, etc.	Length of employment + 4 years
Employee, Non-safety and safety	Non-safety employee records may include release authorizations; certifications; reassignments; outside employment; commendations,	Length of employment + 4 years

**Attachment A
First 5 Alameda County Records Retention Schedule**

	disciplinary actions; terminations; oaths of office; pre-employment medical evaluations; fingerprints; identification cards (ID's)	
Employee, Recruitment	Alternate lists/logs, ethnicity disclosures, examination materials, examination answer sheets, job bulletins	4 years
Employment - Surveys and Studies	Includes classification, wage rates	2 years (surveys and studies not mentioned in 12946, which requires 4 years. But if surveys and studies count as personnel, membership, employment referral records/files then 4 years instead of 2)
Employment - Training Records, Non- Safety	Paperwork documenting internal and external training for non-safety employees; includes any volunteer program training - class training materials, internships	Length of employment + 4 years
Employment - Vehicle Mileage Reimbursement Rates	Annual mileage reimbursement rates	Until superseded + 2 years
Employment Agreements	Original agreements/contracts for at-will	Length of employment + 4 years
Employment Applications - Not Hired	Applications, resumes, and related materials submitted for existing or anticipated job openings, including any records pertaining to failure or refusal to hire applicant	Position filled (or search terminated) plus 3 years
Employment Development Department Correspondence	General correspondence exchanged with the EDD, including such topics as unemployment insurance, state disability, FMLA and paid family leave. NOTE: Correspondence regarding a specific employee should be retained based on applicable category (e.g.,	5 years for general correspondence. If employee specific, reference personnel file requirement.

**Attachment A
First 5 Alameda County Records Retention Schedule**

	Employee Personnel File, Employee Exposure Record, Employee Leave of Absence Records).	
Employment Eligibility Verification	Completed I-9 Forms	Employment termination plus 10 years (unless funding source agreement requires longer retention)
ERISA Records (Employee Retirement Security Act)	Employee Retirement Income Security Act of 1974 - Plan reports, certified information filed; records of benefits due	6 years
Ethics Training Records	Records required to be kept under Gov. Code section 53235.2. Records must show dates that local officials satisfied the training requirements and the entity that provided the training	5 years after receipt of training
Family and Medical Leave Act and Paid Family Leave	Records of leave taken, First 5 Alameda County policies relating to leave, notices, communications relating to taking leave	Employee separation + 5 years
Forms	Administrative - blank	Until Superseded
Fund Transfers	Internal; bank transfers & wires	Until audited + 2 years
General Ledgers	All annual financial summaries--all agencies	Published articles show 4 – 7 years retention as typical Sec. of State Guidelines recommends permanent retention
Grants - Unsuccessful	Applications not entitled	2 years
Grants Community Development Block Grant (CDBG); Urban Development; other Federal and State grants	Grant documents and all supporting documents: applications, reports, contracts, project files, proposals, statements, sub-recipient dockets, environmental review, inventory, consolidated plan, etc.	Until completed + 4 years
Insurance	Personnel related	While current, + 2 years

**Attachment A
First 5 Alameda County Records Retention Schedule**

Insurance Certificates, First 5 Alameda County	Liability, performance bonds, employee bonds, property; Insurance certificates filed separately from contracts, includes insurance filed by licensees.	While current + 2 years
Insurance, Joint Powers Agreement	Accreditation, MOU, agreements and agendas	Current + 2 years
Insurance, Liability/Property	May include liability, property, Certificates of Participation, deferred, use of facilities	While current + 2 years
Insurance, Risk Management Reports	Federal OSHA Forms; Loss Analysis Report; Safety Reports; Actuarial Studies	5 years (Federal) 2 years (State)
Investment Reports, Transactions	Summary of transactions, inventory and earnings report	Until audited + 4 years
Invoices	Invoices from vendors and back-up documents	Until audited + 4 years
Job Descriptions	Descriptions of duties, qualifications, responsibilities for each position/classification/job title	While current + 3 years
Lease Agreement	Property or equipment	Until terminated + 4 years
Legal Notices / Affidavits of Publication or Posting	Examples: Notices of public hearings, notices of liens, etc. Also proof of publication of notice, or proof of posting of notice	Current + 2 years, unless part of a project or matter that requires longer retention (i.e., CEQA documents)
Legal Opinions	Confidential – not for public disclosure (attorney-client privilege)	Until superseded + 2 years
Licenses/Permits – Special (Events; Solicitation)	This category DOES NOT include business licenses/permits	Current + 2 years
Litigation	Case files or records relating to any pending claim or litigation or	Until settled + 2 years

Attachment A
First 5 Alameda County Records Retention Schedule

	any settlement or other disposition of litigation	
Maintenance/Repair Records	Equipment	2 years
Marketing, Promotional	Brochures, announcements, etc.	2 years
Minutes	Minutes of any meeting of the legislative body of the district	Permanent
Notices – Public Meetings	Special Meetings	2 years
Ordinances Adopted by F5AC		Permanent (an ordinance that has been repealed or is otherwise invalid or unenforceable may be destroyed or disposed of 5 years after it was repealed or became invalid or unenforceable.
OSHA	OSHA 300 Log, privacy case list, OSHA 300A annual summary, OSHA 301 incident report forms	5 years
OSHA (Accident/Illness Reports)	Personnel - Employee Exposure Records & Employee Medical Records regarding exposure to toxic substances; Exempt from public disclosure	Duration of employment plus 30 years
Payroll - Federal/State Reports	Annual W-2's, W-4's, Form 1099s, etc.; quarterly and year-end reports	Fiscal year-end audit closed plus 7 years (unless funding source agreement requires longer retention)

Attachment A
First 5 Alameda County Records Retention Schedule

Payroll - Wage Rates / Job Classifications	Employee records	Fiscal year-end audit closed plus 7 years (unless funding source agreement requires longer retention)
Payroll Deduction/ Authorizations	Finance	Fiscal year-end audit closed plus 7 years (unless funding source agreement requires longer retention)
Payroll records (employee information)	Records showing employee information/data – names, addresses, etc.; hours worked; regular and overtime wages, etc.	Fiscal year-end audit closed plus 7 years (unless funding source agreement requires longer retention)
Payroll, registers	Finance Labor costs by employee & program	Fiscal year-end audit closed plus 7 years (unless funding source agreement requires longer retention) (Sec. of State Guidelines – recommended permanent retention)
Payroll, time cards/sheets	Employee	Fiscal year-end audit closed plus 7 years (unless funding source agreement requires longer retention) (Sec. of State guidelines – recommends retention: until audited + 6 years)
Personnel Policies -- Rules and Regulations	Including employee handbooks, employee manuals, and other policies/procedures	Current + 3 years
Personnel Records	Payroll or other records containing name, address, date of birth, occupation, rate of pay, etc., including records relating to promotion, demotion, transfer, lay-off, termination	3 years
Political Support/Opposition, Requests & Responses	Related to legislation.	2 years
Press Releases	First 5 Alameda County related.	2 years

Attachment A
First 5 Alameda County Records Retention Schedule

Procedure Manuals	Administrative.	Until superseded + 2 years
Proclamations	First 5 Alameda County issued proclamations	2 years; if done by Board Resolution, then permanent retention
Public Records Act Request	Requests from the public to inspect or copy public documents	2 years. However, any record subject to the subject of any pending request made pursuant to the California Public Records, whether or not the district maintains that the record is exempt from disclosure, until the request has been granted or two years have elapsed since the district provided written notice to the requester that the request has been denied. GC 60201(d)(5).
Purchasing RFQ's, RFP's	Requests for Qualifications; Requests for Proposals regarding goods and services	Current + 2 years
Purchasing, Requisitions, Purchase Orders	Original Documents	Until audited + 4 years
Recordings - audio (e.g., for preparation of meeting minutes)	audio recording "made for whatever purpose by or at the direction of the local agency"	Minimum 30 days
Recordings - routine video monitoring, telephone, and radio communications	Routine daily recording of telephone & radio communications; routine video monitoring including in-car video systems, jail observation/monitoring systems, building security systems. [Includes automated license plate reader (ALPR) video recordings/data]	Videos - 1 year; Phone & Radio communications - 100 days (destruction must be approved by Board & First 5 Alameda County Attorney)

**Attachment A
First 5 Alameda County Records Retention Schedule**

Recordings, video or digitally recorded (Duplicate – see Description or Example of Record)	Other than videos or digital recordings of public meetings; Considered duplicate records if another record of the same event is kept (i.e., written minutes)	Minimum 90 days after event is recorded 26206.7; 85 Ops. Cal. Atty. Gen. 256 (2002)
Recordings, video or digitally recorded – meetings of legislative bodies	Videos or digital recordings of public meetings made by or at the direction of First 5 Alameda County	Minimum 30 days
Records Management Disposition Certification	Documentation of final disposition of records	Permanent (Sec. State Local Guidelines Recommendation)
Records related to any nondischarged debt of F5AC.		Permanent
Records related to any pending construction that the F5AC has not accepted or as to which a stop notice claim legally may be presented		Permanent
Records related to formation, change of organization, or reorganization of F5AC		Permanent
Records related to the title to real property in which the district has an interest		Permanent
Records Retention Schedules		Current + 2 years
Recruitments and Selection	Records relating to hiring, promotion, selection for training	Position filled (or search terminated) plus 5 years.
Release Forms/Waivers	Human Services Recreation Programs	2 years
Resolutions	Resolutions adopted by the Board and First 5 Alameda County	Permanent
Returned Checks	Finance-NSF (not First 5 Alameda County checks)	2 years after audit (SOS recommendation is audit plus 5 years)

Attachment A
First 5 Alameda County Records Retention Schedule

Salary/Compensation Studies, Surveys	Studies or surveys of other agencies regarding wages, salaries and other compensation or benefits	While current + 2 years
Statements of Economic Interest - Form 700 (originals) (non-elected)	<u>Originals</u> of statements of designated employees	7 years (can image after 2 years)
Statements of Economic Interest - Form 700 (copies) (elected officials)	<u>Copies</u> of original statements of elected officials forwarded to Fair Political Practices Commission (FPPC)	4 years (can image after 2 years)
Stop Payments	Finance - bank statements	2 years
Unemployment Insurance Records	Records relating to unemployment insurance – claims, payments, correspondence, etc.	While current + 4 years
Wage Garnishment	Wage or salary garnishment	Active until garnishment is satisfied; then retain until audited + 4 years
Warrant Register/Check Register	Record of checks issued; approved by legislative body (copy is normally retained as part of agenda packet information)	Until audited + 2 years
Workers Compensation Files	Work-injury claims (including denied claims); claim files, reports, etc.	Permanent



To: First 5 Alameda County Executive Committee

From: Brittney Frye, Human Resources Director

Date: May 26, 2022

Subject: Employee Handbook Revisions

ACTION REQUESTED

To approve the revisions to the Employee Handbook.

BACKGROUND

First 5 Alameda County adopted Personnel Policies in May 2004 in preparation for separation from Alameda County. Since then review has been done annually and resulted in revisions as needed. Revisions are necessary periodically due to changes in practice or law. We engage the employment law firm of Wiley Price & Radulovich when consultation is needed on issues of employment, including revision of employee policies in the Employee Handbook. All significant policy revisions are listed on the change log at the end of the document.

The following changes are part of a complete legal review of the Employee Handbook by Joan Pugh Newman at Wiley Price & Radulovich and represent edits that clarify policy and current agency practices in accordance with employment law. The significant changes identified in the Employee Handbook are as follows:

First 5 recommended changes as part of legal review:

- Throughout: **Introduction, Employment and Hiring Policies, Employee Development, Employee Benefits, Paid Time Off, Leaves of Absence, Work hours and Pay, Communication and Technology, Conduct, and Ending Employment** – Cleanup and language clarification
- Pages 5, 7 & 36: **At-Will Employment** – eliminate, “with or without advanced notice” as employees are entitled to pre-deprivation due process.
- Page 13: **Vacation** – Add Juneteenth and Indigenous Peoples’ Day Holidays. Clarify process for holidays that fall on a Saturday or Sunday.
- Page 17: **Family/Medical Leave under the Family Medical Leave Act and California Family Rights Act (“FMLA”/“CFRA”)** – Addition of required family members under CFRA
- Page 21: **Alternative Work Schedules** – eliminate non-exempt employees from 9/80 schedule. Addition of 4/10 schedule. Clarify how holidays are paid when taken with an alternative schedule.
- Page 23: **COVID-19 Workforce Vaccination Policy** – Addition of a vaccine or test policy for the workforce.

AGENDA ITEM 4.4

- Page 31: **Right to Respond to Notice of Serious Discipline** – Addition of information regarding pre-deprivation due process rights, “Skelly”

FISCAL IMPACT

There is no fiscal impact.

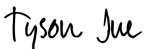
RECOMMENDATION

On June 24, 2021, the First 5 Alameda County Commission authorized the expansion of the charge of the Executive Committee until June 30, 2022 to include review, discussion and decision making on governance-related matters due to the uncertainty associated with the ongoing pandemic and our preparations for returning to the office in 2022.

The Commission expanded “the charge of the Executive Committee to include review, discussion and decision making on governance related matters. Historically, the Executive Committee has acted in the capacity of reviewing agency operational issues including finance, human resources and administrative items and policies to support business processes. The additional function of reviewing governance related policies and procedures including but not limited to the governing ordinance and Commission bylaws will allow the Executive Committee to efficiently support necessary updates to agency practices. Any formal action taken by the Executive Committee in this area will be reported back to the Commission. In addition, the Executive Committee may make final recommendations to the Commission to consider.”

First 5 Alameda County staff recommend that the Executive Committee approve the revisions to the Employee Handbook.

Submitted by:

DocuSigned by:

10C297C52D6641F...

Brittny Frye
Human Resources Director

Reviewed by:

DocuSigned by:

ED639B4561544E4...

Kristin Spanos
Chief Executive Officer

FIRST 5



Employee Handbook

Revised June ~~2020~~2022

Contents

Welcome	
4	Vision & Mission
Part One: Introduction	
5	At-Will Employment
5	Equal Opportunity
5	Reasonable Accommodation of Protected Disabilities
5	Policy Prohibiting Harassment & Discrimination
6	Internal Complaint Procedure
6	Agency Complaint Procedure
7	Retaliation
Part Two: Employment & Hiring Policies	
7	Work Eligibility
7	Introductory Period
7	Employee Classifications
8	Job Postings
8	Hiring Relatives
Part Three: Employee Development	
8	Performance Management
9	Professional Development
Part Four: Employee Benefits	
9	Health Insurance & Eligibility
10	Flexible Spending Accounts
10	COBRA Insurance Continuation
10	Payment in Lieu
11	Flexible Benefit Credit
11	Life Insurance
11	Alameda County Employees Retirement Association (ACERA) Pension Plan
11	457 Deferred Compensation Plan
11	Workers' Compensation
12	Additional Benefits
Part Five: Paid Time Off	
12	Vacations
13	Holidays
13	Paid Time Off (PTO)
13	Paid Sick Time
15	Jury or Witness Duty
15	Bereavement Leave
15	State Disability Insurance (SDI)
15	Paid Family Leave (PFL) & Paid Parental Leave
16	Coordination of Benefits
Part Six: Leaves of Absence	
16	General Information: Requests, Medical Certifications Concurrent Leaves

16	Unpaid Leaves
	<ul style="list-style-type: none"> • Family/Medical Leave under FMLA/CFRA • Non-FMLA/CFRA Medical/Family Leave • Pregnancy Disability Leave • Workers' Compensation Leave • Personal Leave of Absence
20	Catastrophic Sick Leave Bank
Part Seven: Work Hours & Pay	
20	Pay Periods
20	Work Schedules
20	9/80 Schedule Alternative Work Schedules
21	Meal Periods
21	Timekeeping Requirements
21	Overtime Pay
21	Bilingual & Trilingual Multilanguage Pay
Part Eight: Workplace Health & Safety	
22	Drug-Free Workplace
22	Smoking
	COVID-19 Workforce Vaccination Policy
Part Nine: Work Practices & Environment	
22	Punctuality & Attendance
22	Facilities & Property Use
23	Visitors
23	Security
23	Breastfeeding-Friendly Workplace
23	Children in the Workplace
24	Remote Work
24	Personal Automobile Use
25	Attire
25	Expense Reimbursement
25	References
Part Ten: Communication & Technology	
25	Technology, Voicemail & Email
26	Social Media
26	Employee Information & Records Inspection
26	Internal Communication
27	Media Relations
Part Eleven: Conduct	
28	Workplace Conduct
28	Open Door Policy
28	Disciplinary Procedures
	Right to Respond to Notice of Serious Discipline
29	Conflict of Interest & Incompatible Activities
29	Confidentiality
Part Twelve: Ending Employment	
30	Voluntary Employment Termination
31	Payroll and Returning F5AC Property

- 31 Reduction in Workforce
- Length of Service
 - Notice
 - Severance Pay
 - Outplacement Services

Acknowledgement

Change Log

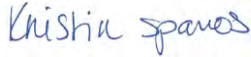
Welcome

Welcome to employment with First 5 Alameda County (F5AC). Through the efforts of our employees, F5AC has established itself as a leading organization in our community and we are excited to have you join our team.

Our vision and mission, along with our strategic plan, guide our work. To ensure our continued success, all employees also need to understand, and comply with, our policies and procedures. This Handbook contains important F5AC information including a summary of our policies, benefits, and work expectations. We encourage you to use it as a reference throughout your employment with us.

If you have any questions, please do not hesitate to ask either your supervisor or our Human Resources team.

Sincerely,



Kristin Spanos, Chief Executive Officer

Our Vision

Every child in Alameda County will have optimal health, development and well-being to reach their greatest potential.

Our Mission

In partnership with the community, we support a county-wide continuous prevention and an early intervention system that promotes optimal health and development, narrows disparities and improves the lives of children aged 0 to 5 years and their families.

Part One: Introduction

This handbook is designed to help you familiarize yourself with important information about First 5 Alameda County ("F5AC"), and information regarding your own privileges and responsibilities as employees.

It is not possible to anticipate every situation that may occur in the workplace or to provide information that answers every possible question. Also, future circumstances may require changes in the policies, practices, and benefits described in this handbook. Accordingly, except for the principle of At-Will Employment relationship with its employees, F5AC reserves the right to modify, rescind, supplement, or revise any provision in this handbook. While F5AC makes reasonable efforts to provide you with advance notice of any modifications or revisions to the handbook and distributes updated information as revisions are made, advance notice of policy changes may not always be possible. Changes to policies apply to F5AC employees on their effective date.

This handbook is not intended to be a contract. The policies and procedures in this handbook are intended to, and do, replace all previous employee handbook policies, practices, and guidelines.

All employees are expected to comply with all policies in this handbook. Employees who fail to comply with any policy will be subject to discipline, up to and including immediate termination. Any questions regarding the contents of this handbook may be addressed to your supervisor or to ~~the~~ Human Resources ~~Administrator~~.

At-Will Employment

Employment with F5AC is “at will.” This means that the employment relationship is not for any specified period and can be terminated by either the employee or F5AC at any time with or without any particular reason and with or without cause. ~~, and with or without advance notice.~~ Nothing contained in these policies is intended to, or should be construed to, alter the at-will relationship between F5AC and its employees. Although other terms, conditions and benefits of employment with F5AC may change, the at-will relationship of employment is one aspect that cannot be changed except by an agreement in writing with F5AC, signed by the CEO and by the employee.

Equal Opportunity

F5AC affords equal opportunity in all aspects of employment to all employees and applicants for employment without regard to race, religion (including religious dress or grooming), creed, sex (including pregnancy, childbirth, breastfeeding, or related medical conditions), gender, national origin, ethnicity, ancestry, citizenship, age, physical or mental disabilities, color, marital status, registered domestic partner status, sexual orientation, gender identity or expression, genetic information, medical condition, military or veteran status, exercise of rights under the Pregnancy Disability Leave Law or the California Family Rights Act, or any other basis protected by applicable law. This policy applies to all employees and applicants for employment, and extends to all phases of employment, including but not limited to: recruitment, hiring, training, promotion, discharge or layoff, rehiring, compensation, and any benefits.

Reasonable Accommodation for Protected Disabilities

F5AC complies with the reasonable accommodation requirements of applicable law, including the obligation to engage in the interactive process to identify possible reasonable accommodations for employees and applicants with disabilities. Employees or applicants who wish to request a reasonable accommodation should make this request to ~~the~~ Human Resources ~~Administrator~~. Alternatively, employees may make their request to their direct supervisor, who will be responsible for communicating the request for accommodation to Human Resources.

Any complaints or concerns regarding reasonable accommodation should be directed promptly to ~~the~~ Human Resources ~~Administrator~~.

Policy Prohibiting Harassment & Discrimination

Harassment and discrimination in employment on the basis of sex (including pregnancy, childbirth, breastfeeding, or related medical condition), gender, race, color, national origin, ethnicity, ancestry, citizenship, religion, creed, age, physical or mental disability, medical condition, sexual orientation, gender identity or gender expression, military or veteran status, marital status, registered domestic partner status, genetic information, or any other protected basis (collectively the “Protected Characteristics”) is unlawful under federal and state law.

Every individual is entitled to work free of discrimination or harassment based on any Protected Characteristic. The law prohibits all employees (including coworkers, supervisors, and managers), as well as third parties with whom the employee comes into contact, from engaging in this impermissible conduct. Accordingly, F5AC does not tolerate discrimination or harassment in the workplace or in a work-related situation. Unlawful discrimination and harassment violates F5AC’s rules of conduct.

Unlawful harassment in employment may take many different forms. Some examples are:

- Verbal conduct such as epithets, derogatory comments, slurs, or unwanted comments and jokes;
- Visual conduct such as derogatory posters, cartoons, drawings, or gestures;
- Physical conduct such as blocking normal movement, restraining, touching, or otherwise physically interfering with work of another individual;
- Threatening or demanding that an individual submit to certain conduct or to perform certain actions in order to keep or get a job, to avoid some other loss, or as a condition of job benefits, security, or promotion; and
- Retaliation by any of the above means for having reported harassment or discrimination, or having assisted another employee to report harassment or discrimination.

Sexual harassment under these laws includes unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when:

- submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment;
- submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or
- such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Internal Complaint Procedure

Discrimination and harassment in employment are not tolerated. In addition, F5AC prohibits retaliation for having made a report, and/or otherwise participating in the reporting or investigative process, under this policy. Violation of this policy will result in disciplinary action up to, and including, immediate discharge.

Any individual who believes they are the object of harassment or discrimination on any prohibited basis, or who has observed such harassment or discrimination, or who believes they have been subjected to retaliation, should notify their supervisor, Human Resources **Administrator**, or any supervisor or manager. Supervisors who receive a complaint under this policy will report it to Human Resources. F5AC will conduct a fair, timely, and thorough investigation, and will do so in a confidential manner, to the extent possible. The investigation will be performed by an impartial and qualified individual and will be appropriately documented.

Following the investigation, F5AC will take such action as is warranted under the circumstances and will timely close the matter.

Agency Complaint Procedure

Both the state and federal governments have agencies whose purpose is to address unlawful discrimination in the workplace. If an individual who provides services to the F5AC believes they have been harmed by an unlawful practice and is not satisfied with F5AC's response to the problem, they may file a written complaint with these agencies.

- For the State of California, the agency is called the Department of Fair Employment and Housing ("DFEH"). The local address for the DFEH is 2218 Kausen Drive, #100, Elk Grove, California 95758, [or- www.dfeh.ca.gov](http://www.dfeh.ca.gov);
- For the federal government, the agency is called the Equal Employment Opportunity Commission ("EEOC"). The local address for the EEOC is 1301 Clay Street, #1170, Oakland, California 94612, [or www.eeoc.gov](http://www.eeoc.gov).

If, after an investigation and hearing, either of these agencies finds that unlawful discrimination has occurred, the injured employee may, depending on the circumstances, be entitled to reinstatement or promotion, with or without back pay.

Retaliation

Retaliation against any individual for making a report, or for participating in an investigation, under this policy is strictly prohibited. Individuals are protected by law and by F5AC policy from retaliation for opposing unlawful discriminatory practices, for filing an internal complaint under this policy or for filing a complaint with the DFEH or EEOC, or for otherwise participating in any proceedings conducted by F5AC under this policy and/or by either of these agencies.

Part Two: Employment and Hiring Policies

Work Eligibility

Employees ~~whose job duties require them to~~ ~~who will be~~ working alone with children are required to be fingerprinted prior to employment. Employees ~~whose job requires them to~~ ~~who will~~ work directly with families are required to pass a TB test prior to employment, and periodically during employment.

California law requires that certain employees must report suspected child abuse or neglect to a child protective agency. Consistent with F5AC's mission to improve the lives of children and their families, all F5AC employees are considered mandated reporters. Employees are provided with training on these reporting procedures during their introductory period.

Introductory Period

The introductory period is typically the first one hundred eighty (180) days following the start of employment at F5AC. During this period, performance is carefully evaluated and a determination is made regarding whether the employee's job performance is sufficient to pass the introductory period and become a "regular" employee. An employee's successful completion of the introductory period does not alter the employee's "at will" status and does not guarantee continued employment for any time period. Under certain circumstances and at its sole discretion, F5AC may extend an employee's introductory period for up to an additional 90 days. The introductory period does not alter benefits or seniority. The introductory period is completed only when the employee is notified in writing the introductory period is concluded.

~~Notwithstanding the introductory period, because your employment is at will it may be~~ ~~Introductory Employees are employed "at-will" and employment may be~~ terminated by you or by F5AC at any time, during your introductory period, for any reason or no reason, with or without cause, and with or without advance notice.

Employee Classifications

Employees are placed into classifications based on job description, job duties, and applicable wage/hour laws.

- Exempt Employee: An executive, administrative, or professional employee who is exempt from the overtime pay requirements of applicable law.
- Non-exempt Employee: An employee (generally paid by the hour) who is eligible to receive overtime pay for overtime hours actually worked.
- Regular Full-Time Employee: An employee who is regularly scheduled to work forty (40) hours or more per workweek, and who has successfully completed their introductory period.
- Regular Part-Time Employee: An employee who is regularly scheduled to work ~~at least twenty (20), but~~ fewer than forty (40) hours per workweek, and who has successfully completed their introductory period.
- Introductory Employee: An employee who has not yet successfully completed their introductory period. (See Introductory Period policy, above.)
- Temporary Employee: An employee who is hired on a full- or part-time basis for a specified period, usually not to exceed twelve (12) months. This category includes interns.

~~• Intern: A temporary employee hired on a full or part time basis for a specified period, usually not to exceed twelve (12) months, to further a degree, and usually attached to an accredited University program.~~

- On-Call Employee: An employee who is not regularly scheduled to work a specified number of hours in any given workweek, but who is called to work on an as-needed basis.

All employees are classified as: 1) exempt or non-exempt; 2) as regular, introductory, temporary, or on-call; and 3) as part-time or full-time. These classifications determine, e.g., eligibility for benefits, compensatory time, and overtime.

Changes in employee classification may occur when a significant job change occurs (for example, a promotion or a change in work hours, etc.) that is intended to last for more than four (4) months.

Job Postings

F5AC attempts to find the most qualified candidates to fill position vacancies. This is generally accomplished through a combination of internal and external recruiting. Consideration is given to the advancement of current employees. Employees are encouraged to apply for promotions or transfers for which they believe they are qualified.

Open F5AC positions are posted through the Human Resources system and typically announced by F5AC email. Internal postings may occur simultaneously with external postings. F5AC determines when to fill positions from within or to hire externally.

Only ~~the~~ Human Resources ~~Administrator~~ and the Chief Executive Officer have the authority to extend job offers. All employment offers are made in writing.

Hiring Relatives

Employees' or Commissioners' relatives may apply for F5AC positions. To avoid conflicts of interest, or appearances of conflicts, F5AC established these guidelines:

- Employees & Commissioners may not conduct a job interview or make employment-related decisions involving relatives.
- Employees may not supervise relatives under any circumstances.

The definition of "relative" for purposes of this policy is the employee's:

- Spouse/domestic partner
- Child, or spouse's or domestic partner's child (including: natural child, legally adopted child, or a child for whom the employee, spouse, or domestic partner has been awarded court-appointed legal guardianship)
- Parent or spouse's/domestic partner's parent
- Sibling or sibling's spouse/domestic partner
- Any other individual living in the same household as the employee

It is expected that all employees, regardless of any relationship status, will conduct themselves professionally in their interactions with all other employees working at F5AC.

Part Three: Employee Development

Performance Management

Effective performance management is critical to our success. Employees need to know our expectations to carry out our strategic plan and achieve our mission. Supervisors are expected to provide ongoing, timely feedback and coaching to their team so that employees know how

they are doing and to address any performance issues. Employees are expected to engage in dialogue with their supervisor to ensure a clear understanding of performance expectations and to identify any areas needing improvement.

Each employee's performance is formally reviewed at the end of the introductory period, and on an annual basis thereafter, to coincide with the approximate anniversary of the employee's start date with F5AC (or the anniversary date of any subsequent change in position). Performance review guidelines are provided by Human Resources for supervisors and employees to follow during the process.

Completed performance reviews signed by the employee, supervisor and Human Resources ~~Administrator~~ are placed in the employment file. Employees are provided~~may keep~~ a copy of their review and may comment on the review in writing.

If an employee's overall performance is rated as less than satisfactory, or if specific areas of performance are identified that need improvement, the supervisor may develop a written performance improvement plan for the employee. Performance improvement plans generally include specific goals for improvement along with the strategies and timeline to improve performance. Supervisors are required to work with ~~the~~ Human Resources ~~Administrator~~ when any performance issues are identified that may require a written improvement plan.

Professional Development

Staff Development and Training Program:

F5AC encourages professional growth for all employees and has created the Staff Development and Training Program. The Development and Training team surveys staff on topics of interest and may engage local trainers to present trainings that support employees' desired growth. Any such trainings are typically offered free to employees and require supervisor approval in advance to attend. Supervisors are encouraged to allow employees to attend appropriate such trainings as work requirements allow.

Individual Professional Development:

In addition to trainings through the Staff Development & Training program, employees may request up to \$500 per fiscal year for their own professional development. Employees may request to use these funds for trainings, seminars, courses, webinars and conferences that are approved in advance by their supervisor but are not necessarily required for their particular job. Professional development books, CDs, other materials, licenses or certifications may also be requested by an employee from professional development funds.

Supervisor and Human Resources approval is required prior to payment or reimbursement of professional development funds. Detailed information about submitting professional development requests can be found in F5AC's Procedures Manual.

Part Four: Employee Benefits

Health Insurance

Employer Sponsored Health Insurance (medical, dental and vision insurance) is offered as part of the benefits package to regular and introductory full-time and part-time employees, who regularly work 20 hours or more per week. F5AC contributes to the cost of premiums for the eligible employee, as well as for spouse/domestic partner and/or eligible dependents, up to an amount determined annually by F5AC. If an employee chooses health insurance that costs more than the employer contribution, the balance of the cost is paid by the employee on a pre-

tax basis through authorized payroll deductions as applicable by law. The employer contribution is only used to offset the cost of the health premiums and is not used for other purposes, nor is it paid out to employees. F5AC's share of benefit costs for part-time employees is pro-rated to the percent of time the employee is regularly scheduled to work.

Temporary employees with temporary assignments lasting more than 60 days who regularly work 30 or more hours per week and their eligible family members are offered health insurance. For these eligible temporary employees, F5AC covers the same amount of employer share of premiums as it does for eligible regular and introductory employees. Any balance of premium costs is paid by the eligible temporary employee on a pre-tax basis through authorized payroll deductions. Temporary employees who work fewer than 30 hours per week and have temporary assignments lasting fewer than 60 days are not eligible for F5AC health insurance.

F5AC reserves the right to change medical, dental and vision insurance plans and benefits under those plans, to change the employer share of premium payments for the plans or change the amount it pays employees who opt out of the plan(s) (see "Payment in Lieu" section), with or without notice, consistent with any legal obligations it may have. In general, the employer share of premiums is determined prior to each Open Enrollment period.

For the purposes of health insurance coverage, "eligible dependent" is defined as spouse or domestic partner and eligible dependent children up to age 26.

A dependent child is covered for health insurance through the end of the month when they turn 26. Dependent Life Insurance covers full-time students up to age 24.

Flexible Spending Accounts

All regular employees may enroll in F5AC's flexible spending account ("FSA") program, which allows employees to set aside pre-tax dollars to be used for eligible medical or dependent care expenses. The IRS determines annual election limits and provides a comprehensive list of reimbursable expenses.

Carefully estimate your expenses when making an FSA election. FSA plans are "Use it or Lose it," and they reset each calendar year. The Health Care FSA allows employees to carry over up to ~~\$500~~the IRS Limit from one plan year to the next. If the balance exceeds ~~\$500~~the IRS limit at the end of the plan year, ~~however, that amount the account balance above the limit~~ will be forfeited.

COBRA Insurance Continuation

If employees and covered dependents are in a position to lose health insurance coverage as a result of certain qualifying events (including termination or reduction in hours), they may have certain rights to remain on the insurance plan at their own expense through COBRA. More information regarding COBRA coverage, costs, and administrative procedures is available from Human Resources.

Employees who experience a "qualifying event" (e.g., marriage, divorce, adoption) must provide written notice to Human Resources within 60 days after the qualifying event occurs.

Payment in Lieu

Regular employees may choose not to enroll in employer sponsored health insurance if they have proof of medical insurance through another source. Regular employees who ~~sign a waiver~~confirm that they have coverage elsewhere will receive a "Payment in Lieu" of benefits at a set rate each pay period (pro-rated for part-time employees to the percent of time regularly scheduled to work). This amount is reviewed annually, generally prior to each Open Enrollment

period, and F5AC reserves the right to change the amount. Payment in Lieu is subject to state and federal taxes.

Temporary employees who are offered health insurance and choose not to enroll are not eligible to receive a payment in lieu.

Flexible Benefit Credit

All regular and introductory, full-time employees receive an annual Flexible Benefit Credit ("Flex Credit") per calendar year. This amount is reviewed annually, generally prior to each Open Enrollment period, and F5AC reserves the right to change the amount of the Flex Credit. Part-time, regular employees' Flex Credit is pro-rated based on the percent of time regularly scheduled to work. The Flex Credit may only be applied to the cost of pre-tax plans.

After applying the Flex Credit to pre-tax plans, the remaining balance is paid to employees as a taxable earning.

Life Insurance

Regular employees who work 20 or more hours per week are eligible to apply for basic \$25,000 life and accidental death and dismemberment insurance benefit paid for by F5AC. Employees may also elect supplemental coverage at their own expense, with premium payments made on a pre-tax basis through authorized payroll deductions under F5AC's Cafeteria (Section 125) Plan. Additionally, employees may elect supplemental life insurance for their spouse/domestic partner and/or dependent children at their own expense. These premiums are paid on an after-tax basis through payroll deduction.

Alameda County Employees Retirement Association (ACERA) Pension Plan

Regular and introductory, full-time employees are required to become members of ACERA, a defined benefit retirement pension plan for public employees in Alameda County.

- Participating employees are required to make a pre-tax retirement contribution to ACERA through payroll deduction. Contribution rates are set by ACERA and are subject to change each year.
- Part-time or temporary employees are not eligible to become members of ACERA.
- Full-time employees who convert to part-time or temporary status are required to continue ACERA membership.
- ~~Additional information about ACERA is available from Human Resources or can be found at the ACERA website:~~

457(b) Deferred Compensation Plan

Regular and introductory full-time and part-time employees may participate in the Alameda County Deferred Compensation Plan. Pre-tax or Roth (after-tax) contributions are made through authorized paycheck deduction. The plan offers a variety of investment options employees can select. Employees may enroll or change their deferred compensation election at any time during the year; however, any requested changes will not be effective until the month following receipt of the requested change. ~~For more information, contact Human Resources or visit www.acgov.org/treasurer/deferred.htm~~

Workers' Compensation

F5AC pays for workers' compensation insurance as required by law to protect employees who are injured on the job. This insurance provides medical, surgical, and hospital treatment to qualifying employees, in addition to compensation for a percentage of loss of pay resulting from work-related injuries or illness.

You must immediately report any work-related injury to your supervisor, regardless of how minor the injury may seem. ~~Contact Human Resources with questions concerning our workers' compensation coverage.~~

Additional Benefits

F5AC offers additional benefits to all regular employees working 20 or more hours per week including Long-Term Disability, Employee Assistance Program, Commuter Benefits and an Employee Discount Program.

Enrollment and eligibility information for all benefits is available from Human Resources.

Part Five: Paid Time Off

Vacations

F5AC provides paid vacation time to certain eligible employees so that they may take time off to relax, recuperate and recharge. Regular and introductory full-time employees earn paid vacation time on the following schedule, beginning on their hire date:

<u>Service Year</u>	<u>Total Possible Annual Accrual</u>
1–3 years:	10 days each calendar year (80 hours)
4–10 years:	15 days each calendar year (120 hours)
11-20 years:	20 days each calendar year (160 hours)
21+ years	25 days each calendar year (200 hours)

The CEO, in consultation with Human Resources, may approve a higher vacation accrual as part of the hiring process or retention efforts. Any additional time must be documented in the employee's file.

Formatted: No underline, Font color: Auto

Formatted: No underline

Regular and introductory part-time employees who are regularly scheduled to work twenty (20) or more hours per week earn paid vacation time on a pro-rated basis based on the number of hours worked per week. Certain long-term temporary employees may be eligible to accrue vacation, if approved in writing by the CEO. No other employee classifications are eligible for this benefit.

Accrued vacation time cannot be taken until three months after your first day of employment.

Employees may accrue vacation time up to a maximum of two (2) times their annual accrual. For example, an employee with five years of service may accrue up to a maximum of 30 days of accrued vacation time. Upon reaching this accrual cap, the accrual stops until vacation time is taken or vacation pay-out is used to reduce the employee's balance to below the cap. Any unused vacation time is rolled over into the following year, up to the cap.

All vacation time must be requested through the Human Resources system, typically 4 weeks in advance, and is subject to advance approval from your direct supervisor. Please note that F5AC may not be able to approve all time off requests due to organizational needs.

F5AC encourages employees to use their accrued vacation time. Employees may, however, request to receive a vacation pay-out for some of their accrued, unused vacation in lieu of taking paid time off work. Vacation pay-out is limited to the number of hours that an employee accrues in one calendar year under this policy, and employees who request a vacation pay-out are required to have a minimum of one year's accrual remaining after the pay-out.

When ending employment for any reason, employees are paid for any accrued, unused vacation.

F5AC does not pay employees for vacation time, before it is accrued.

Holidays

F5AC generally observes the following holidays:

New Year's Day	Labor Day
Martin Luther King Jr. Day	<u>Indigenous Peoples' Day</u>
Lincoln's Birthday	Veterans' Day
Washington's Birthday	Presidential General Election Day (every 4 years)
Memorial Day	Thanksgiving Day
<u>Juneteenth</u>	Friday after Thanksgiving
Independence Day	Christmas Day through New Year's Day (included)

Full-time regular and introductory employees are provided a paid day off for each F5AC-recognized holiday. Part-time regular and introductory employees who are regularly scheduled to work on the above identified holidays, are paid for that holiday up to the number of hours they are regularly scheduled to work not to exceed a total of 8 hours per holiday. No other employee classifications are eligible for this benefit, unless preapproved by the CEO.

In the event that an observed holiday falls on a Saturday, said holiday shall be observed on the preceding Friday. If an observed holiday falls on a Sunday, said holiday shall be observed on the following Monday.

~~Employees on approved paid vacation at the time a holiday occurs will not have that day counted as vacation pay but will instead receive holiday pay as described above.~~

Paid Time Off (PTO)

All regular and introductory full-time employees receive 56 hours (7 days) of paid time off (PTO) each year in addition to vacation and paid sick leave and F5AC's regular holidays. PTO allows employees to have additional paid leave to cover absences for personal reasons such as religious observances. Eligible employees receive 56 hours of PTO on January 1 each year; eligible employees hired ~~later in the~~during a calendar year receive a PTO allocation at the time of hire that is prorated based on the hire date. Eligible employees may request to use PTO on or following the day that it is received, including new employees, who may request to use PTO during their introductory period. Requests to use PTO should be submitted as soon as possible. Please note that F5AC may not be able to approve all PTO requests due to organizational needs.

Part-time employees are granted pro-rated PTO hours based on their regular part-time schedule.

No other classification of employees receives PTO.

The total amount of PTO an employee may have in their account at any time is 56 hours (or the pro-rated amount described above for part-time employees). If an employee has the maximum amount of PTO remaining in their account on next January 1, no additional PTO will be granted for that year.

When the employment relationship ends, employees will be paid out for any unused PTO in their final paycheck.

Paid Sick Time

Paid sick time provides employees with some paid time off to recover from illness or injury, to care for medical needs of family members, or for any other reason permitted by law, including for an employee who is a victim of domestic violence, sexual assault or stalking to obtain relief, such as medical attention and psychological counseling.

For purposes of this section "family member" means ~~mother, stepmother, father, stepfather, parent or step-parent, husband, wife, spouse,~~ domestic partner, ~~son, child or stepchild, stepson, daughter, stepdaughter,~~ grandparent, grandchild, ~~brother, sister,~~ sibling, foster parent, foster child, ~~mother, parent-in-law, and father-in-law,~~ or any other person sharing the relationship of in loco parentis; and, when living in the household of the employee, a ~~brother, sister,~~ sibling-in-law or ~~sister-in-law.~~

Sick time may also be used for health care appointments for the employee or an employee's family member.

Eligible regular and introductory full-time employees may accrue sick time at the rate of ~~.5 days (4 hours)~~ per pay period ~~of service~~ for a total possible accrual of thirteen (13) paid sick days per year. Regular and introductory part-time employees accrue sick time on a pro-rated basis, based on the number of hours they are regularly scheduled to work. Employees may use accrued sick time during their introductory period, beginning on their hire date, and may use paid sick time as soon as it accrues.

Temporary employees, whether full-time or part-time, are provided with three days (24 hours) of paid sick time at the time of hire. Temporary employees may not use sick time until their ninetieth (90th) day of employment.

Regular and introductory full-time and part-time employees' accrued, unused sick time may be carried over from one year to the next, and there is no limit to their sick time accrual. Paid sick time balances for temporary employees may not be carried over to the next year. Instead, temporary employees receive a new grant of three days (24 hours) of paid sick time every January 1.

No payment is made for accrued, unused sick time at termination or at any other time. However, regular employees who separate, and then are rehired within twelve (12) months will have their sick leave balance at the time of separation reinstated.

Temporary employees who are rehired within 12 months from their date of separation will also have their sick leave balance reinstated and will also be provided with three days of sick time upon rehire, as described above, up to a combined maximum of six (6) days of sick time.

Employees are responsible for directly notifying their supervisor prior to the start of the business day, workday (or no later than one hour following their regularly scheduled start time), when prevented from starting or continuing a workday due to illness or injury. Employees must also keep their supervisor informed about the expected duration of the time away from work.

In most circumstances, a doctor's statement is required when an employee uses-is absent for more than five (5) consecutive days of sick time (either for themselves, or to care for an ill family member) or when an accumulation of absences seems to establish (in the supervisor's judgment) a problematic use of sick time. However, F5AC may request medical verification of the need for any use of sick time, regardless of duration.

Formatted: Font: 11 pt

If ~~paid sick time~~ leave is exhausted and additional time off for medical reasons is needed, employees may request ~~a medical leave of absence or be required to use vacation and/or PTO leave or may be granted unpaid time off. Such requests must be approved by F5AC.~~

F5AC does not make any advance payments of sick time (i.e., employees may not use sick time before it is accrued). F5AC may provide time off without pay to an employee who requests time off due to personal or family illness or injury as allowed above and who has exhausted their accrued paid time off.

Jury or Witness Duty

Leave is granted for an employee to serve jury duty or witness duty in response to a summons or subpoena. Regular and introductory, full-time and part-time employees receive paid time off for a maximum of two weeks when required to serve jury or witness duty (part-time employees' Jury or Witness Duty pay is pro-rated based on the percent of time regularly scheduled to work). If additional leave is required beyond the two-week period, or if the employee is not eligible to receive paid jury duty time, leave for this purpose will be provided as unpaid time off. The employee serving unpaid jury/witness duty may use accrued vacation and/or PTO time during the unpaid portion of the leave.

Proof of attendance from the court is required to receive jury/witness duty pay. When an employee is excused from jury or witness duty in time to work for half or more of the normal workday, the employee is required to work the rest of that day.

Bereavement Leave

Time off with pay due to a death in the immediate family of a regular or introductory full-time employee may be granted for a period up to five days per occurrence. Regular and introductory part-time employees may be granted bereavement leave pro-rated based on the percent of time regularly scheduled to work. For purposes of this policy, "immediate family" means ~~parent, mother, step or foster parent or parent-in-law, mother, stepmother, father, stepfather, spouse, husband, wife, registered domestic partner, child, or step or foster child, son, stepson, daughter, stepdaughter, grandparent, grandchild, sibling or sibling, brother, brother-in-law, sister, sister-in-law, foster parent, foster child, mother-in-law, and father-in-law,~~ or any other person sharing the relationship of in loco parentis with the employee.

Temporary employees may request unpaid time off for bereavement leave. Please contact Human Resources if you need to take Bereavement Leave.

State Disability Insurance (SDI)

F5AC employees who are unable to work due to illness, injury, or pregnancy disability may be eligible for ~~, and are encouraged to apply for,~~ disability benefits through State Disability Insurance (SDI) for the time they are unable to work. SDI is an employee paid state-administered benefit that provides to employees deemed eligible by the state partial replacement of wages lost because of a disability not caused by work. The determination of benefits is up to the state Employee Development Department (EDD). The first seven calendar days of an employee's absence are generally considered a "waiting period," and SDI benefits are not paid during that period. Information and claim forms are available from the local EDD office or the EDD website.

Paid Family Leave (PFL) & Paid Parental Leave

The state-administered Paid Family Leave (PFL) insurance program is an employee-paid benefit that provides to employees deemed eligible by the state partial wage replacement when an employee is taking approved time off work to care for a seriously ill family member (as defined by the state), or to bond with a newborn or newly-placed child.

The state Employee Development Department (EDD) determines your benefits. Information and claim forms are available from the local EDD office, or from the EDD website.

Paid Parental Leave

As a special benefit to regular and introductory employees, F5AC offers additional parental leave compensation. When a regular employee is taking an approved leave to bond with their newborn, an adopted child or a child placed in foster care, the ~~regular~~ employee is eligible to receive additional compensation from F5AC compensated up to 100% of their regular pay in combination with ~~for the period they are also receiving the~~ PFL benefits received. Employees requesting this special additional compensation must provide the PFL Notice of Computation from the EDD to Human Resources.

Coordination of Benefits

If an employee is receiving State Disability Insurance (“SDI”), Paid Family Leave (“PFL”) or Workers’ Compensation benefits, and the employee has not exhausted their accrued paid benefits from the employer, F5AC will coordinate the outside paid benefit with the employee’s accrued paid benefit (to the extent permitted by law) so that total compensation does not exceed the employee’s regular wages for that pay period. Employees must communicate to Human Resources the outside benefit amounts and dates paid.

Part Six: Leaves of Absence

F5AC provides unpaid leaves of absence to eligible employees in a variety of circumstances. Information concerning legal requirements applicable to ~~legally required~~ leaves of absence is posted in the workroom and on the intranet. Employees who are considering requesting a leave of absence are encouraged to meet with ~~the~~ Human Resources ~~Administrator~~ as early as possible to discuss the details of the leave and to coordinate the integration of benefits and payroll.

Employees may request a leave of absence without pay for reasons including, but not limited to: personal or family illness, qualifying exigency arising from a call to active duty, or justifiable personal or other reasons, ~~or any reason required by law~~. “Without pay” means that F5AC does not pay for time on leave, ~~although F5AC may permit, or require, the employee exhaust other~~ ~~than the~~ accrued, unused vacation, PTO, and/or paid sick ~~leave hours during the otherwise~~ ~~unpaid leave, that the employee uses~~ consistent with F5AC policies and applicable law. ~~The employee must submit a written request to their supervisor as far in advance of the leave as possible~~. Generally, no benefits or seniority will accrue during any unpaid portion of the leave. Human Resources will explain to employees requesting unpaid leave how to continue health plan coverage while on a leave of absence.

General information applicable to all unpaid leaves:

Leave Requests

As soon as an employee learns of the need for a leave of absence, the employee should submit a written leave request to Human Resources. Request forms are available from Human Resources and on the F5AC intranet. If the need for the leave is foreseeable, employees are required to provide at least 30 days’ advance notice. Approval of the leave may be delayed if timely notice is not provided. If the employee learns of the need for leave fewer than 30 days before the leave is needed, the request must be made as soon as possible.

Medical Certification

Human Resources will notify the employee if medical certification is required for a requested leave to be approved. If the reason for leave is the employee's own injury or illness, medical certification of the employee's ability to return to work, with or without any work restrictions, at the conclusion of the leave is required before the employee will be permitted to return.

Concurrent Leaves

If an employee is on a leave that qualifies under more than one law (e.g. leave for a serious health condition under the FMLA/CFRA that is also a Workers' Compensation injury), the leave time will run concurrently to the extent permitted by law.

Unpaid Leaves

The most common types of unpaid leaves are described below. Please see Human Resources for additional information about any leaves, or if you ~~have a need for~~ wish to request leave that is not covered by the descriptions below.

In addition to the leaves outlined below, F5AC may grant time off without pay to an eligible employee who requests time off for personal reasons and who has exhausted their accrued paid vacation and PTO leave. Time off granted in this circumstance, if any, is limited to a maximum of three (3) days. If an employee needs additional time away from work, the employee should request a Personal Leave of Absence.

Family/Medical Leave under the Family Medical Leave Act and California Family Rights Act ("FMLA"/"CFRA")

Eligible employees may request an unpaid leave of up to 12 workweeks in a rolling 12-month period for any of the following reasons:

- For the employee's serious health condition
- To care for the serious health condition of the spouse, registered domestic partner, child, parent of an employee; and additionally, under CFRA, grandparent, grandchild, sibling or parent-in-law.
- To care for the employee's child after birth, or following placement for adoption or foster care ("baby bonding"); or
- To handle "qualifying exigencies" arising out of the fact that the employee's spouse, registered domestic partner, child, or parent is on active duty, or is called to active duty, in support of contingency operations as a member of the National Guard or Reserves.

In addition, eligible employees may be entitled to take a leave of up to 26 weeks in a 12-month period to care for a spouse, registered domestic partner, parent, child, or next-of-kin who has sustained serious illness/injury in the line of military duty.

Eligible employees are those who have at least one year of service with F5AC, and who have worked at least 1,250 hours in the 12-month period before the date the requested leave will begin.

Generally, employees taking FMLA/CFRA leave must use accrued paid sick (if applicable), PTO, and vacation time during the leave. The exceptions to this are:

- Employees on FMLA/CFRA leave for their own serious health condition and who are receiving temporary disability benefits (e.g., SDI) or workers' compensation benefits may elect to use their paid leave to supplement their disability benefit up to an amount that, when combined with the disability benefit, does not exceed their regular pay for the pay period.
- Employees taking leave to care for a family member or for baby bonding are generally required to use accrued vacation, ~~or~~ PTO, or paid sick hours. ~~They are not required to use accrued sick leave.~~

- Employees on leave for pregnancy disability are generally required to use paid sick time and concurrently to FMLA may elect to use PTO or vacation time during the leave.

Employees on approved FMLA/CFRA leave retain their employer-paid health insurance under the same terms and conditions as if they remained actively working.

When an authorized FMLA/CFRA leave expires, employees will be returned to the same ~~position~~ or ~~to a~~ comparable position to the extent required by law.

Non-FMLA/CFRA Medical/Family Leave

Employees who are not eligible for leave under the FMLA/CFRA may nonetheless request a leave for any of the reasons allowed for FMLA/CFRA leaves. The employee must provide evidence of one of the reasons for leave as stated in the FMLA/CFRA and provide 30 days' notice if the need for the leave is foreseeable.

If approved, in most cases, leaves of this type will not exceed a maximum duration of eight (8) work weeks within a rolling 12-month period. Generally, employees must exhaust any and all accrued sick leave (if applicable), PTO, and vacation time during the leave.

An employee whose medical condition temporarily precludes them from working may request an unpaid medical leave of absence as a reasonable accommodation.

F5AC will generally require the employee to provide reasonable medical documentation from a health care provider verifying the employee's temporary inability to work. The duration of leave will depend on the circumstances involved, which F5AC will evaluate on a case-by-case basis. Employees on leave must exhaust accrued paid sick, PTO, and vacation time during the leave.

Employees who have active health insurance with F5AC at the time they request this leave, will continue to be covered by health insurance through the end of the month when the unpaid portion of their leave begins. Afterwards, employees may continue coverage under F5AC's group insurance plans at their own expense pursuant to COBRA.

When an authorized leave ends under this section, employees will generally be returned to the same, or ~~to a~~ comparable, position to the extent required by law.

Pregnancy Disability Leave ("PDL")

Employees who are disabled and unable to work due to pregnancy, childbirth, or a related condition are eligible to request a leave up to four months per pregnancy. PDL does not need to be taken all at once but can be taken on an as-needed basis as certified by the employee's health care provider.

Employees requesting foreseeable PDL leave should ordinarily provide thirty days' notice in advance of the date the leave is to begin. When requesting PDL, an employee must provide certification of the need for leave from the treating health care provider, who must certify the date the leave is to begin as well as the anticipated return-to-work date. When returning from PDL leave, the employee must provide a release to return from the health care provider, including any work restrictions and the duration of any such restrictions.

Employees taking PDL leave must generally use accrued paid sick time during the leave but may elect whether to not to use accrued vacation or PTO.

Employees taking PDL retain their employer-paid health insurance during their approved leave (~~e.g.,~~ up to a maximum of four months) under the same terms and conditions as if they remained actively working. ~~Eligible employees who take CFRA leave for baby bonding (or other~~

~~qualifying reason) following their PDL leave, may receive employer-paid health insurance for up to an additional 12 workweeks.~~

Employees returning from approved PDL will be returned to the same, or a comparable position, to the extent required by law.

Workers' Compensation Leave

Employees who are temporarily unable to work due to a job-related illness or injury may be eligible for a leave of absence until the earlier of the following:

- The employee is released to return to work; or
- The employee is determined to be unable to return to their usual duties permanently.

Employees must exhaust all accrued sick, vacation, and PTO during this leave. The exception to this is that employees receiving workers' compensation benefits whose leave runs concurrent with FMLA/CFRA leave are not required to use their paid leave but may elect to do so.

Employees who are covered by F5AC health insurance at the time their leave commences, and who do not have FMLA/CFRA leave running concurrently, will remain covered by F5AC health insurance coverage through the end of the month when the unpaid portion of their leave begins. Thereafter, employees may generally elect to continue coverage under F5AC's group insurance plans at their own expense pursuant to COBRA.

Employees returning from workers' compensation leave will be returned to the same, or a comparable position, to the extent required by law.

Personal Leave of Absence

~~F5AC may grant time off without pay to an eligible employee who requests time off for personal reasons and who has exhausted their accrued paid vacation and PTO leave. Time off granted in this circumstance, if any, is limited to a maximum of three (3) days. If an employee needs additional time away from work, the employee should request a Personal Leave of Absence.~~

F5AC may consider granting a personal leave of absence without pay. Personal leaves are limited to a maximum of two months in any two-year period (measured in a rolling 24-month period). Personal leaves may generally not be added to any of the previously described leaves. ~~All Any~~ regular F5AC employee ~~who have completed their introductory period~~ may request an unpaid personal leave of absence. Job performance, attendance, and work/program requirements are all taken into consideration before a request is approved. Requests for unpaid personal leave may be denied or granted by F5AC within the sole discretion of the Agency.

Personal leaves of absence must be requested in writing, and 30 days' advance notice is required if the need for leave is foreseeable. All requests must first be reviewed and recommended by the supervisor, ~~the~~ Human Resources ~~Administrator~~ and approved by the director.

Employees are required to exhaust any and all accrued paid sick (if applicable), vacation, and PTO ~~time-hours~~ prior to requesting an unpaid personal leave of absence.

Employees who have active health insurance with F5AC at the time of their unpaid personal leave will have paid health insurance coverage through the end of the month when the unpaid portion of their leave begins. Thereafter, employees may continue coverage under F5AC's group insurance plans at their own expense pursuant to COBRA.

An employee is required to return from the personal leave on the originally scheduled return date. If the employee is unable to return, they must request an extension of the leave in writing within five (5) business days before expiration of the leave, explaining the reason for and requested duration of the additional leave sought. If the requested leave extension is not approved, the employee must return to work on the originally scheduled return date. Failure to return at the conclusion of the approved personal leave will generally ~~or~~ be considered ~~to have a~~ voluntarily resignation from employment. Extensions of leave are considered on a case-by-case basis.

Upon expiration of an approved personal leave, the employee will generally be returned to the same or comparable position, but there is no guarantee of reinstatement following a personal leave.

Catastrophic Sick Leave Bank

An employee may be eligible to receive voluntary donations of paid leave accrued vacation hours from other employees if they have suffered a catastrophic illness or injury, or if they must care for an immediate family member (as defined in the Paid Sick Time policy in this Handbook) who has suffered a catastrophic illness or injury. Catastrophic illness or injury is a critical, terminal medical condition or a long-term major physical impairment or disability that temporarily prevents the employee from working their usual hours, or from working at all.

The Catastrophic Sick Leave (“CSL”) Program is designed to be as confidential as possible and is strictly voluntary. Employees who donate paid time off accrued vacation hours benefits to the CSL Bank will be made aware of the dollar value of their donation to the Bank. The recipient of CSL benefits will be made aware of the value of their benefits received from the CSL Bank. Individual donations, and the identities of donors and recipients of benefits, are confidential, will not be disclosed except on a need-to-know basis for administrative purposes.

Any regular full or part-time F5AC employee working 20 or more hours per week is eligible to participate in the CSL Bank, either by donating paid vacation leave, or by requesting a donation. The donor employee may donate accrued paid vacation time only. No other paid time off may be donated to the CSL Bank. The donor’s hourly value of paid vacation time donated will be converted into a dollar value and deposited into the bank. After F5AC approval, CSL leave is withdrawn from the CSL Bank and granted as sick hours to the eligible requesting employee.

To be considered for a CSL Bank donation, the requesting employee, family member of the requesting employee, or another person designated in writing by the requesting employee must submit a request for donation to Human Resources. Human Resources administers the CSL Program and Bank.

The requesting employee must provide a medical verification of the employee’s qualification for this CSL program, including an explanation of the employee’s work limitations and estimated date of return to work, if applicable. If the employee requesting CSL benefits has left work to care for a critically ill family member, they must provide medical documentation confirming the critical illness/injury of the family member, the need for the employee’s care, and the expected duration of the care period is required for the family member.

The determination of whether to award ~~employee~~ donations from the CSL bank will be at F5AC’s sole discretion and will be final (e.g., not subject to challenge).

While the CSL bank donation request may be initiated prior to the anticipated date of the exhaustion of paid leave balances, the requesting employee is not eligible to receive and use donations when they have accrued hours available. No retroactive requests will be permitted (e.g., employees will not be granted donations for time off already treated as unpaid leave).

Exhaustion of accrued hours alone is not justification for requesting a donation from the CSL Bank.

A requesting employee may be eligible to receive up to a total of ~~40 working days 320 hours~~ of donated CSL time throughout ~~the tenure of~~ their employment. Donations are considered on a first-come, first-served basis. Donations from the CSL Bank may be ~~received~~ approved only if there are funds available in the bank.

Periodically, F5AC may notify all employees that they may choose to donate to the bank, ~~particularly at year end.~~

Donations are made in ~~half day~~ 4 hour increments. Once the donation is made, and deposited in the CSL Bank, it is a final transaction and cannot be retrieved by the donating employee. The maximum donation in a calendar year is ~~ten donor days~~ 80 hours per employee, except spouses or registered domestic partners, both employed by F5AC, may donate unlimited amounts of paid vacation time between one another. In any case, donations that would result in vacation balances falling below 40 hours are not permitted.

Part Seven: Work Hours & Pay

Pay Periods

For all employees, the standard pay period is biweekly. Employees are paid every other Friday. If the payday falls on a holiday, employees generally receive pay on the prior workday.

Work Schedules

The regular work schedule is from 8:30 a.m. to 5:00 p.m. Monday through Friday including a half hour unpaid rest period. Some employees may have different work hours and/or ~~a 9/80 schedule~~ an alternative work schedule if the alternative schedule is agreed in advance in writing by the employee and the supervisor and reviewed/approved by Human Resources. Any alternate work schedule is subject to the demands and limitations of the job and department.

~~9/80 schedule~~ Alternative Work Schedules

4/10 Schedule

A 4/10 schedule allows an employee to work 4 days, instead of 5 days per week. An employee works 10 hours per workday, 4 days per week, rather than 5 eight-hour days per week. Employees must have supervisor approval and work set workdays each week. Employees may need to occasionally adjust their workdays due to organizational needs or their manager's request. Employees approved for this schedule sign a written 4/10 agreement and cannot accumulate Flex days off. Employees may need to adjust their Flex days due to organizational needs or their manager's request.

9/80 Schedule

Any regular, exempt full-time employee ~~scheduled to work at least 40 hours per week~~ is eligible to request a 9/80 schedule. A 9/80 schedule allows an employee to work 9 days, instead of 10 days, in a 2-week pay period. This schedule ~~typically~~ consists of: eight 9-hour days and one 8-hour day, with every other Friday off, (also known as a flex day off) in a single 80-hour pay period. ~~Five days on one calendar week and 4 days the following calendar week. Eight of the days are 9 hours and one day is 8 hours. Employees on this schedule receive one day off per 80-hour pay period.~~ Employees approved for this schedule sign a written 9/80 agreement and cannot accumulate ~~9/80 Flex~~ days off. ~~Hourly employees cannot change 9/80 days off. Exempt~~

Employees may need to adjust their Flex days due to organizational needs or their manager's request.

F5AC holidays are paid at a rate of 8-hours per day. Employees who are scheduled to work a 9-hour or 10-hour day and are off on a holiday must request 1- or 2-hours accrued vacation or PTO to receive full pay for the day off.

If a holiday falls on a day an employee is scheduled for their flex day off, the employee will be allowed to take 8-hours of leave on another day in the pay period the holiday falls, upon supervisor approval. The 8-hours may be combined with 1- or 2-hours vacation or PTO to be paid a full 9- or 10-hour day.

Meal Periods

Non-exempt employees who work five (5) hours or more should take an unpaid lunch break of a minimum of thirty (30) minutes (or up to one (1) hour if ~~desired~~working a 9-hour day) towards the middle of their workday. No work for F5AC should be performed during the unpaid meal period. On the rare occasion when F5AC work requirements make it impossible for the employee to be completely relieved of all duties during their lunch break, the employee must note this on the timecard, and inform their supervisor, and they will be paid for their meal period. Employees may not skip meal breaks ~~to shorten the workday~~ without prior approval from their supervisor.

Timekeeping Requirements

Non-exempt employees must accurately complete and submit time sheets to be approved by their supervisor or manager for each pay period. Non-exempt employees record actual hours worked and any paid or unpaid leave taken during the period; non-exempt employees must report all hours worked and are prohibited from performing any work "off the clock."

Exempt employees should accurately complete a time sheet for each pay period showing their regular work schedule and any paid or unpaid leave taken.

Overtime Pay and Compensatory Time Off

F5AC provides overtime compensation to non-exempt employees for all hours worked in excess of 40 hours per workweek. All overtime must be approved in advance by the supervisor and the Director of Operations and Technology.

Formatted: Not Highlight

As an employee option, F5AC offers compensatory time off (CTO) as a substitute for overtime pay. For all hours worked in excess of 40 in the workweek, the employee may elect to receive CTO at the rate of one and one-half hours of paid time off for each hour of overtime worked, up to a maximum of 240 CTO hours. Any employee wishing to receive CTO instead of overtime compensation must have a written CTO agreement on file with Human Resources in advance of performing the overtime work. ~~When the employee takes off the compensatory time earned will be determined between the employee and the supervisor; however, employees are encouraged to take compensatory time off as soon as possible after it is earned. F5AC does not unreasonably deny such requests.~~

Taking paid time off work, such as vacation, PTO, holiday, and sick time, does not constitute hours worked for the purposes of computing overtime.

Bilingual & Trilingual Multilanguage Pay

If an employee is required by their job duties to use a second or third language at least 20% of the time on the job (in the sole determination of F5AC), the employee or the employee's supervisor may make a request to human Resources that the employee be provided bilingual or trilingual pay.

Prior to any recommendation or approval for this special pay, the employee must first pass a language proficiency exam administered through F5AC's designated testing agency. A passing score is 70%. If the eligible employee passes the test, and F5AC approves, an additional taxable earning will be added to the employee's paycheck each pay period in an amount consistent with the Alameda County bilingual or trilingual pay rate.

Supervisors must contact Human Resources to schedule testing for eligible employees. Supervisors must also confirm, on an annual basis, that the employee is continuing to use the second/third language at least 20% of the time and must annually reauthorize bilingual/trilingual pay, if appropriate.

Part Eight: Workplace Health & Safety

Drug-Free Workplace

As part of F5AC's ongoing commitment to a safe and healthy workplace, we maintain a drug-free workplace. Any employee who reports to work while under the influence of drugs or alcohol runs the risks of endangering their safety and the safety of others, destruction of or damage to personal property or F5AC property, and a loss of productivity and workplace morale.

All employees of F5AC are required to understand and comply with F5AC's drug-free workplace policy. Employees either in our offices, or conducting business on behalf of F5AC regardless of location, are prohibited from the following:

- Use, possession, purchase, sale, manufacture, distribution, transportation, or dispensation of alcohol or drugs. (The sole exception to this is the appropriate use or possession of prescription or over-the-counter medication that does not impair the ability to work safely and effectively.)
- Reporting to work, or working, while under the influence of alcohol or drugs.

If an employee is taking prescription or over-the-counter medications that may impair their ability to work safely or effectively, the employee should inform the supervisor of that fact prior to commencing work.

Smoking

Smoking, including the use of e-cigarettes, is prohibited in all F5AC offices, and while conducting F5AC business, regardless of location.

COVID-19 Workforce Vaccination Policy

F5AC provides a safe and healthy workplace, consistent with public health guidance and legal requirements, and protects its employees and the public from COVID-19. This Policy is designed to protect our employees and the public we serve

Guidance from the federal Centers for Disease Control and Prevention (CDC), the California Department of Public Health (CDPH), and the County's Health Officer uniformly cite vaccination as the most effective way to reduce COVID-19 transmission and limit COVID-19 hospitalizations and deaths. Unvaccinated F5AC staff are at greater risk of contracting and spreading COVID-19 in the workplace and at partner facilities, and therefore represent a greater risk to/from the members of the public who depend on our services.

As a condition of continued employment, all employees must disclose their vaccination status following the procedure below. Vaccinated employees must provide vaccination proof to Human Resources.

All new employees must disclose their vaccination status and, if vaccinated, provide proof of their vaccination prior to beginning employment.

Employees who are unvaccinated (as defined below) and who wish to, or are required to, use First 5 offices, must undergo weekly COVID-19 testing in addition to wearing a mask at all times in the workplace until they are fully vaccinated (as defined below).

Any non-employees who provide service to First 5, such as volunteers who access First 5 offices (hereafter "covered non-employees") are also required to comply with the vaccine status disclosure and policy testing obligations.

Definitions

- **COVID-19 Testing** – Testing for COVID-19 must be completed using a PCR (molecular) test or antigen test, which must either have Emergency Use Authorization by the U.S. Food and Drug Administration (FDA) or be in accordance with the Laboratory Developed Test requirements by the U.S. Centers for Medicare and Medicaid Services. At home tests do not meet this requirement.
- **Fully Vaccinated** – at least two weeks passed since receiving the final dosage of an FDA-approved COVID-19 Vaccine. While employees are encouraged to receive booster vaccinations where eligible, this is not a requirement to be considered fully vaccinated. This definition is subject to change and may be revised in accordance with CDC and CDPH guidelines and applicable law.
- **Vaccination Proof** – one of the following:
 - COVID-19 Vaccination Record Card (issued by the Department of Health and Human Services, CDC, or WHO Yellow Card) which includes name of person vaccinated, type of vaccine, and date final dose administered; or
 - Documentation of COVID-19 vaccination from a licensed health care provider; or
 - Digital record that includes a QR code that when scanned by a SMART Health Card reader displays to the reader the employee's name, date of birth, vaccination dates, and vaccine type, obtained at: Digital COVID-19 Vaccine Record (ca.gov).
- **Unvaccinated** – not vaccinated, incompletely vaccinated, or not fully vaccinated.

Requirements & Procedures

Reporting Requirements

All employees and covered non-employees must disclose their vaccination status by submitting the related documents to Human Resources. Employees and covered non-employees who disclose they are:

1. "Fully vaccinated" must provide their proof of vaccination to Human Resources;
2. Not "fully vaccinated" will receive information describing how to receive their vaccination on F5AC time (up to two hours per dosage) and receive testing requirement information.

Testing Requirements

All unvaccinated employees or covered non-employees must provide to human resources proof of a negative COVID-19 test taken no more than 72 hours prior to the first visit to the office that week. Up to two hours per COVID-19 test is paid.

Record Confidentiality

Records related to an employee's vaccination status and COVID-19 tests are considered confidential health records and are confidentially maintained in accordance with the F5AC Confidentiality Policy in this handbook.

Part Nine: Work Practices and Environment

Punctuality & Attendance

If employees are unable to work as scheduled, they must so inform their immediate supervisor prior to the start of the workday or, in any event, no later than one hour following their regularly scheduled start time. Employees must also keep their supervisor informed about the expected length of time away from work.

Employees are expected to be responsible and demonstrate respect for fellow employees by establishing a record of punctuality and regular attendance. These are factors considered in evaluating overall job performance.

Unexcused or frequent lateness or absenteeism is not permitted.

Facilities & Property Use

Employees are expected to treat F5AC facilities and property with respect and to keep their work area and common areas clean and well-maintained. F5AC equipment use is limited to work-related purposes. Employees must have written supervisory approval prior to removing any F5AC property from the premises. Employees may decorate their own workspaces, as long as decorations are consistent with F5AC policies and project a professional image appropriate to our work. Employees must have Office Manager approval before making any changes to public spaces or common areas.

Visitors

All visitors must sign in and out at the front desk and receive a visitor badge to wear in the office. Visitors should stay in the reception area until escorted by an employee. Please keep non-work-related visitors to a minimum to avoid interruptions to coworkers.

Security

F5AC strives to provide a secure work environment for our employees, volunteers, clients, and visitors. Our building is equipped with an alarm system that is activated during non-business hours, and exterior doors are always locked (except the front entrance and conference center entrance which are unlocked during business hours). Employees are required to comply with all F5AC security procedures and immediately report any security breach to your supervisor.

We encourage employees to be prudent about bringing personal items to work. F5AC is not responsible for losses resulting from property theft.

Immediately report lost or stolen keys/fobs or other missing F5AC property to your supervisor. Copying or giving F5AC keys/fobs, alarm codes, or lock combinations to an unauthorized individual is strictly prohibited.

Breastfeeding-Friendly Workplace

F5AC recognizes that breastmilk is the optimal food for infants' growth and development, and encourages all employees to have a positive, accepting attitude toward working women and breastfeeding employees. F5AC promotes and supports breastfeeding and the expression of breastmilk by breastfeeding employees and recognizes that employees have the right to request lactation accommodation.

F5AC provides:

- Information about breastfeeding support when hired and prior to employees' leave for pregnancy disability or related condition or baby-bonding leave.

- Reasonable time to express milk or breastfeed. Supervisors are encouraged to consider flexible break times, schedules, or other reasonable accommodation to meet employees' needs. Employees may request this accommodation either verbally or in writing to their supervisor or Human Resources.
- A designated Lactation Room, furnished with an electrical outlet, refrigerator for breastmilk storage, comfortable seating, a table, and appropriate furnishings/signage to ensure privacy.

Employees who believe they have not been accorded their rights in connection with this policy have the right to file a complaint with the California Labor Commissioner.

Children in the Workplace

F5AC values family and work-life balance and strives to create an employee-friendly workplace. Our employment policies and benefits reflect our beliefs. F5AC also believes in creating an environment that is conducive to work and generally should not be used in lieu of child care.

While we are sensitive to our employee's child care needs, it is not appropriate for minor children and other minor relatives of employees to be in the workplace during working hours, except for brief visits. This policy has been adopted to minimize potential liability to F5AC, the risk of harm to children, and decreased employee productivity due to distractions and disruptions.

F5AC recognizes there may be occasions when child care is not available and ~~work demands are such that the~~ employees' needs to be available for work. In those situations, the employee may request to work remotely on a temporary basis, or, if the work must be done in the office, may request to bring in their child(ren) for a short period of time. In those rare cases where children are in the workplace, they must be directly supervised by the parent at all times. In the interest of maintaining the health and well-being of all F5AC employees, children who are ill must not be brought to the workplace. Employees may consult F5AC's Employee Assistance Program for assistance with finding emergency care providers to care for sick children.

Remote Work

Remote Work is a pre-authorized arrangement where some of the employee's work is performed at home. Remote Work is a privilege that may be appropriate for some employees and some jobs. It is not an entitlement or Agency-wide benefit. A Remote Work arrangement in no way changes any other terms or conditions of employment with F5AC.

Remote Work can be short-term, such as occasionally working from home for a short-term project with the pre-approval of the supervisor/manager, or long-term as described below. All Remote Work arrangements are made on a case-by-case basis at the discretion of the supervisor and are memorialized in writing in advance. The specific work to be performed and the projected amount of time expected before permission is granted, even for short-term Remote Work arrangements. All employees who work remotely are responsible for a safe home workplace, and for taking appropriate steps to safeguard F5AC confidential information. Non-exempt employees working remote are required to reporting hours worked timely and accurately.

Requests for a Remote Work arrangement are considered on a case-by-case basis when an employee's work can reasonably be carried out from home without unduly impacting either the employee's own level of work productivity or that of their fellow employees. In general, Remote Work requests are considered only for employees who have passed their probationary period, have received above satisfactory performance reviews, and have demonstrated their ability to manage their work independently. Due to the high degree of interaction required for most positions at F5AC, Remote Work schedules are generally limited to one (1) day per week, or a maximum of 25% of the employee's regularly scheduled work hours.

Requests for Remote Work arrangements must be made using F5AC's Remote Work Application Form and require approval by the supervisor, Senior Administrator (if applicable), and HR Administrator. If the Remote Work arrangement is approved, the employee will be required to sign a Remote Work Agreement and complete a self-certification safety and security checklist before beginning remote work.

If approved, any Remote Work arrangement made will be on a trial basis for the first three (3) months. Remote Work arrangements are reviewed by the employee and supervisor at least annually and can be terminated at any time by either party, even during the initial three-month period.

COVID-19 Remote Work Policy Revision: Due to COVID-19, the need to request a Remote Work arrangement is temporarily not required. The rest of the policy including performance expectations remain unchanged. This is temporary and may change at any time with or without warning.

Personal Automobile Use

Prior to using a personal vehicle for work, employees must have supervisory approval and provide a copy of their driver license and proof of personal automobile insurance (with required minimum coverage for property damage and public liability). Employees who use their own automobiles for travel on authorized F5AC work will be reimbursed for mileage at the rate established by the Internal Revenue Service.

Use of the personal vehicle for work does not include the normal commute between work and the employee's home.

Attire

Attire should enable employees to be comfortable in the workplace, while also projecting a professional image to co-workers, clients, partners, volunteers, and the general public.

The following guidelines provide general parameters for appropriate work attire and help employees exercise good judgment about items not specifically addressed. A clean and neat appearance should be maintained at all times. In all situations, clothing should be comfortable and practical for work, but not distracting, revealing or offensive to others. Torn, frayed, ripped, messy or overly casual clothing are not considered appropriate for the office.

Employees may observe dress and/or grooming practices consistent with their religious beliefs, and employees requiring special clothing accommodation for any reason should advise their supervisor or Human Resources in advance. Supervisors, in collaboration with HR, are responsible for interpreting and monitoring attire and grooming standards, including counseling employees whose attire is inappropriate.

Expense Reimbursement

Reasonable and customary work-related expenses incurred in the performance of one's job will generally be reimbursed. Reimbursement requires prior written authorization by the employee's immediate supervisor, itemized actual expenses, and the employee's signed expense reimbursement form with all required documentation/receipts attached. Reimbursements submitted after 120 days will be subject to income tax. Employees should consult the Finance team or the F5AC Procedures Manual for specific instructions.

References

F5AC provides only limited reference information about current and former employees to prospective employers. i.e.: only employment dates and job titles. Upon receiving a written

request and authorization signed by the current/former employee. F5AC will also disclose final/current earnings. References may only be provided by Human Resources. Any employee who receives a request for references or information about any current or former employee must refer this request to Human Resources.

Part Ten: Communication & Technology

Technology, Voicemail and Email

F5AC employees are permitted to use F5AC's voice mail, electronic mail, computers, networking sites and internet access (collectively "Technology Systems") to communicate with others for work purposes and otherwise to perform their job duties. ~~The email-Technology system-Systems is-are~~ primarily used for F5AC ~~or work-related email-work,~~ and not for personal purposes. Minimal personal use ~~is-may be~~ permitted, provided any use is during non-working time only, and that it does not interfere with the employee's work responsibilities.

Employees are not permitted to use F5AC's Technology Systems to send jokes, comments or information to others that may be perceived as discriminatory, harassing, offensive, or disruptive, or otherwise in violation of any F5AC policy. ~~Any technology provided by F5AC~~The Technology Systems may-must not be used to send material that disparages an individual, company, or business entity, or to disclose personal or confidential information without authorization.

Employees may not install, copy, stream, or download software ~~onto F5AC computers or personal files onto the Technology Systems~~ unless authorized by the IT team. ~~Employees are also prohibited from downloading personal files onto work computers.~~

Employees do not have any right or expectation of privacy in ~~any F5AC~~the Technology Systems, including email or documents created, maintained, sent, or received by, ~~F5AC computers or transmitted via F5AC's servers and networks~~the Technology Systems. F5AC may monitor and/or search the contents of all voice-mail, computer files, and electronic communications, ~~(including email) to promote the administration of F5AC operations and policies or for any other business reason.~~

Social Media

F5AC has a social media presence and encourages employees to connect to help spread the word about F5AC's great work and the services and support that are available to children and families in Alameda County. Use of social media presents certain risks and carries responsibilities.

Social Media includes all means of communicating or posting information or content of any sort on the Internet whether or not associated or affiliated with F5AC. The same principles and guidelines found in F5AC's policies apply to your activities online that may relate to F5AC. Ultimately, you are solely responsible for what you post online. Keep in mind that any conduct on social media or otherwise that adversely affects your job performance, the performance of fellow employees, or otherwise adversely affects staff, volunteers, contractors/grantees, vendors, or any other people who work on behalf of or receive services from F5AC is not permitted.

Employees are expected to ensure their social media postings that may relate to F5AC are consistent with these and all other F5AC policies.

Always be respectful

Always be fair and courteous to fellow employees, volunteers, contractors/grantees, vendors, or other people who work on behalf of or receive services from F5AC. Remember that colleagues, supervisors, and agency partners often have access to the online content you post. Keep in mind that you are more likely to resolve any work-related complaints by speaking directly with your co-workers or by using our Open-Door Policy than by posting complaints to a social media outlet. Nevertheless, if you decide to post complaints or criticism that may relate to F5AC, avoid any content that could reasonably be viewed as unlawful, malicious, obscene, threatening or intimidating, that disparages employees, volunteers, clients, contractors/grantees or vendors, or that might constitute harassment or bullying. Examples of such conduct might include offensive posts meant intentionally to harm someone's reputation or posts that could contribute to a hostile work environment.

Be honest and accurate

Make sure you are always honest and accurate when posting information or news that may relate to F5AC, and if you make a mistake, correct it quickly. Be open about any previous posts you have altered. Remember that the Internet archives almost everything; therefore, even deleted postings can be searched. Never post any information or rumors that you know to be false.

Be conscious about mixing your personal and professional lives

- Maintain the confidentiality of F5AC's confidential, private, or sensitive information (see the Confidentiality policy contained in Part Eleven of this Handbook for examples). Do not post internal reports or memos, policies, procedures or other internal business-related confidential or sensitive communications.
- Do not create a link from your blog, website, or other social networking site to a F5AC website without identifying yourself as a F5AC employee.
- Express only your personal opinions, and never represent yourself as a spokesperson for F5AC. If F5AC is a subject of the content you are creating, be clear and open about the fact that you are an employee of F5AC; make it clear that your views do not represent those of F5AC, and you are not speaking on behalf of F5AC. It is best to include a disclaimer such as "The postings on this site are my own and do not necessarily reflect the views of F5AC."
- Do not use your F5AC email address to register on social networks, blogs, or other online tools utilized primarily for personal/social purposes.
- Do not use social media while on work time or on F5AC's Technology Systems, unless it is work-related as authorized by your supervisor or consistent with F5AC's Technology Use Agreement.

F5AC's social media presence

The Communications team is primarily responsible for ~~our~~ **F5AC's** Social Media presence. Only designated staff may post content on F5AC-affiliated social media sites. Employees who have ideas, suggestions, or resources for posts are encouraged to share them with the Communications team.

Employee Information & Records Inspection

It is important that employment files are current. Employees should update their information in the Human Resources system (address, phone, emergency contacts, etc.) and inform Human Resources when there are changes, such as marital or domestic partnership status, and dependents, that may affect pay or benefits.

Employees have the right to inspect employment records relating to their performance or to any grievance concerning them, or otherwise as permitted by law. Employees wishing to inspect employment records may do so during regular office hours, after a written request is made to ~~the~~ **Human Resources Administrator**. An inspection request form is available from Human

Resources and also on the F5AC intranet that employees may use to make their request. Records will be made available for inspection within 30 days of receipt of the written request. An appointment to inspect the file is made with the Human Resources team, who is present with the employee while inspecting the file. Employees may receive copies, at their own cost, of any document in the employment file to the extent required by law. Employee records are the property of F5AC and are not allowed to be taken from Human Resources without prior written authorization.

Internal Communication

F5AC uses bulletin boards, mailboxes, meetings, intranet, and email to communicate important F5AC information. Each employee is responsible for reading posted or distributed information.

Media Relations

Employees should not respond to any inquiries or requests received from the media for comments or statements on behalf of F5AC. Instead, employees should refer requests to the CEO or, if the CEO is unavailable, to the Communications Specialist. The CEO will respond directly or designate another staff member to serve as the F5AC spokesperson.

Part Eleven: Conduct

Workplace Conduct

F5AC requires employees' cooperation, efficiency, productivity, and compliance with all policies and procedures. **We-Employees must** treat each other with dignity and respect at all times at work and in work-related situations.

Some examples of conduct that may result in disciplinary action, up to and including immediate termination, include, but are not limited to:

- Substandard job performance
- Unauthorized or excessive tardiness or absenteeism, **unrelated to a protected leave**
- Rudeness or discourtesy or disrespect toward a fellow employee, supervisor, volunteer, supporter, or member of the general public
- Fighting, roughhousing, bullying, or engaging in violent or threatening language or gestures, or conduct that is abusive, hostile, or disrespectful (such as slandering or ridiculing others, making false accusations, humiliating others in public, or shunning/ostracizing others, etc.)
- Theft of or unauthorized use of F5AC or a coworker's property
- Disregarding established safety or security procedures, or creating an unsafe work situation for anyone
- Refusing to perform a work-related task when directly instructed to do so by a supervisor or member of management
- Possessing a weapon or firearm on F5AC's property
- Violating F5AC policy prohibiting workplace discrimination, harassment, and retaliation, or violating any other F5AC policy

Open Door Policy

F5AC has an open-door policy that encourages employee participation in decisions affecting them and their daily professional responsibilities. Employees who have a different opinion, misunderstanding or conflict with another F5AC employee are encouraged to address the situation directly with the employee(s) involved, if it is appropriate and safe to do so. We also encourage employees who have job-related problems or complaints to talk them over with their supervisor or a manager at any level of management. We believe that employee concerns are best addressed through informal and open communication.

To the extent possible, F5AC maintains confidentiality in addressing and resolving concerns brought to its attention. However, while investigating and resolving concerns, some information will likely be shared on a need-to-know basis.

No employee will be retaliated against for raising a concern in good faith.

Disciplinary Procedures

While F5AC may use any disciplinary step it concludes is appropriate given the circumstances, including immediate termination, any, all, or none of the following disciplinary steps may be taken, as appropriate:

- **Record of Counseling:** The supervisor counsels the employee, generally following a relatively minor offense to communicate or clarify acceptable conduct or performance. Counseling records are documented by the supervisor, signed by the employee to acknowledge receipt and placed in the employment file. ~~They are signed by the employee to acknowledge receipt of the Record of Counseling.~~
- **Written Warning:** The supervisor presents the written notice of corrective action, or written warning, to the employee in person if possible. A written warning includes a description of the misconduct or performance problem, ~~degree of seriousness~~ the expectations going forward and the consequences if the problem is not corrected. Written warnings are signed by the employee to acknowledge receipt and placed in the employment file.
- **Suspension:** Employees may be suspended without pay for a period of time for relatively serious offenses at the sole discretion of F5AC.
- **Discharge:** Termination can result from a single, serious offense, or it can be the final step in a process designed to correct offenses or performance problems. It can also occur as the result of conduct inconsistent with F5AC policy.

Other disciplinary steps not described above may or may not be taken, depending on the circumstances. Supervisors are required to consult with ~~the~~ Human Resources ~~Administrator~~ prior to taking or recommending any ~~step of the progressive discipline process~~ disciplinary action, including discharge.

The use of any of the above disciplinary procedures in no way alters the at-will employment relationship.

Right to Respond to Notice of Serious Discipline

Public agencies must comply with certain minimal due process procedures before taking Serious Disciplinary actions, defined for this policy to include pay reduction, suspension of more than five days, demotion, or dismissal, against regular employees.

After receiving a notice of intent to impose Serious Discipline, the regular employee has ten days to respond to the proposed discipline, either in writing or verbally. If an employee timely exercises this right to respond to the notice of discipline, a "Skelly" meeting is conducted.

A "Skelly" meeting provides an informal opportunity for an employee to respond to the proposed Serious Discipline. That is, the employee can refute charges, explain circumstances, or generally present their version of events. The employee is not entitled to a full evidentiary hearing or to call witnesses to testify. The employee may have a representative of their choice present at the meeting. The employee and/or the employee's representative may present the employee's response at the meeting.

A "Skelly" officer leads the meeting. The "Skelly" officer should generally be an impartial authority who was not involved in the investigation or events leading to the decision to issue

Formatted: Tab stops: 3.69", Left

proposed Serious Disciplinary action, and who is authorized to make an effective recommendation concerning the proposed action to the final decision maker.

After the "Skelly" meeting is conducted, the "Skelly" officer will provide a recommendation to the CEO either to uphold, modify, or revoke the proposed Serious Discipline. The CEO has the final authority over the proposed disciplinary action.

Conflict of Interest & Incompatible Activities

It is important that employees avoid conflicts of interest. A conflict of interest is a situation where an employee's personal or economic interest interferes or may interfere with, influence, appear to interfere or influence, the employee's job duties, or is, in the judgment of F5AC, otherwise incompatible with the employee's duties and responsibilities at F5AC or with F5AC's general activities. A conflict may exist even if the conflict or incompatibility has no adverse impact on job performance.

All employees are required to adhere to the F5AC Conflict of Interest Policy. In compliance with California's Political Reform Act, designated employees complete a Statement of Economic Interests (Form 700) within 30 days of hire, annually, by April 1, and within 30 days of terminating employment.

In compliance with the First 5 Alameda County Incompatible Activities Policy, all employees must complete an Incompatible Activities Statement Certification.

If employees have outside employment, they must advise their supervisor and the Finance Officer.

Any employee needing advice about a potential conflict of interest should contact the Finance Officer or Human Resources ~~Administrator~~. Outside employment that may or does create a conflict of interest with the employee's employment at F5AC will not be permitted.

Confidentiality

Careful custody and handling of F5AC files, documents or materials (in hard copy or electronic format), and especially those files and documents containing confidential information, is critically important to the well-being and success of F5AC and our clients. Each employee is responsible for safeguarding against the theft, loss, and unauthorized use or disclosure of this information and for following F5AC's best practice policies and procedures addressing confidentiality including, but not limited to, HIPAA compliance. Further, employees must not, directly or indirectly, disclose any F5AC-related confidential information to any other person except as necessary to perform their job responsibilities. Employees who have access to confidential information must take all steps necessary to ensure F5AC confidential information is handled, stored, transmitted or destroyed, if appropriate, in a way that protects against loss or misuse, as outlined in F5AC's Confidentiality Procedures Manual.

Confidential and/or private matters include, but are not limited to:

- Employee or client names, addresses, telephone numbers, social security numbers, and medical/health information
- Information contained in employment or benefits files, including but not limited to disciplinary action records, performance evaluations, benefit applications, beneficiary information, etc.
- Anything marked "Confidential" or "Personal," such as incoming mail, internal documents marked with these terms, etc.
- Private/Confidential data in F5AC web-based applications

Private and confidential information should not be disclosed except to those who have both the need and authority to know about the information to properly perform their job duties.

~~Data contained in F5AC web-based applications is also subject to HIPAA compliance and Agency Confidentiality best practices policies as outlined in F5AC's Confidentiality Procedures Manual and training.~~

Employees are expected to maintain F5AC confidential information as confidential even after separation from F5AC. Employees will, at F5AC's request at any time and/or when employment terminates, return all documents, papers, computer files or storage devices, web application passwords, or any other material in their possession that may contain or be derived from F5AC confidential information.

External requests for documents or information, including those that may be governed by the Public Records Act, must be referred immediately to the Chief Executive Officer, ~~Director of Operations & Technology~~ Public Information and Communications Officer or ~~Finance Officer~~ Chief of Staff.

Part Twelve: Ending Employment

Voluntary Termination

In all cases of voluntary resignation (e.g., separation of employment that is voluntarily initiated by the employee), employees are asked to provide a written notice to their supervisor at least 10 working days in advance of their expected last day of work. If F5AC asks an employee who has given notice of voluntary resignation to leave our employ before the end of the notice period (for example, if a replacement is to begin immediately), the employee will be paid for the entire notice period, up to a maximum of two weeks.

Employees may use available accrued vacation and PTO to extend their employment for up to 4 weeks following their final day in office.

Human Resources will coordinate and/or conduct an exit interview with each employee who voluntarily terminates employment prior to the employee's exit from F5AC. These conversations enable F5AC to gather important information about the employee's experience at F5AC-policies and procedures, and the work environment, that may ~~be of~~ benefit ~~to many~~ other employees. Although exit interviews are not mandatory, employees are encouraged to participate in them and to speak frankly about their employment experience with F5AC.

Payroll and Returning F5AC Property

All employees separating from F5AC receive their final paycheck on the next regularly scheduled payroll date. Employees are required to return all F5AC property or equipment to Human Resources or the Office Manager before leaving on their last day of work.

Reduction in Workforce

In the event F5AC requires a reduction in workforce, the below guidelines ~~similar to these~~ may be followed.

In its sole discretion, F5AC determines: when and whether it is necessary ~~for to implement~~ a reduction in force (RIF); which employees are affected by the RIF; and the implementation method. Generally, we give primary consideration to the program and F5AC's needs and circumstances.

- To reduce the need for a potential RIF, employees may be hired for temporary positions, with the duration of the position dependent on funding. Employees hired for temporary positions are not eligible for severance pay but may be eligible to receive outplacement services at the conclusion of the temporary position.
- F5AC may reduce positions through attrition instead of RIF.
- F5AC may require a furlough instead of a RIF (e.g., require employees to work fewer hours per week or take a specified period of time off work without pay). During the period of furlough, F5AC will attempt to maintain employees' health and dental insurance benefits at the same level as they were prior to the furlough for a period not to exceed eighteen (18) months.
- F5AC may reduce positions from full-time to part-time depending on program needs and funding availability. If F5AC reduces a position to part-time, F5AC will attempt to maintain the employee's health and dental benefits at the same level immediately prior to the hours reduction for a period not to exceed eighteen (18) months, and subject to any future changes in the F5AC's benefit package. Employees who voluntarily request a part-time schedule are not eligible for this benefit.
- F5AC may eliminate positions and will determine if the RIF will occur on an agency-wide basis or in one or more programs, departments, and/or classifications.

Length of Service: An employee's length of service is measured from the original employment date with F5AC (including time as a County employee, Tri-Net employee, or Diversified employee) as long as there has not been a break in service greater than 30 days (not including leave protected by law. Approved legally-protected leaves do not constitute a break in service).

Notice: Employees selected for RIF through position elimination will be given at least 10 business days' notice of the proposed final employment date.

Severance Pay: If positions are eliminated due to RIF, F5AC may authorize severance pay of two weeks' regular base salary or pay ~~(e.g., the employee's regular base salary or regular straight time hourly wages for the time period)~~ less applicable tax and other withholdings, for every year of continuous service (according to the above length of service definition), not to exceed eighteen (18) weeks of pay. If severance pay is authorized, it will be paid in one lump sum on or after the termination date, and, according to ACERA, is not pensionable.

To receive severance pay, if payment is authorized, employees must first sign a waiver releasing F5AC from any and all liability related to their employment with F5AC and their separation from employment. Refusal to sign the waiver within the allowed period and/or lawful revocation of the waiver renders an employee ineligible to receive severance pay.

In addition to severance pay, if any, F5AC may also make a payment equivalent to \$500 per year of service (as defined above in the length of service definition), but not to exceed \$3,000 total, to help with the cost of health insurance. This payment, if authorized by F5AC, will be made in one lump sum, and will be issued at the same as severance pay. To receive the payment described in this paragraph, if authorized, employees must first sign a waiver releasing F5AC from any and all liability from their employment with F5AC and their separation from employment. Refusal to sign the waiver within the allowed period and/or lawful revocation of the waiver renders an employee ineligible to receive severance pay.

If an employee who was previously part of a RIF and received any severance pay is rehired and then subsequently laid off, that employee may be eligible for severance only up to a maximum of eighteen (18) weeks of pay when all severance payments (e.g., from the first and second RIFs) are combined.

Outplacement Services: Employees whose positions are eliminated in a RIF, or who were hired for temporary positions in connection with a RIF, may be eligible for F5AC outplacement services. These services are designed to help F5AC employees find positions in Alameda County where they can continue to use their skills and expertise on behalf of children aged 0 to 5 years. Outplacement services, if provided, will not exceed three months following the date of separation. F5AC makes no guarantee that utilizing its outplacement services will result in an employment offer.



Acknowledgment

I acknowledge that I have received a copy of the First 5 Alameda County ("F5AC") Employee Handbook. I understand that the Handbook contains important information on the general employment policies of F5AC and on my privileges and obligations as an employee. I acknowledge that I am expected to read, understand, and adhere to F5AC's policies, and I understand I am governed by the contents of this Handbook. I further understand that F5AC may change, rescind, or add to any policies, benefits, or practices described in the Handbook, other than the concept of at-will employment. By my signature below, I also acknowledge and understand that employment at F5AC is at-will employment. That is, either I or F5AC may terminate my employment at any time, for any reason or no reason, with or without cause, ~~and~~ **with or without advance notice.**

Employee Name

Employee Signature

Date

Change Log

Item	Date
Original adoption of Employee policies adopted by Commission	5/21/2004
Handbook Update - Approved by Commission Includes addition of fingerprinting under "Work Eligibility", "Tools and Technology"; and "Bilingual Pay". Medical and Dental Insurance sections rewritten to reflect current benefit structure; "Floating Personal Days" and "Personal Use Time" merged under "Paid Time Off (PTO)"; "Unpaid Time Off and Leaves of Absence" section reformatted to include matrix of leaves	5/26/2005
Addition of Catastrophic Leave Bank – approved by Commission	9/29/2005
Year End Manual Clean-up – reviewed by Executive Committee	6/19/2006
Year End Manual Clean-up – reviewed by Executive Committee	5/22/2008
Includes Addition of Professional Development, Payment in Lieu Long Term Disability, Children in the Workplace, Telecommuting, & References sections; Change in Full Time Status definition, Remove Position Description section	
Formatting Update	2/25/2009
Year End Manual Clean-up – reviewed by Executive Committee Includes addition of Paid Family Leave, Breastfeeding-Friendly Workplace section Addition of Reduction in Workforce section – approved by Commission 12/11/08, with addition of severance pay cap 3/26/09	6/25/2009
Year End Manual Clean-up – reviewed by Executive Committee Includes Addition of Personal Leave of Absence modifications to sick leave policy - approved by Commission on 12/10/09; Deleted Tools and Technology benefit – approved by Commission on 12/10/09	6/24/2010
Year End Manual Clean-up – Reviewed by Executive Committee Addition of Child Abuse Reporting, Confidentiality policies & Temporary Military Duty Leave; Removed Lent to Other Government or Educational Institution Leave	12/8/2011
Deleted ACERA offset benefit – approved by Commission on 12/13/12	12/13/2012
Year End Manual Clean-up – Reviewed by Executive Committee Revisions to Unpaid Leave section, including deletion of the Matrix format, Separation of Pay Periods into Pay Periods and Work Schedules, addition of Reasonable Accommodation Leave, Social Media, Media Relations; Removed Educational, Temporary Military Duty and Military Leaves	5/23/2013
Year End Handbook Clean-up – Reviewed by Executive Committee Consolidation of Medical and Dental Insurance sections, deletion of Wage Garnishments and Appeal of Serious Discipline sections	6/26/2014
Year End Handbook Clean-up – Reviewed by Executive Committee, including modifications to Sick Time to reflect provisions in the Healthy Workplace Healthy Family Act, and to Health and Dental Insurance to reflect provisions in the Affordable Care Act	6/18/2015
Year End Handbook Clean-up – Approved by Commission on 6/16/16 Title change from "Employee Policies and Procedures Handbook" to "Employee Handbook" Addition of "Paid Time Off" usage during Introductory Period Addition to Eligibility of Dependent Children of Temporary Employees; Employer Share of Health and Dental Premiums for Temporary	6/16/2016

Employees and Their Eligible Dependents; Definition for Eligible Dependents; Vacation Time off Requests; Modification to "Workplace Conduct"	
addition of \$500 per Fiscal Year for Professional Development, to Be Reimbursed After Completion of Course(s) – Any Unused Funds Will not Carryover	7/20/2016
Addition to Leaves of Absence – Paid Leave, Work Hours and pay – Flex schedule	8/18/2016
Modify Leaves of Absence – Paid Leave	6/15/2017
Week of Christmas Off & 3% Cola Eff. 01/26/18; In Lieu update from \$125 per month to \$137.50 per month - Approved by Commission.	12/14/2017
Year End Handbook Clean-up – Approved by Commission Includes Extension of Employee's Introductory period, modify Leaves of Absence – Unpaid, Paid Sick Time, Workplace Conduct	6/21/2018
Modify Benefits & CA Paid Family Leave – Approved by Commission	12/13/2018
Handbook Clean-up – Approved by Commission, including updates to approval levels and titles, Reasonable Accommodation, Replaced Policy Prohibiting Harassment & Discrimination, Benefits, Added "additional benefits" section, Vacations, Jury Duty, Pay Periods, 9/80 Schedule, Bereavement, Leave Policies and Catastrophic Leave Bank, Paid Parental Leave, Children in workplace, Telecommuting has been renamed Remote Work, Attire, Technology-Voicemail & Email, Social Media, Workplace Conduct, Open-door Policy, Conflict of Interest, Voluntary Employment Terminations, Reduction in Workforce. The following have been removed: References to pre-employment/onboarding processes, sections on Employing Commissioners, Executive Benefits Package, Long-Term Disability, Payroll Deductions, and Parking.	10/17/2019
Update approved by the Commission - At-Will Employment, Policy Prohibiting Harassment & Discrimination, Adding Presidential General Election Holiday and COVID 19 Temporary Remote Work Policy	10/15/2020
<u>Handbook Clean-up - approved by the Commission, including updates to approval levels and titles, clarification on introductory employees, At Will Employment, Policy Prohibiting Harassment & Discrimination, Work Eligibility, Introductory Period, Employee Classifications, Professional Development, Benefits, Vacations, Paid Time Off, Paid Sick Time, Bereavement Leave, Paid Parental Leave, Leaves of Absences, Work Schedules, Bilingual and Multilanguage Pay, Breastfeeding-Friendly Workplace, Expense Reimbursement, References, Communication & Technology, Conflict of Interest & Incompatible Activities, Confidentiality, Reduction in Force</u>	<u>06/02/2022</u>
<u>Additions: Juneteenth & Indigenous People's Day Holidays; Additional Eligible Family Members under CFRA, 4-10 Schedule; COVID-19 Workforce Vaccination Policy, Right to Respond to Notice of Serious Discipline</u>	



Staff Announcements

June 2, 2022



GENERAL AGENCY ANNOUNCEMENTS

- **\$5 million in American Rescue Plan Act funding awarded for early childhood.** Alameda County Social Services Agency awarding \$4 million in grants to early care and education (ECE) providers (modeled on First 5's Community Resilience Fund grants) and \$1 million to First 5 to create a centralized eligibility list for child care.
- **100% response rate for staff survey about remote work.** Executive Leadership Team seating a cross-agency planning committee to support remote work environment and future work arrangements.
- **Strategic Plan implementation.** Wrapped up Results Based Accountability sessions with staff to develop performance measures for programs. Once the Commission has approved the Strategic Plan, teams will develop workplans over the summer with support from Hickman Strategies.
- **Brown bag sessions about foundational early childhood research being offered to staff.** Meetings scheduled from May to August and presentations will provide overview and critique of selected studies, e.g., 30 Million Word Gap, Perry Preschool.
- **Measure C Readying Brief.** Updates on Measure C provided as an attachment.



PLACE

We partner with communities to build relationships, services, and infrastructure that support neighborhood conditions for family and child well-being.

PLACE

- **Proposal for comprehensive screening in Neighborhoods Ready for School (NRFS) areas.** We have developed a proposal to fund screenings—dental, vision and hearing—at early care and education sites in NRFS service areas. The proposal is being shared with potential funders to co-invest in support of prevention and connection to medical care in service to child well-being and kindergarten readiness.
- **Two NRFS staff leaders recognized by Oakland City Council.** Andrew Park, Trybe, and Chris Nguon, Lincoln Families, were honored for their service and contributions to the community in celebration of Asian American and Pacific Islander Heritage Month.
- **Kindergarten readiness backpacks.** We are partnering with 24 organizations to provide 1,775 First 5-branded backpacks filled with school supplies to young children getting ready for kindergarten.
- **NRFS partner Lincoln Families hosting a caregiver graduation ceremony** on June 4 for parents/caregivers who have completed the Healthy Engagement Learning Academy at Holy Names University (HNU). Children of participants will receive earliest admittance letters to HNU.



PEOPLE

We partner with stakeholders to support parents, caregivers, and children and ensure that families and providers have the resources they need for children to thrive.

PEOPLE

- **2nd Alameda County Fatherhood Summit upcoming on June 18.** Kaiser Permanente is the lead sponsor. The event is virtual and includes keynote speakers Shaka Senghor and Jerry Tello. Fathers, father-figures, and allies can also participate in workshop sessions. More information at www.alamedacountyfathers.org.
- **Alameda County Quality Counts enrolling family child care (FCC) providers.** Offering two Quality Improvement (QI) options with a goal of recruiting 60–80 FCCS across both groups: Coaching for Continuous Quality Improvement (CQI) and Early Identification support. FCCs in Coaching for CQI are eligible for a QI incentive of at least \$1,500. Both groups are eligible for a professional development stipend of at least \$300.
- **Submitted application to First 5 California for \$750K** to provide support for Afghan refugee families, working in partnership with First 5 Contra Costa County, Jewish Family & Children Services-East Bay, and Refugee and Immigrant Transitions. Notification of the grant award is scheduled for June 10.

PEOPLE (CONT'D)

- **Alameda Alliance for Health** CEO and CFO approved a proposal in the Alliance’s budget to support capacity building of pediatric services, outreach to families for family support, care coordination for services, and build out of technological infrastructure. The Alliance Board of Governors will vote to approve the proposed budget on June 10.
- **Help Me Grow Alameda County participated in five community events in April:** “Roll Into Spring” events at Oakland’s Black Cultural Zone’s Akoma Market and H.A.R.D. Meek Estate in Hayward; Kidango’s Family Engagement Fair at the Peixoto Center in Hayward; City of Oakland Head Start Day Resource Fair at Children’s Fairyland; and Oakland Unified School District’s Lockwood Child Development Center’s Family Resource Fair.





POLICY

We advocate for policy and systems change that centers the needs of families, young children, and caregivers and supports community and family conditions for children and families to thrive. We also support community-led efforts, including parent leadership.

POLICY

WIC WATCH LOCAL AGENCY NEWS SPRING 2022

Data Shows Benefits of Providing Diapers to Families in Bay Area


While one in three families nationwide experiences **diaper need**, there has been a lack of scholarship on the issue and its impacts on children and families. To help advance system and policy changes that address structural inequities and support the conditions needed for families and children to thrive, **First 5 Alameda County** invested in an evaluation that could build upon the body of evidence in support of families' essential needs. The evaluation was performed in partnership with **Help A Mother Out (HAMO)** and Public Profit, and the partners recently released the final **Alameda County report** and a joint report for **Alameda and San Francisco counties**.

The data clearly demonstrates that diapers as a form of economic support reduce the stress that families are under to make ends meet, help improve parent-child relationships, and promote overall health and well-being.

Some of the key findings include:

- 98% say their family feels less stressed
- 97% say their child is healthier
- 95% have more money in the budget for food
- 94% say it's easier to pay their bills


In alignment with WIC's diaper distribution efforts, First 5 intends for the reports to inform and accelerate advocacy for long-term, effective policy change that addresses equity and families' basic needs. To learn more, read their **2022 Policy Agenda**.




Molina Healthcare of California is proud to support the California WIC Association and conference attendees.

No matter how the world may change, one thing remains the same: At Molina Healthcare, our highest priority is good health. Thank you for all you do to help Californians get the quality care they deserve.

MolinaHealthcare.com



Page 22 www.calwic.org



- **Governor's May Revise.** First 5 created summaries and analysis to inform child- and family-centered advocacy and investment.
- **First-5 funded evaluation of Help A Mother Out's diaper program** featured in the California WIC Association's Flash Newsletter (e-news) and bi-annual magazine [WIC Watch](#).
- **UCSF California Preterm Birth Initiative and First 5 Center for Children's Policy** released the report **The Road to Black Birth Justice in California**. Uplifts the needs of Black mothers and birthing people, their families, and their communities. Carla Keener, Director of Programs, was part of the report's steering committee.
- **Universal Pre-K (UPK).** Alameda County Office of Education presented at the May All Staff meeting and will present to the Commission in June on UPK planning, implications for schools and early care and education, challenges, and concerns.

POLICY (CONT'D)

- **ECE workforce efforts.** Partnering with ECE stakeholders and interviewing potential consultants to conduct landscape assessment of workforce activities to support teacher recruitment. Partnering with Tipping Point and Social Services Agency to fund evaluation of CalWORKs ECE apprenticeship program administered by the East Bay YMCA.
- **Public comments in support of proposed legislation (SB 854 and AB 2517).** Hope, Opportunity, Perseverance, and Empowerment (HOPE) for Children Act (SB 854) would create trust funds for ~27,000 children in California who have lost a parent or primary caregiver to COVID-19. It Takes a Village (AB 2517) would support a place-based approach for children and families and ensure access to wraparound services from cradle to career.
- **Home visiting block grant.** We provided public input to California's annual plan for the Title V Maternal and Child Health Block Grant which provides core funding to improve the health and well-being of mothers, infants, children and youth, including children with special health care needs and their families.



SHARE:

[Join Our Email List](#)

MAY 17 2022



POLICY

Administration, Congress Take Actions to Help Solve Infant Formula Crisis

Last week, the White House announced it would take action to ease infant formula shortages. President Biden urged USDA to ensure that State WIC Agencies offer flexibility of products to WIC shoppers, directed FDA to explore important infant formula, and asked FTC to investigate price gouging on infant formula. Read NWA's statement [here](#). Today, Speaker Pelosi [announced](#) two pieces of legislation to address the ongoing shortage of infant formula: the [Access to Baby Formula Act](#), legislation that would codify USDA waiver authority during emergencies and supply disruptions, build contingencies into WIC infant formula contracts, and promote coordination between USDA and the Food and Drug Administration (FDA) during product recalls, and a proposal for [emergency supplemental funding](#) that



would provide an additional \$28 million to FDA to strengthen staff capacity for monitoring and inspections.

[Read More](#)

White House Announces New Broadband Initiative

The White House has announced the Affordable Connectivity Program (ACP) to expand broadband access, increase internet speed and cut costs. Participants in public programs, including WIC, can visit [GetInternet.gov](https://www.getinternet.gov) to sign up with a service provider in their area. Federal agencies are also conducting outreach to program participants, and other income-eligible individuals, to encourage participation in ACP. Broadband connectivity is critical for WIC families to be able to access evolving remote WIC services, including video appointments and eventually online shopping platforms.



[Read More](#)

Gov. Newsom Releases May Revise

Governor Newsom released his \$300.7 billion [May Revise](#) to his proposed State Budget, projecting an unprecedented budget surplus of \$97.5 billion. The proposal contains important investments in childcare costs for low-income families, includes funding for “Health4All,” offering Medi-Cal to all income-eligible Californians regardless of immigration status, \$125 million to expand access to reproductive care including doula coverage for Medi-Cal beneficiaries, removes exclusions to food assistance for undocumented Californians 55 years of age and older, and \$2.7 billion for emergency rental assistance. The budget [fails to make paid leave accessible](#) to families by increasing wage replacement rates for Paid Family Leave (PFL) and State Disability Insurance (SDI) programs.



[Read More](#)

New HHS Maternal Mental Health Hotline

HHS has announced the launch of the Maternal Mental Health Hotline, a national, confidential, toll-free service for new and expecting mothers who are experiencing mental health challenges. The hotline launched on May 8 — Mother’s Day — with counselors available to provide mental health support.



[Read More](#)

CWA NEWS

CWA’s 30th Conference and Trade Show - That’s a Wrap!

CWA’s 30th Annual Power of Community Conference was a huge success. We had incredible speakers that kicked off the conference, and four days of sessions covering a diverse array of topics that were eligible for over 30 CEUs. We had around 1,500 attendees from across the state and beyond, over 30 vendors in our virtual trade show, worksite wellness sessions and topics, lunch & learn sessions in both Spanish and English, live cooking demos, daily contests, and more. Our live feed and photo booth were alive with creative posts, and we made the very best of the virtual conference space. We had a lot of fun with everyone, we learned a lot, we networked, and we are looking forward to the 31st conference next year! If you attended the conference, please remember that you can [access the platform](#) through July 15, to watch any session that you missed.

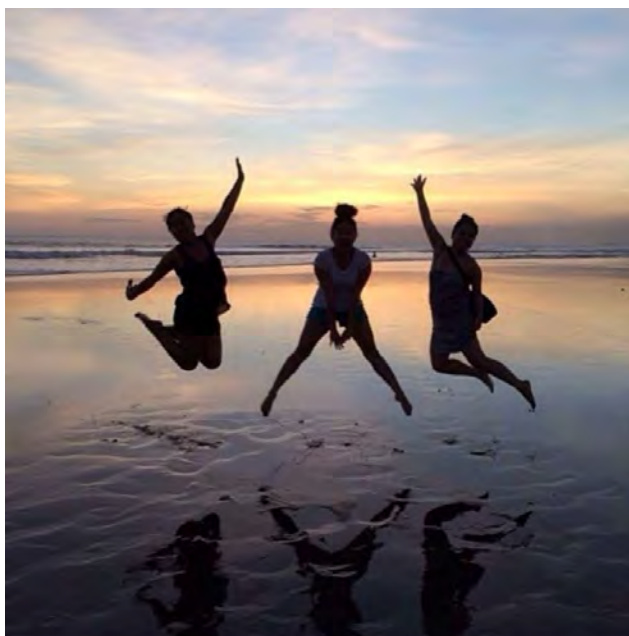


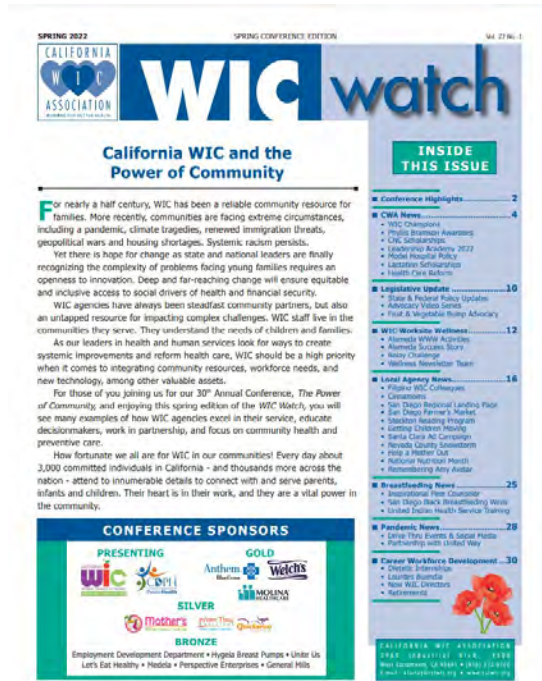
Photo courtesy of Gretchen Lacasse, Program Coordinator at Pasadena Public Health Department WIC Program. Gretchen submitted this awesome photo for our Wanderlust Wednesday contest.

If you are interested in presenting at next year’s conference, would like to be on our planning committee, or would like to be a sponsor, please email [Jodi](#).

New WIC Watch Issue!

Our latest issue of the WIC Watch - CWA's bi-annual magazine about all things WIC - was published last week! Inside you will find policy updates, local agency news, research and policy briefs, WIC workforce developments and wellness innovations. Do you have a story that you want to share in the next WIC Watch? Send it to [Sarah!](#) We would also like to issue a correction for this issue of the WIC Watch: On page 19, it says that the Read to Me, Stockton program has mailed 7,000 books out. The program has actually mailed more than 500,000 books to over 7,000 Stockton children!

[Read the WIC Watch](#)



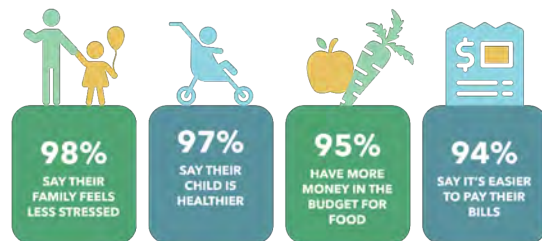
TOP NEWS PICKS

Data Shows Benefits of Providing Diapers to Families

[First 5 Alameda County](#) invested in an evaluation of a diaper program in the Bay Area to help build upon the body of evidence in support of families' essential needs. The evaluation was recently released in two parts, a final [Alameda County report](#) and a joint report for [Alameda and San Francisco counties](#). The data clearly demonstrates that diapers as a form of economic support reduce the stress that families are under to make ends meet, help improve parent-child relationships, and promote overall health and well-being.

[Read More](#) >

Figure 1. Alameda County families are healthier and happier after receiving diapers from the HAMO Bay Area Diaper Bank.



Source: HAMO Bay Area Diaper Bank in Alameda County Client Survey (Feb-March 2021), n=292.

Food Deserts Reduce Breastfeeding Initiation

Living in a food desert is associated with decreased breastfeeding initiation, compared with not living in a food desert, and Black

people have the highest risk, according to researchers reported at the ACOG Annual Clinical and Scientific Meeting.

[Read More >](#)



FDA Approves COVID-19 Booster for 5-11 Year Olds for Emergency Use

Today, the U.S. Food and Drug Administration amended the emergency use authorization (EUA) for the Pfizer-BioNTech COVID-19 Vaccine, authorizing the use of a single booster dose for administration to individuals 5 through 11 years of age at least five months after completion of a primary series with the Pfizer-BioNTech COVID-19 Vaccine.

[Read More >](#)



Non-Food Rewards May Encourage Children to Eat Veggies

A study presented at the European Congress on Obesity suggested that rewarding children with non-food items for trying new vegetables may increase their willingness to eat different types of veggies. Researchers say regularly offering vegetables could increase the ability of toddlers to recognize different types.

[Read More >](#)



Study Explores Effect of Breastfeeding on Mothers' Mental Health

A new systematic review looked at the effects of breastfeeding on mothers' mental

health to make recommendations for breastfeeding. Researchers found that overall, breastfeeding was associated with improved maternal mental health outcomes. However, if a mother experiences difficulties in breastfeeding or differences between her expectations and her actual experience, breastfeeding was associated with negative mental health outcomes.

[Read More >](#)



WELLNESS

Another Round of Free Covid Rapid Antigen Tests

The federal government on Monday started taking orders for a third round of COVID-19 test kits to be mailed to any American household. HHS said on Monday that all U.S. households were eligible to order a third round of tests. Each order now contains eight rapid antigen tests, USPS website says. Previously, four tests were sent out at a time.



[Read More](#)

RESOURCES

The U.S. Breastfeeding Committee, A Better Balance, American Civil Liberties Union, MomsRising, National WIC Association, and WorkLife Law have released an updated version of the [PUMP Act Partner Toolkit](#).

NWA's Updated [Abbott Formula Recall Social Media Toolkit](#)



WIC Can Help WIC Puede Ayudar

Oral Health

Tooth decay is a common but often preventable problem. Untreated tooth decay is progressive and can undermine children’s long-term health, educational achievements, self image, and overall success. In addition, oral health during pregnancy can have long-term effects on children. Good news: WIC Can Help promote oral health for families by referring them to low-cost or free services.

[Learn More](#)



Support CWA online!

As a nonprofit membership organization, CWA relies on the contributions of many organizations and individuals to help us achieve our [mission](#). There are many ways to give of your time, talents, or resources to help CWA promote healthy families, strong communities, and bright futures! We appreciate all forms of support and invite you to join us!

Support CWA

Couldn't find what you were looking for?
Check out these additional resources below:

[Upcoming
Events & Training
Opportunities](#)

[Job
Opportunities](#)

[Breastfeeding
Advocacy](#)

[Become a WIC
Ambassador](#)

**If this was forwarded to you,
click to subscribe.**

[Subscribe Here](#)

California WIC Association www.calwic.org

FIRST 5 CENTER FOR
CHILDREN'S POLICY



UCSF California
Preterm Birth
Initiative

THE ROAD TO BLACK BIRTH JUSTICE IN CALIFORNIA



CONTRIBUTORS

UCSF California Preterm Birth Initiative Team



Solaire Spellen
Associate Director



Alexis Cobbins
Executive Director



Shanell Williams
Director of Community
Engagement and
Partnership



Riya Jacob
Program Manager



Giannina Ong
Communication Manager



**Beruktawet
Woldemariam**
Graduate Student
Researcher



Caroline Demko
Graduate Student
Researcher



Wyconda Cotton
Community
Researcher



Kennedy Stewart
Community
Researcher



Dietrich Galloway
Community
Researcher

First 5 Center Team

Sarah Crow, Kit Strong, and Cinthia Diaz

Community and Graduate Student Researchers

Roujheen Sabetan, Kolena Dang, Rebecca Czerny, Nupur Tamhane, Lidiya Johnson, and Tatum Sandzimier



ACKNOWLEDGEMENTS

UCSF California Preterm Birth Initiative and First 5 Center for Children’s Policy would like to extend deep appreciation to our Steering Committee, comprised of Black infant and maternal health stakeholders across California devoted to birth justice. These dedicated members provided expert advice on project direction and contributed tremendously every step of the way:

Adjoa Jones
Aline Armstrong
Ameerah Thomas
Asaiah Harville
Brandi Sims
Brittini Chicuata
Carla Keener
Cassie Marshall
Dana Sherrod
Dawn Dailey
Devra Hutchinson
Diamond Lee
Elle Ford

Erma Riley
Guadalupe Ramirez
Ifeyinwa Asiodu
Janice Mathurin
Jenny Lopez
Josephine Young
Latriece Love-Goodlett
Leslie Kowalewski
Lisa Young
Mayela Gutknecht
Melissa Franklin
Mikaela Merchant
Natalie Berbick

Niambi Lewis
Nourbese Flint
Payshia Edwards
Pooja C. Mittal
Robin Qualls
Sakari Lyons
Shantay Davies-Balch
Tyla Adams
Vella Black Roberts
Josephine Smedley
Jessica Biggs

We are thankful to all the Black women and birthing people who shared sacred space with us and provided their deep insights leading to the formulation of our recommendations. We are honored, and we are committed to changing outcomes for future generations by any means necessary.

This report is dedicated to the memory of the babies born too soon and the babies who were lost due to preventable causes.

Suggested Citation

UCSF California Preterm Birth Initiative and First 5 Center for Children’s Policy. “The Road to Black Birth Justice in California.” San Francisco, CA. April 2022.

© UCSF California Preterm Birth Initiative 2022



TABLE OF CONTENTS

Executive Summary	03
Background	06
Collaborators	07
Project Overview	09
Project Approach	09
Research Process	11
Key Findings	13
Listen to Black Women and Birthing People	14
<i>Case Study: B'more for Healthy Babies (Baltimore, MD)</i>	18
Implicit Bias Training is Only a Starting Point	20
<i>Hearing Black Moms: Experience of Infant Loss</i>	24
New Horizons of Holistic Care Exist	27
<i>Case Study: Cradle Cincinnati - Queens Village (Cincinnati, OH)</i>	29
Partnerships are Necessary for Structural Change	30
Recommendations	35
Conclusion	43
References	44



IT'S NOT JUST RACISM, IT'S
SPECIFICALLY
ANTI-BLACKNESS.
JUST HOW WE SAY RACISM IS THE
ROOT CAUSE OF RACIAL HEALTH
DISPARITIES, ANTI-BLACKNESS
IS AT THE ROOT OF THE BLACK
MATERNAL HEALTH CRISIS.

Alexis Cobbins





EXECUTIVE SUMMARY

It's a fact that Black women and birthing people experience infant and maternal mortality, maternal morbidity, and preterm birth at higher rates than most other groups in the United States. Achieving a vision of birth equity at the population level requires cross-sector partnerships and system-level changes.

KEY FINDINGS

- Listen to Black women and birthing people
- Implicit bias training is only a starting place
- New horizons of holistic care exist
- Partnerships are necessary for structural change

This report summarizes the findings of a multipart project that the UCSF California Preterm Birth Initiative conducted, in partnership with the First 5 Center for Children's Policy, to understand the challenges and opportunities to improve the birth outcomes and experiences of Black people and their families in California.

RECOMMENDATIONS TO ADDRESS ANTI-BLACKNESS



Provide respectful care that is free of anti-Black racism to the birthing person as well as their support network



Improve data collection, accuracy, interpretation, dissemination, and utilization practices



Boost effectiveness of anti-racism training to focus on addressing anti-Blackness, promoting action, and producing meaningful results



Enhance perinatal and postpartum support to fully meet the needs of Black families




Strengthen recruitment and retention strategies to increase the number of Black professionals who interface with Black birthing people and communities





Prioritize collaboration to create mechanisms that lead to systems change solutions and quality improvement

















Use this legend to determine the implementation level of the recommendations below.





















KEY

 **1 Fruit** = Immediate change is possible. Implement these recommendations now!

 **2 Fruits** = Additional resources and support likely needed. Work with others to push this forward.

 **3 Fruits** = Systematic change and community buy-in necessary. Start making progress towards these recommendations today for long-term change.

STATE LEADERSHIP AND POLICYMAKERS	
Support the implementation of CA SB65, particularly the extension of postpartum follow-up care and coverage for the mother/birthing person to at least 12 months.	
Reinforce the urgency of Medi-Cal coverage and reimbursement of doulas and midwives, because all Black women and birthing people should have access to both, and doulas and midwives deserve equitable compensation for their services.	
Increase paid family medical leave and options for expecting Black women, birthing people, partners/parents, and caregivers.	
Increase awareness of mutually reinforcing policy actions like CA SB1237, which removed physician supervision of certified nurse midwives.	
Incorporate monitoring and evaluation (e.g., the lrtb app) into healthcare systems across the state in an accessible manner.	
Ensure that employees, at all levels across sectors (e.g., custodial, security, program and social service, medical and clinical, education, research, etc.), receive and engage in quality, ongoing anti-racism training specific to addressing anti-Blackness.	
Reform hiring and onboarding practices to support the hiring and retention of Black employees.	
Invest in administrative and other supports for birth workers who primarily serve the Black community, including a living wage, health insurance, time for employees to engage in mutually aligning meetings and activities.	
Implement rigorous evaluation of anti-racism training to assess quality and effectiveness that contributes to a larger system of accountability owed to the Black community.	
MEDICAL AND CLINICAL PROVIDERS	
Be prepared to provide more information and resources regarding care, including programs and services for fathers, partners, and family members of the birthing person.	
Be truly respectful in your communications with Black birthing people and their support networks by fully acknowledging their humanity and interacting in nurturing, supportive, and caring ways.	
Follow through by providing competent and meaningful solutions that respect the wishes of Black patients.	
Improve consistency and continuity of care. Provide complete information about possible care options while incorporating medical history balanced with the birthing person's needs and desires for their care.	
Support and advocate for the hiring of more Black staff and clinicians.	
Have conversations around the implementation of more effective practices, programs, and policies that combat anti-Black racism.	
Develop highly visible materials and resources that serve as constant reminders to eradicate anti-Black racism.	

Refer participants to virtual/in-person programs in other counties if your county does not have a focus on Black maternal and infant health.	
PROGRAMS AND SERVICE PROVIDERS	
Build trust of the Black community by intently listening and responding to the needs of Black women and birthing people.	
Have conversations around the implementation of more effective practices, programs, and policies that combat anti-Black racism.	
Reform hiring and onboarding practices to support the hiring and retention of Black employees.	
Create resources to highlight and visually depict the impacts of historical trauma and racism which lead to conversations around practice, programs, and policies.	
Find innovative ways to collaborate with other services to be better able to address other factors that impact healthy births (e.g., mental health, behavioral health, housing, financial support, etc.).	
Refer participants to virtual/in-person programs in other counties if your county does not have a focus on Black maternal and infant health.	
Increase client stipend amounts to aid with program retention.	
COMMUNITY-BASED ORGANIZATIONS	
Find innovative ways to collaborate with other services to be better able to address other factors that impact healthy births (e.g., mental health, behavioral health, housing, financial support, etc.).	
Refer participants to virtual or in-person programs in other counties if your county does not have a focus on Black maternal and infant health.	
Strengthen and expand community networks to better position them to engage with cross-sector collaborations.	
Build energy around accessible and transparent data collection.	
Create a work culture — by giving agency, empowering, feeling supported, respecting their positions of leadership without feeling stretched too thin, visibility — that pours into Black employees to improve retention.	
Ensure all employees receive adequate and ongoing racial equity training that addresses anti-Blackness.	
COUNTY LEADERSHIP	
Curate information and develop more resources regarding care, including programs and services for fathers, partners, and family members of the birthing person.	
Identify networks focused on advancing Black birth justice and support knowledge sharing and capacity building. Ensure they are supported and well resourced, with clear representation of various stakeholder groups, especially Black women, birthing people, and families.	
Include rigorous evaluation of effectiveness of anti-racism trainings and quality improvement plan.	
Develop highly visible materials and resources that serve as constant reminders to eradicate anti-Black racism and lead to conversations and implementation of more effective practices, programs and policies.	
Advocate for the restructuring of funding mechanisms to make hiring and retention of Black professionals, as well as increased pay, a priority.	
Improve competency of local and state policy advocacy so that people at all levels can contribute to policy change for birth justice.	



BACKGROUND

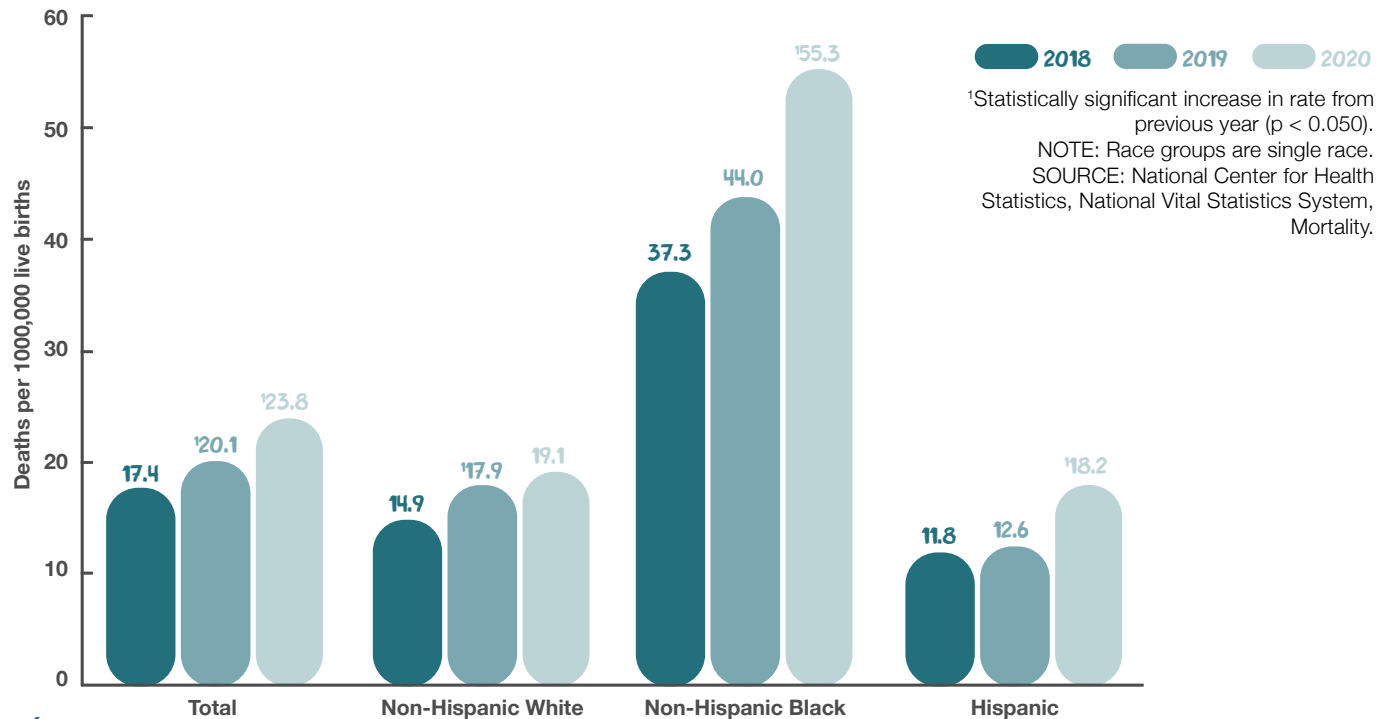
Our country is in the midst of a longstanding Black maternal health crisis. In 2021, for the first time in over 6 years, the United States finally saw a reduction in preterm birth rates, one of the leading causes of infant death.¹ However, this was not the case for Black Americans whose preterm birth rates increased.

BLACK WOMEN ARE 3-4 TIMES MORE LIKELY TO DIE FROM PREGNANCY-RELATED COMPLICATIONS THAN WOMEN IN ALL OTHER RACIAL/ETHNIC GROUPS.²

CLINICAL AND BEHAVIORAL HEALTH INTERVENTIONS HAVE DONE LITTLE TO ADDRESS PERSISTENT RACIAL DISPARITIES IN ADVERSE MATERNAL AND INFANT HEALTH OUTCOMES.

Despite state efforts aimed at reducing racial disparities in pregnancy and birth outcomes, our state is not exempt from this reality. Interpersonal, institutional, and structural racism are at the root of this issue.³⁻⁷

Figure 1. Maternal mortality rates, by race and hispanic origin: United States, 2018-2020



Recent research conducted with Black women revealed that “the relationships between pregnant Black individuals and their health care providers are often a source of stress, anger, and distress during a vulnerable time.”⁷ The majority of respondents felt fearful of health systems and reported experiences of disrespect and coercion when interacting with providers. Health care system factors play a key role in the healthcare experience, including pregnancy and birth outcomes for women of color.⁸⁻¹⁰ Leading researchers have called for health care systems to address racism within their own institutions as a means of addressing racial disparities in perinatal and other health outcomes.¹¹⁻¹⁴

Despite this call to action, there is a lack of authentic community inclusion and partnership within research and health care systems improvement. Women of color have repeatedly shared that they are not listened to and their concerns are largely ignored, resulting in compounding stress and a hesitancy accessing services.¹⁵⁻²² Furthermore, research is one of the main domains of the healthcare enterprise that lacks patient and community involvement at every level.²³

SOLUTIONS THAT TRULY AIM TO ADDRESS RACIAL DISPARITIES IN MATERNAL AND CHILD HEALTH OUTCOMES MUST INCLUDE THE COMMUNITIES THAT ARE MOST IMPACTED EVERY STEP OF THE WAY. BIRTHING PEOPLE WITH LIVED EXPERIENCE CAN GUIDE HEALTH CARE SYSTEMS AND POLICIES TO BETTER SUPPORT AND RESPECT COMMUNITIES OF COLOR THROUGHOUT PREGNANCY, BIRTH, AND BEYOND.

COLLABORATORS

The UCSF California Preterm Birth Initiative (PTBi) lives at the intersection of research, community partnerships, and education to create positive change for and alongside Black and Brown families. Our mission is to eliminate racial disparities in preterm birth and improve health outcomes for babies born too soon, through interventions, programming, and campaigns research, partnerships, and education grounded in community wisdom. We believe all women and birthing people deserve healthy pregnancies, and all newborns deserve healthy starts in life.

Grounded in the experience of First 5s, the First 5 Center for Children’s Policy (First 5 Center) studies and disseminates best practices and solutions in early childhood development; convenes experts inside and outside the early childhood space to inform policy; and evaluates solutions within and outside California that can be adapted for the state.



**FIRST 5 CENTER FOR
CHILDREN’S POLICY**





PROJECT OVERVIEW

In 2021, the First 5 Center and PTBi teamed up to identify best practices and promising solutions to improve maternal and infant health outcomes for Black families in California, with a particular focus on infant mortality and maternal morbidity. The purpose of this project is to design short- and long-term strategies at county and state levels to improve birth outcomes for California's Black families. Strategies were developed in partnership with researchers, advocates, practitioners, and other stakeholders, and are informed by community voices throughout California.

[Click here](#) for more information and updates on the collaboration between PTBi and the First 5 Center.

PROJECT APPROACH

IT'S SIMPLE: IF YOU ARE GOING TO BE ENGAGING WITH THE BLACK COMMUNITY, WE NEED LEADERSHIP WHO LOOK LIKE THEM TO TALK TO THE PEOPLE DIRECTLY IMPACTED BY THE ISSUE.

-Shanell Williams

At the start of the collaboration, the PTBi team established the California Black Infant and Maternal Health Steering Committee with stakeholders and leaders from organizations serving California's Black communities as well as Black women and birthing people with lived experience. With guidance from the steering committee, the team conducted a deep landscape analysis of existing programs and services serving the Black community across California as well as successful initiatives across the U.S. With the support of the steering committee, the PTBi team surveyed and interviewed stakeholders across the state.



COUNTIES REACHED



RESEARCH PROCESS

The following activities were conducted as part of this stage of the collaboration:

- ➔ A literature review of different articles, online journals, and databases within the last 15 years that focused on maternal morbidity, infant mortality, and Black maternal and infant health
- ➔ A landscape analysis consisting of identifying several California counties, state, and national level programs that had successful interventions addressing adverse maternal and child health outcomes in the Black community
- ➔ Surveys, interviews, and focus groups with county and state leaders, community-based organizations, Black Infant Health programs, Perinatal Equity Initiative interventions, and Black mothers and birthing people

The PTBi team used a semi-structured interview guide that incorporated follow-up questions as necessary to clarify responses or assess more details.

- In the focus groups with Black parents and families data collected focused on what has worked well, what has not, what they expect to see, and what is exciting to them to shape recommendations for county and state leadership that are informed by the community we served, specifically Black mothers.
- In interviews with county and state leadership, the team gathered data on current best practices and promising approaches which is cross-referenced with what was heard from California's Black community.
- Similarly with community-based organizations and county programs, the team asked questions about current best practices, challenges, and successes.

Ultimately, the recommendations synthesize perspectives from all groups interviewed. As part of the next phase of this collaboration, the PTBi team is working in partnership with First 5 commissions across the state to replicate best practices and produce a model for equitable care in services of Black families.

PARTICIPANTS OF THE SURVEYS AND INTERVIEWS



County First 5 commissions across the state are partnering up to implement changes that align with our recommendations to model what it looks like to collaborate for Black birth



FOR US, OUR BEST PRACTICE – AND IT'S
VERY SIMPLE – IS

BUILDING TRUST.

BECAUSE THE AFRICAN AMERICAN CULTURE
DOESN'T TRUST EASILY. FOR [OUR] COUNTY,
WE PRIORITIZE BUILDING THAT RELATIONSHIP
WITH OUR PARTICIPANTS. AND WHEN YOU
BUILD THAT RELATIONSHIP, IT OPENS UP
OPPORTUNITIES TO SHARE BECAUSE THEY
TRUST YOU. IF I [AS A PARTICIPANT] TRUST
YOU AND YOU GIVE ME THE INFORMATION, I'M
GOING TO UTILIZE IT. I TRUST THAT YOU WANT
WHAT'S BEST FOR ME.

County Black Infant Health Director





KEY FINDINGS

We sought out the perspectives of multiple stakeholders to create a comprehensive understanding of the experience of giving birth as a Black person in California as well as the systems in place that are intended to support Black birthing people and their families. We conducted focus groups with Black parents and those who have lost children to infant mortality. We interviewed community-based organizations that provide programs and services to Black women and birthing people, families, and communities during the preconception, pregnancy, birth, and postpartum phases. The Black Infant Health program, Perinatal Equity Initiative interventions, as well as community doula organizations, home visiting and field nursing programs were included in the community-based organization interviews group. We also interviewed state and county leadership, particularly Black infant and maternal health leaders in public health departments, county First 5 commissions, and other champions of Black families across the state of California. There was significant overlap between what representatives from community-based organizations and state and local leaders said and experience in their work to improve Black birth outcomes. There was less overlap between the experiences of these two groups and Black families, however, connections were drawn from outcomes shared by those with lived experience to the best practices and challenges shared by organizations and leadership.

In sharing their experiences and expertise, participants spoke at length about the opportunities and challenges that exist in California. They are summarized in four major themes:





THEME 1: LISTEN TO BLACK WOMEN AND BIRTHING PEOPLE

Black mothers in the focus groups stated that not being heard by their healthcare professionals during childbirth was the main source of their challenges and negative experiences.

“When the technician came and talked to me about my epidural, he was not listening to me, neither took what I said into consideration. He then got mad and left the room. So, I didn’t get my epidural and I literally delivered my son by myself; no doctors no nurses. I lost so much blood after that.”

– Black mom from Los Angeles County

“When I told the nurse that I am in pain and I felt like to push, she was not listening to me at all. She called a doctor after, and they told me that I was fully dilated and ready to push. I felt like a child for not being heard instead of embracing this beautiful moment.”

– Black mom from Los Angeles County

Even in instances where Black moms are heard and listened to, it takes a tremendous amount of self-advocacy to be believed and to receive care, pointing to a larger systemic issue.

“The hospital staff during my labor and delivery listened to me, so that was a good experience, but I did feel like I still had to advocate for myself. When my water broke, and I initially went in, they were trying to tell me I peed on myself, and I was like, no, no, no. I’m a social worker, so you know I’m aware of the health disparities and how Black women can be treated in the hospital and how we have to speak up.”

– Black mom from Solano County

What can be done to amplify the voices of Black women and make sure their words are met with appropriate care? In our discussions with community-based organizations and state and local leadership, three avenues towards better listening arose:

- Building trust
- Developing support systems
- Centering the voices and needs of Black women and birthing people in public health programming

Community-based organization staff and leaders throughout programs in California have gone above and beyond to build relationships with program recipients to understand the nuances of fulfilling day-to-day needs during pregnancy and birth.



Community-Based Organizations are Building Trust

Community-based organization staff and leaders throughout programs in California have gone above and beyond to build relationships with program recipients to understand the nuances of fulfilling day-to-day needs during pregnancy and birth.

In California, the Department of Public Health's Black Infant Health and Perinatal Equity Initiative programs have found success in utilizing marketing tools such as social media, billboards, radio ads, brochures, community events, and street outreach.

According to program staff and leaders, the most prominent recruitment strategy has been through word-of-mouth. All recruitment methods are needed, however. The comprehensive marketing and recruitment approach highlights the importance of trust building with Black birthing people and their families while taking into consideration the historical racial trauma of inequitable healthcare and harm caused by medical systems, which

RECRUITMENT STRATEGIES:

- Eligibility lists from clinical providers, hospitals, insurance providers
- WIC and Department of Public Health
- Word of mouth
- One-to-one navigation support (Family Advocate, Community Liaison)
- Support with transportation, food insecurity, housing, financial support
- Continuous communication
- Collaborative care models

is why representation is a big part of this strategy. Staff and leadership of these county and state level programs need to look like the people being served to continue to build trust with the community.

Community-Based Organizations are Developing Support Systems

Due to the COVID-19 pandemic, parents are feeling more exhausted than ever. As a result, many have expressed a need for additional support socially, emotionally, mentally, and medically. In response, community-based organizations in California developed classes on how to cope with stress and strategized innovative ways to be in community. Other programs worked on providing mental health resource kits as well as training and tools to self-advocate in clinical settings.

Community-based organizations have been working to make space to hear community voices and build capacity within the community. One example shared by one of the organizations we interviewed is connecting people with mentorship opportunities and professional development training.

Another consistent and critical request from the families served is for consistent racial equity training with a focus on addressing anti-Blackness. Clients expressed wanting to be able to obtain the tools and language to better understand historical trauma and articulate structural racism to employ when advocating for better care.

"OUR PROGRAM STARTED LAST YEAR DUE TO COVID. WE ARE OFFERING A PROGRAM CALLED CASE MANAGEMENT AND THAT'S ENROLLING A WOMAN AFTER SHE'S HAD HER BABY – SO POSTPARTUM UNTIL THE INFANT IS 1 YEAR OLD. INITIALLY, WHEN WE BEGAN THIS NEW MODEL, WE ONLY ENROLLED PREGNANT WOMEN AND WERE TURNING AWAY WOMEN AFTER 31 WEEKS BECAUSE THEY COULDN'T COMPLETE OUR 10 WEEK PRENATAL GROUP INTERVENTION. SO THIS [NEW] WAY, WE'RE STILL HELPING THE WOMEN AND THEIR FAMILIES, AFTER THEY HAVE THE BABY UNTIL THE BABY IS A YEAR, SO THEY CAN AT LEAST PARTICIPATE IN THE POSTPARTUM PERIOD."

– County Black Infant Health Staff

"SUPPORT THE ADVOCACY AND BEING ABLE TO ADVOCATE FOR YOURSELF. WHEN YOU HAVE THE TOOLS TO DO THAT, NO MATTER IF YOU'RE IN THE DOCTOR'S OFFICE OR WHEREVER YOU ARE, YOU HAVE A TOOL SET TO HELP YOU GET BY. SO I THINK THAT'S THE MAIN THING: HAVING A SUPPORT SYSTEM BECAUSE ONCE YOU HAVE THAT, YOU CAN NAVIGATE THROUGH EVERYTHING AND ANYTHING ELSE."

– Black mom from California

State and Local Leadership are Centering Black Voices

Centering the voices and needs of Black women and birthing people is a work in progress for many public health leadership structures. Nevertheless, leadership in many counties spoke of an increased attention and effort to make representation a reality in their programming.

We also heard programs across the state highlight that true, tangible collective impact lies in empowering, bringing together, and listening to the community.

Leadership especially spoke highly of the relationships that have been built with their local Black Infant Health programs as a key point of connection to other community networks. Peer support groups and building mom-to-mom connections has also been a critical part of network expansion and capacity building efforts.

Another strategy that some counties have adopted are Community Advisory Boards, which bring together families and other stakeholders to identify solutions that are needed and are being called for by Black mothers and birthing people. These advisory boards are a key element of the collective impact models developing in California and have led to dramatic success in cities like Cleveland, OH and Baltimore, MD. *Read more about B'more for Healthy Babies in the following case study.*

"IT'S BEEN ENCOURAGING TO SEE MORE OF A FOCUS THERE. THEY'RE LOOKING AT HOW CAN WE BRING IN BLACK DOULAS TO OUR COMMUNITY. WHETHER IT'S BRINGING IN OR TRAINING UP WITHIN THE COMMUNITY, SO DEFINITELY SEEING MORE FOCUS THERE."

– County First 5 Commission Executive Director

SUCCESSFUL PROGRAM HIGHLIGHT: HEALTH EQUITY FOR AFRICAN AMERICAN/BLACK LIVES (SOLANO HEALS)

Solano HEALS is a community-driven effort to promote equity in birth outcomes for Black babies by addressing racial equity training for medical providers and mental health problems in the Black community and advocating for Centering Pregnancy (a group prenatal care model). By implementing upstream and downstream strategies, Solano HEALS addresses urgent needs of the community while planning to make long-term changes in systems of care. This program has been very effective in providing resources and improving birth outcomes for Black families.





CASE STUDY: B'MORE FOR HEALTHY BABIES (Baltimore, MD)

Best practices: Community-centered, strong city programs, communications, place-based, collective impact/multi-sector collaboration

B'more for Healthy Babies (BHB) works to reduce infant mortality in Baltimore City through programs emphasizing policy change, service improvements, community mobilization, and behavior change. **Since its launch, infant mortality in Baltimore decreased by 28% and the Black-white disparity in infant deaths decreased by almost 40%.**

One of BHB's major focuses is on improving the healthcare delivery system so that quality maternal and infant health services and support reach all Baltimore families. BHB achieves this through collective impact strategies, an anti-racist approach, and deep community partnership.

BHB prioritized having a Community Advisory Board (CAB) from the very beginning to serve as a governing body that advises and guides direction and decision making for the initiative. BHB has done extensive outreach and education in the community to partner with parents and informs residents, business owners, and other community partners about the risk and the harms of infant mortality, maternal mortality and morbidity, and the impact on the health of Baltimore families and residents. The BHB CAB is made up of predominantly Black women that provide their lived experience and wisdom about what is happening in their neighborhoods.

“HAVING CITYWIDE SYSTEMS THAT SUPPORT YOUR WORK IN THE COMMUNITY IS KEY.”

– BHB Representative

Using collective impact strategies, their CAB is often connected with several programs and services across Baltimore for continuous communication and improvement, such as informing data collection for the Fetal Infant Mortality Review Board and providing feedback for citywide leadership. BHB is also supported by strong institutional partnerships with Baltimore City Health Department, Family League of Baltimore, and HealthCare Access Maryland. One of the most impactful partnerships of BHB has been with the John Hopkins Center for Communication which has been integral in developing and disseminating educational materials and information throughout Baltimore City. These relationships allow BHB to better address challenges, structures, resources, and strengths identified by the CAB.

Although BHB is citywide, the work is most intensive in two communities. At BHB's launch, 12 communities were identified that had very high infant mortality rates, however, there was only enough funding to support work in two of those communities. That led to a much more focused and intensive approach that has resulted in tremendous success in those communities. At the city level, BHB works to ensure there are strong city systems that support population-level outcomes. One example

is the centralized intake system. Data shows that infant death is five times more likely if a woman is not referred to the system. The centralized intake system ensures that women receive care coordination based on their geography, risks, and strengths, and they're referred to all of the related resources in the city that they qualify for. The overarching goal is to have really strong citywide systems rather than creating multiple pilot programs that only serve a small number of families.

COMPARED TO THE PREVIOUS FIVE YEARS, IN 2020, THE DISPARITIES BETWEEN DEATHS OF WHITE AND BLACK BABIES HAS NARROWED BY MORE THAN 50 PERCENT.

Learn more about B'more for Healthy Babies: <https://www.healthybabiesbaltimore.com/>



THEME 2: IMPLICIT BIAS TRAINING IS ONLY A STARTING POINT

In the focus groups, racial discrimination was discussed as a root issue that prevents Black mothers from receiving proper and equitable care at hospitals and clinics.

These types of experiences can directly impact the wellbeing and health outcome of both the mother and the newborn, which in worst cases, can result in infant or maternal mortality. *Read more about Black mother's experiences of infant loss in the "Hearing Black Moms" callout at the end of this section.*

"She [the provider] was 30 minutes late coming into the room and it wasn't that she was with another patient because I saw her, she was in her office. She looked at me and based on what I looked like as far as my size, she was already saying that I was going to have gestational diabetes and that I was going to need a C-section and all these negative birth outcomes that I could potentially [have] basically just based off of looking at me."

– Black mom from Riverside County

"They basically treated me as if I was like low-income, just dumb, didn't know anything. Treated my husband [just as bad]: When they wrote on the board, they wrote down like 'Baby Daddy.' The way they treated him and the way they treated me, it was really, really bad."

– Black mom from Sacramento County

90% of Black mothers in the focus groups experienced negligence and lack of care by providers, hospital staff, and members of their care team during their prenatal, childbirth, and postnatal care.

"The anesthesiologist said, 'Let's first make sure that she is numb in that area' and when they did the test, I said, 'I can feel that.' The doctor said, 'You should not be able to feel that,' and said if she is not jumping from the table, she is fine. The anesthesiologist tried to advocate for me, but the doctor was like she is fine. I felt the entire C-section. I screamed the entire C-section. I felt every cut. I felt her slicing me all over and it was torturous. The nurses and others kept saying that she is feeling it. The doctor stopped for a moment and said 'Are we stopping or are we going?' I felt so violated."

– Black mom from Fresno County





What is going well?

California legislation passed in the last few years, such as the “*Momnibus*” Act (CA SB65), have been proclaimed policy “wins.” Identified by leaders as providing necessary changes to how programs for Black birthing people are supported and funded, these recent policies (including CA SB464 which focuses on implicit bias training for perinatal healthcare providers) have created valuable inroads for intersectional conversations with hospital teams about their own experiences with racism, a very unanticipated but very welcome outcome. Additionally, these bills create a legislative evidence framework for identifying the systemic racial disparities that Black mothers and families have been saying for years were their lived experiences.

Many of these policies have expanded pathways for funding, which have been especially key when dealing with new challenges brought on by COVID-19. For example, new outreach and triage strategies are being adopted to reach and enroll new families in programming, thus reducing barriers to getting needed support for moms. Virtual options have also helped with engagement for clients who may have otherwise been unable to attend in-person offerings.

In 2022, California became the first state to require implicit bias training of all physicians and surgeons with the passage of AB241. Implicit bias are attitudes and internalized stereotypes that affect our perceptions, actions, and decisions in an unconscious manner. This type of bias often contributes to unequal treatment of people based on race, ethnicity, gender identity, sexual orientation, age, disability, and other characteristics. However, anti-Blackness specifically may not necessarily be addressed and is not often addressed directly.

Where can we improve?

Despite 95% of community-based organization staff and leadership reporting having some form of racial equity or implicit bias training, when probed, most described their training to be inconsistent and ineffective.

Responses from leadership at these organizations regarding their county’s or agency’s racial justice competency can be categorized into either:

- 1. AWARENESS AND LITTLE TO NO ACTION, OR**
- 2. AWARENESS, SOME ACTION, BUT LITTLE CHANGE.**

AWARENESS means that there is an acknowledgement that racial inequities or anti-Blackness directly contributes to the racial disparities seen in adverse birth outcomes, such as infant mortality and maternal morbidity. This is currently reflected in county or agency websites, social media platforms, and interviewee responses.

ACTION means that concrete and visible steps have been taken to address this issue. Steps could include racial equity trainings or conversations within departments or agencies, increased attention during meetings or presentations, etc.

CHANGE can mean many things and for the purposes of this report, change is described as evident shifts or promising innovations meant to directly respond to structural racism impacting Black families, as reported by interviewees.

Many interviewees expressed an awareness of racism and the impacts on health outcomes. Those that voiced there was little to no action being taken to address racism described challenges such as a lack of leadership buy-in, where momentum is carried by client-facing or middle management staff but not senior management or department leadership.

“13 years I’ve been here and never been invited to talk about Black maternal health to the Board of Supervisors. It’s always ‘Let’s stick to the script’ but the truth needs to be told. Until they accept what’s going on, we’re always going to have poor birth outcomes.”
– County Program Director

Interviewees that stated there was some action to address racism disclosed that actions taken have resulted in little change due to trainings lacking focus and sustained effort and having no operationalization or implementation of the work.

“There have been several trainings, but not as much change. It’s included in our performance appraisals now — with a 4-hour requirement. Where there used to be 10 attendees in a training back in the day, there are now 50.”
– County Public Health Nurse



We heard repeatedly that there is a gap between county leadership and the Board of Supervisors and/or local commissions. It was said that both the Board and various commissions are not prioritizing structural racism.

When asked about what support is needed to improve service delivery, the top needs identified by both community-based organization staff and leadership included higher quality racial equity trainings that explicitly focus on addressing anti-Blackness, an increase in the number of Black staff, and more financial resources to support more staff and build their capacity (e.g., train-the-trainer models to support sustained efforts). These requests aren’t particularly innovative or new — what they are, is very practical.

From all our stakeholders across the state, we heard a resounding call-to-action to fulfill these needs and build a foundation for racial justice. Policies already underway include CA SB464 and CA SB65, which, while a good start, need to be monitored through systems of accountability.

Building Systems of Accountability to Address the Urgency of Black Birth Justice

Repeatedly, state and county leaders shared that systems of accountability must be designed alongside community partners to ensure the implementation of policies like CA SB464 and CA SB65 fulfill their intended impacts of decreasing birth disparities for Black families in California. Months after the passing of this legislation, there is still significant grey area on how these laws are being enacted and upheld.

WHAT IS ANTI-BLACKNESS?

Anti-racist scholar and educator Dante King defines anti-Blackness in our society as the “criminalization, hyper-negativity, and hyper-scrutiny of Blackness legally, socially, principally, culturally, sociologically, economically, and institutionally.”²⁴

- Criminalization of Blackness in the legal system as observed through explicit laws and policies created throughout the 17th, 18th, 19th, and 20th centuries that specifically targeted Black and Brown people of African descent based on skin color as prima facie evidence.
- A sociological, psychological, and emotional institution and construct.
- A persisting condition and institution developed through collective European/white (i.e., Portuguese, English, French, Dutch, Spanish, Irish, British) colonialist, imperialist ideas and beliefs.
- At the core of whiteness, white ideals, and white ideologies: Black and Brown people of African descent are inferior, animalistic, and barbaric (i.e., African, African-European, Afro-Latinx, African Haitian, etc.).
- The underlying foundational principle of racism.
- A construct and condition established to demean, degrade, oppress, disenfranchise, dehumanize, invalidate, surveil, diminish, minimize, kill, and otherwise harm anyone interpreted or perceived as Black.
- Condition meant to destroy Black people mentally, emotionally, physically, symbolically, and spiritually; through political, governmental, legal, educational, economic, religious social, and all other institutional means.
- Inescapable negative orientation towards, and association of people defined, perceived, and/or interpreted as Black people.
- The tendency and proclivity towards adapting to white Eurocentric culture and normative standards, connected to an enhanced sense of superiority to Black people and culture.



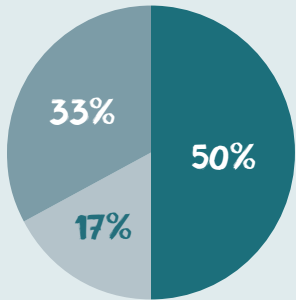
HEARING BLACK MOMS: EXPERIENCES OF INFANT LOSS

In the United States, infant mortality is a public health concern, particularly among non-Hispanic Black women. According to the Centers for Disease Control and Prevention,²⁵ Black women had 10.8 fatalities per 1,000 live births in 2018, compared to 4.6 deaths per 1,000 for white women and 3.6 to 9.4 deaths per 1,000 for other racial and ethnic groupings. This huge discrepancy in infant mortality rates is mostly due to higher rates of preterm birth and low birth weight experienced among Black infants.

HERE ARE SOME THOUGHTS SHARED BY BLACK MOMS WHO EXPERIENCED THE LOSS OF THEIR CHILD:

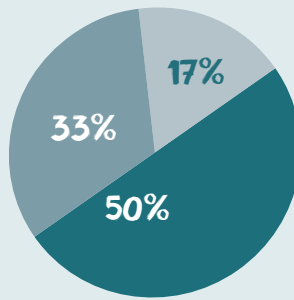
Is there something that you wished someone would have shared with you prior to the loss of your loved one?

- Self advocate
- Getting a second opinion
- Educating self more



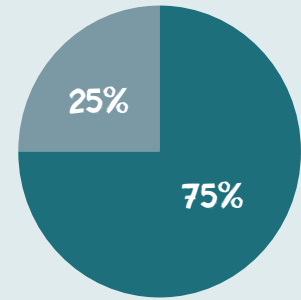
What supported you after the loss of your loved one?

- Family/Friend support
- Help w/cooking, cleaning, childcare
- Helping others



Were there any programs or services you were referred to that were supportive?

- Black Infant Health
- None



"I wish that with my doctor knowing my mother's medical history, knowing that it could have been a possibility for me and it being my first pregnancy, they should have taken that as high-risk [...] Knowing that I had you know this kind of family history, they should have made me look deeper into it and maybe had me going to maybe visits weekly cause the second time I was [pregnant, I went in] every week. I got sick of that doctor's office, [...] but I wish they had done that before and we may have been able to save him. But they didn't know or they didn't think it was a possibility I guess, so I think mothers' history, family history has a lot to do with pregnancy. How your mother carried, how your sisters carried, how your grandmother carried. I think that should be noted. [...] It was my first kid, I had no idea, you know, I just you know went along with what's supposed to happen."
— Black mom from California

"I went [in] that next morning. And sure enough, we go in and there was no heartbeat. The doctor's face was just so nonchalant. I was so angry. I said, 'Had you listened to me, or had you taken me serious, maybe this wouldn't have happened.'"
— Black mom from Alameda County

"I just felt like, I can just give to mothers who couldn't produce milk or who was having trouble, so that was kind of my blessing in disguise."
— Black mom from Yolo County

"I still have my older son, who was four at the time. So someone would pick him up, which would allow me the opportunity to just fall apart and not have to worry about being strong for him. The second part was my friends would pick me up and bring me to their house with no expectations of really socializing, just me being around other people."
— Black mom from Los Angeles County

"I think what I realized and it took me to meeting a midwife out here that I had very low expectations for doctors and I had a little very low expectation for my birthing experience so what I learned when looking at them is how much care they gave, the beautiful just ambiance created, like how loving they were."
— Black mom from Los Angeles County

"I would have felt a lot better if there was someone that had stayed with me until my car came [and I got] into my car, cause at least I'd have someone to talk to or so I didn't feel alone. I just had to sit there and watch these dads grabbing them babies and putting them in the car seat. And the moms are getting hugs. The families were coming up and they had balloons and like I just had to sit there and watch. I'm thinking no one knows that I just lost my child so I can't get mad and mean mug the moms. But at the same time, it would have been nice to have the lady who wheeled me out stay."
— Black mom from California





THEME 3: NEW HORIZONS OF HOLISTIC CARE EXIST

Several mothers in the focus groups stated that they had a strong support system throughout pregnancy, childbirth, and postpartum. Support systems included partners/spouses, family members, friends, networks of support, and healthcare providers from inside and outside of the hospital.

“My mother was my birthing coach. She answered all my questions. She was my mom/midwife/advisor whom I gained knowledge from.”

– Black mom from Fresno County

“There were six of us, Black women, in the room. From my doctor to the tech, the aid, and the anesthesiologist, it was all Black women. It just felt safe and felt comfortable. I would agree just having the opportunity and the option to have people who look like you in the room, who you feel like would have your best interests at heart.”

– Black mom from Fresno County

Even though programs and services vary in different counties, focus group participants mentioned a few programs and services they have received during their pregnancy and childbirth experience.

“Black Infant Health program made my pregnancy the most positive experience. I had a team of women who were able to walk me through my first pregnancy. I can call on them and ask as many questions as possible when I needed to without feeling silly or ashamed.”

– Black mom from Fresno County

“My doula advocated for me when I couldn’t do all that and I didn’t have to shrink to talk to that nurse and get her to do what I needed to do.”

– Black mom from San Francisco County



Community-Based Organizations are Forming Partnerships for Holistic Care

Creating partnerships with other social and clinical programs and services can help supplement the areas where one community-based organization’s services may be lacking. Many organizations refer and work alongside programs such as WIC, food banks, doula programs, and religious organizations. Staff at these organizations ensure clients have connections to potential job opportunities and housing, which can stabilize a community consistently facing food, economic, and housing insecurities.

"We had about 20+ moms under that [partnership] and out of those 20+, we only had one preterm birth. So we know that [...] moms being supported by Black Infant Health and having a doula led to positive outcomes. It was great and the moms were having full term births"

- County Black Infant Health Program Staff

"In order to truly support the mother, we need to also look at her support system, whether they're parenting, whether she and the father of the baby are together or not. We need to take a step back and figure out how we can involve that co-parent into the process. I would say the most, the biggest element of the Perinatal Equity Initiative that I'm most excited about — and I'm excited about all of it— but I'm most excited to see is how the fatherhood initiative continues to grow. It's really filling that gap and it's awesome."

- County Perinatal Equity Initiative Program Coordinator



State and Local Leadership Recognize Funding Challenges

Both public health leaders and county First 5 commission leadership shared that while there is increased funding to improve Black birth outcomes in California, it still falls short of what is needed to address the depth of the issue of unequal birth outcomes, an issue that is decades, if not centuries, in the making.

Funding streams for many of these programs — whether funded by the government or private donors — can have strict rules on how and where money can be spent, creating barriers to making impactful and sometimes time-sensitive decisions related to hiring or purchasing, respectfully, when there is an emergent need.

It's time to make an investment in the wellbeing and health of Black families in California. Programs and services responsible for the health and wellbeing of our families should be sustainably funded, easily accessible to Black communities, and uplifted as models of care. *Read the Cradle Cincinnati case study to see how collaborating to create partnerships can change the tides.*



CASE STUDY: CRADLE CINCINNATI QUEENS VILLAGE (Cincinnati, OH)

Best practices: Black women leadership, precise impact, community-centered, place-based, collective impact/multi-sector collaboration, transparency

Cradle Cincinnati is a cross-sector collaborative effort between parents, caregivers, healthcare providers, and community members that works to reduce preterm birth and infant mortality in Hamilton County. Some of the Cradle Cincinnati's projects have focused on mitigating stress throughout pregnancy through social support and addressing barriers to safe sleep practices. The organization has a strong practice of community engagement which has resulted in positive impacts such as a **25% decline in sleep-related infant deaths, a 17% decline in extreme preterm births, and a 15% decline in infant deaths.** Cradle Cincinnati publicly recognizes some of their failures and has made efforts to mediate missteps in programming, such as creating localized solutions, understanding the impacts of word choice in campaigns, and continuous community engagement over time.

Queens Village is an initiative of Cradle Cincinnati, that centers Black women's voices for birth justice and racial equity. Even before Queens Village, Cradle Cincinnati named racism as a root cause of infant death and brought on Black women leaders to spearhead this effort. From there, a Community Advisory Board (CAB) was established and after several listening sessions, they identified the top needs that Black women have – to be seen, heard, and valued. Their work started in one neighborhood then expanded to more neighborhoods to listen to needs and to build solutions to address the high rates of Black infant mortality.

Queens Village prioritizes relationship building and trust building to develop impactful interventions and drive change. Activities to ensure this include story sharing and building empathy between moms and providers, fostering allyship, and promoting visibility, celebration, and education. Leveraging partnerships and resources related to funding, research, and policy that Cradle Cincinnati and Queens Village hold, the organization has been able to strengthen and follow through with CAB priorities.

With guidance from their CAB, Queens Village has been focusing on (1) utilizing telehealth as an opportunity for moms to choose how they receive their care in a way that best meets their needs and eliminates otherwise immovable barriers to accessing care, (2) supporting the Cradle Cincinnati policy arm to address housing insecurity, doula access, and fatherhood support, and (3) collectively address anti-black racism and violence against black people and the impacts and harm on the black community.

**“THE MOMENTUM
IN THE WORK IS
THE PEOPLE –
IT'S ALL POWER
TO THE PEOPLE.”**

– Queens Village Representative

As of 2019, there was a 24% decrease in Black infant mortality compared the 2009 rates.

Learn more about Cradle Cincinnati and Queens Village: <https://www.blackwomenforthewin.com/>

THEME 4: PARTNERSHIPS ARE NECESSARY FOR STRUCTURAL CHANGE

State and county leadership acknowledged varying levels of urgency and action to addressing birth disparities in their respective geographies, but it is clear that there is continuous statewide movement toward understanding the deeper social determinants of health that impact birth outcomes. County leadership across California shared innovative new programs and pilots covering a range of factors which contribute to healthy births, including housing support, guaranteed income, childcare, transportation, mental health support, increased cultural competency and anti-racism trainings for providers, and expanded insurance and Medi-Cal coverage. Many spoke of ramping up programs which increase accessibility to doula care and home visiting that are being done in partnership with insurers to assist families faced with social and structural barriers in accessing these services for free or at a substantially reduced cost. Throughout, there was an emphasis on building deeper community networks to achieve this goal.

What does it take to unite to bring about structural change?

According to the Government Alliance on Race and Equity's strategic approach to institutional change, advancing racial justice requires a focus beyond individual programs to include policy and institutional strategies that create and maintain inequities.²⁶ Their normalize, organize, and operationalize framework involves building staff and organizational capacity as well as developing and implementing measurable actions for meaningful change that addresses racial inequities. In a previous section, we discussed the need for a comprehensive racial justice framing. In this section, we will tackle the "organize" and "operationalize" steps.

Partnerships are at the heart of driving change

Inter- and intra-county partnerships with community-based organizations and other programs, services, and entities vary across the state. Counties that have funding and resources set up to support Black birthing people reported having more active outreach and partnership building to support and improve service delivery. Programs that build partnerships — outside of social and clinical programs and services alone — that include collaborations with academic institutions, policy advocacy organizations, and other similar agencies gain stronger trust from the community. At the core of the partnerships that are successful: meaningful community engagement (e.g., Community Advisory Boards, Steering Committees), which in turn allow the partnerships to result in more significant and effective impacts.

Despite this however, there is a lack of capacity and financial support to scale these efforts county- and state-wide. Black Infant Health programs and community-based organizations alone cannot be the silver bullet to address this long-standing issue — it takes cross-sector collaborative efforts to successfully push for sustainable structural change.

"WE REALLY MAKE SURE THAT WE HAVE INITIATIVES IN HOUSE THAT ARE SUPPORTING THE WHOLE CHILDHOOD WHOLE FAMILY APPROACH."

– First 5 County Commission Representative

SIX-PART STRATEGIC APPROACH TO INSTITUTIONAL CHANGE

Normalize

- Use a racial equity framework
- Operate with urgency and accountability

Organize

- Build organizational capacity
- Partner with other organizations and communities

Operationalize

- Implement racial equity tools
- Be data-driven

Government Alliance for Race and Equity. (2017). Racial Equity: Getting to Results.



AFRICAN AMERICAN INFANT AND MATERNAL MORTALITY (AAIMM) INITIATIVE

One promising collaborative in Los Angeles County is the African American Infant and Maternal Mortality (AAIMM) Initiative, which is a coalition of key stakeholders working to address the high rates of Black infant and maternal deaths. It began in 2018 with a goal of reducing infant mortality rates by 30% in Los Angeles over 5 years. They've been successful in establishing cross-sector partnerships through their steering committee and reaching over 10 million people with their public awareness campaign.

Who is currently partnering?

- Black Infant Health
- Women, Infants, and Children (WIC)
- First 5 County Commissions
- Children's Council
- Nurse Family Partnership
- Comprehensive Perinatal Services Program
- Human Services Agency
- Community-based doulas
- Faith-based organizations
- Community-based organizations
- Private insurers: Anthem and Blue Cross
- Sororities/Fraternities

Investing in Structural Change

We heard from community-based organizations and leaders that it is vital to strengthen networks across the state. It is true that the counties across California are at different stages in the process of mitigating disparities. While many have begun integrating their communities into models of change, others may still be working on building those relationships, which is why it is more important than ever to build capacity and fund initiatives as they move towards bringing about birth justice.

The work that organizations across California do has been transformative. But it is important to note that the work is very easily stalled and held back at times by state- or county-level bureaucratic processes.

In addition to increased funding, we must reduce limitations or restrictions on how money can be spent. These organizations need flexible funding, so that they can quickly, effectively, and appropriately make program changes and decisions when necessary to best meet the needs of the families they support — whether that means moving to virtual care or hiring culturally congruent staff for services.

Building the Workforce in California Needs to be a Priority

Let's be frank: The transformational work taken on by community-based organizations is low-paying and extremely emotionally draining in nature. Many organizations and their staff are under-resourced, overworked, and underpaid.

Several interviewees alluded to high turnover and burnout rates among their peers and employees, and refilling roles meant facing bureaucratic hurdles to hiring which often excluded Black women in outreach, recruitment, and hiring practices.

The most common piece of feedback we heard? Staff and leadership of county and state level programs need to have more representation to adequately carry out the assessed needs and to work towards policies that will improve Black maternal morbidity and infant mortality. Having Black people in roles that serve their population is essential for relationship and trust building.

Underrepresentation means that there is a heavier burden on the few Black women that are in leadership roles, as they may be expected to represent entire communities, which in themselves are not monoliths, and are given limited support and mentorship due to scarce representation in those roles prior. A lack of Black women leading organizations often equates to managers who are not connected with the communities that they are meant to be serving. Overall, an absence of visible Black leadership, staff, and providers fosters mistrust, as the Black community wants and deserves to be seen and represented by people who look like them and understand their background.

"THERE'S DEFINITELY A CULTURAL BARRIER WHEN IT COMES TO CORRESPONDING WITH THE BLACK COMMUNITY, AND SO WE DO OUR BEST SO IF PEOPLE REQUEST TO HAVE THAT CONVERSATION, THAT CONVERSATION USUALLY COMES FROM ME AS THE BLACK REPRESENTATIVE IN THIS BUILDING."

- County Public Health Leader

Culturally congruent staff and providers are more likely to take the time to build trust and work extensively to create a good rapport by listening to individual client needs. These often include transportation needs, support with food and housing insecurity, mental health support, and raising awareness around advocacy.

"THE INFORMATION [COLLECTED] IS IN A STATE DATA SYSTEM AND IT IS OWNED BY THE STATE. WE USE A COMPUTER-GENERATED PROGRAM CALLED "EFFORTS TO OUTCOMES" AND THAT'S WHERE WE CAPTURE THE DATA. YOU CAN'T GO IN AND STRATIFY THE DATA WHICH MEANS YOU HAVE TO ASK THE STATE FOR PERMISSION TO PROVIDE THAT TO US. BUT WE DO KEEP TRACK OF WHO IS REFERRED TO THE PROGRAM AND WHO WE ENROLL."

- County Public Health Leader

How Can We Monitor Statewide Cohesion? The Answer: Better Data

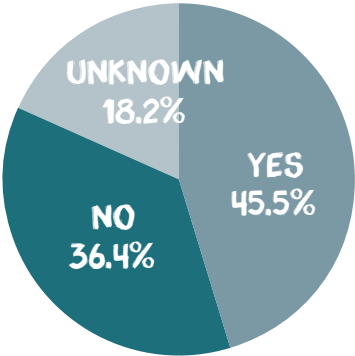
Community-based organizations reported various data constraints in understanding the overall Black infant and maternal health landscape locally and statewide. Black Infant Health programs collect data on enrollment, retention, and attrition for each of their programs across the state, however, this data does not capture the complexities and context for the specific causes leading to these numbers and their resulting effects. Interestingly, data may be retrieved if requested from the state, however, there are often barriers to receiving complete datasets.

There is existing data on population health outcomes at the state level, however, the state limits what data is available to the public which means it can be difficult to convey important, up-to-date information to the community. While statewide policy changes have been encouraging, they have sometimes left leaders and providers frustrated by the rapid changes that are happening, without much guidance.

“THE STATE CREATES SO MANY BARRIERS IN MAKING A SUCCESSFUL PROGRAM.”
– County First 5 Commission Staff

We asked interviewees,

“IS THERE A PUBLIC OR EASILY ACCESSIBLE WAY TO OBTAIN DATA ON ENROLLMENT, RETENTION, AND ATTRITION FOR YOUR PROGRAM OR SERVICES, STRATIFIED BY RACE?”



Response	Percentage
YES	45.5%
NO	36.4%
UNKNOWN	18.2%

One such area of improvement would be to standardize certain data. Right now, the stratification of data by race varies from county to county and depends on that county’s target population. For instance, rural counties reported having no specific programs focusing on Black families because there is a lack of community representation to dedicate financial or human resources.

By now, the state of California should have had a policy in place to be able to stratify the discrepancies further amongst Black women and birthing people.

Another practice to pursue is to carefully analyze the types of data we collect and revise to include rigorous collection of information such as client satisfaction with programs and services and whether their needs are being met to better assess Black infant and maternal health outcomes.

There is a deep need to prove that racism is happening through data. But how do we achieve that without transparent, accessible, consistent, and useful data? At the same time, this subpar data is utilized as metrics to

maintain program support. Moreover, even when data that draws clear conclusions of the negative impacts of racism is presented, there is still a lack of urgency and action on the part of those in power.

In research and policy, quantitative data tends to take precedent. Through this report, we note the many structural barriers and complexities affecting the Black community and found it was critical to gather qualitative data to better understand the nuances found among people with lived experience. Prioritizing qualitative data, like what is in this report and often shared by community advisory boards, steering committees, and others forms of community engagement, is yet another approach to better data — and can translate to clear and actionable recommendations.







RECOMMENDATIONS

The following recommendations have been developed by PTBi and are informed by the surveys and interview data from community-based organizations, county and state leadership, and Black women and birthing people who have given birth in California. The recommendations reflect ideas, visions, expectations, and solutions on how we can improve Black infant and maternal health in our state

We acknowledge that some of the information reflected in our recommendations is not particularly new or novel and we are proud to contribute to the groundswell of advocates and families mobilizing for Black birth justice over the years. Our goal is to amplify this longstanding issue and highlight promising solutions to advance Black infant and maternal health in California and beyond.

OVERARCHING THEME: ADDRESS ANTI-BLACKNESS



Provide respectful care that is free of anti-Black racism to the birthing person as well as their support network



Improve data collection, accuracy, interpretation, dissemination, and utilization practices



Boost effectiveness of anti-racism training to focus on addressing anti-Blackness, promoting action, and producing meaningful results



Enhance perinatal and postpartum support to fully meet the needs of Black families



Strengthen recruitment and retention strategies to increase the number of Black professionals who interface with Black birthing people and communities



Prioritize collaboration to create mechanisms that lead to systems change solutions and quality improvement



PROVIDE RESPECTFUL CARE THAT IS FREE OF ANTI-BLACK RACISM TO THE BIRTHING PERSON AS WELL AS THEIR SUPPORT NETWORK

- ➔ Provide more information and resources regarding care, including programs and services for fathers, partners, and family members of the person giving birth.
- ➔ Improve consistency and continuity of care, incorporating medical history balanced with the birthing person's needs and desires for their care.
- ➔ Be truly respectful in your communications with Black women and birthing people and their support networks by fully acknowledging their humanity and interacting in nurturing, supportive, and caring ways.
- ➔ Build trust with the Black community by intently listening and responding to the needs of Black women and following through with competent and meaningful solutions that respect their wishes.

This recommendation in practice looks like...

Uplifting fatherhood programs and initiatives

Having relevant and Black-centered resources on hand

Respecting support systems, including fathers and other family members

Being willing to share complete information regarding care and care options



BOOST EFFECTIVENESS OF ANTI-RACISM TRAINING TO FOCUS ON ADDRESSING ANTI-BLACKNESS, PROMOTING ACTION, AND PRODUCING MEANINGFUL RESULTS

- ➔ Secure buy-in and support from leadership to promote and advance anti-racism training and implementation that is evident and cements the standard and commitment broadly.
- ➔ Ensure that employees, at all levels across sectors, including and not limited to custodial, security, program and social service, medical and clinical, education, research, and contractors, receive and engage in quality, ongoing anti-racism training specific to addressing anti-Blackness.
- ➔ Develop highly visible materials and resources that serve as constant reminders to eradicate anti-Black racism and lead to conversations and implementation of more effective practices, programs, and policies.
- ➔ Include rigorous evaluation of anti-racism training to assess quality and effectiveness and that contributes to a larger system of accountability owed to the Black community.

This recommendation in practice looks like...

Revising the hospital reporting process to address incidents of racism and violence related to Child Protective Services

Evaluating trainings on a regular basis and ensuring they're effective and having the intended impact

Having leaders who visibly support and actively work towards advancing racial equity training and implementation



STRENGTHEN RECRUITMENT AND RETENTION STRATEGIES TO INCREASE THE NUMBER OF BLACK PROFESSIONALS WHO INTERFACE WITH BLACK BIRTHING PEOPLE AND COMMUNITIES AS THEIR SUPPORT NETWORK

- ➔ Reform recruitment and onboarding practices to improve retention of Black employees in a way that amends for the historical and current lack of access to education and opportunities in these communities.
- ➔ Create a work culture that pours into Black employees to improve retention: Providing agency, empowerment, support, and visibility, while respecting their positions of leadership and preventing burnout.
- ➔ Dedicate more funding to support hiring and equitable pay of Black professionals, and restructure funding mechanisms to make hiring and retention of Black professionals a priority.
- ➔ Increase capacity of employees to allow more room to engage in collaborative activities.

This recommendation in practice looks like...

Increasing funding to increase capacity and impact

A less bureaucratic hiring and an accessible on-boarding process for Black-identified applicants

Continuing to build and establish trust with community by hiring people that look like them

More career pathways for Black health care professionals

Click here:
[UCSF Embrace Program](#)

Click here:
[SisterWeb Community Doula Network](#)



IMPROVE DATA COLLECTION, ACCURACY, INTERPRETATION, DISSEMINATION, AND UTILIZATION PRACTICES

- ➔ Refine data collected to increase utility. The data we often refer to when developing maternal and child health solutions are clinical outcomes (e.g., adequate prenatal care rates). Considering utility, patient or client satisfaction is another indicator we might use as a better measure of success.
- ➔ Interpretation of the same piece of information changes response. For example, framing the problem as low attendance of prenatal care visits places an onus on patient versus measuring the quality of prenatal care practitioners.
- ➔ Gather data on satisfaction, obstetric racism, and transparency.
- ➔ Ensure implementation and evaluation of new bills like CA SB 464: California Dignity in Pregnancy and Childbirth Act.
- ➔ Data is often years old and hard to get. Reduce barriers to access and continue to monitor and collect meaningful metrics.

This recommendation in practice looks like...

Believing the stories of Black women and birthing people

Click here:
[Black Mamas Matter Alliance](#)

Using apps like Irth to gather data on obstetric racism in a transparent way

Click here:
[Irth App](#)



ENHANCE PERINATAL AND POSTPARTUM SUPPORT TO FULLY MEET THE NEEDS OF BLACK FAMILIES

- ➔ Advance care options for Black birthing people that include all social determinants of health.
- ➔ Support the understanding and implementation of CA SB65: Maternal Care and Services, aka the "Momnibus."
- ➔ Increase paid family medical leave options for Black women, birthing people, parents, and caregivers who are expecting.
- ➔ Invest in administrative and other supports for birth workers who serve Black communities.

"HAVING SAFE PREGNANCIES SHOULDN'T BE A BIG GOAL. I SHOULDN'T BE LIKE, WOW, I REALLY HOPE I LIVE AND MY BABY LIVES."

– Black mom from California

This recommendation in practice looks like...

All Black women and birthing people having a community-based doula and a culturally congruent midwife

Referring families to Black Infant Health programs

Providing Medi-Cal coverage for community-based doula services, at a rate that is equitable and supportive of doulas

Creating additional touch points through Medicaid expansion to monitor the health of Black postpartum people

Click here:
[Expecting Justice - Abundant Birth Project](#)



PRIORITIZE COLLABORATION TO CREATE MECHANISMS THAT LEAD TO SYSTEMS CHANGE SOLUTIONS AND QUALITY IMPROVEMENT

- ➔ Identify and support networks that are focused on advancing Black birth justice and support knowledge sharing and capacity building.
- ➔ Strengthen and expand community networks to better position them to engage with cross sector collaborations.
- ➔ Find innovative ways to collaborate with other services to be better able to address other factors that impact healthy outcomes for the Black birthing person and their child (e.g., mental health, behavioral health, housing, financial support, etc.).
- ➔ Refer participants to CBO for services if your county does not have a focus on Black maternal and infant health.
- ➔ Improve competency of local and state policy advocacy so that people at all levels can contribute to policy change for birth justice.

This recommendation in practice looks like...

Click here:
[**CA Coalition for Black Birth Justice**](#)

Knowledge sharing across county lines

Click here:
[**Deliver Birth Justice**](#)

Click here:
[**African American Infant and Maternal Mortality - Community Action Team**](#)

Click here:
[**Voices for Birth Justice**](#)

An increased awareness of CA SB1237: Removed physician supervision of certified nurse midwives


Click here:
[**Black Women for Wellness**](#)

Working with insurers to help with supplemental funding

Click here:
[**Black Women Birthing Justice**](#)

Click here:
[**BELOVEDBIRTH BLACK CENTERING**](#)

BElovedBIRTH Black Centering is a unique model of group care developed and facilitated by the Alameda Health System and the Alameda County Public Health Department. Through an all-Black dream team of healthcare providers, BElovedBIRTH provides a supportive Black community to help growing families through the joys and challenges of pregnancy, birth, and parenting.







CONCLUSION

“WHAT THE BLACK COMMUNITY WOULD LIKE IN ONE SENTENCE? THAT’S TO BE HEARD – AND ACTION.”

– Black mom from California

Having a network of support, having a family member or birth worker advocating for them, and having access to critical resources through programs like Black Infant Health, support groups, and other services are instrumental to paving a road towards Black birth justice. As noted in this report, carelessness, a lack of education, a lack of respect, and, most importantly, a lack of compassion from health care professionals were among the top issues that Black mothers and birthing people found most difficult about their birth experiences.

We have illustrated that in California there have been many successes and many more challenges ahead. We must come together to ensure a future where Black birthing people can advocate for their needs and desires, where healthcare professionals show compassion, listen, and provide appropriate resources, and where support programs in the community are available to Black families from the beginning of pregnancy and at any point during a birth journey.

WHAT’S NEXT FOR OUR TEAM?

We are invested in Black pregnancy and birth in California being a time for celebration, love, and joy that is shared with loved ones and the community. We are dedicated to supporting the implementation of these recommendations which speak to a system of perinatal care that listens to, respects, and empowers Black women and families from all walks of life. Our team will continue to partner with Black birth justice advocates across California, which includes our frontline maternity care providers, state and county leadership, and Black women and families who have been impacted. Our team, our partners, and our steering committee has begun important awareness-building through webinars, the First 5 Association of CA Annual Summit, the First 5 Sister County Cohorts, and our upcoming “Rally for Black Birth Justice” event. The journey will continue and we look forward to you joining our movement for real and lasting change.

Introducing The Expecting Better Equitable Birth Scale: A County Level Assessment Tool

Based on our findings, as well as input and guidance from our Steering Committee, we have developed an 18-item assessment tool which we are piloting with First 5 commissions across the state as part of the First 5 Sister County Cohort effort. The Expecting Better Equitable Birth Scale, consists of yes or no questions which result in a score (1-18, divided among thematic pillars), indicating a county’s readiness to act on recommendations to improve racial and birth equity. The First 5 Sister County Cohorts will provide important insight on collaborative efforts to implement recommendations and on successful collective action practices to address systemic issues impacting birth outcomes.

**“I SEE A FUTURE WHERE ANTI-
BLACK RACISM IS ADDRESSED
AND COMBATED; WHERE BLACK
MOTHERS, BLACK CHILDREN, AND
BLACK FAMILIES THRIVE; AND
WHERE BLACK BIRTH IS HONORED
BY EVERYONE INVOLVED. THAT
WORK STARTS TODAY.”**

– Solaire Spellen

Contact Caroline Demko at caroline_demko@berkeley.edu for more information on cohort progress.

REFERENCES

1. March of Dimes. (2021). 2021 March of Dimes Report Card — A time for partnership and action: Examining the U.S. maternal and infant health crisis and policies needed for change. Retrieved from https://www.marchofdimes.org/materials/March_of_Dimes_2021_Full_Report_Card_11152021_v1.pdf
2. California Maternal Quality Care Collaborative. (2017). The California Pregnancy-Associated Mortality Review. Report from 2002-2007 Maternal Death Reviews."Sacramento: California Department of Public Health, Maternal, Child and Adolescent Health Division. Retrieved from <https://www.cmqcc.org/sites/default/files/CA-PAMR-Report-1%20%283%29.pdf>
3. Braveman, P., Heck, K., Egerter, S., Dominguez, T. P., Rinki, C., Marchi, K. S., & Curtis, M. (2017). Worry about racial discrimination: A missing piece of the puzzle of Black-White disparities in preterm birth? *PLoS ONE*, 12(10), e0186151. <http://doi.org/10.1371/journal.pone.0186151>
4. Centers for Disease Control and Prevention. (2018, Apr. 24). Preterm Birth, Maternal and Infant Health, Reproductive Health. CDC. Retrieved from <https://www.cdc.gov/reproductivehealth/maternalinfanthealth/pretermbirth.htm>
5. Collins, J. W., David, R. J., Handler, A., Wall, S., & Andes, S. (2004). Very Low Birthweight in African American Infants: The Role of Maternal Exposure to Interpersonal Racial Discrimination. *American Journal of Public Health*, 94(12), 2132–2138. doi: 10.2105/AJPH.94.12.2132
6. Institute of Medicine (U.S.) Committee on Understanding Premature Birth and Assuring Healthy Outcomes; Behrman, R. E., & Butler, A. S., editors. (2017). *Preterm Birth: Causes, Consequences, and Prevention*. Washington, DC: National Academies Press; 4, Sociodemographic and Community Factors Contributing to Preterm Birth. Retrieved from <https://www.ncbi.nlm.nih.gov/books/NBK11388>
7. Oparah, J. C., Artega, H., Hudson, D., Jones, L., & Oseguera, T. (2018). *Battling over birth: Black Women and the Maternal Health Care Crisis*. Amarillo, TX: Praeclarus Press.
8. Shavers VL, Fagan P, Jones D, et al. The state of research on racial/ethnic discrimination in the receipt of health care. (2012). *American Journal of Public Health*, 102(5): 953- 966
9. FitzGerald C, Hurst S. Implicit bias in healthcare professionals: a systematic review. (2017). *BMC Med Ethics*, 18(1): 19- 37.
10. Blair IV, Steiner JF, Fairclough DL, et al. Clinicians' implicit ethnic/racial bias and perceptions of care among Black and Latino patients. (2013). *Annals of Family Medicine*, 11(1): 43- 52.
11. Hardeman, R. R., Medina, E. M., & Kozhimannil, K. B. (2016). Structural racism and supporting black lives—the role of health professionals. *New England Journal of Medicine*, 375(22), 2113-2115.
12. Lu, M. C., Kotelchuck, M., Hogan, V., Jones, L., Wright, K., & Halfon, N. (2010). Closing the Black-White Gap in Birth Outcomes: A Life-course Approach. *Ethnicity & Disease*, 20(102), S2–62–76. Retrieved from <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4443479/>

13. Williams, D. R., & Rucker, T. D. (2000). Understanding and Addressing Racial Disparities in Health Care. *Health Care Financing Review*, 21(4), 75–90. Retrieved from <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4194634/>
14. Ryn, M. and Fu, S. (2003). Paved With Good Intentions: Do Public Health and Human Service Providers Contribute to Racial/Ethnic Disparities in Health? *American Journal of Public Health*, 93(2), pp.248-255. doi: 10.2105/AJPH.93.2.248
15. McLemore, M.R. Altman, N. Cooper, S. Williams, L. Rand, L. Franck. (2018). Health care experiences of pregnant, birthing and postnatal women of color at risk for preterm birth. *Social Science & Medicine*, 201, pp. 127-135, doi: 10.1016/j.socscimed.2018.02.013
16. Salm Ward TC, Mazul M, Ngui EM, Bridgewater FD, Harley AE. (2013). “You learn to go last”: perceptions of prenatal care experiences among African-American women with limited incomes. *Maternal and Child Health Journal*, 17(10): 1753- 1759.
17. Cuevas AG, O’Brien K, Saha S. (2016). African American experiences in healthcare: “I always feel like I’m getting skipped over.” *Health Psychology*, 35(9): 987- 995
18. Lori JR, Yi CH, Martyn KK. (2011). Provider characteristics desired by African American women in prenatal care. *Journal of Transcultural Nursing*, 22(1): 71- 76.
19. Yee LM, Simon MA. (2011). Perceptions of coercion, discrimination and other negative experiences in postpartum contraceptive counseling for low-income minority women. *Journal of Health Care for the Poor and Underserved*, 22(4): 1387- 1400.
20. Giurgescu C, Banks A, Dancy BL, Norr K. (2013). African American women’s views of factors impacting preterm birth. *MCN: The American Journal of Maternal/Child Nursing*, 38(4): 229- 234.
21. Nuru-Jeter A, Dominguez TP, Hammond WP, et al. (2009). “It’s the skin you’re in”: African-American women talk about their experiences of racism. An exploratory study to develop measures of racism for birth outcome studies. *Maternal and Child Health Journal*, 13(1): 29- 39.
22. National Partnership for Women and Families. (2018). Listening to Black Mothers in California. Retrieved from <https://www.nationalpartnership.org/our-work/resources/health-care/maternity/listening-to-black-mothers-in-california.pdf>
23. Franck, L.S., McLemore, M.R., Williams, S. et al. Research priorities of women at risk for preterm birth: findings and a call to action. (2020). *BMC Pregnancy Childbirth* 20, 10. <https://doi.org/10.1186/s12884-019-2664-1>
24. King, D. Anti-Blackness Definition. Retrieved from https://www.danteking.com/_files/ugd/5de427_956174dec2b1459c86642b6d2c8704aa.pdf
25. Ely, D. M., Driscoll, A. K. (2020). Infant mortality in the United States, 2018: data from the period linked birth/infant death file. Retrieved from <https://www.cdc.gov/nchs/data/nvsr/nvsr69/NVSR-69-7-508.pdf>
26. Government Alliance for Race and Equity. (2017). Racial Equity: Getting to Results. Retrieved from https://www.raceequityalliance.org/wp-content/uploads/2017/09/GARE_GettingtoEquity_July2017_PUBLISH.pdf



To: First 5 Alameda County Commission
From: Kristin Spanos, Chief Executive Officer
Date: June 2, 2022
Subject: Measure C Readying Brief

Preparation as Administrator

As the named administrator of Measure C's child care funds, First 5 Alameda County (First 5) has spent the last two years researching, planning, and preparing. In the summer of 2021, we hired [Viva Social Impact Partners](#) to help establish the internal planning structure, including the seating of multiple workgroups and sub-workgroups. [\[Overview Measure C Planning\]](#) The establishment of the planning structure with initial backbone consulting support was aimed at preparing the organization for the seating of the Community Advisory Council (CAC) and to expedite the development of a Measure C Plan, which is required to be approved by the Board of Supervisors prior to implementation of the initiative.

Alameda County Superior Court is expected to release its ruling on June 17, 2022 and if no appeal is filed within 60-days, the implementation process for use of the funds would begin. I am sharing this brief to highlight the organizational efforts to date to position us administratively should the funding become available. For more about our role in Measure C and the structure of the ordinance, please see page 37 of our [Strategic Plan](#). *Workgroup activities to date are highlighted below.*

Governance Activity to Date

VIVA Social Impact Partners reviewed First 5's governance documents and policies and presented their [findings and recommendations](#) (pages 5–14) to the Executive Committee on October 7, 2021. The following governance documents were prepared based on guidance from general counsel. They have been approved by the Commission's Executive Committee.

- Media
- Investment
- Bylaws
- Conflict of Interest/Declaration of Interest
- Financial

Additional updates have been identified and are slated to be brought to the Commission upon Measure C's validation by the court.

Operations Activity to Date

- Hired Michele Rutherford in the fall of 2019 to support the readying of the agency and our partners. Ms. Rutherford has more than 20 years of experience with an early care and education (ECE) initiative involving subsidies, wages, facilities, workforce, and systems, much of which was embedded in Measure A, and subsequently Measure C.



- In March 2021, upon the Alameda County Board of Supervisors (BOS)'s enactment of the Measure C half-percent (0.5%) sales tax, we created the ECE Division within First 5. Ms. Rutherford was appointed Interim Director, ECE.
- Ana Rasquiza, Senior Administrator, Policy, was assigned to Interim ECE Fiscal Operations to support planning regarding facilities, ECE policy, finance, and operations.
- We hired a second Data and Policy Analyst assigned to ECE, Kurl Dapula, to support planning, analysis, and data management

Preparation for Community Advisory Committee (CAC)

Measure C requires the seating of an 11-member CAC. Six members will be appointed by the Alameda County ECE Planning Council (Planning Council) and five will be appointed by the BOS. We have developed a draft CAC Binder to serve as a resource to inform planning and program design. *The binder includes documentation of work products such as the Alameda County ECE Needs Assessment, Measure A Program Plan with recommended edits, and outputs from the Measure C workgroups.* [[CAC Binder](#)]

Data and Technology

The ECE sector has been under-resourced for many years and has significant data and technology needs. The Data and Technology Subcommittee was created to (1) collect and analyze data about needs of providers and families to inform policy and program, (2) identify potential data needed to implement and monitor Measure C, and (3) identify technology tools required for these purposes.

Data Activity to Date

- Completed, in partnership with the Planning Council, a comprehensive countywide ECE Needs Assessment with detailed information about ages, settings, supply and demand, and unmet need. [[2021 Alameda County ECE Needs Assessment](#)]
- Reviewing data elements currently collected by state contractors providing subsidized care and ways data collection for Measure C may be streamlined from that reporting.
- Research of evaluation models and seminal, longitudinal studies in ECE to inform Measure C evaluation and Brown Bags for staff to increase knowledge of approaches to ECE evaluation. [[Early Childhood Foundational Research](#)]

Technology

Measure C states that implementation will include a Centralized Eligibility List (CEL) to streamline waiting lists—currently parents must apply to more than 28 contractors' eligibility waiting lists for subsidized care. Measure C implementation will also require an enrollment system to track children and providers. Both systems will be needed to administer and capture data for planning, budgeting, and evaluation purposes. A subcommittee was created to begin engaging partners regarding needs and current systems, identifying potential technology solutions to centralize and streamline processes for parents and providers, and estimating resources needed for development and maintenance of a CEL.

Technology Activity to Date

- Surveyed and convened Title 5 state contractors of subsidized care to determine partner data systems, enrollment, and waiting list processes. Convened Alternative Payment Agencies for briefing and planning input [[External Title 5.EHS.HS Survey Findings](#)]



- Researched CEL history in Alameda County and active CELs in other counties (Sacramento/Yolo, San Francisco, San Diego), gathered job descriptions, workflow processes, and administrator satisfaction with data systems [[ECE System Family Path for Subsidy Flowchart](#)]
- Data system research and recommendations, including demonstrations of systems, for the CEL and the Enrollment Data Base [[CEL Infographic](#)]
- Secured \$1 million in funding from the Alameda County Board of Supervisors to support next phase planning and implementation of a CEL pilot

ECE Quality and Program

First 5, along with the broader ECE advocacy community, is moving away from the current Quality Rating and Improvement System (QRIS)¹ model (which is intended to support quality programming in ECE settings) due to statewide concerns that it perpetuates inequities. First 5's Quality Counts team has been working through a redesign with the intention of adopting more equitable and scalable Continuous Quality Improvement practices developed in partnership with the field and consumers (parents/caregivers).

ECE Quality and Program Activity to Date

- Developed working Guiding Principles for QRIS [[ECE Guiding Principles](#)]
- Expanding services to Family Child Care (FCC) providers, with intention about demographic and geographic representation, including in our Neighborhoods Ready for School service areas. Services for FCC's include connection with Help Me Grow and early identification of developmental needs, Continuous Quality Coaching, Professional Learning Community supports, and quality stipends for early educators.
- Researched insurance options. Exploring solutions related to insurance requirements that hinder some family child care homes from participating in QRIS.
- Provided feedback, input, and advocacy on state QRIS redesign [[Letter to the state recommending suspension of rating](#)]

Facilities for Child Care Sites

Due to ongoing under-resourcing, the child care sector has a lack of facilities available for licensed care and quality issues related to deferred maintenance at facilities. In partnership with the Planning Council, we established a Facilities Advisory Group to gather data to understand the local facility needs and plan for potential facilities investments and technical assistance.

Facilities Activity to Date

- Convened, in partnership with the ECE Planning Council, a Facilities Advisory Group which has met seven times since October 2021 to inform the development of the ECE Licensed Facilities Needs Assessment survey and findings. [[FCC Survey here](#) and [Center Survey here](#)]
- In February and March 2022, conducted the ECE Licensed Facilities Needs Assessment survey; 84 center-based and 240 FCC providers responded.

¹ California has currently suspended rating for non-California State Preschool Programs (CSPP), a modified rating approach for CSPPs and is exploring changing to QRIS



- Data and findings to be scheduled to be completed by early August will provide insight into local facility needs informing state advocacy for facility resources and potentially Measure C planning and investments.
- Hosted two webinars to inform and support centers and FCCs to apply for state Minor Repair and Renovation grants. While 5th in the state for the supply of licensed providers, Alameda County had among the highest number of applications for the funds. We believe the high application rate is a result of the outreach and technical assistance we provided to the field.

Workforce

The ECE workforce has a long history of being underfunded and undervalued, with low-pay and high attrition, making the impacts of COVID-19 particularly devastating. In addition, California's implementation of Universal Pre-Kindergarten is creating demand for ECE teachers in the K-12 education system. To address the workforce shortage and prepare for Measure C implementation, First 5 is participating, supporting, and when appropriate, leading in efforts to support the sector.

Workforce Activity to Date

- Continued, in partnership with SSA, to fund and support East Bay YMCA's promising Apprenticeship Program. More than 100 apprentices have been supported since the inception of the program in 2019, of which 59 were CalWORKs participants. [[Apprenticeship Brief](#)]
- Presented about the apprenticeship to Kris Perry, former Deputy Secretary of the California Health and Human Services Agency (CHHS) for Early Childhood Development and Senior Advisor to the Governor on Implementation of Early Childhood Development Initiatives and presented jointly with Pamm Shaw, East Bay YMCA, at the state CalWORKs conference. [[CalWORKs Apprenticeship Presentation](#)]
- We are working on a formal evaluation of the program, funding, and policy implications, likely to be conducted by Center for the Study of Child Care Employment. [[Apprenticeship Evaluation Draft Scope of Work](#)]
- Initiated a partnership with the ECE Planning Council to coordinate establishing an ECE Workforce Task Force, of which we are procuring a consultant to conduct a landscape analysis of existing workforce activities and opportunities. [[ECE Workforce Task Force Proposal](#)]

Finance

The major investment of Measure C will be increased access to quality care and improved ECE workforce compensation through subsidies and rate enhancements. We continue to monitor the landscape of state/federal subsidy enrollment and rates, as the local dollars are intended to build off that foundation.

Finance Activity to Date

- Advocate for increased state rates and rate reform, including comments to state Rate and Quality Committee and promoting state Cost of Care study to Alameda County providers to ensure representation of local costs of care. [[State Rate & Quality Committee Letter](#)]



NEXT STEPS

Next phase planning for Measure C:

- Hire permanent ECE Director, and additional positions in Program and Operations.
- Develop a CEL workplan, including hiring staff and consultants, seating an end-user group, and procuring a qualified vendor to customize a system for Alameda County and Measure C enrollments.
- Complete the ECE Facilities Needs Assessment and share with key stakeholders, including the Community Development Agency and developers in the housing pipeline.
- Seat the Workforce Task Force and develop recommendations for improved strategies for ECE workforce development investments and opportunities that leverage funding and efforts.
- Complete the Apprenticeship Evaluation and share findings to influence investment.



To: First 5 Alameda County Commission

From: Kristin Spanos, Chief Executive Officer
Christine Hom, Finance Officer
Maria Canteros, Finance Administrator

Date: June 2, 2022

Subject: FY 2022-23 Budget Proposal – Final Reading

ACTION REQUESTED

To approve the FY 2022-23 Budget Proposal – Final Reading.

BACKGROUND

Each First 5 Commission is required by statute to adopt a Strategic Plan that outlines the use of tobacco tax funds to serve children age 0-5 and their families. First 5 Alameda County staff and Commission have been engaged in developing the new FY 2022-27 Strategic Plan with the support of Hickman & Associates. This budget proposal covers the first year of the new Strategic Plan period, FY 2022-23.

This presentation is the second reading of the FY 2022-23 budget proposal and incorporates new information related to revenue streams as well as minor changes to expenditures since the first reading. In addition, the list of proposed FY 2022-23 contracts will be presented in conjunction with the proposed budget.

As is the practice of First 5 Alameda County, changes that occur during the course of the fiscal year will be formally incorporated into the budget during the Mid-Year Budget Modification in February 2023.

CURRENT BUDGET PROPOSAL

This document provides a fiscal summary of revenue projections and budgeted expenditures as follows:

- First 5 staff salaries and benefits
- Contracts
- Grants & Stipends
- Professional Service Contracts
- Program Operating Costs
- Infrastructure costs

The following Revenue and Expense projections reflect the priorities of the first year of the new FY 2022-27 Strategic Plan that will be approved by the Commission in June 2022.

REVENUE AND AVAILABLE FUNDS FOR FY 2022-23

Combined Revenues and Sustainability Funds for FY 2022-23 are projected to be \$24.3 million. This figure is consistent with the proposed FY 2022-31 Long Range Financial Plan. \$3.4 million of Sustainability Funds is budgeted to close the gap between revenue and projected expenses (\$385k less than the current year's planned use of Sustainability Funds).

REVENUE TYPE	2022-23 PROPOSED	RATIONALE/DETAILS
Prop 10 Tobacco Tax		
	\$12,508,053	The tobacco tax revenue projection (Prop 10 and 56) is based on California Department of Finance and First 5 California projections for county commissions. Prop 10 Tobacco taxes are expected to decrease as per First 5 California's projections released in May 2021.
Other First 5 Income		
	\$1,311,805	Funding includes the First 5 California IMPACT 2020 grant to support local QRIS work and Children's Council of San Francisco (First 5 San Francisco) funding for the IMPACT Local Regional Training and Technical Assistance Hub.
Interagency Income		
	\$3,812,193	Funding includes contract with Alameda County Health Care Services Agency and Social Services Agency (via ACHCSA) to support Fathers Corp work, funding from the Alameda County Office of Education/CA State Block Grant for projected monies for QRIS 9 grant and Inclusive Learning Grant, funding from Alameda County Public Health Department for shared ECChange maintenance and hosting costs and the Help Me Grow Central Access Phone Line Services, funding from Alameda County Social Services Agency for workforce development activities and Early ID support and development of the Centralized Eligibility List (CEL) application technology, funding from the California Department of Education for the Preschool Development Grant, and projected monies from the California Department of Social Services for Quality Counts California QRIS Block Grant.
Grants		
	\$875,473	Funding from Sunlight Giving for general operating support, Alameda Alliance for Health and Stupski Foundation for the HMG Pediatric Care Pilot, and Kaiser Permanente Hospitals Foundation for Fatherhood activities.

REVENUE TYPE	2022-23 PROPOSED	RATIONALE/DETAILS
Fiscal Leveraging		
Fiscal Leveraging	\$2,000,000	Projected funding for Medi-Cal Administrative Activities (MAA); estimates are based on MAA invoices submitted in FY 2021-22.
Other Income		
	\$353,700	Projected other income includes revenue from investments and rental income from the First 5 Association.
Total Revenue (1)	\$20,861,224	Prop 10 Tobacco Tax, Other First 5 Income, Interagency Income, Grants, Fiscal Leveraging and Other Income
Reserves: Prop 10 Sustainability Funds (2)	\$3,471,947	Draw down from Proposition 10 Sustainability Fund to balance the budget.
Grand Total	\$24,333,171	Total Revenues and Available Funds = (1) + (2)

EXPENDITURES FOR FY 2022-23

In the FY 2022-27 Strategic Plan planned activities are categorized under ten major strategies:

PROGRAMS STRATEGIES:

1. Early Identification, Screening and Care Coordination
2. Parent Partnership
3. Neighborhoods Ready for School
4. Fatherhood
5. Quality Early Childhood Education

AGENCY STRATEGIES:

6. Data and Evaluation
7. Policy and Advocacy
8. Training
9. Communications

OPERATIONAL SUPPORT STRATEGY:

10. Finance, Human Resources, Technology, Administration and Facilities

The following Expense proposal provides the cost for each of the ten strategies detailed in the Strategic Plan. The program strategy expenditures presented below consist of Salaries and Benefits, Program related Contracts, Grants, Stipends, Professional Services and Program Operating costs. The Operational Support Strategy includes Finance, Human Resources, Technology, Administration and Facilities costs. Indirect agency infrastructure costs are reflected in the Operational Support Strategy budgets. The budget narrative provides detail on each Strategy and is to be read in conjunction with the Strategic Plan.

AGENDA ITEM 7a

Consistent with legislative requirements brought about by AB 109, expense costs continue to be separated into three categories: Program, Evaluation and Administration. The expenses in each category are consistent with First 5 California guidelines, and those set forth in the Government Finance Officers Association’s First 5 Financial Management Guide.

Salaries and Benefits

For FY 2022-23, total salaries and benefits are projected to be **\$12,529,894**. Salaries are budgeted based on actual amounts. Benefits are budgeted at 51% of salaries. Consistent with direction from the Commission, the approved benefit package has remained mostly consistent with Alameda County, including membership in the Alameda County Employee’s Retirement Association (ACERA). The 51% allocation is based on actual cost estimates that are revised periodically as needed.

The **Early Identification, Screening and Care Coordination** strategy budget proposal for FY 2022-23 is **\$3,077,489** and consists of:

FY 2022-23 PROPOSED AMOUNT	FUNDING SOURCES	PROPOSED ACTIVITIES
\$3,077,489	<ul style="list-style-type: none"> ▪ Tobacco Tax ▪ Medi-Cal Administrative Activities (MAA) ▪ Alameda County Public Health Department ▪ Alameda County Social Services Agency ▪ Alameda Alliance for Health ▪ Stupski Foundation 	<ul style="list-style-type: none"> ▪ Continue support to parents and caregivers in accessing resources, and increase parent knowledge of child development through family navigation ▪ Broaden screening efforts in alignment with Help Me Grow Strategic Plan including enhancing screening technology and purchase of ASQ kits ▪ Continue support for HMG Pediatric Care Pilot ▪ Continue programming for ACES Aware grant ▪ Continue to explore local system integration and expansion with managed care plans, health care and social services agencies

The **Parent Partnership** strategy budget proposal for FY 2022-23 is **\$3,158,000** and consists of:

FY 2022-23 PROPOSED AMOUNT	FUNDING SOURCES	PROPOSED ACTIVITIES
\$3,158,000	<ul style="list-style-type: none"> ▪ Tobacco Tax ▪ Medi-Cal Administrative Activities (MAA) ▪ Alameda County Social Services Agency 	<ul style="list-style-type: none"> ▪ Continue support of ECE workforce pilot program ▪ Continue support of Family Navigation services ▪ Continue support of Project DULCE activities ▪ Continue support of parent focused services prioritizing children age 0-3 years with community partners and parent leaders to inform programming and investments

AGENDA ITEM 7a

The **Neighborhoods Ready for School** strategy budget proposal for FY 2022-23 is **\$3,500,000** and consists of:

FY 2022-23 PROPOSED AMOUNT	FUNDING SOURCES	PROPOSED ACTIVITIES
\$3,500,000	<ul style="list-style-type: none"> ▪ Tobacco Tax 	<ul style="list-style-type: none"> ▪ Continued support of school readiness and place based work with Oakland Unified School District in the Castlemont Corridor ▪ Continue support of Parent Café programming ▪ Continue implementation of place based investments including West and East Oakland, Fruitvale/San Antonio neighborhoods and Union City

The **Fatherhood** strategy budget proposal for FY 2022-23 is **\$767,283** and consists of:

FY 2022-23 PROPOSED AMOUNT	FUNDING SOURCES	PROPOSED ACTIVITIES
\$767,283	<ul style="list-style-type: none"> ▪ Tobacco Tax ▪ Alameda County Health Care Services Agency ▪ Kaiser Permanente Hospitals Foundation 	<ul style="list-style-type: none"> ▪ Continue incorporating Father Friendly Principles into additional programs and community initiatives ▪ Continue Father Friendly Principles awareness, adoption, implementation, and capacity building campaign to public systems and CBOs ▪ Implement Fatherhood Interagency Workgroup ▪ Support for Fatherhood Training and Technical Assistance for Northern California FJC Collaborative

AGENDA ITEM 7a

The **Quality Early Childhood Education (QECE)** strategy budget proposal for FY 2022-23 is **\$4,047,422** and consists of:

FY 2022-23 PROPOSED AMOUNT	FUNDING SOURCES	PROPOSED ACTIVITIES
\$4,047,422	<ul style="list-style-type: none"> ▪ Tobacco Tax ▪ First 5 California ▪ Children’s Council of San Francisco (Regional IMPACT T/TA Hub) ▪ Alameda County Office of Education ▪ CA Department of Education ▪ CA Department of Social Services 	<ul style="list-style-type: none"> ▪ Continue to provide core infrastructure, coordinator and convener role for the Quality Rating and Improvement System (QRIS) system ▪ Continue the recruitment, training and engagement of ECE providers in to the QRIS ▪ Continue to conduct and communicate assessment and rating with providers ▪ Continue to support trainings, playgroups and provide stipends for Family, Friend and Neighbor providers and Family Child Care sites ▪ Provide coaching, consultation, quality improvement services and training on social emotional development (CSEFEL) ▪ Continue support for sustainable advising and professional development in institutions of higher education

The **Data and Evaluation** strategy budget proposal for FY 2022-23 is **\$1,058,400** and consists of:

FY 2022-23 PROPOSED AMOUNT	FUNDING SOURCES	PROPOSED ACTIVITIES
\$1,058,400	<ul style="list-style-type: none"> ▪ Tobacco Tax 	<ul style="list-style-type: none"> ▪ Funding to support evaluations of ECE Workforce activities, HMG Parent Survey, Fathers Corp 10 Year report, place-based work ▪ Technical assistance to contractors for RBA reporting ▪ Continue development of data dashboard, performance monitoring and analysis for each F5AC program strategy in alignment with results-based accountability

The **Policy and Advocacy** strategy budget proposal for FY 2022-23 is **\$1,146,600** and consists of:

FY 2022-23 PROPOSED AMOUNT	FUNDING SOURCES	PROPOSED ACTIVITIES
\$1,146,600	<ul style="list-style-type: none"> ▪ Tobacco Tax 	<ul style="list-style-type: none"> ▪ Continue focus on local policy and systems changes to result in the institutionalization of the work that began at First 5 ▪ Contribute to First 5 Association policy work ▪ Continue developing an annual policy platform for local efforts aligned with F5AC programs and priorities around school readiness, child development, family supports, child friendly neighborhoods ▪ Continue support of Alameda County Early Childhood Policy Committee activities

AGENDA ITEM 7a

The **Training** strategy budget proposal for FY 2022-23 is **\$700,000** and consists of:

FY 2022-23 PROPOSED AMOUNT	FUNDING SOURCES	PROPOSED ACTIVITIES
\$700,000	<ul style="list-style-type: none"> ▪ Tobacco Tax 	<ul style="list-style-type: none"> ▪ Continue to provide training on best, promising practices and peer learning communities for the multi-disciplinary workforce serving families with young children ▪ Develop curriculum and capacity building tools connecting trainings to workforce development, parent engagement and place based strategies ▪ Support training for staff development program

The **Communications** strategy budget proposal for FY 2022-23 is **\$605,000** and consists of:

FY 2022-23 PROPOSED AMOUNT	FUNDING SOURCES	PROPOSED ACTIVITIES
\$605,000	<ul style="list-style-type: none"> ▪ Tobacco Tax 	<ul style="list-style-type: none"> ▪ Continue development of dissemination strategy for F5AC reports and information ▪ Continue development of social media strategy ▪ Continue enhancements to agency website ▪ Develop multi-year campaign that connects with policy platform, parent engagement and education on child development ▪ Develop collateral materials regarding impacts of F5 investments to promote sustainability

The **Operational Support (Finance, Human Resources, Technology, Administration and Facilities)** strategy budget proposal for FY 2022-23 is **\$6,272,977** and consists of:

FY 2022-23 PROPOSED AMOUNT	FUNDING SOURCES	PROPOSED ACTIVITIES
\$6,272,977	<ul style="list-style-type: none"> ▪ Tobacco Tax ▪ Medi-Cal Administrative Activities (MAA) ▪ Alameda County Public Health Department ▪ Alameda County Social Services Agency ▪ Investment Revenue ▪ First 5 Association (rent) 	<ul style="list-style-type: none"> ▪ Includes Administration, Technology, Finance, Human Resources, Commission, facilities management and consolidated operating costs to support agency operations ▪ Expand and update data systems to build capacity for cross data systems exchange of information including the enhancement of internal databases, expansion of data system agility and responsiveness, improved performance and productivity, update of electronic data sharing confidentiality and privacy practices

	<ul style="list-style-type: none"> ▪ Grant Indirect Revenue 	<ul style="list-style-type: none"> ▪ Development of the Centralized Eligibility List (CEL) application technology ▪ Includes agency wide infrastructure costs of insurance, memberships/dues, professional services, utilities, janitorial and maintenance
--	--	---

Administrative Cap

As part of the agency Financial Policies and consistent with AB 109 and SB 35, First 5 Alameda County has set an administrative cost cap of 15%. Costs are segregated through the year into the Program, Evaluation and Administrative areas according to guidelines and definitions set forth by First 5 California and the Government Finance Officers Association (GFOA) First 5 Financial Management Guide.

The proposed budgets' costs are:

FY 2022-23 COSTS	
Program	78.3%
Evaluation	7.7%
Administration	14.0%
TOTAL	100.0%

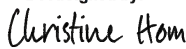
FISCAL IMPACT

The fiscal impact is **\$24,333,171** in budgeted expenses, a major portion of which will be funded by a combination of Prop 10 and other revenue sources amounting to **\$20,861,224**. The balance is proposed to be funded by the use of Proposition 10 Sustainability Funds totaling \$3,471,947 in FY 2022-23.

RECOMMENDATION

That the Commission approve the FY 2022-23 Budget Proposal – Final Reading.

Submitted by:

DocuSigned by:

5659DF0B756A46A...
 Christine Hom
 Finance Officer

Approved by:

DocuSigned by:

ED639B4561544E4...
 Kristin Spanos
 Chief Executive Officer

DocuSigned by:

8493762444274E9...
 Maria Canteros
 Finance Administrator

**First 5 Alameda County
Proposed Budget - Revenue
July 1, 2022 - June 30, 2023**

Revenues	Adopted Modified Budget FY2021-22	Final Reading Proposed Budget FY2022-23	Change Increase/ (Decrease)	Notes	NOTES
Proposition 10 Tobacco Tax Revenue	11,765,441	12,508,053	742,612	1	Prop 10 and Prop 56 tobacco tax revenue projections per First 5 California's revenue projections released in May 2021
Other First 5 Income					
First 5 California (IMPACT 2020)	1,049,218	1,153,805	104,587	2	First 5 California IMPACT 2020 grant has a 3 year term (July 2020 to June 2023), currently in year 3 of 3
First 5 California (IMPACT Incentive Layer)	309,613	-	(309,613)	3	The balance of IMPACT Incentive Layer award was spent down in FY2021-22
Children's Council of San Francisco (First 5 San Francisco/Hub)	110,000	158,000	48,000	4	First 5 IMPACT Regional Training and Technical Assistance Hub for Region 4
Total Other First 5 Income	1,468,831	1,311,805	(157,026)		
Interagency Income					
Alameda County Health Care Services Agency (Fathers Corp)	138,000	400,000	262,000	5	ACHCSA Fathers Corp projected 5 year award term July 2022 to June 2027
Alameda County Office of Education (QRIS 8/9)	447,292	447,292	-	6	ACOE QRIS 9 projected grant award term is July 2022 to June 2023
Alameda County Office of Education (Inclusive ELC Grant)	134,626	74,723	(59,903)	7	ACOE Inclusive ELC grant ends December 31, 2023
Alameda County Public Health Dept. (shared Technology costs)	114,000	122,812	8,812	8	ACPHD projected annual shared technology costs to support ECChange maintenance and hosting
Federal Pass-through Grants:					
Alameda County Public Health Dept. CHDP (Linkage Line)	449,344	479,658	30,314	9	ACPHD HMG Linkage Line grant award term is July 2020 to June 2023
Alameda County Social Services Agency (Workforce Pilot & HMG support)	717,507	1,717,507	1,000,000	10	ACSSA Workforce Pilot, Family Navigation & Early ID support grant award term July 2022 to June 2024; addition of projected CEL application funding
Federal Pass-through State Grants:					
California Dept. of Social Services (QCC QRIS Block Grant)	542,852	515,120	(27,732)	11	CDSS QCC Block Grant #5 grant award term July 2022 to June 2023
California Dept. of Education (Preschool Development Grant)	78,700	55,081	(23,619)	12	CDE PDG-R grant ends December 2022
Total Interagency Income	2,622,321	3,812,193	1,189,872		
Grants					
Sunlight Giving	595,852	120,000	(475,852)	13	Sunlight Giving general support award carryover of funds receive in FY2021-22
Alameda Alliance for Health	572,473	572,473	0	14	Alameda Alliance for Health grant to support HMG's Pediatric Care Pilot (conduct member engagement activities related to care coordination)
Aurrera Health Group	50,517	-	(50,517)	15	Aurrera Health Group grant ended Sept 2021 supporting ACEs Aware activities
Stupski Foundation	100,000	73,000	(27,000)	16	Stupski Foundation grant ends October 2022 supporting HMG's Pediatric Care Coordination activities
Kaiser Permanente Foundation Hospitals	33,450	110,000	76,550	17	Kaiser Permanente Hospitals Foundation grant award (January 2022 to December 2023) will support Fatherhood Training and T/A for Northern California FJC Collaborative
Cal Wellness Foundation	45,000	-	(45,000)	18	No new funding from California Wellness Foundation
Total Grants	1,397,292	875,473	(521,819)		
Fiscal Leveraging - MediCal Administrative Activities	1,850,000	2,000,000	150,000	19	MAA FY2022-23 projected revenue from FY2021-22 invoices (paid one year in arrears)
Other Income					
Investment Revenue	450,000	324,000	(126,000)	20	Projected investment revenue
Miscellaneous Revenue - Fatherhood Summit	189,999	-	(189,999)	21	No new funding projected for the Fatherhood Summit
Miscellaneous Revenue - Other	38,750	29,700	(9,050)	22	Rental income from First 5 Association
TOTAL REVENUE	19,782,634	20,861,224	1,078,590		
RESERVES					
Proposition 10 - Sustainability Funds	3,857,433	3,471,947	(385,486)		
Proposition 10 - Prior year budget savings for Community Resilience Fund	678,391		(678,391)		
TOTAL REVENUES & AVAILABLE FUNDS	24,318,458	24,333,171	14,713		
			-		

First 5 Alameda County
Proposed Expenditure Budget by Expenditure Category
July 1, 2022 - June 30, 2023

AGENDA ITEM 7a2

Expenditures	Modified Budget FY 2021-22	1st Reading Proposed Budget FY 2022-23	Final Proposed Budget FY 2022-23	Variance from Prior Year	Variance from Prior Year %	Notes
Personnel Costs	\$12,024,063	\$12,397,054	\$12,529,894	\$505,830	4%	1
Program Contracts/Grants	\$10,727,634	\$9,308,322	\$10,165,482	(\$562,152)	-5%	2
Program Operating Costs	\$511,563	\$492,445	\$492,445	(\$19,118)	-4%	3
Infrastructure Costs	\$1,055,197	\$1,145,350	\$1,145,350	\$90,153	9%	4
TOTAL EXPENDITURES	\$24,318,458	\$23,343,171	\$24,333,171	\$14,713	0%	

Notes:

Major changes in Expenditure Category costs, between the FY 2021-22 Modified Budget and the Final Proposed FY 2022-23 Budget.

1. Personnel Costs

The FY 2022-23 proposed personnel costs includes new external funding in Fatherhood (Kaiser Foundation) and Early ID (Stupski Foundation) strategies and a minimal increase in Prop 10 funding to support anticipated adjustments due to the class and compensation study results.

2. Contracts

The FY 2022-23 proposed contracts budget reflects a decrease in costs of one-time administrative/Infrastructure costs (e.g., strategic planning, class and compensation study, technology and building upgrades); wrap-up of the two-year COVID-19 Community Resilience Fund activities.

3. Program Operating Costs

The FY 2022-23 proposed program operating expenses are minimally reduced with the continued plan for virtual program activities.

4. Infrastructure Costs

The FY 2022-23 proposed infrastructure costs reflect an increase in MAA fees and expected increase in agency insurance costs.

First 5 Alameda County
Proposed Operating Expenditure Budget By Strategy
July 1, 2022 - June 30, 2023

Agenda Item 7a3

	Parent Partnership	Early ID	Quality Early Childhood Education	Fatherhood	Neighborhoods Ready for School	Policy & Advocacy	Data & Evaluation	Training	Communications	Operational Support (Finance, Human Resources, Technology & Admin/Facilities)	TOTAL PROPOSED BUDGET
PROPOSED FY2022-23 BUDGET - FINAL READING											
	FY 2022-23	FY 2022-23	FY 2022-23	FY 2022-23	FY 2022-23	FY 2022-23	FY 2022-23	FY 2022-23	FY 2022-23	FY 2022-23	FY 2022-23
Personnel Costs											
Salaries & Benefits	1,140,004	2,316,059	2,011,024	386,747	528,070	1,051,318	885,882	379,153	500,000	3,331,637	12,529,894
Program Contracts/Grants											
Contracts	1,956,496	676,255	1,434,100	282,500	2,910,930	85,479	152,518	271,000	95,000	1,640,800	9,505,078
Grants & Stipends	0	0	450,000	24,000	0	0	0	0	0	0	474,000
Professional Services*	0	7,224	28,446	49,000	41,000	0	0	35,000	0	25,734	186,404
Total Contracts/Grants	1,956,496	683,479	1,912,546	355,500	2,951,930	85,479	152,518	306,000	95,000	1,666,534	10,165,482
Program Operating Costs**	61,500	77,951	123,852	25,036	20,000	9,803	20,000	14,847	10,000	129,456	492,445
Infrastructure Costs	0	0	0	0	0	0	0	0	0	1,145,350	1,145,350
Total Direct Program Costs	3,158,000	3,077,489	4,047,422	767,283	3,500,000	1,146,600	1,058,400	700,000	605,000	6,272,977	24,333,171



First 5 Alameda County
Proposed Contracts for FY 2022-23

Strategy	Contractor Name	Contract Type/Procurement Method			Award Term	Proposed 2022-23 Amount	FY	Description
		New	Renewal	Amendment				
1 Communications	Andi Botto Graphic Design		X		7/1/22 - 6/30/23	\$10,000.00	Funding to obtain services to design print and digital materials that support communications objectives.	
2 Communications	Andi Botto Graphic Design		X		7/1/22 - 6/30/23	\$4,000.00	Funding to provide graphic design services for Help Me Grow, Early ID program activities.	
3 Communications	BAYCAT Studio			X	4/4/22 - 10/31/22	\$25,000.00	Funding to produce up to six (6) videos in support of advocacy for equity-centered policy, systems change and investment in a coordinated early childhood system of care.	
4 Communications	Crux Design		X		7/1/22 - 6/30/23	\$5,000.00	Funding to assist in the development, design, and maintenance of the AlamedaKids.org website and the maintenance of the First5Alameda.org website.	
5 Communications	Crux Design		X		7/1/22 - 6/30/23	\$10,000.00	Funding to support Web design, maintenance and hosting for Alamedakids.org (Early ID).	
6 Communications	Full Court Press Communications	Sole Source			7/1/22 - 6/30/23	\$50,000.00	Funding to assist in the redesign of the First5Alameda.org website.	
7 Communications	Full Court Press Communications		X		7/1/22 - 6/30/23	\$10,000.00	Funding to develop communications strategies and materials to amplify the work of First 5 Alameda County's programs and policy advocacy.	
8 Data & Evaluation	Applied Survey Research			X	7/1/21 - 6/30/23	\$30,000.00	Funding to provide a Community-Based Participatory Research Kindergarten Readiness Assessment of children in Alameda County, with additional data analysis.	
9 Data & Evaluation	Center for the Study of Child Care Employment	Sole Source			7/1/22 - 6/30/23	\$75,000.00	Funding to conduct the evaluation of the Early Childhood CalWORKS Apprenticeship Program administered by the YMCA of the East Bay.	
10 Early Identification, Screening, and Care Coordination	Alameda County Public Health Department		X		7/1/22 - 6/30/23	\$95,000.00	Funding to provide training, technical assistance, and outreach to pediatric providers regarding early identification and the use of Help Me Grow for follow-up support.	
11 Early Identification, Screening, and Care Coordination	Family Resource Navigators		X		7/1/22 - 6/30/23	\$482,000.00	Funding to provide Help Me Grow Family Navigation services, coordination and administration of family leadership activities, and meeting families' essential needs.	
12 Early Identification, Screening, and Care Coordination	Focali Consulting			X	11/23/20 - 11/30/22	\$26,455.00	Funding to provide support to First 5 regarding partnerships with Medi-Cal Managed Care and scaling and sustaining early identification, outreach, and care coordination services by leveraging the Help Me Grow infrastructure.	
13 Fatherhood	A Better Way		X		7/1/22 - 6/30/23	\$15,000.00	Funding to enhance capacity for increasing engagement and support of fathers/father figures by hosting father specific parenting education and support groups, providing staff training and professional development, and integrating activities with First 5 and other family service programs.	
14 Fatherhood	Arnold Chandler	Sole Source			7/1/22 - 6/30/23	\$75,000.00	Funding to produce Fathers Corps 10-year evaluation report.	
15 Fatherhood	BLKMPWR, Inc		X		7/1/22 - 6/30/23	\$15,000.00	Funding to enhance capacity for increasing engagement and support of fathers/father figures by hosting father specific parenting education and support groups, providing staff training and professional development, and integrating activities with First 5 and other family service programs.	
16 Fatherhood	Community Child Care Council (4Cs) of Alameda County		X		7/1/22 - 6/30/23	\$15,000.00	Funding to enhance capacity for increasing engagement and support of fathers/father figures by hosting father specific parenting education and support groups, providing staff training and professional development, and integrating activities with First 5 and other family service programs.	
17 Fatherhood	Darren White dba Realized Potential Inc.		X		7/1/22 - 6/30/23	\$15,000.00	Funding to enhance capacity for increasing engagement and support of fathers/father figures by hosting father specific parenting education and support groups, providing staff training and professional development, and integrating activities with First 5 and other family service programs.	
18 Fatherhood	DDG Training & Consulting		X		7/1/22 - 6/30/23	\$30,000.00	Funding to provide training, consultation and support for the Father Friendly Provider Network, Fatherhood Partnership, and Northern California Family Justice Center.	

19	Fatherhood	Family Paths		X		7/1/22 - 6/30/23	\$15,000.00	Funding to enhance capacity for increasing engagement and support of fathers/father figures by hosting father specific parenting education and support groups, providing staff training and professional development, and integrating activities with First 5 and other family service programs.
20	Fatherhood	Friends of the Oakland Library		X		7/1/22 - 6/30/23	\$15,000.00	Funding to enhance capacity for increasing engagement and support of fathers/father figures by hosting father specific parenting education and support groups, providing staff training and professional development, and integrating activities with First 5 and other family service programs.
21	Fatherhood	Hayward Unified School District		X		7/1/22 - 6/30/23	\$15,000.00	Funding to enhance capacity for increasing engagement and support of fathers/father figures by hosting father specific parenting education and support groups, providing staff training and professional development, and integrating activities with First 5 and other family service programs.
22	Fatherhood	LaNiece Jones		X		7/1/22 - 6/30/23	\$25,000.00	Funding to provide fund development and program planning for the 2023 Fatherhood Summit.
23	Fatherhood	National Compadres Network	Sole Source			7/1/22 - 6/30/23	\$20,000.00	Funding to provide consultation and technical assistance to the Northern California Family Justice Center Fatherhood Cohort.
24	Fatherhood	Positive Communication Practices (Kelvin Potts)		X		7/1/22 - 6/30/23	\$15,000.00	Funding to enhance capacity for increasing engagement and support of fathers/father figures by hosting father specific parenting education and support groups, providing staff training and professional development, and integrating activities with First 5 and other family service programs.
25	Neighborhoods Ready for School	Alba Hernandez		X		7/1/22 - 6/30/23	\$10,500.00	Funding to provide interpretation and translation support services to families, providers, and partners.
26	Neighborhoods Ready for School	DDG Training & Consulting		X		7/1/22 - 6/30/23	\$45,000.00	Funding to provide training, facilitation, coaching, workshop development, evaluation, and consultation for the Fatherhood Partnership, Alameda County Fathers Corps, and Training @ First 5.
27	Neighborhoods Ready for School	International Contact, Inc.		X		7/1/22 - 6/30/23	\$20,000.00	Funding to provide interpretation and translation support services to families, providers, and partners.
28	Neighborhoods Ready for School	Interpreters Unlimited		X		7/1/22 - 6/30/23	\$42,000.00	Funding to provide interpretation and translation support services to families, providers, and partners.
29	Neighborhoods Ready for School	Iris Lin		X		7/1/22 - 6/30/23	\$10,000.00	Funding to provide interpretation and translation support services to families, providers, and partners.
30	Neighborhoods Ready for School	Lincoln		X		7/1/22 - 6/30/23	\$438,000.00	Funding to build infrastructure in neighborhoods to provide places for families to learn, plan, and achieve their goals; increase neighborhood-level coordination to provide a comprehensive menu of resources to support family protective factors, build community, and increase children's school readiness; and increase family leadership and civic engagement opportunities including language services.
31	Neighborhoods Ready for School	Lotus Bloom Family Resource Center		X		7/1/22 - 6/30/23	\$296,000.00	Funding to build infrastructure in neighborhoods to provide places for families to learn, plan, and achieve their goals; increase neighborhood-level coordination to provide a comprehensive menu of resources to support family protective factors, build community, and increase children's school readiness; and increase family leadership and civic engagement opportunities including language opportunities at the San Antonio Family Resource Center.
32	Neighborhoods Ready for School	Lotus Bloom Family Resource Center		X		7/1/22 - 6/30/23	\$477,016.00	Funding to coordinate and implement programs and services at the Castlemont Community Room to Bloom Family Resource Center, facilitate the Oakland Family Resource Center Network, and conduct neighborhood outreach and family engagement activities.
33	Neighborhoods Ready for School	Lotus Bloom Family Resource Center		X		7/1/22 - 6/30/23	\$50,000.00	Funding to administer the Oakland Family Resource Center Network Community Need Fund, which supports network organizations to expand services and basic resources to families with children 0-5.
34	Neighborhoods Ready for School	New Haven Unified School District		X		7/1/22 - 6/30/23	\$423,000.00	Funding to build infrastructure in neighborhoods to provide places for families to learn, plan, and achieve their goals; increase neighborhood-level coordination to provide a comprehensive menu of resources to support family protective factors, build community, and increase children's school readiness; and increase family leadership and civic engagement opportunities.

35	Neighborhoods Ready for School	Oakland Unified School District		X		7/1/22 - 6/30/23	\$227,000.00	Funding to support Summer Pre-K (SPK) programs and provide Early Childhood Education (ECE) and K-12 teachers with professional development and orientation to the SPK model; a School Readiness Coordinator to develop and implement year round school readiness and transition programming including a student passport/snapshot form, and a variety of family/child learning activities.
36	Neighborhoods Ready for School	Roots Community Health Center		X		7/1/22 - 6/30/23	\$423,000.00	Funding to build infrastructure in neighborhoods to provide places for families to learn, plan, and achieve their goals; increase neighborhood-level coordination to provide a comprehensive menu of resources to support family protective factors, build community, and increase children's school readiness; and increase family leadership and civic engagement opportunities.
37	Neighborhoods Ready for School	Sol Barreto		X		7/1/22 - 6/30/23	\$10,500.00	Funding to provide interpretation and translation support services to families, providers, and partners.
38	Neighborhoods Ready for School	Teresa Matias		X		7/1/22 - 6/30/23	\$10,000.00	Funding to provide interpretation and translation support services to families, providers, and partners.
39	Neighborhoods Ready for School	Trybe Inc.		X		7/1/22 - 6/30/23	\$130,000.00	Funding to build infrastructure in neighborhoods to provide places for families to learn, plan, and achieve their goals; increase neighborhood-level coordination to provide a comprehensive menu of resources to support family protective factors, build community, and increase children's school readiness; and increase family leadership and civic engagement opportunities at the San Antonio Family Resource Center.
40	Neighborhoods Ready for School	Youth Uprising		X		7/1/22 - 6/30/23	\$85,000.00	Funding to provide navigation support services for Castlemont community families (East Oakland) for accessing Alameda County Social Services Administration benefits.
41	Neighborhoods Ready for School	Youth Uprising		X		7/1/22 - 6/30/23	\$88,600.00	Funding to provide infrastructure support for Room to Bloom Family Resource Center (culture keeping, janitorial services, facilities management) on Youth Uprising campus and daily early childhood programming taking place in their facility.
42	Operational Support	Aleshire & Wynder, LLP		X		7/1/22 - 6/30/23	\$25,000.00	Funding to provide human resources legal services and consultation on an as-needed basis.
43	Operational Support	All-In Strategies			X	7/1/22 - 10/31/22	\$17,500.00	Funding to provide change management support services focused on the Executive Leadership team (ELT).
44	Operational Support	Community Brands/NP Solutions		X		7/1/22 - 6/30/23	\$6,000.00	Funding to provide MIP Fund Accounting software annual maintenance and consulting services as needed.
45	Operational Support	Eide Bailly LLP	RFQ			7/1/22 - 6/30/23	\$25,000.00	Funding to provide financial and single audit services.
46	Operational Support	Eightcloud		X		7/1/22 - 6/30/23	\$86,400.00	Funding to provide support for next generation Salesforce technology related enhancements.
47	Operational Support	Hatchuel Tabernik & Associates		X		7/1/22 - 6/30/23	\$25,000.00	Funding to provide grant writing and fund development assistance to help ensure the sustainability of First 5 programs.
48	Operational Support	Hickman Strategies LLC		X		7/1/22 - 12/31/22	\$96,565.00	Funding to provide First 5 Alameda County strategic plan implementation support and agencywide change management.
49	Operational Support	Kevin Harper		X		7/1/22 - 6/30/23	\$15,000.00	Funding to provide internal control support consultation on an as-needed basis.
50	Operational Support	Nleader Group		X		7/1/22 - 6/30/23	\$15,000.00	Funding to provide research and identify opportunities to further leverage eligible certified public expenditure funds that support Medi-Cal Administrative Activities (MAA) services.
51	Operational Support	Olson Remcho LLP		X		7/1/22 - 6/30/23	\$120,000.00	Funding to provide legal services and consultation on an as-needed basis.
52	Operational Support	Radicle Root Collective			X	1/1/22 - 10/31/22	\$15,850.00	Funding to provide equity training, facilitation and coaching for staff.
53	Operational Support	RedCar IT		X		7/1/22 - 6/30/23	\$168,000.00	Funding to provide maintenance and operations support activities for the First 5 Application Suite (ECChange, ECC Online and Pathways).
54	Operational Support	TECHsperience		X		7/1/22 - 6/30/23	\$65,400.00	Funding to provide technology infrastructure support and server maintenance and back up.
55	Operational Support	The Collective Agency		X		7/1/22 - 6/30/23	\$10,000.00	Funding to provide grant writing and fund development assistance to help ensure the sustainability of First 5 programs.
56	Parent Partnership	Alameda Health System-Highland Hospital		X		7/1/22 - 6/30/23	\$150,000.00	Funding to support implementation of the DULCE program model, including the Family Specialist and support and guidance of the Clinic Pediatric Champion at Highland Hospital Pediatric Clinic.
57	Parent Partnership	BANANAS, Inc.		X		7/1/22 - 6/30/23	\$100,000.00	Funding to implement the CARE Homeless Navigation pilot program.
58	Parent Partnership	East Bay Community Law Center		X		7/1/22 - 6/30/23	\$39,000.00	Funding to provide legal consultation and support to Highland Hospital Pediatric Clinic's DULCE program Family Specialist and selected families.

59	Parent Partnership	International Refugee Committee			X	5/1/22 - 12/31/22	\$10,000.00	Funding to provide direct supports for Afghan refugee families.
60	Parent Partnership	Lao Family Community Development, Inc.			X	5/1/22 - 12/31/22	\$5,000.00	Funding to support East Bay Refugee and Immigrant Forum to provide meeting planning and facilitation support for a coalition of community organizations that serve Afghan refugee families.
61	Parent Partnership	Supplybank.org		X		7/1/22 - 6/30/23	\$75,000.00	Funding to purchase and distribute Kindergarten Readiness Backpacks to a variety of supply distribution sites and school districts in Alameda County identified by First 5.
62	Parent Partnership	YMCA of the East Bay		X		7/1/22 - 6/30/23	\$538,000.00	Funding to train CalWORKs participants to become certified and employed as early childhood professionals.
63	Policy & Advocacy	Lucile Packard Children's Hospital Stanford		X		7/1/22 - 6/30/23	\$6,700.00	Funding to coordinate and facilitate the Special Needs Committee of Alameda County and provide policy consultation as requested.
64	Policy & Advocacy	Parent Voices Oakland		X		7/1/22 - 6/30/23	\$75,000.00	Funding to plan, coordinate and implement the Alameda County Early Childhood Policy Committee (ACEPC) and support a graduate policy intern.
65	Quality Early Childhood Education	Alameda County Public Library		X		9/1/22 - 6/30/23	\$5,000.00	Funding for the Día de los Libros/Día de los Niños event and to support the purchase of bi- and/or multilingual books.
66	Quality Early Childhood Education	Alameda Free Library		X		9/1/22 - 6/30/23	\$5,000.00	Funding for the Día de los Libros/Día de los Niños event and to support the purchase of bi- and/or multilingual books.
67	Quality Early Childhood Education	Alameda Free Library		X		9/1/22 - 6/30/23	\$5,000.00	Funding to provide Quality Counts Pathway resources for Family, Friend, and Neighbor (FFN) caregivers by leveraging Alameda Free Library's current Storytimes.
68	Quality Early Childhood Education	Alameda Professional Child Care Association		X		9/1/22 - 6/30/23	\$10,000.00	Funding to convene joint quarterly meeting with Valley Family Child Care Association to identify common Family Child Care (FCC) needs, programming needed such as professional development and outreach for Family Child Care Conference.
69	Quality Early Childhood Education	BANANAS, Inc.		X		7/1/22 - 6/30/23	\$260,000.00	Funding to provide professional development opportunities for the Early Childhood Education (ECE) workforce in Alameda County and on-site technical assistance and coaching to Quality Rating and Improvement System (QRIS) sites.
70	Quality Early Childhood Education	BANANAS, Inc.		X		7/1/22 - 6/30/23	\$80,000.00	Funding to provide training and playgroups for Family, Friend, and Neighbor (FFN) caregivers and Family Child Care (FCC) providers.
71	Quality Early Childhood Education	BANANAS, Inc.	Sole Source			7/1/22 - 6/30/23	\$10,000.00	Funding to provide Family Child Care peer support group sessions.
72	Quality Early Childhood Education	California School-Age Consortium (CalSAC)		X		7/1/22 - 6/30/23	\$486,000.00	Funding to manage the Quality Counts' process for distributing Quality Improvement grants and professional development (PD) stipends. Funds will be used to make facility and environment improvements, enhance training, support staff release time, technology need and professional development activities.
73	Quality Early Childhood Education	City of Hayward, Hayward Public Library		X		9/1/22 - 6/30/23	\$5,000.00	Funding for the Día de los Libros/Día de los Niños event and to support the purchase of bi- and/or multilingual books.
74	Quality Early Childhood Education	City of Hayward, Hayward Public Library		X		9/1/22 - 6/30/23	\$5,000.00	Funding to provide Quality Counts Pathway resources for Family, Friend, and Neighbor (FFN) caregivers by leveraging Hayward Public Library's current Storytimes.
75	Quality Early Childhood Education	City of San Leandro, San Leandro Public Library		X		9/1/22 - 6/30/23	\$5,000.00	Funding for the Día de los Libros/Día de los Niños event and to support the purchase of bi- and/or multilingual books.
76	Quality Early Childhood Education	City of San Leandro, San Leandro Public Library		X		9/1/22 - 6/30/23	\$5,000.00	Funding to provide Quality Counts Pathway resources for Family, Friend, and Neighbor (FFN) caregivers by leveraging San Leandro Public Library's current Storytimes.
77	Quality Early Childhood Education	Community Child Care Council (4Cs) of Alameda County		X		7/1/22 - 6/30/23	\$260,000.00	Funding to provide professional development opportunities for the Early Childhood Education (ECE) workforce in Alameda County and on-site technical assistance and coaching to Quality Rating and Improvement System (QRIS) sites.
78	Quality Early Childhood Education	Community Child Care Council (4Cs) of Alameda County		X		7/1/22 - 6/30/23	\$80,000.00	Funding to provide training and playgroups for Family, Friend, and Neighbor (FFN) caregivers and Family Child Care (FCC) providers.
79	Quality Early Childhood Education	Early Quality Systems		X		7/1/22 - 6/30/23	\$140,000.00	Funding to host a secure and fully managed iteration of the QRIS Hubbe database system for Alameda County Quality Counts to manage the local QRIS program.
80	Quality Early Childhood Education	Family Resource Navigators		X		7/1/22 - 6/30/23	\$20,000.00	Funding to provide capacity building and training for Early Care and Education (ECE) professionals and parents to increase knowledge of inclusive practices and partnering with families.
81	Quality Early Childhood Education	Friends of the Oakland Public Library		X		9/1/22 - 6/30/23	\$5,000.00	Funding for the Día de los Libros/Día de los Niños event and to support the purchase of bi- and/or multilingual books.

82	Quality Early Childhood Education	Friends of the Oakland Public Library		X		9/1/22 - 6/30/23	\$13,600.00	Funding to provide Quality Counts Pathway resources for Family, Friend, and Neighbor (FFN) caregivers by leveraging Oakland Public Library's current Storytimes.
83	Quality Early Childhood Education	Hively		X		7/1/22 - 6/30/23	\$110,000.00	Funding to provide professional development opportunities for the Early Childhood Education (ECE) workforce in Alameda County and on-site technical assistance and coaching to Quality Rating and Improvement System (QRIS) sites.
84	Quality Early Childhood Education	Hively		X		7/1/22 - 6/30/23	\$80,000.00	Funding to provide training and playgroups for Family, Friend, and Neighbor (FFN) caregivers and Family Child Care (FCC) providers.
85	Quality Early Childhood Education	Newark Public Library		X		9/1/22 - 6/30/24	\$5,000.00	Funding for the Día de los Libros/Día de los Niños event and to support the purchase of bi- and/or multilingual books.
86	Quality Early Childhood Education	Valley Family Child Care Association		X		9/1/22 - 6/30/23	\$10,000.00	Funding to convene joint quarterly meetings with the Alameda Professional Child Care Association to identify common Family Child Care (FCC) needs, programming needed such as professional development and outreach.
87	Quality Early Childhood Education	WestEd	Sole Source			7/1/22 - 6/30/23	\$95,000.00	Funding to provide valid and reliable CLASS and ERS assessments for CSPP early care and education programs participating in Quality Counts.
88	Quality Early Childhood Education	WestEd	Sole Source			9/1/22 - 6/30/23	\$40,000.00	Funding to provide CSEFEL model for Family Child Care refresher training to CSEFEL certified trainers and coaches. Provide leadership technical assistance and coaching to QC agencies that have already participate in CSEFEL to support their ongoing implementation of CSEFEL at the system level.
89	Training	DDG Training & Consulting		X		7/1/22 - 6/30/23	\$34,200.00	Funding to provide training, consultation and materials on topics related to attachment, relationships, building resilience, social emotional development, race and equity for Early Childhood Providers, Parents, and Caregivers.

Total Contracts \$7,341,286.00



To: First 5 Alameda County Commission

From: Kristin Spanos, Chief Executive Officer
Christine Hom, Finance Officer
Maria Canteros, Finance Administrator

Date: June 2, 2022

Subject: FY 2022-2031 Long Range Financial Plan – Final Reading

ACTION REQUESTED

To approve the following FY 2022-31 Long Range Financial Plan.

BACKGROUND

First 5 Alameda County has adopted a Long Range Financial Plan annually since March 2004. Adoption of a Long Range Financial Plan has been a statutory requirement of all First 5 Commissions since 2006-07. The current LRFP was formally approved by the Commission in June 2021. An update to the LRFP is included with underlying assumptions as well as historical background information. The update reflects the Proposed Budget for FY 2022-2023 and the most recent Prop 10 Tobacco Tax revenue forecast from the California Department of Finance and First 5 California that was received in May 2021.

MINIMUM FUND BALANCE REQUIREMENTS

First 5 Alameda County has used Sustainability Funds to augment operating budget needs and to meet revenue shortfalls, to the extent authorized by the Commission. The Sustainability Fund balance as of June 30, 2021 was \$34.1 million. This Fund may not be spent down to zero; some funds must be maintained as an operating reserve to cover ongoing cash flow requirements to act as a buffer for delays in receiving state tobacco tax monies or other revenues. The policy is to maintain an amount in the Fund Balance, at a minimum, equal to six months of operating expenses plus an amount to cover fiscal obligations under the Reduction in Workforce Policy.

FISCAL IMPACT

There is no fiscal impact.

RECOMMENDATION

That the Commission approve the following FY 2022-31 Long Range Financial Plan.

Submitted by:

DocuSigned by:
Christine Hom
5659DE0B756A46A...

Christine Hom
Finance Officer

Approved by:

DocuSigned by:
Kristin Spanos
ED639B4561544E4...

Kristin Spanos
Chief Executive Officer

DocuSigned by:
Maria Canteros
8493762444274E9...

Maria Canteros
Finance Administrator

ASSUMPTIONS FOR THE REVISED LONG RANGE FINANCIAL PLAN

Presented below are the assumptions used to develop the Long Range Financial Plan.

REVENUES

FY 2021-22 figures reflect the revised budget approved in February 2022. For FY 2022-23 and subsequent years, the following revenue assumptions were used:

- **Tobacco Tax** – The California Department of Finance (DoF) prepared revised projections of First 5 tobacco tax revenues in May 2021 through the period ending FY 2025-26. These consider the effects of the federal tobacco tax, other declines in state tobacco tax revenues due to newer legislation (SBx2-7 Smoking Age Increase to 21 effective June 2016, Proposition 56 \$2 dollar tobacco tax increase effective April 2017) Prop 99, backfill amounts and other factors. The projections listed below cover FY 2026-2031.

Historically, the DoF projections have been on the conservative side; actual revenues received being equal to or higher than projections with the exception of FY 2018-19. We anticipate receiving updated revenue projections from the DoF and First 5 CA this year and we will continue to forecast revenue conservatively.

<u>Fiscal Year</u>	<u>DoF Projection</u>	<u>Actual Revenue</u>
2010-2011	\$14.0m	\$14.3m
2011-2012	\$13.8m	\$14.5m
2012-2013	\$13.3m	\$13.6m
2013-2014	\$13.2m	\$13.2m
2014-2015	\$13.0m	\$13.3m
2015-2016	\$12.1m	\$13.2m
2016-2017	\$11.6m	\$12.6m
2017-2018	\$10.6m	\$11.3m
2018-2019	\$12.8m	\$12.1m
2019-2020	\$11.5m	\$12.6m
2020-2021	\$11.9m	\$13.0m
2021-2022	\$12.9m	
2022-2023	\$12.5m	
2023-2024	\$12.2m	
2024-2025	\$11.8m	
2025-2026	\$11.4m	
2026-2027	\$11.1m	
2027-2028	\$10.8m	
2028-2029	\$10.4m	
2029-2030	\$10.1m	
2030-2031	\$9.8m	

Based on the above DoF projection for FY 2022-23, the Long Range Financial Plan assumes a 3.1% decrease in tax revenue from the prior year. Moving forward beyond FY 2022-23, revenues are expected to continue decreasing at rates between approximately 2.6% and 3.7% per year

through 2031. If actual revenues show a significant change during the year, the projection for the current year will be brought to the Commission at mid-year, along with other budget modification proposals.

▪ **Interagency Income -**

- Funding from First 5 California (IMPACT 2020) – to support local QRIS work including rating and quality improvement in child care settings (\$1,154,000)
- Funding from First 5 San Francisco via Children’s Council of San Francisco – for the IMPACT Local Regional T/TA Hub \$158,000)
- Funding from AC Health Care Services Agency and AC Social Services Agency to support Fathers Corps work (projected award \$400,000)
- AC Public Health Department funding for ECChange database hosting and maintenance (\$123,000)
- Funding from AC Office of Education Block Grant 9 to support Quality Rating Improvement Systems work (projected award \$447,000)
- Funding from the AC Office of Education to support the Inclusive Early Learning Grant (\$74,000)
- AC Public Health Department funding for Help Me Grow (HMG) Linkage Line services (\$480,000)
- Pass through funding from AC Social Services Agency to support early child development activities in the Castlemont neighborhood, workforce development pilot and family navigation services (\$718,000)
- Pass through federal ARPA funding from AC Social Services Agency to support the Centralized Eligibility List (CEL) Application Project (\$1,000,000)

▪ **State Grants -**

- Funding from the California Department of Social Services QCC QRIS Block Grant 4 (projected award \$515,000)
- Funding from the California Department of Education Preschool Development Grant (\$55,000)

▪ **Other Grants –**

- Projected funding from the Alameda Alliance for Health for continued support of HMG's Pediatric Care Pilot to conduct member engagement activities related to care coordination (\$572,000)
- Funding from the Stupski Foundation through October 2022 to support HMG’s Pediatric Care Coordination activities (\$73,000)
- Funding from Sunlight Giving for general operating support (\$120,000)
- Funding from Kaiser Permanente Foundation in support of Fatherhood activities (\$110,000)

As and when new grants are awarded, the Long Range Financial Plan will be revised accordingly.

▪ **Miscellaneous Income** – Consists primarily of rental income from the First 5 Association.

▪ **Fiscal Leveraging** – Since FY 2009-10, fiscal leveraging revenues consist entirely of federal reimbursements under the Medi-Cal Administrative Activities (MAA) program. Gross MAA revenues for the prior fiscal year are usually received 8-12 months in arrears. As a result of the

AGENDA ITEM 7c

perpetual time study methodology introduced by the granting agency in FY 2013-14 and the inclusion of actual client count for invoicing, revenues are expected to average approximately \$2 million. For the purposes of this LRFP, it is assumed that programs eligible for MAA claiming will be reimbursed at this level in the FY 2022-23 budget year and conservatively continuing at approximately \$1.85 million through FY 2030-31.

- **Investment Revenue** – The FY 2022-23 proposed budget assume \$324,000 of investment revenue due based on current year projections.

EXPENSES

FY 2022-23 expenditure figures are from the current proposed budget process. For FY 2023-31, total expenses have been reduced to leave a minimum fund balance as recommended below. The plan does not provide for any cost of living allowances or inflationary increases. In prior years these increases have been covered within the range of annual budgetary savings, and this is expected to continue in future years as well.

Use of Sustainability Funds

The budgeted use of Prop 10 Sustainability Funds for FY 2022-23 is comprised of \$3.4 million to close the gap between revenue and projected expenses.

MINIMUM FUND BALANCE REQUIREMENTS

The Sustainability Fund cannot be spent down to zero; some funds must be maintained as an operating reserve to cover ongoing cash flow requirements to act as a buffer if there are delays in receiving state tobacco tax revenues or other revenues. The recommendation is to maintain an amount in the Fund Balance, at a minimum, equal to six months of operating expenses plus an amount to cover fiscal obligations.

HISTORICAL BACKGROUND

The Long Range Financial Plan tool was designed to strategically guide the use of First 5 Alameda County's Sustainability Fund. The Sustainability Fund was established by the First 5 Alameda County Commission as a strategy to ensure a long term commitment to funding services for children age 0-5, even as the tobacco tax revenue declined.

The Sustainability Fund is projected to be approximately \$31 million at the end of the current 2021-22 fiscal year and was accumulated in a number of ways over the past years. First, the Fund developed through the initial reserve that occurred when tax dollars were accumulated but could not be spent until a Strategic Plan was passed (Jan. 1999-Jan. 2000). Thereafter, contributions to the Sustainability Fund were intentionally budgeted over several years (2001-2004). Finally, budgeted funds that remained unspent were directed by the Commission to be added to the Sustainability Fund, rather than be rolled-over to the subsequent year's budget (2001-present). It is important to note however that, Sustainability Funds have been budgeted for program use since 2005-06, which means that expenses have been projected higher than revenues in each of those years, but budget savings in those years made it unnecessary to draw from the Fund. These changes have resulted in draws periodically from the Sustainability Fund only since FY 2009-10.

AGENDA ITEM 7c

The following is a summary of the use of sustainability funds as indicated in the Long Range Financial Plan. The plan assumes that Sustainability Funds will continue to be used to maintain a balanced budget, throughout the plan time frame.

<u>Draw down from Sustainability for Operations (\$millions)</u>		
<u>Fiscal Year</u>	<u>Planned draw down</u>	<u>Actual amount drawn</u>
<u>FY 2009-2013 Strategic Plan</u>		
2009-10	\$6.9m	\$3.3m
2010-11	\$9.3m	\$6.7m ¹
2011-12	\$4.1m	\$0.8m
2012-13	\$9.0m	\$5.3m ²
<u>FY 2013-17 Strategic Plan</u>		
2013-14	\$1.7m	\$0.0
2014-15	\$2.3m	\$1.5m
2015-16	\$2.3m	\$1.2m
2016-17	\$4.9m	\$0.0
<u>FY 2017-22 Strategic Plan</u>		
2017-18	\$3.5m	\$0.0
2018-19	\$2.0m	\$0.0
2019-20	\$3.7m	\$0.0
2020-21	\$6.1m	\$1.4m
2021-22	\$4.1m	-

¹ Increased outlay on Contracts in order to reduce fund balance in anticipation of AB 99 – which required all First 5s to transfer half their fund balance to the State of CA by the end of 2012. AB 99 was subsequently repealed and the threat passed.

² Purchase of office building at 1115 Atlantic Ave., Alameda in April 2013.

Dollars in Thousands	2017 - 2022 Strategic Plan		2022 - 2027 Strategic Plan					2027-2031 Strategic Plan TBD			
	Actual 2020/21	Modified Budget 2021/22	Projections					Projections			
			2022/23	2023/24	2024/25	2025/26	2026/27	2027/28	2028/29	2029/30	2030/31
Beginning Fund Balance	\$ 35,568	\$ 34,158	\$ 30,838	\$ 27,366	\$ 23,656	\$ 19,504	\$ 14,987	\$ 10,127	\$ 7,884	\$ 7,319	\$ 6,690
REVENUES											
Tobacco Tax	\$ 13,045	\$ 12,947	\$ 12,508	\$ 12,240	\$ 11,798	\$ 11,433	\$ 11,090	\$ 10,757	\$ 10,435	\$ 10,122	\$ 9,818
Other First 5 Revenue	\$ 1,432	\$ 1,469	\$ 1,312	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
- First 5 California (IMPACT & IMPACT 2)	\$ 930	\$ 1,049	\$ 1,154								
- First 5 San Francisco/Childrens Council of SF (T/TA Hub)	\$ 117	\$ 110	\$ 158								
- First 5 California (IMPACT Incentive Layer)	\$ 385	\$ 310									
Interagency Income - County	\$ 5,960	\$ 2,001	\$ 3,242	\$ 928	\$ 880	\$ 880	\$ 880	\$ 480	\$ 480	\$ 480	\$ 480
- ACHCSA (Fathers Corps)	\$ 118	\$ 138	\$ 400	\$ 400	\$ 400	\$ 400	\$ 400				
- ACPHD (Data Systems Hosting and Maintenance)	\$ 216	\$ 114	\$ 123								
- ACPHD Home Visiting/PHOC	\$ 54										
- AC Office of Educ. (QRIS Block Grant 6)	\$ 178										
- AC Office of Educ. (QRIS Block Grant 7)	\$ 215										
- AC Office of Educ. (QRIS Block Grant 8, 9 projected)		\$ 447	\$ 447								
- AC Office of Educ. (Inclusive Early Learning)	\$ 82	\$ 135	\$ 74	\$ 48							
Interagency Income - Federal Pass-through											
- ACPHD HMG Linkage Line	\$ 503	\$ 449	\$ 480	\$ 480	\$ 480	\$ 480	\$ 480	\$ 480	\$ 480	\$ 480	\$ 480
- ACPHD Dental Transformation (HTHC)	\$ 318										
- ACCSA (Navigation, Workforce Pilot, Comprehensive Child Dev)	\$ 676	\$ 718	\$ 718								
- ACCSA FCC Grants & Essential Supplies	\$ 3,600		\$ 1,000								
- ACCSA CEL Application Project											
State Grants	\$ 1,000	\$ 622	\$ 570	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
- CA Dept. of Social Services (QCC QRIS Block Grant #2, #3, #4, #5 projected)	\$ 1,000	\$ 543	\$ 515								
- CA Dept. of Education (Preschool Development Grant)		\$ 79	\$ 55								
Other Grants (Private, Foundation or Other)	\$ 861	\$ 1,396	\$ 875	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
- Alameda Alliance for Health (projected for FY22-23)	\$ 165	\$ 572	\$ 572								
- Aurrera Health Group	\$ 276	\$ 50									
- Sunlight Giving	\$ 355	\$ 596	\$ 120								
- Stupski Foundation		\$ 100	\$ 73								
- CA Wellness Foundation (Fatherhood activities)		\$ 45									
- Kaiser Permanente Foundation		\$ 33	\$ 110								
- Packard Foundation	\$ 25										
- Connecticut Children's Medical Center	\$ 10										
- Center for the Study of Social Policy	\$ 30										
Miscellaneous Income	\$ 178	\$ 263	\$ 30	\$ 20	\$ 35	\$ 35	\$ 35	\$ 40	\$ 20	\$ 20	\$ 20
Fiscal Leveraging (MAA)	\$ 2,601	\$ 1,850	\$ 2,000	\$ 1,850	\$ 1,850	\$ 1,850	\$ 1,850	\$ 1,850	\$ 1,850	\$ 1,850	\$ 1,850
Investment Income	\$ 106	\$ 450	\$ 324	\$ 287	\$ 248	\$ 205	\$ 157	\$ 106	\$ 83	\$ 77	\$ 70
TOTAL REVENUES	\$ 25,183	\$ 20,998	\$ 20,861	\$ 15,325	\$ 14,811	\$ 14,403	\$ 14,012	\$ 13,234	\$ 12,867	\$ 12,548	\$ 12,238
TOTAL EXPENSES	\$ 26,593	\$ 24,318	\$ 24,333	\$ 19,035	\$ 18,963	\$ 18,920	\$ 18,872	\$ 15,476	\$ 13,433	\$ 13,177	\$ 12,420
CASHFLOW											
Total Disbursements	\$ 26,593	\$ 24,318	\$ 24,333	\$ 19,035	\$ 18,963	\$ 18,920	\$ 18,872	\$ 15,476	\$ 13,433	\$ 13,177	\$ 12,420
(Shortfall)/Surplus Revenue over Expenses (Use of Sustainability Fund)	\$ (1,410)	\$ (3,320)	\$ (3,472)	\$ (3,710)	\$ (4,152)	\$ (4,517)	\$ (4,860)	\$ (2,243)	\$ (565)	\$ (628)	\$ (182)
Ending Fund Balance	\$ 34,158	\$ 30,838	\$ 27,366	\$ 23,656	\$ 19,504	\$ 14,987	\$ 10,127	\$ 7,884	\$ 7,319	\$ 6,690	\$ 6,508
MINIMUM FUND BALANCE REQUIRED (50% OR 6 Months of annual disbursement)	\$ 13,297	\$ 12,159	\$ 12,167	\$ 9,518	\$ 9,482	\$ 9,460	\$ 9,436	\$ 7,738	\$ 6,716	\$ 6,588	\$ 6,210

LONG RANGE FINANCIAL PLAN FY 2022-2031 BUDGET & FUND BALANCE (\$'000s)





To: First 5 Alameda County Commission

From: Kristin Spanos, Chief Executive Officer

Date: June 2, 2022

Subject: First 5 Alameda County FY 2022-27 Strategic Plan – Final Reading

ACTION REQUESTED

To approve the second and final reading of the First 5 Alameda County FY 2022-27 Strategic Plan.

BACKGROUND

The proposed FY 2022-27 First 5 Alameda County Strategic Plan builds upon our current strategic plan, which was based on input from over 400 survey respondents, parent focus groups and community interviews. For this year's plan, we interviewed over 40 stakeholders, conducted 4 parent focus groups, and held a participatory all-staff process. We also brought recommended planning parameters to the Commission which were adopted in October 2021.

The focus of this strategic plan is on First 5's role and approach in building and strengthening the Early Childhood System of Care as a funder, advocate, partner, and an administrator. We are approaching the work with the lens of Place, People, and Policy with equity and basic needs as central to supporting the result that all children are ready for kindergarten.

FISCAL IMPACT

The goal, as per the budget and long-range financial plan, is to keep the Prop 10 funding level steady for the first year of the plan, and revisit annually anticipating additional external revenue.

RECOMMENDATION

That the Commission approve the First 5 Alameda County FY22-27 Strategic Plan.

Submitted by:

DocuSigned by:

Lisa Forti

B1E930C40F9E407...

Lisa Forti

Director of Policy, Planning and Evaluation

Reviewed by:

DocuSigned by:

Kristin Spanos

ED630B4564544E4...

Kristin Spanos

Chief Executive Officer

First 5 Alameda County Strategic Plan 2022–2027



Acknowledgements

First 5 wishes to acknowledge the contributions of the many people who made this plan possible. This plan was developed in a challenging time two years into the pandemic, when families, communities, organizations, and public systems are stretched beyond limit. Our deepest respect and gratitude to our community for their fortitude, and appreciation to those who were able to take time to think about how to best use First 5's public resources and to envision an early childhood system where children and families can thrive. Special thanks to:

- Parents and caregivers for their wisdom and experiences
- Early childhood providers and community serving organizations for “on the ground” insight
- Community leaders for the clear-eyed systems perspective
- First 5 staff for thoughtful participation, dialogue, and decision-making
- Our consultant Hickman Strategies for their role in our strategic planning process
- First 5 Alameda County Commissioners for their guidance and support



Our work is a continuation of the legacy of Alameda County Supervisor and First 5 founding Commissioner Wilma Chan.

Table of Contents

A Moment of Urgency and Possibility	4
Who We Are	5
Alameda County’s Context—Data for Action	8
Meeting This Moment in Time	12
Our Approach	14
Commitment to Equity	16
Working in Partnership	17
Strategic Plan Parameters & Financial Picture	18
Program Strategies	20
Neighborhoods Ready for School	20
Quality Early Care and Education (ECE)	22
Parent Partnership	24
Early Identification, Screening, and Care Coordination	25
Fatherhood	27
Agency Strategies	28
Training	28
Policy and Advocacy	29
Data and Evaluation	30
Communications	31
Operational Support Functions	32
Administration and Facilities	32
Finance	33
Human Resources	33
Technology	34
Proposition 10 FY 22/23 Investments	35
Measuring Our Progress—Results Based Accountability (RBA)	36
Local Revenue for Early Care and Education	37
First 5’s Role as Measure C Administrator	37



A MOMENT OF URGENCY AND POSSIBILITY

Ensuring Alameda County's children grow into healthy, productive adults is fundamental to our community's prosperity, health, and well-being. Decades of research have demonstrated that the period from birth to age five is the most critical window of opportunity to have a positive impact on a child's future. The correlation between early childhood development, community and family conditions, and lifelong health has also been established, and they are undeniably intertwined.

The research makes clear that disparate life outcomes of children, related to health, education, and employment, are the result of historic and ongoing racist, classist policies that extract resources (i.e., poorly paid labor) and do harm to some communities, families, and children, while benefiting others. Despite these forces, there are systemic interventions that can positively change the lives of children and their families. These findings have profound implications for public policy and the role of public systems.

It is evident that President Biden's proposals in support of families with young children and Governor Newsom's investments in early childhood are informed by the growing recognition of both the conditions necessary to support family and child well-being and the need for public policy to address the increasing inequality. The COVID-19 pandemic, which has destabilized the private and public sector, has also exponentially increased community and family needs, and further highlighted government's unique and necessary role in meeting the moment in hopes of a better future.

This is a moment to invest in a better future through long-term, systemic solutions for children and families.





WHO WE ARE

First 5 was established in 1998 by California's Proposition 10.

Our role is to improve life outcomes for Alameda County's youngest children. We support, inform, and partner with public systems (i.e., health, early care and education, economic, and family supports) and community resources to create an early childhood system of care that is responsive to the needs of caregivers and families with young children.

We are guided by a “whole community, whole family, whole child” policy and programming approach to our work. First 5 uses lessons learned from our investments, research and data, and partnerships to inform policy positions and influence local, state, and national decision-making.

We recognize that the context of lived experience is essential to impactful investment, program design, and policy advocacy, and we support the efforts of families, caregivers, and community-based organizations to that end. We have a multi-year investment in place-based initiatives, and we have funded community engagement work, including summer pre-kindergarten programs, alongside Alameda County's school districts. We have partnered with community providers and pediatricians to support families' concerns about their child's development and access to resources. We provide technical assistance and infrastructure support to the early childhood education field and community-based providers. We invest in father-friendly programming and systems so men and dads are not excluded from conversations affecting their children.

“First 5 policy efforts focus on systems change, particularly across sectors, with an intention to shift the conditions that hold problems in place, in order to achieve meaningful and lasting social change.”

-First 5 Association 2022-24 Strategic Plan

Our “North Star,” the population result that guides our work, is that all **Children Are Ready for Kindergarten;** our work is to ensure that policies, systems, communities, and schools support families and children by creating the **conditions** that position all for success.

We routinely assess and evaluate our efforts to identify areas for improvement, capacity building, and where there are gaps in the early childhood system, we strive to fund and scale promising programs and proven interventions. Where possible we integrate and align our activities to improve equitable access to better serve the needs of Alameda County families.

Since 2008, First 5 has benchmarked results for our county’s children by conducting a biannual Kindergarten Readiness study. Results have shown very little improvement over time and consistently point to the countervailing impact of socioeconomic, community conditions, and limited enrollment in early education as barriers to kindergarten readiness.¹

Since 1998, First 5 Alameda County has:

- **Raised \$39 million from philanthropic and other funding sources**
- **Earned \$18 million from federal fiscal leveraging**
- **Awarded \$246 million to community partners and agencies**

In light of this data, First 5 is partnering with the community to expand our analysis of root causes of low kindergarten readiness by assessing the resource level of targeted neighborhoods, schools, and systems. In fiscal year 2020–2021, we used our data to inform community investment strategies in response to the COVID-19 pandemic. Using a data-informed equity framework, we invested in school districts to support kindergarten transitions, allocating money commensurate with need.

In 2017, with nearly 20 years’ experience investing and administering programs, coupled with declining Proposition 10 revenues, our 2017–2022 strategic planning priorities were: 1) organizational sustainability and 2) an assessment of the local early childhood system and its responsiveness to families with young children. First 5 engaged in an extensive strategic planning process that included parent, stakeholder, Commission, staff, and community engagement. The feedback cemented our focus on a “systems building approach” with the dual priorities of mitigating the persistent racial and economic inequities facing our families and improving child outcomes. As a result, we adopted a “whole community, whole family, whole child” approach, which incorporated each of the elements identified in the early childhood system of care (see Figure 1 on page 7). We enhanced our organizational capacity to engage in systems building by: 1) centering community need and voice in our data, research, and investments; 2) strengthening our policy advocacy engagement; and 3) leveraging federal, state, and local funds to ensure sustainability and scale of programming vital to an early childhood system.

Defining Systems Building

Systems initiatives are organized efforts to improve a system and its impacts. They can be publicly or privately funded or a combination of the two. Systems initiatives in the early childhood field may have different labels, such as systems building, systems change, or systems reform. Yet systems initiatives are best understood by their focus or by the areas of the system they are trying to improve. Specifically, an early childhood systems initiative might focus on one or more of the following five areas:

<p>Context: Improving the political context that surrounds the system so it produces the policy and funding changes needed to create and sustain it.</p>	<p>Components: Establishing high-performance programs and services that produce results for children and families.</p>	<p>Connections: Creating strong linkages across system components that further improve results for children and families.</p>	<p>Infrastructure: Developing the supports systems needed to function effectively and with quality.</p>	<p>Scale: Ensuring a comprehensive system is available to as many people as possible.</p>
---	---	--	--	--

From the [Early Childhood Systems Building Resource Guide \(hhs.gov\)](https://hhs.gov)

Early Childhood System of Care

Within the Early Childhood System, our role is to:

FUND organizations and initiatives that are mission- and vision-aligned, and part of a community-based, family-informed early childhood system.

PARTNER with parents, caregivers, communities, early childhood providers, organizations, and public agencies in service to an accessible, effective, and responsive early childhood system.

ADMINISTER programs for young children and families that offer services, navigation, and care coordination; support and connections to resources; and training and capacity building for providers.

ADVOCATE to scale and sustain effective programs and for public policies grounded in equity and justice.

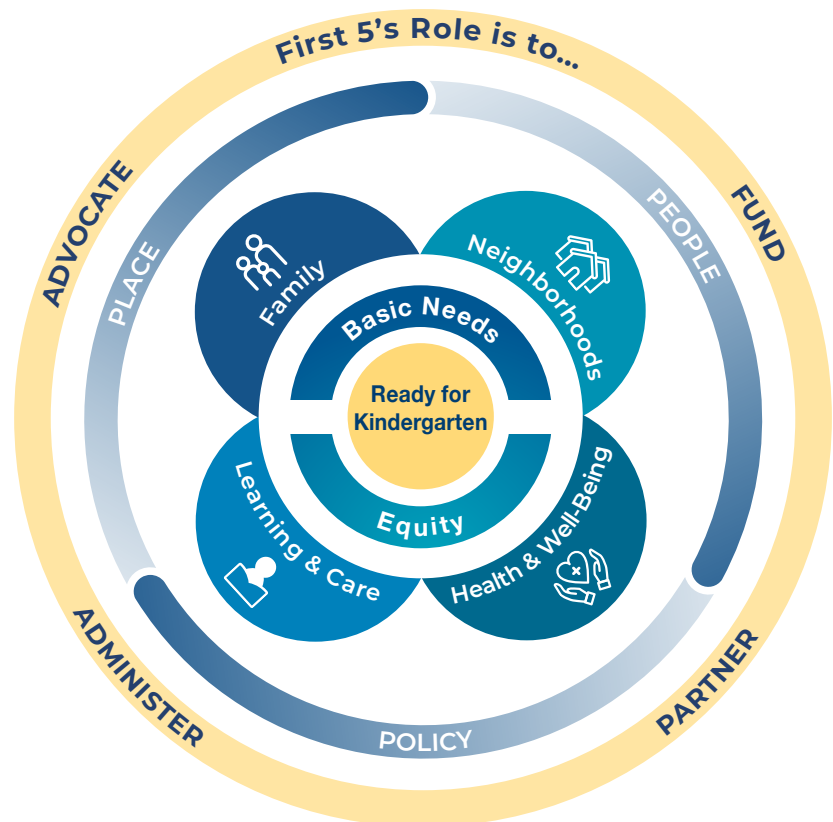
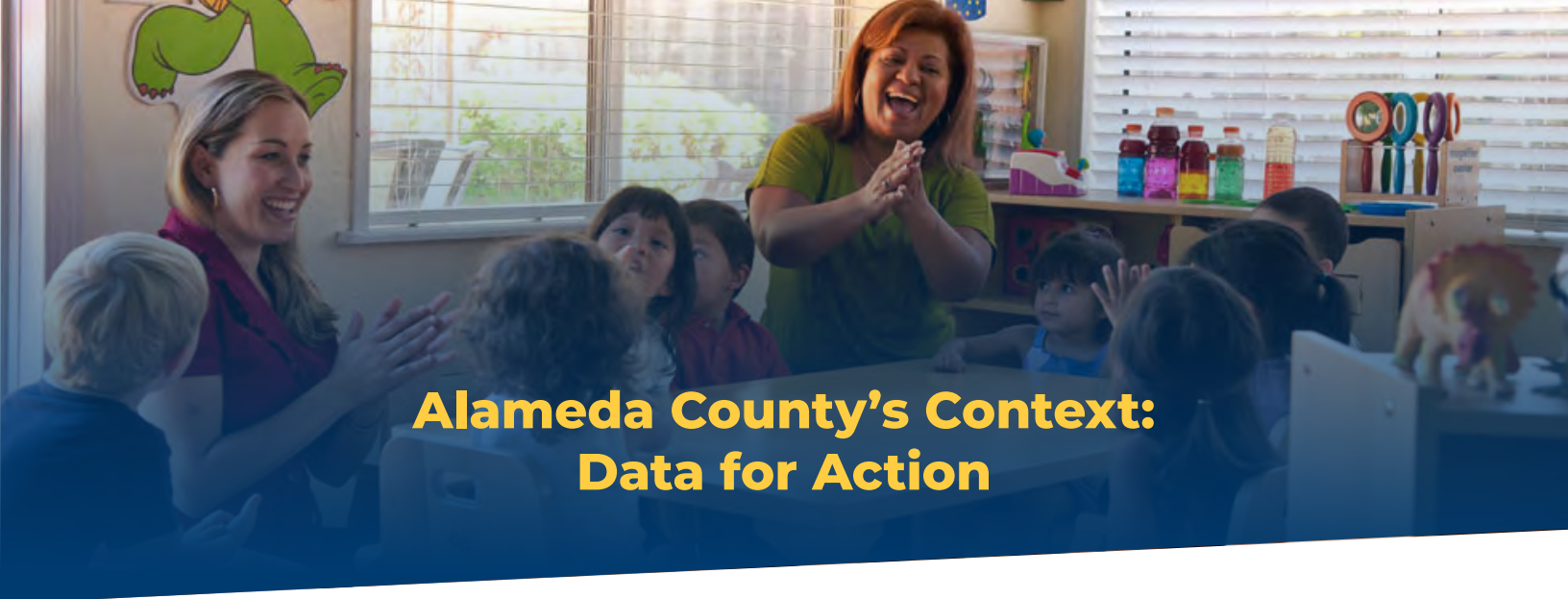


Figure 1. An early childhood system of care cultivates community and family conditions for children's kindergarten readiness.

After taking inventory of our impact, local system opportunities, and the needs of families and children, in the 2017–2022 Strategic Plan, First 5 has:

- Integrated signature programs into larger systems when applicable and sunset programs when appropriate
- Launched substantial investments in community-directed, place-based efforts
- Increased the agency's focus and capacity in policy advocacy, data, and research for action
- Identified potential public system partners to scale proven strategies, Early Care and Education, and Early Identification



Alameda County's Context: Data for Action

Alameda County's context and our analysis of the public policy levers by which conditions for families can be improved have informed our embrace of equity as the center of our work.

Coupled with a decline in Proposition 10 tobacco revenues, First 5 has adopted a **systems change approach** strategy to address the underlying structural issues—the root causes—affecting communities, families, and children.

Alameda County Family Demographics



households with children under age 6 (2019)²



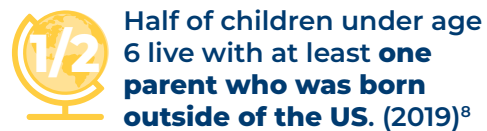
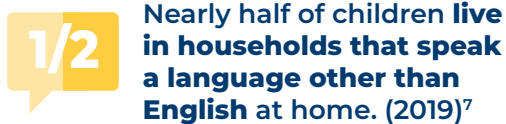
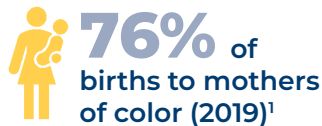
children under age 6 (2019)²



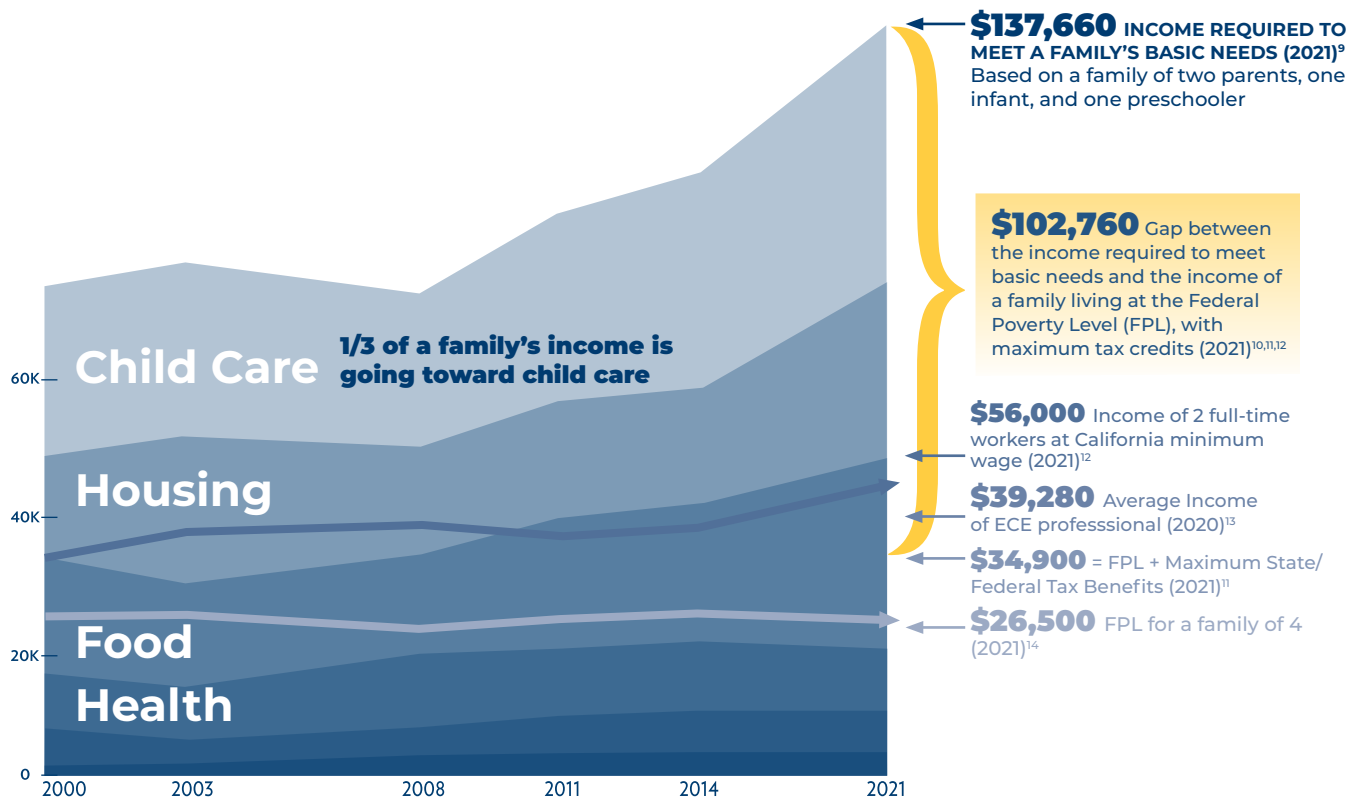
of total population (1,656,591) under age 6 (2020,2021)^{3,4}



births (2019)⁵



Financial Realities of Families in Alameda County



Children 0-6 Enrolled in Public Benefits in Alameda County (2021)¹⁵

+ **Medi-Cal 32,008**
(28% of total children 0-6)

🍏 **CalFresh 12,182**
(11% of total children 0-6)

Children and women, especially those who identify as people of color, bear the brunt of structural inequities.

👨👩👧👦 Approximately **1 in 10** children under 6 lives below the Federal Poverty Level. (2019)¹⁶

👩 In Alameda County and the Bay Area, more than **1 in 3 women are caught in financial precarity.**¹⁷

🏠🏠 **3 out of 4 households** struggling to meet their basic needs in Alameda County have a head of household that identifies as a **person of color.**¹⁷

The cost of living continues to rise at an unsustainable rate.

💰 **68%** increase in child care cost (2014–2021)¹⁷



💰 **34%** increase in median family income (2000–2019)¹⁸

🏠 **50%** of renters pay more than 1/3 of their income for rent. (2019)¹⁹

Structural Inequities Lead to Racial Disparities

Maternal and Newborn Health²⁰



Black women and birthing people are 3x more likely to die during pregnancy or childbirth and to experience more maternal health complications.

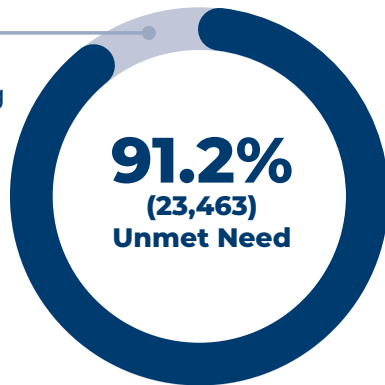


Black babies are 3-4 times more likely to be born too early, too small, or to die before their first birthday.

Access to Child Care

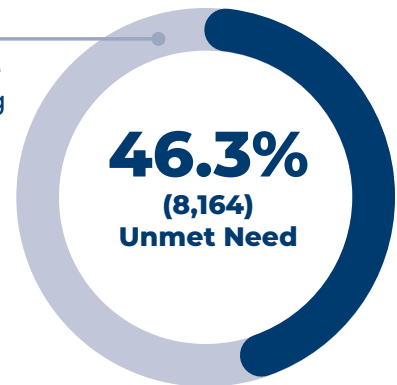
Infant/Toddler Unmet Need for Subsidized Care (2021)²¹

8.8% (2,257)
Number of Eligible Children Accessing Subsidized Care



Preschool Unmet Need for Subsidized Care (2021)²¹

53.7% (9,465)
Number of Eligible Children Accessing Subsidized Care



Child Care Professionals Work in a Critical and Fragile System

We estimate that **the Alameda County ECE field lost \$395 million in fiscal year 2020–2021 alone** (\$220 million without taking the increased cost of providing care into consideration) and continues to experience losses in the current fiscal year.²²



96%

of Alameda County ECE educators identify as women. (2020)¹³



79%

of Alameda County ECE educators identify as women of color. (2020)¹³



87%

of ECE educators are considered very low income for Alameda County. (2020)¹³



20%

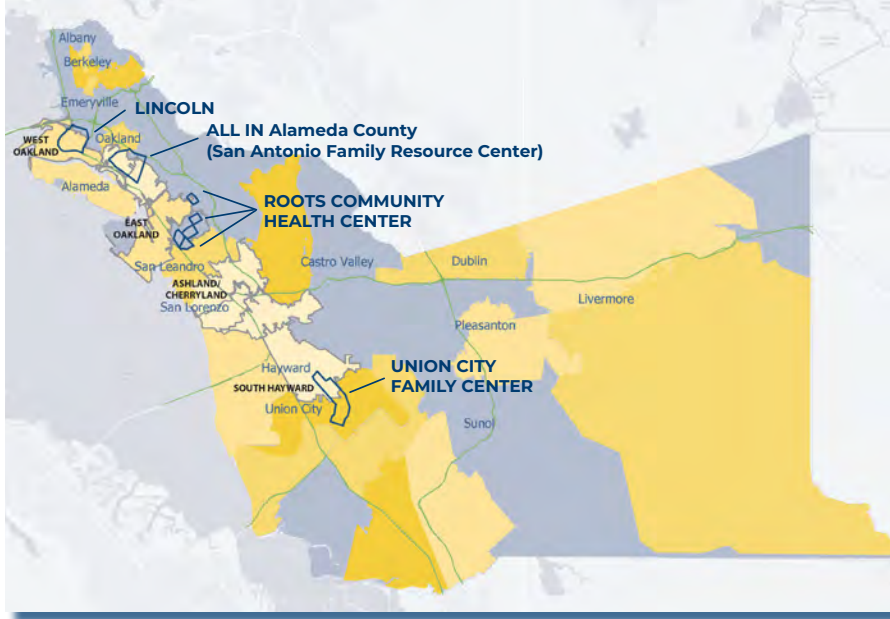
of providers at child care centers reported earning less than \$15 per hour. (2020)¹³

In 2020, **California increased reimbursement rates**, which could bring an increase of more than \$20 million countywide to subsidized child care programs for children from birth to age five. Yet the **new rates are still far below the true cost of care.**²³

Child Outcomes

We find that differences in kindergarten readiness are largely attributable to inequities in access to resources. The greatest moveable factor continues to be child health and well-being, which is tied to socioeconomics, housing stability, and stress among parents/caregivers.¹

Kindergarten Readiness (2019)¹



Legend

Kindergarten Readiness Zip Codes

- Lowest 25%
- 25% to 50%
- 50% to 75%
- 75% to 100%

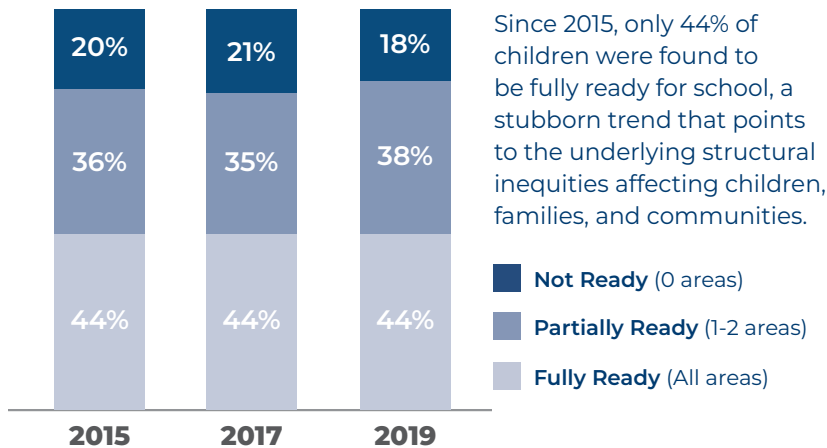
- Neighborhoods Ready for School Service Areas
- Alameda County COVID-19 Priority Neighborhoods
- Alameda County
- Freeways

Learn more about how kindergarten readiness is assessed on our [website](#).

¹Zip codes with fewer than 5 participants are not shown.

²Readiness scores represent individuals living in the zip code and do not represent the overall readiness of children in that zip code.

Kindergarten Readiness 2015–2019¹



Since 2015, only 44% of children were found to be fully ready for school, a stubborn trend that points to the underlying structural inequities affecting children, families, and communities.

- Not Ready (0 areas)
- Partially Ready (1-2 areas)
- Fully Ready (All areas)

Achievement gaps persist for children who are not ready for kindergarten.



4 in 5

children who are not ready for kindergarten continue to struggle academically in third grade. (2018)²⁴

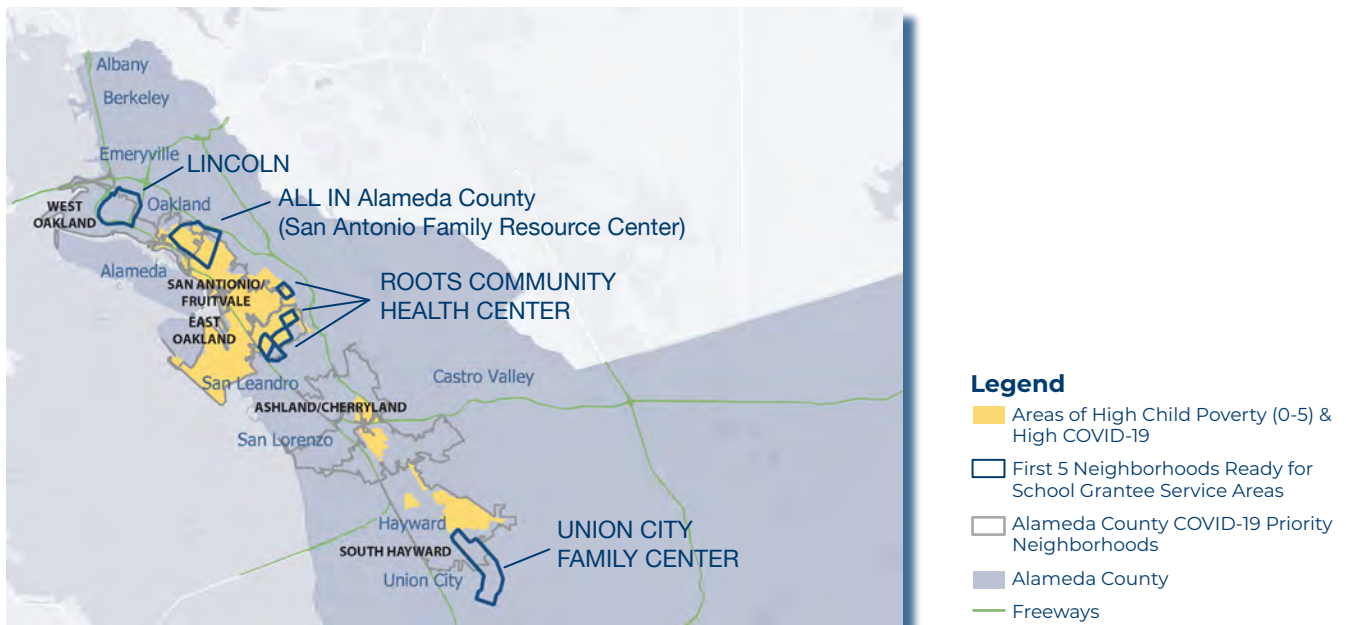


MEETING THIS MOMENT IN TIME

In 2020, First 5's operating context changed dramatically.

The COVID-19 pandemic decimated our fragile, underfunded, and fragmented safety net. The vital links between families and their local economic, health, and social supports were severed. Families experienced historic levels of job loss, child care and school closures, health care challenges, and food and housing insecurity. Between March 2020 and January 2021, an estimated 153 (7%) of licensed child care facilities in Alameda County closed permanently.²⁵ Social distancing, remote learning, and quarantine policies compounded the isolation and stress endured by low- to moderate-income families and caregivers. The lack of access to in-person learning, play, and interaction negatively impacted children's learning, growth, and development. The pandemic exacerbated persistent health and economic inequities that disproportionately impacted Black and Brown communities, creating increased risks for families' economic security, emotional well-being, educational progress, health, and safety.

Child Poverty 0-5 & COVID-19 Rates^{26,27}



Summary of Strategic Plan Stakeholder Feedback

Build/evolve the early childhood system.

Families and communities have strengths to build upon and should be valued, listened to, and leveraged.

Underlying structural inequities by race and class are impacting families, providers, and communities.



Families



Staff



Community
Data



Stakeholder
Interviews

PRIORITIES FOR SUPPORTING FAMILIES

A “seamless” system that addresses basic needs (i.e., food, housing, transportation), child care, health and mental health/social connections

PRIORITIES FOR SUPPORTING PROVIDERS

Wages and professional development, flexible funding, and organizational capacity building

PRIORITIES FOR FIRST 5

- Define and clarify role
- Emphasize partnerships with families, community, community-based organizations, and systems
- Leverage place-based investments and consider other opportunities by place and population
- Use data and policy advocacy in partnership with community for systems change
- Build agency capacity to meet new need and opportunity
- Support staff leadership and well-being

PRIORITIES FOR SYSTEMS

- Invest in families with young children
- Coordinate resources for a system that is responsive and accessible
- Invest in community infrastructure that supports families (housing, libraries, parks)



OUR APPROACH

We will be successful when all children in Alameda County are ready for kindergarten.

Our work is to ensure that policies, systems, communities, and schools are ready to support families and children to position them for lifelong success.

We have learned a lot over the last 20 years about the connection between community conditions and children’s outcomes. Given our mission and our analysis of opportunities for impact, we have adopted a Place-People-Policy framework to guide our investment in children and families in the next five years toward building an early childhood system of care.



PLACE

We believe that the health and well-being of children and their families are strongly influenced by the social and economic conditions of their neighborhoods. Strong, supportive communities help children and families thrive. We invest in programs and policies that promote economically prosperous and vibrant environments that afford access to opportunities and promote well-being by:

- Building on Neighborhoods Ready for School (NRFS) place-based investments
- Integrating services across First 5’s targeted neighborhoods, in alignment with Alameda County’s priority zip codes
- Strengthening place-based systems change and care coordination for families in NRFS sites

“What really matters is childhood environment, rather than where you live as an adult. Every extra year of exposure to a positive childhood environment makes a significant impact on long-term outcomes.”

– Dr. Raj Chetty

From Dr. Chetty’s presentation as part of the [2021 First 5 Alameda County Commission Speaker Series](#)

PEOPLE

We believe caregivers are the experts on their needs and the needs of their children and families. We work with them to identify their strengths, resources, and needs. We partner with them to reinforce their family and community supports and improve the effectiveness of our investments by:

- Investing in parent partnership and leadership
- Connecting families to basic needs and resources
- Promoting early screening and care coordination to address social-emotional, trauma, or developmental concerns
- Fostering family well-being through innovative parent-centered programming
- Maintaining comprehensive, quality early childhood training content to providers, parents/caregivers, and community in line with our commitment to equity

“The financial and material hardships households are experiencing are negatively impacting children because they are disrupting the well-being of caregivers.”

– Dr. Philip Fisher, RAPID-EC

“We would want anyone working with children to be healthy and supported and as present with children as they possibly can be. We have to provide the conditions for them to do so.”

– Dr. Lea Austin,
Center for the Study of Child Care
Employment at UC Berkeley

POLICY

We believe that First 5’s policy work should address structural racism and childhood poverty and their impact on child development and family well-being. Furthermore, our policy work is most effective when families are engaged in its development and active in a leadership role. We believe that data, research, and evaluation should be conducted in partnership with the community, informing an action agenda for advocacy and organizing. We believe that public systems should be accessible, effective, and responsive to families’ needs. We take a systems change approach by advancing solutions that move the early childhood system from a patchwork of services to an integrated ecosystem. We build the early childhood system of care by:

- Measuring continuous improvement in service to equity
- Evolving quality early care and education and capacity-building for the field
- Expanding local pediatric strategies and systems care coordination capabilities (through Help Me Grow and Developmental and Legal Understanding for Everyone, DULCE)
- Using data and policy advocacy to advance local, state, and national investments in people, place, and systems
- Preparing the agency to administer Measure C ([Learn more about Measure C on page 37.](#)) and other local, state, and federal funding initiatives

With this scaffolding in place, First 5 is well-positioned to build out the early childhood system of care. We will continue this transformation by partnering with parents, caregivers, community, providers, and public systems to address the underlying inequities. We will leverage the assets in Alameda County and seize the opportunity of once-in-a-generation federal, state, and local investments to build a more integrated early childhood system.



COMMITMENT TO EQUITY

First 5 is committed to being an anti-racist organization.

Our 2017–2022 Strategic Plan explicitly named equity as a central component of our work. Inequity negatively impacts the health and well-being of children and families. We promote equity in our organization and within the community broadly. Equity informs our hiring, staff development, investments, training, community partnerships, program design and evaluation, and policy advocacy.

We invest in and advocate for programs and policies that:

- 1) Address structural racism and economic inequity**
- 2) Ensure basic family needs are met**
- 3) Increase access to quality health, mental health, housing, food, transportation, jobs, child care, and educational experiences**
- 4) Foster economically stable communities and opportunities for social connections**

Our equity work is an ongoing march toward justice and equality. In 2017 and 2018, we adopted [resolutions opposing inhumane immigration practices](#) and the enforcement threats to immigrant families by the federal government. In June 2020, the First 5 Alameda County Commission reaffirmed this commitment to equity by adopting a [resolution on equity and social justice](#) to stand united with our Black and African-American colleagues, partners, and the entire Black community against racism in all its forms. We consider these resolutions as public commitments by which we hold ourselves accountable.

In our 2022–2027 Strategic Plan, our agency is continuing a long-term, agencywide learning process to create a shared definition of equity that will guide us in our next steps in this journey. This work will guide how we “operationalize” equity across and throughout the agency’s strategies, programs, and operations. Our equity practices will continue to evolve as we deepen our understanding of the ways systems of oppression appear in organizations and interpersonal relationships.



WORKING IN PARTNERSHIP

In conjunction with our agencywide equity work, First 5 will refine our stakeholder partnership approach. First 5 defines stakeholder partnership as the authentic and intentional work to develop responsive and reciprocal practices and relationships—with parents, caregivers, providers, and community so that First 5 strategies reflect a collective community vision.

Through our practices, we will increase parent and community engagement to promote equity and broader systems change. This agencywide commitment is represented in all of our strategies, and we are nurturing our continued growth in this area to fulfill our commitment.

In the years ahead, we commit to:

- Adopt agency principles for stakeholder partnership in all facets of our work. We will examine existing models and frameworks, including those introduced via the First 5 Association, the Ripples of Transformation, and the Center for the Study of Social Policy's manifesto for parent engagement to inform the development of agency principles.
- Engage in a cross-agency effort to operationalize shared equity principles and goals to align our work. Assess our current approach and practices including resources to support parent, community, and stakeholder participation.
- First 5 will provide the necessary resources and internal organizational capacity to support this agencywide commitment.





2022–2031 STRATEGIC PLAN PARAMETERS & FINANCIAL PICTURE

First 5 identified the following planning assumptions and parameters, approved by the Commission to guide the development of this document.

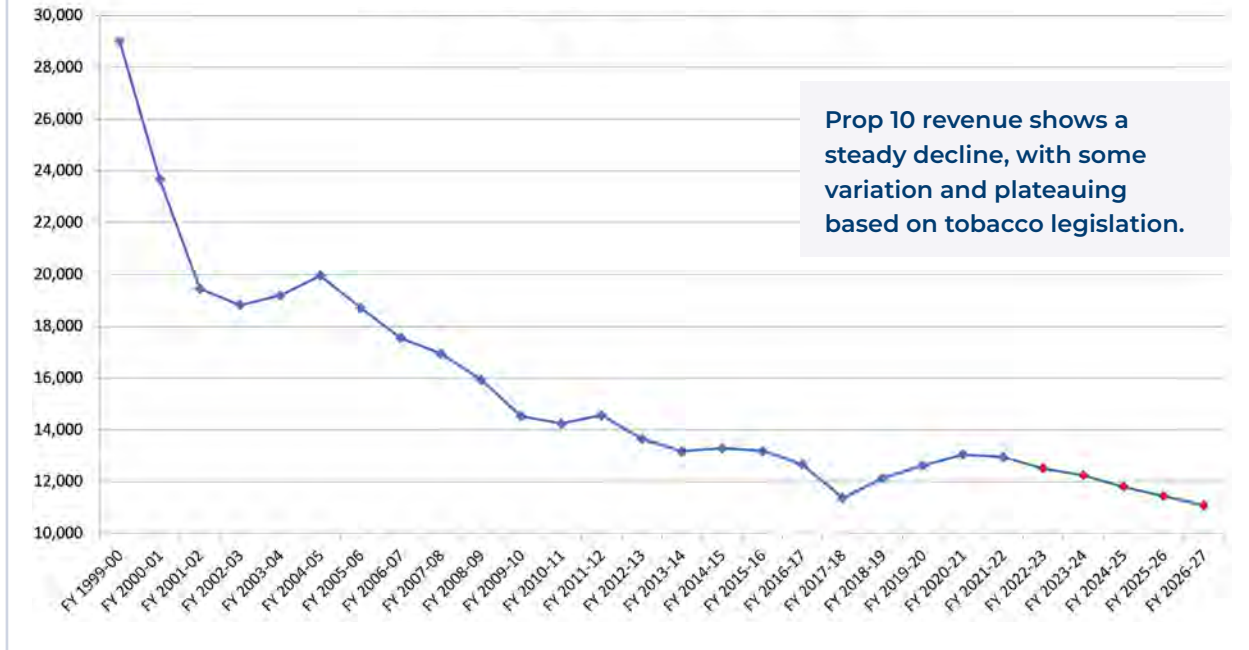
THEY ARE:

- Continue to diversify revenue to support building an early childhood system, including partnerships with managed care, Social Services, Health Care Services Agency, and other public entities to scale First 5 programs fundamental to an early childhood system, e.g., Help Me Grow, DULCE, Fatherhood, ECE workforce development, Measure C. This includes leveraging First 5's infrastructure (financial, contract, staff expertise) to build out the early childhood system.
- Maintain current funding levels, temporarily using our sustainability fund to offset Proposition 10 reductions while planning for diversified revenue sources and scale of successful programs.
- Utilize a largely contracted and community-based, equity-focused model for Proposition 10-funded activities. Available Proposition 10 funds can be used to seed new programs, support proof-of-concept strategies for policy and systems change, and provide funding to community-led initiatives. As a declining revenue source, it is not a sustainable funding stream to scale direct services staffed by First 5, or those we consider part of the county safety net.
- Upon adoption of Alameda County's Measure C, the 2022-2027 Strategic Plan would be substantively revised. The Measure C-mandated program plan will be developed in partnership with a Community Advisory Council (still to be seated).



Prop 10 Revenue 1999-2027

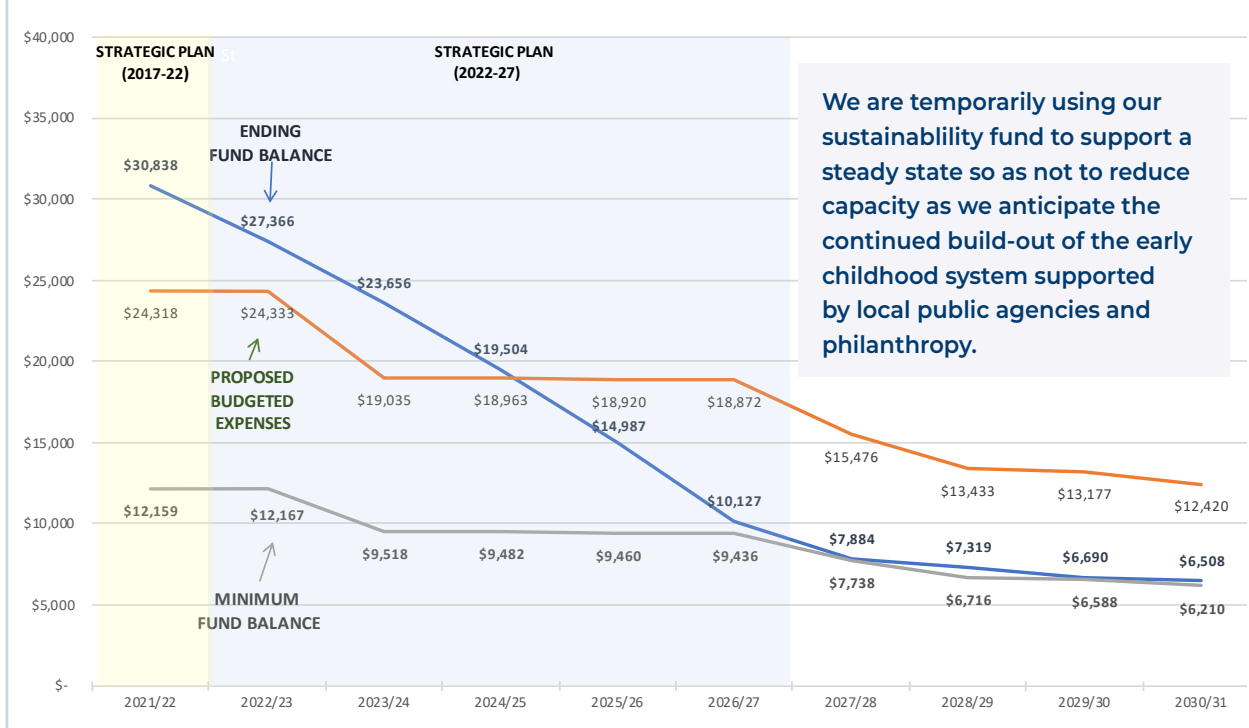
ACTUAL AND PROJECTED PROP 10 REVENUE IN MILLIONS



Source: First 5 California, May 2021

Long Range Financial Plan FY 2022-2031

BUDGET AND FUND BALANCE IN MILLIONS



The Long Range Financial Plan FY 2022-2031 has been prepared based on information available as of May 2022.



PROGRAM STRATEGIES

Overview

Since 2017, First 5 has strategically enhanced its organizational capacity to engage in systems building by:

- 1) Increasing organizational capacity to center community needs and voices
- 2) Engaging in policy advocacy
- 3) Leveraging federal, state, and local funds to ensure sustainability and scale of programming vital to an early childhood system

The evolution of First 5's systems building work has required us to take a multi-pronged approach, incorporating place-based investments, administration of programs, and building policy, data, evaluation, and communications capacity to articulate impact and advocate for resources.²⁸ Using the Place-People-Policy implementation framework, First 5 is catalyzing increased access to services and supporting family-friendly community conditions. This enabled First 5 to be nimble in our response to the ongoing COVID-19 pandemic, alongside support of building an early childhood system in service to community, family, and child well-being.



Neighborhoods Ready for School

PURPOSE

Thriving neighborhoods are an essential component of an early childhood system. First 5's Neighborhoods Ready for School (NRFS) strategy is a place-based investment, asset building, and policy response to the relationship and interplay between neighborhood conditions, family and child well-being, and the structural factors that contribute to overall health, development, and kindergarten readiness. The NRFS strategy funds trusted community-based organizations using an equity index to prioritize neighborhoods with young children that have been historically marginalized due to racist, classist systems and policies.



Our 2019 Kindergarten Readiness study confirmed the importance of this place-based approach. We found that neighborhood assets, especially the presence of mutual support among community members, along with sidewalks, walking paths, and libraries, significantly boost children's school readiness.¹ Families earning at least \$50,000 per year were significantly more likely than lower income families to report the availability of each asset in their neighborhood. Higher income families reported 6.1–6.7 assets in their neighborhoods, while lower income families reported 4.5–5.5 assets. Children in both low-income families and higher-income families had significantly higher kindergarten readiness if they also lived in asset-rich neighborhoods.

The NRFS strategy employs a trust-based philanthropy model that recognizes and prioritizes the knowledge and wisdom of those who live and work within communities. Community stakeholders are best positioned to define their own needs, appropriate responses, and their role in policy advocacy. **The key principles guiding this place-based community capacity building and infrastructure are:**

- Strengthening economic supports and basic needs, food and supply distribution during COVID-19 in service to systems change
- Increasing coordination of family services across systems, family navigation, and connection to resources
- Directing early childhood programs and services, including virtual supports
- Expanding the physical infrastructure to promote safe spaces for young children and their families
- Fostering family leadership and civic engagement
- Building partnerships among community organizations and government
- Supporting policy advocacy efforts catalyzed and led by residents



GOALS

- Work with NRFS sites to identify priorities and current needs post-COVID-19 and make any needed refinements to the structure of our engagement.
- Concentrate First 5 programs in NRFS catchment areas to leverage investments and generate multiplier effect across the neighborhoods.
- Develop an essential data set for reporting and analysis to understand impact, identify areas for continuous improvement, and ease the reporting burden on grantees.
- Invest in school district, service provider capacity and partnerships, and community infrastructure that supports families (housing, libraries, parks) and kindergarten readiness.
- In collaboration with NRFS agencies use the qualitative and quantitative data collected from neighborhood partners and other sources to advocate for policy and systems changes that will help to improve conditions for families with young children.
- Showcase successes and local stories that demonstrate effectiveness to support sustainability of the NRFS models.



Quality Early Care and Education (ECE)

PURPOSE

Early Care and Education (ECE) is a cornerstone of the early childhood system. ECE enables parents to work outside the home and is a vital part of the local economy. It is an under-resourced and underappreciated profession.

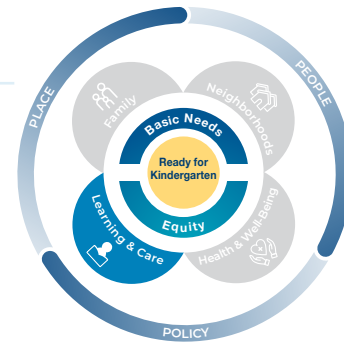
Participation in ECE is a leading factor in predicting kindergarten readiness, as research has shown that **participation in ECE significantly narrowed readiness gaps.**¹ Our biannual Kindergarten Readiness studies have consistently found less than half of children in Alameda County are fully ready for kindergarten, largely due to socioeconomic factors tied to structural racism, with particular consequences for African-American and Latinx children.

Affordability is a major barrier to accessing ECE. The cost of child care has risen 68% since 2014; a family of four in Alameda County with a preschooler and an infant pay one-third of their income toward child care costs.^{17,9} At the same time, there is a significant gap in access to subsidies for income-eligible families with an unmet need in 2018 of 91% of eligible infants and 46% of eligible preschool children in Alameda County.²¹ The pandemic worsened existing inequities, with families facing historic levels of job loss, school and child care closures, and food insecurity.

ECE professionals are an underpaid and aging workforce, with high attrition rates. Eighty-seven percent (87%) of Alameda County ECE professionals, 79% of whom identify as Black, Indigenous, or other women of color, are considered very low-income for the county.¹³ Across the county, the number of licensed family child care providers declined by 34% between 2007 and 2019.²¹ These operational challenges increased in the pandemic. We estimate that the Alameda County ECE field lost \$395 million in FY2020-21 alone (\$220 million without taking into consideration the increased cost of providing care) and these losses are expected to continue in the current fiscal year.²²

High-quality ECE and licensed and community-based childhood development programming are key components of the early childhood system of care. The Quality ECE (QECE) strategy provides quality improvement supports for the mixed delivery system—centers, family child care (FCC) providers, and family friend and neighbor (FFN) providers—with coaching, training, professional development, technical assistance, and financial incentives and supports that include learning networks for each type of child care delivery setting, ensuring technical support, and fostering leadership and community. First 5 also partners with libraries and family resource centers to support quality developmental programming for those children who are not in a licensed early educational setting.

We recognize that scarcity of public resources limits the existence of and access to quality child care and quality community-based programming. As a result, we prioritize those caring for children receiving subsidies and those who have historically been unable to access QECE supports, particularly FCCs and FFNs.



We recognize the strengths and needs of dual-language learners and promote inclusive practices in classrooms to meet the requirements of children with special needs, so that all early learners are positioned for success.

Finally, we are updating our child care facilities census and charting the ECE workforce development needs. In addition, First 5 is creating opportunities to generate interest and professionalization of these important roles by creating apprenticeship programs as a pathway to recruit people new to the field and retain current teachers.

GOALS

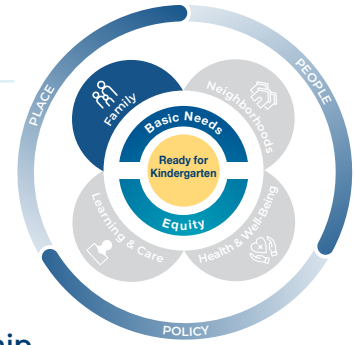
- Co-design with parents, providers, and community partners a more equity-informed approach to quality rating and Quality, Rating, and Improvement Systems (QRIS) in the mixed delivery system.
- Shift First 5's resources from formal assessment and rating to training, professional learning communities, curriculum support, coaching, professional development, stipends, and other financial supports, where allowable.
- Provide core infrastructure support to the local Quality Counts California activities in Alameda County and maintain county readiness for additional partnership and funding opportunities.
- Increase the number of FCC and FFN providers participating in Quality Counts, especially those serving low-income, dual-language learners, children with special needs, and children experiencing homelessness.
- Expand partnerships with parks and recreation departments and libraries to serve children outside of formal care settings, while identifying ways to increase and improve place-based support for FFN and FCC in Neighborhoods Ready for School (NRFS) settings/neighborhoods.
- Increase collaboration between QECE and other First 5 programs and investments, including NRFS, Help Me Grow, Parent Partnership, and Fatherhood.
- Leverage and streamline, in partnership with Policy, Planning, and Evaluation staff, the local use of ECE data systems, including Hubbe and the California ECE Workforce Registry, to strengthen the collection of data and to better support planning, data decolonization, and tools for community partners and the ECE field.
- Conduct and promote an ECE Facilities Needs Assessment to develop strategies to increase capacity and quality of facilities and infrastructure in key areas of unmet need.
- Monitor, in partnership with Policy, Planning and Evaluation staff, the implementation of TK-Universal Pre-K and support plans that incorporate best practices for meeting family and children's needs and support the mixed delivery system.
- Conduct a workforce landscape study, in partnership with the ECE Planning Council, Alameda County Office of Education, and community stakeholders, to develop county strategies for leveraging state and local resources to address ECE workforce development pathways (i.e., apprenticeships, credentialing, higher education cohorts, etc.).



Parent Partnership

PURPOSE

Family Leadership is one of the core components of an early childhood system, as it enhances parents' leadership and advocacy in early childhood programs and at home. First 5's redefined Parent Partnership strategy invests in direct services to families and children with a focus on maternal and child health and the 0-3 years and uses parent leadership to inform programming and investments. The Parent Partnership strategy increases access and reduces disparities stemming from inequities through program design, investments, and systems partnerships.



Inequities in policies, systems, and practices with roots in structural racism have an impact on families and children. Black women and birthing people are three times more likely to die during pregnancy or childbirth and to experience more maternal health complications.²⁰ Black babies are three to four times more likely to be born too early, too small, or to die before their first birthday.²⁰ Given the deep disparities and recognizing that the period from birth to age five is a critical time for children and families, First 5 is committed to programming, investments, and engagements that seek to improve underlying structural conditions and outcomes.

The revised Parent Partnership strategy includes: 1) formulating parent-advised investments in programs, supports, and services that promote equity in birth outcomes, maternal and child health, family well-being, and kindergarten readiness, 2) ensuring parents representing the diversity of languages in Alameda County can be active partners through interpretation and translation, and 3) building partnerships with maternal and child health-serving agencies and organizations.

GOALS

- Collaborate with parents and systems partners to define type of investment, program approach, and guiding frameworks to increase focus on birth equity, Black Maternal Morbidity and Mortality, and promoting equity in the 0-3 space.
- Assess First 5's Cultural Access Services (CAS) structure within the agency to best meet the diverse interpretation and translation needs of families, providers, and contractors.
- Identify emerging opportunities, legislative and budgetary, related to maternal health and birth equity to inform program design, policy advocacy, and the evolution of the local early childhood system.
- Employ data and lessons learned in collaboration with parents, staff, and partners to:
 - Advocate for scaling of DULCE, and the importance of legal, medical, and social services partnerships to address the social determinants of health.
 - Demonstrate how parent partnership initiatives have improved outcomes for children and families to make a case for sustainability and systems change.

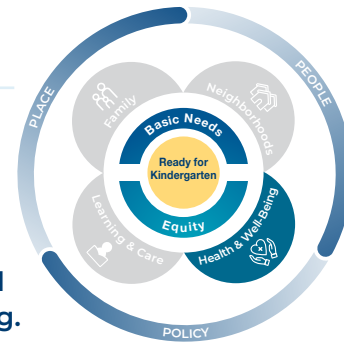




Early Identification, Screening, and Care Coordination

PURPOSE

Comprehensive Health and Development is a key component of the early childhood system. First 5's Early Identification, Screening, and Care Coordination (EISCC) strategy focuses on achieving a common goal that all children in Alameda County grow up healthy, thriving, and strong. Decades of national research have demonstrated that early childhood development and overall well-being are affected by the social determinants of health including community and environmental conditions, racism, poverty, stress, relationships, access to resources, and education.



There are more than 32,000 low-income children under age six enrolled in Medi-Cal in Alameda County.¹⁵ While Alameda County has been a state leader in enrolling income-eligible children in public health coverage, approximately one in three are not engaging in or receiving regular pediatric preventive care, including but not limited to well-child care and early childhood screenings.²⁹ Approximately 85% of children served through Help Me Grow, First 5's centerpiece program of this strategy, are insured through Medi-Cal, and 24% of families served were also referred to services for basic needs, such as food, housing, health care, and child care.³⁰

Given this landscape, the primary goal of this strategy is to connect and integrate public and community screening, referral, and response resources. Our focus is to engage, assess, and connect children, especially Medi-Cal enrolled families, to pediatric preventative care, medically-necessary services, and community-based programming and support.

Fundamental to this strategy is maximizing the family's pediatric visit. Pediatric visits are an entry point to care management, resource referral, and other community supports. Research has shown that expanding community-based care management improves overall family health and well-being.³¹

The EISCC strategy fosters collaboration with community stakeholders to leverage data and develop targeted strategies to fill service gaps, reduce barriers, and advance racial equity, thereby ensuring equitable access to supports and benefits.

First 5 adopted the nationally recognized Help Me Grow model as the primary implementation framework for the EISCC strategy. The HMG program provides:

- Training and technical assistance to providers serving the Medi-Cal pediatric population (0-5) in Alameda County
- Implementation and referral assistance to pediatric and early child care and education providers with recommended developmental, social-emotional, and/or Adverse Childhood Experiences Screenings (ACEs)
- Multilingual access to HMG's Central Access Point to provide support and care coordination to parents/caregivers for families of children with an identified need for developmental, behavioral, or other resources and services
- Outreach and convenings to build a coordinated network of services and promote awareness of HMG

GOALS

- Build a menu of navigation services to provide support to families enrolled in Medi-Cal and other insurance providers for referrals to early intervention, community resources, family support, and basic needs.
- Recommend strategies for increasing agency and HMG community capacity to address unmet needs, with a focus on First 5's Neighborhoods Ready for School catchment areas and other high-need areas in the county.
- Enhance the scope of Help Me Grow program training, screening, and resource referral activities to include social needs, support for pregnant and parenting populations, and those who have been exposed to Adverse Childhood Experiences (ACEs), with a particular emphasis on children insured through Medi-Cal.
- Expand outreach and education that increases provider, community-based organization, and partner agencies understanding of individual and community conditions (such as social determinants of health and protective factors) that impact child development, well-being, and kindergarten readiness.
- Assess opportunity and risks associated with funding streams that support EISCC, in particular, the California Advancing and Innovating Medi-Cal (CalAIM) program.
- Develop strategy and approach to enhance partnerships with early childhood system providers across health and education agencies, including Alameda Alliance for Health, Health Care Services Agency, Regional Center, and Local Educational Agencies to better connect supports and improve experiences for families.
- Align and expand care coordination through pediatric delivery system programs and partnerships (e.g., HMG and Development and Legal Understanding for Everyone, DULCE).
- Assess opportunities for care coordination through early care and education, particularly with the expansion of Universal Transitional Kindergarten.
- Evaluate new technology solutions, beginning with resource directory and referral platforms, to support improved coordination and communication among parents/families, providers, managed care plans, and First 5.





Fatherhood

PURPOSE

First 5's Fatherhood program is a unique approach to the early childhood system of care's family leadership principles. Historically, early childhood and family and community support programs have focused on serving mothers and children; in most cases, this unintentionally leaves fathers and father-figures out of the equation.

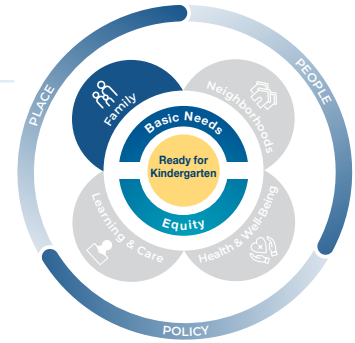
The Fatherhood program raises awareness of the benefits of the active role that fathers and father-figures have in early childhood development. We have focused on strengthening collaboration with public systems and community-based organizations to promote and acknowledge the critical roles fathers and father-figures can play. To increase acceptance of and the experiences of fathers and father-figures participating in child development activities, First 5 sponsors training, support groups, and technical assistance geared toward the development of high-quality, father-centered services.

Our Kindergarten Readiness studies have confirmed locally what the national research indicates. High-quality, involved fathering by dads who live in the child's home and apart, has strong, positive impacts on a child's development, including academic achievement, emotional well-being, and behavior.^{32, 33} Locally, we found that fathers who accessed a greater number of community resources (parks, libraries, and museums) with their children contributed to their child's greater readiness for kindergarten.²¹

The Fatherhood program supports service providers with training that fosters healthy co-parenting relationships to ensure that parents are functioning as a team. High-functioning, healthier co-parenting relationships support young children's optimal development and bolster their social and emotional learning. These skills and interactions are shown to improve children's cognitive skills, which leads to increased kindergarten readiness.

GOALS

- Incorporate Fatherhood and Father-Friendly Principles into First 5 structures and infuse Fatherhood strategies into First 5 programs: Neighborhoods Ready for School, Help Me Grow, Parent Leadership, and Quality ECE.
- Engage fathers and male providers to inform the development of the Healthy Relationship Principles (HRP) tools to support providers with the integration of HRP in work with families and provide training on HRP.
- Position the Fatherhood work for sustainability and scale through fund development and public systems partnerships.
- Promote integration of Father-Friendly Principles in public and community-based systems of care.
- Identify strategies to strengthen internal collaboration and referral pathways for additional public system support connecting fathers to employment, financial education, health, and housing.





AGENCY STRATEGIES

Agency Strategy: Training

PURPOSE

A diverse, well-informed, and well-trained provider and parent community are critical elements of the early childhood system. In partnership with First 5 staff and community, First 5's Training department identifies, coordinates, and delivers instructional content, skill-building workshops, and information sessions to build the capacity of the early childhood system in Alameda County.

Our 2019 Kindergarten Readiness study found that fewer than half of the kindergarten teachers surveyed had received training related to children with special needs, trauma-informed care, cultural humility, and family engagement. Pediatricians have historically had limited specialized training on child development mental and behavioral health.^{34,35} The same holds true for other direct service workers who serve young children and their families.³⁶ Equally important, parents and caregivers benefit from, and are eager for, information on topics relevant to their young children, but often do not know how to obtain it.³⁷

The Training department delivers content aimed at supporting agency priorities and community needs. The Training team provides technical assistance to staff and community partners in best practices for identifying, planning, delivering, and evaluating educational programming.

GOALS

- Reassess training offerings to ensure greater alignment with agency and community priorities and needs to ensure programming is focused on areas critical to sustainability of key investments and ongoing service provision.
- Assist human resources with implementation of staff trainings ranging from professional development and technical assistance directly linked to agency strategy and program goals.
- Incorporate equity framework into content development and mode of delivery to increase reach into underrepresented child care providers.

Agency Strategy: Policy and Advocacy

PURPOSE

First 5's Policy and Advocacy strategy utilizes analysis, data, information, and coalitions to support the evolution of an equity-centered local early childhood system. We engage in advocacy to scale and sustain effective programs and to promote public policies grounded in equity and justice.

Our policy work seeks to shape, support, and sustain policies that proactively address the needs of families with young children and their caregivers in public systems. We anchor our policy efforts to our equity framework and the lessons learned from our program work with staff, community partners, providers, parents, and caregivers. Through our policy work, we mobilize a shared vision of an early childhood system of care that is a network of coordinated and responsive organizations that improve outcomes for children from birth to age five. First 5's biannual Kindergarten Readiness study repeatedly points to the importance of structural conditions, e.g., socioeconomic, access to early care and education, as critical to supporting children's success. In Alameda County approximately 1 in 10 children under six years lives below the Federal Poverty Level (\$26,500 for a family of four).¹⁶ It takes \$137,660 to meet the basic needs of a two-parent family with one infant and one preschooler.⁹

By understanding the legislative, budgetary, regulatory, and administrative levers of public systems, we create a multifaceted policy agenda for systems change. We leverage our resources, access, expertise, analytical skill set, and partnerships to listen, lift up needs, share successes, and evaluate impact of public investments that improve outcomes for children and families.

GOALS

- Document success of First 5's work catalyzing sustainability, scale, and systems change initiatives that are contributing to the evolution of an early childhood system of care.
- Convene partners, community, stakeholders, elected officials and their staff in discussions of policy issues and advocacy specific to families with young children, using findings from the 2021–2022 Kindergarten Readiness study and Neighborhoods Ready for School evaluation.
- Create an annual policy agenda with input from staff and community; lift messages, insights, and policy priorities learned from programs including direct service needs of parents and caregivers, and gaps in the system.
- Position First 5 with elected officials, policymakers, First 5 California, and other statewide associations as a key leader, partner, and convener in the work to advance the well-being of families with young children in Alameda County.
- Craft a policy narrative in support of increased public investments in proven strategies to support an early childhood system of care with input from community leaders and policy makers.
- Increase integration of data among systems at the local level to support data-driven policymaking with an equity and “whole community, whole family, whole child” approach.



Agency Strategy: Data and Evaluation

PURPOSE

First 5's Data and Evaluation strategy supports shared accountability, continued organizational learning, public awareness, and policy advocacy as part of our role in evolving the early childhood system.

Research and data can provide a roadmap to systems change. Our research has pointed to the underlying structural conditions and opportunities necessary to support families with young children. Our Kindergarten Readiness study shows that differences in kindergarten readiness are largely attributable to inequities of access to resources and educational experiences.¹ Our 2018 longitudinal study found that 4 out of 5 children who are not ready for kindergarten are still not caught up to grade level by third grade, pointing to the importance of early investments in children, families, and communities.²⁴

Working Definitions to Support Continued Learning and Practice:

Data Decolonization refers to practices adopted to intentionally shift focus and ownership of data collection and analysis to Indigenous, Black, and Brown communities.³⁸

Data Democratization refers to practices adopted to intentionally approach data collection and analysis with a community lens, supporting broad access to data and data analysis, including by those whom the data is about, as powerful tools for change, and eliminating unnecessary barriers to accessing and utilizing data.

We believe data, research, and evaluation are tools for making policy change, and creating a shared system and stakeholder understanding of community priorities and needs. We focus on generating and sharing data, research, and results to inform internal agency decision making and our work with partners, public policy, planning, and advocacy. Through participatory research, storytelling, and other practices consistent with data decolonization and democratization, we put the power of data back into the hands of the people. We use data to highlight community conditions, the strengths and needs of our county's youngest children, their families, and the providers who serve them, and to advance policies that promote equity.

We partner with colleagues and community stakeholders on data and evaluation efforts to identify promising practices, demonstrate effectiveness, support efforts to scale and sustain effective strategies, and promote continuous quality improvement in the early childhood system.

GOALS

- Deepen our understanding of equitable data and research practices, data decolonization, and democratization. Document learning, practices, and opportunities.
- Use First 5's biannual Kindergarten Readiness study and NRFS evaluation in collaboration with the community to inform policy advocacy and program investments.
- Streamline production and elevate dissemination of data and research products as policy and communication tools for use by external stakeholders and staff.
- Strengthen understanding and support the interconnected needs of families and communities by developing robust data sharing agreements with public agencies and other key partners.
- Identify opportunities for evaluation/research projects in collaboration with partners and community to make a case for sustainability, scale, and/or systems change.
- Streamline data collection, Results Based Accountability (RBA) measures, and reporting with an eye to information that would most meaningfully contribute to agency decision-making, continuous improvement, and the identification of promising practices.
- Complete agencywide implementation of RBA framework so staff and leadership consistently use data and research findings to inform decisions and promote continuous improvement across all programs.

Agency Strategy: Communications

PURPOSE

First 5's communications strategy builds public awareness, mobilizes support, promotes systems coordination, and advocates for investments in an equity-centered early childhood system of care. The communications department works with internal and external audiences to inform and guide key stakeholders and decisionmakers in understanding, building, and supporting an equitable, sustainable, and comprehensive early childhood system.

First 5's communications department creates compelling narratives about the importance of early childhood, positive and adverse childhood experiences, and "whole community, whole family, whole child" policy and programs. We use messages, stories, and data that point to the structural conditions, including racism and classism, underpinning children's outcomes and highlight opportunities to build thriving communities, families, and children.

First 5's communications strategy reinforces the agency's position as a leading local policy voice for children and families. Communications initiatives provide support for the early childhood system in the form of investments, capacity building, and community data to inform priorities and decision-making. We promote centralized resources, information, and services for parents, caregivers, and service providers.

First 5 advances equity and stakeholder engagement in its communications by using feedback loops to listen to and report back to community stakeholders, allowing us to:

- Create accessible content and design, using multiple languages and modalities
- Elevate community voice in communications materials
- Highlight family and community successes despite structural barriers
- Represent diverse families and family structures across all media

GOALS

- Update First 5's Communications Plan to advance equity commitment, promote programmatic success, policy advocacy, and partnerships for systems change, and to sustain and scale effective and promising programs.
- Generate and disseminate content for policymakers, advocates, and providers by producing multimedia collateral material, policy and data briefs, case studies, website, social media, and media engagement.
- Increase access to and ease of navigation of centralized information and resources for neighborhoods, families, caregivers, providers, and policymakers.





OPERATIONAL SUPPORT FUNCTIONS

First 5's Operations Division includes finance, human resources, technology, facilities, and administration. Not only do these functions support the day-to-day operations of the agency, they also allow the organization to play a backbone role to community-based organizations, providers, and public agencies that are part of the early childhood system.

These backbone capabilities are of increasing importance as First 5 adjusts its strategies and operations in light of the steady decline in Proposition 10 revenues. These functions are necessary to enable First 5 to shift away from direct services funded by Proposition 10 to a contracted and community-based model. With the competencies and capabilities detailed below, First 5 is positioned to administer direct services—and with other revenue sources, such as Alameda County's Measure C and managed care funds—in service to the expansion and evolution of an effective early childhood system.

Administration and Facilities

First 5's Administration and Facilities' strategy is to provide a safe, productive, efficient and inclusive work environment for staff and partners. Administrative and facilities staff ensure that the facility is operating as it should on a daily basis by completing regular inspections, ensuring compliance with all relevant requirements and standards, and conducting repairs and maintenance. Office administrative operations are performed in a seamless manner to ensure the efficient operations of the agency.

GOALS

- Maintain and operate an office facility that provides for a safe, clean, functional, and welcoming environment.
- Perform maintenance and repairs in a minimally disruptive manner.
- Review operational efficiencies to maximize the utilization of resources.
- Ensure that the office facility meets legal requirements and health and safety standards.
- Provide efficient and effective administration procedures and practices.

Finance

PURPOSE

First 5's Finance strategy enables the agency to use Proposition 10 funds strategically for direct service programs, as First 5 transitions away from providing direct services funded by Proposition 10 to a contracted and community-based model.

Finance focuses on budgeting, financial planning, forecasting, and managing revenue and expenditures for programs core to the agency's mission. The Finance department effectively and transparently communicates fiscal data to the First 5 Alameda County Commission to ensure the ongoing health and viability of the organization.

GOALS

- Develop and maintain fiscally responsible and sustainable budgets that reflect our strategies with input from stakeholders and system partners.
- Present timely financial reports to identify current and future revenue and expenditure trends.
- Implement the agency's financial policies and procedures to ensure the timely, accurate, and complete reporting of financial information.
- Ensure that financial operations and transactions are accurate and in compliance with federal, state, and financial requirements.

Human Resources

PURPOSE

To serve First 5's function as a backbone to the early childhood system, Human Resources builds the capacity of the agency and our workforce. First 5's Human Resources strategy focuses on aligning agency structure, staffing, operations, and culture with its organizational focus on systems change work. Human Resources serves as an effective partner by providing efficient and solution-focused services, maintaining a culture of inclusiveness and belonging, and ensuring First 5 has the requisite expertise, competencies, and skills needed to successfully execute the 2022–2027 Strategic Plan. We seek to retain and recruit a diverse workforce that reflects Alameda County, support staff development, ensure regulatory compliance, and support agency planning to inform organizational structure and business processes.

GOALS

- Engage in organizational development to improve the agency's capability through alignment of our mission, strategy, people, structure, and processes.
- Focus our talent acquisition strategies on attracting, developing, and retaining a talented and diverse workforce.
- Expand professional development and create resources dedicated to offering learning opportunities that support our organizational goals while enhancing the knowledge and skills of our workforce and increasing employee engagement, retention, and morale.
- Provide support and guidance to agency equity training and definition processes, incorporating future recommendations into internal practices.
- Cultivate leadership within the agency, including succession planning and staff capacity building. Doing so will help to support the agency and develop leaders for the early childhood field.

Technology

PURPOSE

First 5's Technology strategy focuses on deploying technology applications and tools to support coordination and linkages, communication, and shared accountability among agency staff, partners, and grantees. With equity at the center of service design and delivery, this strategy provides support to staff and partners for operational efficiencies, data collection and tracking, and performance management.

GOALS

- Conduct a technology assessment to create a roadmap for decision-making regarding applications for accounting, Salesforce, case management, resource directory, and website applications.
- Develop a process for selection of technology solutions that foster teaching, learning, research, and operations.
- Plan for the eventual implementation of data systems to prepare for the likely implementation of Measure C, including a child care Centralized Eligibility List (CEL) and enrollment systems, contingent on funding.



PROPOSITION 10 FY 22/23 INVESTMENTS

First 5 is using a Maintenance of Effort approach to this strategic plan for fiscal year 2022–2023 to maintain strategy budgets as we seek to build out the early childhood system. The budget will be updated annually.

Neighborhoods Ready for School (\$3,500,000) is a place-based investment, asset building, and policy response to the relationship and interplay between neighborhood conditions, family, and child well-being and the structural factors that contribute to overall health, development, and kindergarten readiness.

Quality Early Care and Education (\$1,722,500) provides quality improvement supports for centers, family child care (FCC) providers, and family, friend and neighbor (FFN) providers with coaching, training, professional development, technical assistance, and financial incentives and supports; learning networks for each type of child care delivery setting; funds community-based programming for those children who are not in a licensed early educational setting.

Parent Partnership (\$2,080,000) provides direct services to families and children with a focus on maternal and child health and the 0-3 years and uses parent leadership to inform programming and investments.

Early Identification, Screening, and Care Coordination (\$1,365,000) connects and strengthens public system and community resources to engage, assess, and connect children, with a focus on Medi-Cal-enrolled families, to pediatric preventative care, medically-necessary services, and community-based programming and support.

Fatherhood (\$262,500) strengthens collaboration with public systems and community-based organizations, increases the representation and improves the experiences of men and fathers through training, strategic messaging, and the development of high-quality father-centered services.

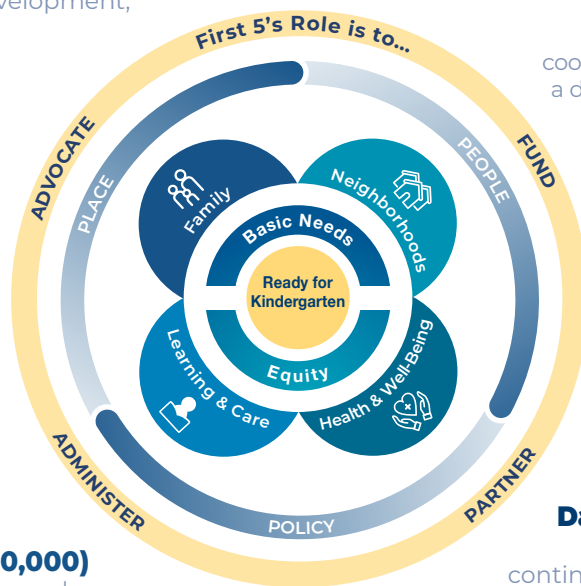
Training (\$700,000) identifies, coordinates, and delivers training to foster a diverse, well-trained provider workforce and support awareness, leadership, and linkages in each of the core components of the early childhood system.

Policy (\$1,146,600) utilizes analysis, data, information, and coalitions to support the evolution of an equity-centered local early childhood system. We engage in advocacy to scale and sustain effective programs and to promote public policies grounded in equity and justice.

Data and Evaluation (\$1,058,400) supports shared accountability, continued organizational learning, public awareness, and policy advocacy as part of our role in evolving the early childhood system.

Communications (\$605,000) works with internal and external audiences to inform and guide key stakeholders and decisionmakers in understanding, building, and supporting an equitable, sustainable, and comprehensive early childhood system.

Operations and Administration (\$3,510,000) includes finance, human resources, technology, facilities, and administration.





MEASURING OUR PROGRESS

To understand, track, and guide our progress we use data, research, and parent and community knowledge. Together, this information helps us understand how well children and families in the county are doing in areas that we know correspond to kindergarten readiness—like access to basic needs, participation in early care and education, and neighborhood conditions.

We also use data to understand the performance, impact, and opportunity for continuous improvement in our programs and investments.

This method of distinguishing “Population” and “Performance” data is part of a framework called Results Based Accountability. It is a disciplined way of thinking and taking action to improve quality of life in communities, as well as to improve the performance of programs.

In our approach we strive to use data for action, and we work within our agency and with partners to make data accessible, relevant, and actionable. Data can shed light on partnership opportunities and guide actions that advance our equity commitment, are driven by community, and are low- or no-cost.

We use evaluation as a tool to help us get “under the hood” to understand why and how investments or programs might be working, and lift promising practices for policy advocacy, sustainability, and scale.

We are committed to participatory, equity-informed, and community-driven practices in our data, research, and evaluation work. At every stage—from identifying research questions and measures, to data collection methods, to interpreting findings and developing recommendations—we seek to be in deep partnership with community stakeholders. In the implementation of this Strategic Plan, we will develop performance measures to understand our progress toward our goals.

Results Based Accountability as a Tool for Equity

Population Result: The well-being of a whole population in a geographic area (e.g., all children under five in Alameda County, or all families with children under five in a zip code)

All Children in Alameda County are Ready for Kindergarten

We look at disaggregated data to understand structural inequities that create disparities in outcomes. This helps to inform our programs and investments.

Performance Accountability: The well-being of client populations for programs, agencies, or service systems (i.e., all children 0-5 on Medi-Cal, all families served by ABC community organization)

For our programs and investments, we ask ourselves:

- *How much do we do?*
- *How well do we do it?*
- *Is anyone better off?*

For more on RBA and Equity, Racial Equity: [Getting to Results](#) (2017)

LOCAL REVENUE FOR EARLY CARE AND EDUCATION

ADDITIONAL RESOURCES CREATE OPPORTUNITY

Significant public investment from recent state and federal government actions, combined with local initiatives, have created an unprecedented opportunity for Alameda County to evolve its local early care and education (ECE) system to better serve children, families, and ECE professionals.

In Alameda County there were two recent countywide ballot measures related to ECE. The first, which was unsuccessful, was county-sponsored Measure A in 2018. The City of Oakland's Measure AA (see sidebar) was run congruently and with intended administrative alignment to Measure A. Upon Measure A's defeat, the community led a signature campaign to place Measure C on the ballot, which was passed by voters in March 2020 and names First 5 as the administrator of the Child Care, Preschool, and Early Education portion of the revenue.

Measure C Allocation

Measure C is a half-percent (0.5%) sales tax that would raise an estimated \$150 million per year to provide support and enhancements for child care, preschool, early education, and pediatric health care in Alameda County. The funds will be divided 80/20 into two subaccounts, a Pediatric Health Care Account (20%), overseen by a citizen oversight committee, and a Child Care, Preschool, and Early Education Account (80%), administered by First 5.

Measure C is expected to impact thousands of children and families across Alameda County who will have improved access to trauma care, specialized pediatric care, and treatment and expanded access to child care. Measure C also includes an increase in ECE workforce wages to \$15 per hour, improvements to ECE quality, and teacher retention.

Currently the implementation of Measure C is delayed due to litigation currently pending in Alameda County Superior Court that challenges Measure C on numerous grounds, including that it required a two-thirds vote, an argument that has already been rejected by several appellate courts.

Oakland's Measure AA: The Children's Initiative of 2018

Measure AA is a parcel tax projected to provide approximately \$30 million annually in funding for early care and education and college preparedness programs in Oakland.

Measure AA was upheld by courts in December 2021.

First 5 is named as a potential administrator in Measure AA

CHILD CARE FUND COMPONENTS

- Increases access to quality care for participating providers through
 - New enrollments
 - Rate enhancements
- Ensures teacher wages at a minimum of \$15 per hour to be increased annually with revenue increases
- Allows services to 0–12-year-olds, but defines a focus on 0–5-year-olds
- Targets low-income families and those children/families with the greatest needs, e.g., families experiencing homelessness and foster children

FIRST 5'S ROLE AS MEASURE C ADMINISTRATOR

First 5 commits to the responsible stewardship of these resources, in partnership with the Alameda County Board of Supervisors, Community Advisory Committee (CAC), and other ECE stakeholders, particularly parents/caregivers and ECE professionals. First 5's role as outlined in section 2.08.305.B of the Ordinance:

- Developing Program Plan & Annual Expenditure Plan
- Allocating funds based on Expenditure Plan
- Developing, implementing, administering, and overseeing all programs and services paid for by the Child Care, Preschool, and Early Education account

- Providing staff support for the CAC
- Developing the Program Plan Evaluation
- Operating with transparency and public accountability, good fiscal stewardship of public resources, annual audit to ensure compliance
- Awarding funds pursuant to our contracting policies and the Ordinance requirements

MEASURE C, FIRST 5, AND ALAMEDA COUNTY'S EARLY CHILDHOOD SYSTEM

Measure C will benefit Alameda County's early childhood system of care broadly and will impact First 5 as the county's only governmental agency solely dedicated to families/caregivers with children 0-5 by:

- Aligning new investment with First 5's current investments and providing resources for "backbone" support to the early childhood system
- Allowing First 5 to leverage our subject matter expertise, community partnerships, and infrastructure
- Facilitating integration with First 5 programming and fiscal leveraging of Proposition 10 and Measure C, in addition to federal, state, local, and philanthropic funds
- Shifting First 5's role, budget, operations, scale (i.e., staff and contracts), and community and public partnerships

PRE-PLANNING FOR INFRASTRUCTURE AND SYSTEM READINESS

- First 5 has not initiated the Program Plan, which must be developed in coordination with the CAC (still to be seated) and community, for approval by the First 5 Alameda County Commission and Board of Supervisors.
- To ready the agency and shore up the early childhood system in anticipation of Measure C, First 5 has begun pre-planning, with community and partners, in the areas of:
 - Supporting and advancing **quality supports** for ECE providers, including family, friend, and neighbor (FFN) caregivers, in meeting their identified quality goals
 - Investing in an **ECE Facilities Needs Assessment** for centers and family child care providers to understand the infrastructure and space needed to offer high quality care
 - Assessing and planning for **technology and data systems** that promote and monitor the effectiveness of local strategies, including the mandated **evaluation**; integrating information on subsidies; support quality and the ECE workforce; providing for a local centralized child care subsidy eligibility list; and expanding opportunities for parent, family, provider, and community engagement
 - Partnering with the field to develop **workforce strategies** to attract, train, retain, and promote ECE professionals

Current Landscape of ECE in Alameda County

ACCESS: Even prior to the COVID-19 pandemic, the ECE system suffered from low supply and high cost. The shortage of licensed child care is particularly acute in infant and toddler settings, with capacity for **fewer than one out of every ten infants and toddlers in the county.**³⁹

AFFORDABILITY: In Alameda County, the average cost of child care is more than 40% of the average family's income.⁴⁰ With most income-eligible families unable to access subsidies that would mitigate the cost of care, **any available care is unaffordable.**

UNDER-RESOURCED PROVIDERS: Systemic and historical disinvestment in the ECE system has harmed child care providers, a population comprised primarily of women of color who possess years of experience, education, and expertise, yet are poorly compensated. **Eighty-seven percent of the ECE workforce is considered very low-income for Alameda County.**¹³ Forty percent of the ECE workforce are aged 50 or older, and attrition was a challenge in the ECE field even prior to the COVID-19 crisis.¹³

The Impact of the COVID-19 Pandemic on Early Care and Education

Alameda County's ECE system, like many across the country, was on perilous footing before the COVID-19 pandemic began. We estimate that the Alameda County ECE field lost \$395 million in fiscal year 2020–2021 alone and continues to experience losses in the current fiscal year.²² Two years into the pandemic, the ECE system, infrastructure, and workforce remains under-resourced. ECE providers face significant challenges to providing quality, equitable access and affordable care.

Citations

1. Applied Survey Research. (2020). 2019 Alameda County Kindergarten Readiness Assessment. <http://www.first5alameda.org/2019-alameda-county-kindergarten-readiness-assessment>
2. US Census Bureau. (2019). Households and Families, 2019 American Community Survey 1-year estimates. Retrieved from <https://data.census.gov/cedsci/table?q=S1101&g=0500000U06001&tid=ACSS1Y2019.S1101&hidePreview=true>
3. State of California, Department of Finance, P-1B: Population Projections by Individual Year of Age, California, 2010-2060 (Baseline 2019 Population Projections; Vintage 2020 Release). Retrieved from <https://www.dof.ca.gov/Forecasting/Demographics/>
4. US Census Bureau (2020). P2: Hispanic or Latino, and not Hispanic or Latino by Race. 2020 Decennial Census Redistricting Data. Retrieved from <https://data.census.gov/cedsci/table?q=Alameda%20County%20California%20Populations%20and%20People&DEC%20Redistricting%20Data%20%28PL%2094-171%29&tid=DECENNIALPL2020.P2>
5. California Department of Public Health, Birth Statistical Master Files. (2019)
6. US Census Bureau (2020). "The Chance that two people chosen at random are of a different race or ethnicity group has increased since 2010". <https://www.census.gov/library/stories/2021/08/2020-united-states-population-more-racially-ethnically-diverse-than-2010.html>
7. US Census Bureau. (2019). Age by Language Spoken at Home for the Population 5 Years and Over, 2019 American Community Survey 1-year estimates. Retrieved from <https://data.census.gov/cedsci/table?q=B16007&q=0500000U06001&tid=ACSS1Y2019.S1101&hidePreview=true>
8. US Census Bureau. (2019). AGE AND NATIVITY OF OWN CHILDREN UNDER 18 YEARS IN FAMILIES AND SUBFAMILIES BY NATIVITY OF PARENTS, 2019 American Community Survey 1-year estimates. Retrieved from <https://data.census.gov/cedsci/table?q=children%20to%20foreign%20born%20parents&q=0500000U06001&tid=ACSD1Y2019.C05009>
9. Insight Center (2021). California Family Needs Calculator (formerly the California Family Economic Self-Sufficiency Standard or Self-Sufficiency Standard), Alameda County. Retrieved from <https://insightcced.org/family-needs-calculator/>
10. Analysis by First 5 Alameda County calculating the difference between Income Required to Meet Basic Needs [see citation 9] – (FPL + 2021 Max Tax Credits) [see citation 11] = \$102,760. Based on a family of two adults and two children under age 6 filing with an Individual Tax Identification Number.
11. Analysis by First 5 Alameda County calculating the sum of the income of a family of four living at the 2021 Federal Poverty Level (FPL) [\$26,500] plus the maximum tax credits available from the expanded federal 2021 Child Tax Credit (\$7,200) and the 2021 California Golden State Stimulus (\$1,200) = \$34,900. Based on a family of two adults and two children under age 6 filing with an Individual Tax Identification Number.
12. California Department of Developmental Services. (2021). Minimum Wage – 2021. Based on two workers working 40 hours per week, 50 weeks per year. Retrieved from <https://www.dds.ca.gov/rc/vendor-provider/minimum-wage/>
13. California Early Care and Education (ECE) Workforce Registry. (October 2020). Note: Self-reported data for 2,348 people registered in the Alameda County Workforce Registry as of October 2020. The Workforce Registry only represents a subset of the ECE workforce as it is a voluntary database. The registry includes an overrepresentation of those working at child care centers and Title 5 programs compared to other child care program types. Registry participants report wages as an hourly gross rate or annual, monthly, or weekly gross salary. Annual wage was calculated by multiplying their self-reported wage and their self-reported number of hours worked by 50 weeks.
14. US Department of Health & Human Services (HHS). (2021). HHS Poverty Guidelines for 2021. Based on a household of four. Retrieved from <https://aspe.hhs.gov/poverty-guidelines>
15. Alameda County Social Services Agency. (2021). Enrollment numbers represent a one-month snapshot for January 2021.
16. US Census Bureau (2019). Poverty Status in the past 12 months of related children under 18, American Community Survey 5-year estimates (B17006). Retrieved from <https://data.census.gov/cedsci/table?q=child%20poverty&tid=ACSDT5Y2019.B17006>
17. Insight Center (2021). Family Needs Indicator - Alameda County Fact Sheet. Retrieved from: <https://insightcced.org/the-cost-of-being-californian-alameda-county-fact-sheet/>
18. US Census Analysis by First 5 Alameda County calculating the percentage difference between Median Family Income in 2019 and 2000 (adjusted to 2019 dollars). US Census Bureau (2000,2019). Income in the past 12 months (in 2019 inflation-adjusted dollars), American Community Survey 1-year estimates. Retrieved from <https://data.census.gov/cedsci/table?q=Income%20and%20Poverty&q=0500000U06001&tid=ACSS1Y2019.S1901&hidePreview=true>
19. US Census Bureau (2019). Selected Housing Characteristics, American Community Survey 1-year estimates (DP04). Retrieved from <https://data.census.gov/cedsci/table?q=rent%20burden&tid=ACSDP5Y2019.DP04>
20. Alameda County Public Health Department. (n.d.). Perinatal Equity Initiative webpage. Retrieved from <https://acphd.org/programs-and-services/perinatal-equity-initiative/>
21. Alameda County Early Care and Education Planning Council, Alameda County Early Care and Education Needs Assessment. (2021) 6.4. Retrieved from <http://www.first5alameda.org/files/2021%20Alameda%20County%20ECE%20Needs%20Assessment%20FINAL.pdf>
22. Estimate based on extrapolation from survey data and administrative data from October 2020 Alameda County Child Care Program Survey conducted by the Alameda County Early Care and Education Program Local Planning Council and First 5 Alameda County
23. First 5 Alameda County analysis conducted in October 2021. Estimates suggest that, based on population, Alameda County could see nearly 4,000 more subsidized slots based on the 2021–2022 adopted budget. Meanwhile, estimates suggest that the new reimbursement rates could bring an increase of over \$20 million countywide to subsidized child care providers just for the slots for children age 0-5 currently in the system (estimates based on assumption of full day care rates). The Center for American Progress provides estimates of the true costs of care for child care programs in California.
24. Applied Survey Research. (2018). Kindergarten Readiness and Later Achievement: A Longitudinal Study in Alameda County. Retrieved from <http://www.first5alameda.org/files/Alameda%20Longitudinal%20KRA%20Study%20Final.pdf>
25. California Department of Social Services, Community Care Licensing Division, Child Care Licensing Program. (2021). Facility Closures and New Licenses Between March 2020 and January 2021, and Net Loss or Gain of Facilities by County as of January 31, 2021.
26. US Census Bureau (2019). Poverty Status in the past 12 months, American Community Survey 5-year estimates (S1701). Retrieved from <https://data.census.gov/cedsci/table?q=children%20poverty>
27. Alameda County Public Health Department (ACPHD). (2021). COVID-19 Data by Zip Code as of March 31, 2021. Retrieved from <https://covid-19.acgov.org/data>
28. LaPiana Consulting. (2019). The Nonprofit Strategy Revolution. Retrieved from <https://www.lapiana.org/insight/the-nonprofit-strategy-revolution-2/>
29. Focali Consulting. (2020, December 30). Meeting Summary
30. Help Me Grow Alameda County. (2021). Program data analysis of families served.
31. McNally, K.R., Enneking, B., Ramaker M., et al. (2020). Family-centered care coordination in an interdisciplinary neurodevelopmental evaluation clinic: Outcomes from care coordinator and caregiver reports. *Frontiers in Pediatrics*. 8:538633. doi:10.3389/fped.2020.538633
32. Adamsons, K. (2018). Quantity versus quality of nonresident father involvement: Deconstructing the argument that quantity doesn't matter. *Journal of Child Custody*, 15(1), 26-34. doi:10.1080/15379418.2018.1437002
33. Adamsons, K., Johnson, S.K. (2013). An updated and expanded meta-analysis of nonresident fathering and child well-being. *Journal of Family Psychology*, 27(4), 589-599. <https://doi.org/10.1037/a0033786>
34. McMillan, J.A., Land, M., Tucker, A.E., et al. (2020). Preparing future pediatricians to meet the behavioral and mental health needs of children. *Pediatrics*, 145(1): e20183796. <https://doi.org/10.1542/peds.2018-3796>
35. Macary, S. (2020). Preparing future pediatricians to address behavioral health needs of children: opportunities in pediatric residency training programs. *Child Health and Development Institute of Connecticut, Inc. Issue Brief*. Retrieved from <https://www.chdi.org/index.php/publications/issue-briefs/issue-brief-76-preparing-future-pediatricians-address-behavioral-health-needs-children-primary-care>
36. University of California, Davis, Continuing and Professional Education, Human Services. Summary: Recommendations for High Fidelity Wraparound Services in California. (2020). Retrieved from <https://humanservices.ucdavis.edu/news/summary-recommendations-high-fidelity-wraparound-services-california>
37. Bartlett, J.D., Guzman, L., Ramos-Olagast M.A. (2018). 5 things to know about parents' knowledge of parenting and early childhood development. *Child Trends*. Retrieved from <https://www.childtrends.org/publications/5-things-to-know-about-parents-knowledge-of-parenting-and-early-childhood-development>
38. Secaira, M. (2019). Abigail Echo-Hawk on the art and science of "decolonizing data." *Crosscut*. Retrieved from <https://crosscut.com/2019/05/abigail-echo-hawk-art-and-science-decolonizing-data>
39. Alameda County Early Learning Needs Assessment Tool. (2018).
40. The average annual cost of center care for an infant (\$25,812) and preschooler (\$19,350) in a family of four with a median county income of \$111,700.



Universal PreKindergarten

*Starting at the Beginning
A New Grade Level as a Key Equity Strategy*

June 2, 2022

Agenda

- Overview of Universal PreKindergarten
 - Transitional Kindergarten
 - California State Preschool Program
 - Expanded Learning Opportunities Program
- Rising Concerns
- Communication Considerations
 - Community Based Partners
 - Families
- Related Policies

Whole Child, Whole Family

THEME OF 2021 & 2022 STATE INVESTMENTS



Universal PreKindergarten (UPK)

All 4-year-old children eligible for TK by 2025/26

8,700 new full-day preschool slots & 200,000 new childcare slots



Expanded Learning Opportunities Program (ELO-P)

New after, before, and summer school opportunities for TK to 6th grade

Universal access for districts with 80% unduplicated pupils



Universal Meals

All students regardless of FRPM eligibility can get two free meals



CA Community Schools Partnership Program (CCSPP)

Establish integrated systems to increase access to services and community decision-making



Children & Youth Behavioral Health Initiatives

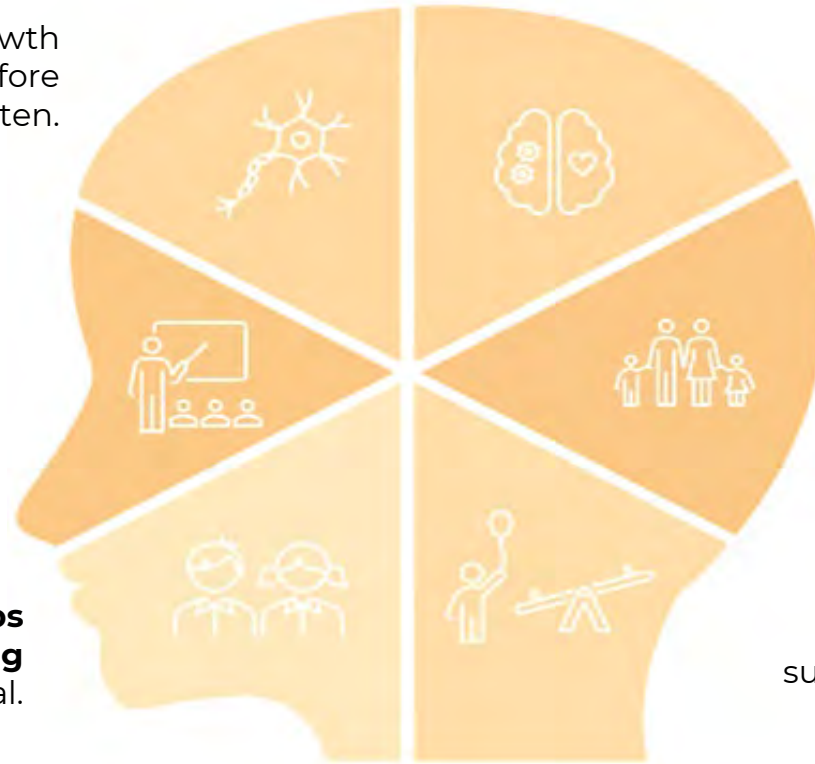
Increase school-based mental health services for students

Importance of Early Learning

90% of brain growth happens before kindergarten.

High quality preschool paired with a focus on **alignment** through the early grades leads to the best outcomes for students.

Supportive relationships and **positive learning experiences** are essential.



Early preventative intervention is more efficient and produces more favorable outcomes than remediation.

Children's learning is best promoted through a **strengths-based, play-based approach** that supports their development.

UPK Background

2010	2019	2020	Dec. 2020	2021
<p>Kindergarten Readiness Act</p>	<p>Early Learning & Care</p>	<p>Preschool to 3rd Grade (P-3) Alignment</p>	<p>Master Plan for Early Learning & Care</p>	<p>Universal Prekindergarten (UPK) Legislation</p>
<p>Changes the date for kindergarten entry and creates Transitional Kindergarten (TK).</p>	<p>Governor Newsom proposes comprehensive improvements to the state's early learning and care (ELC) system for young children birth through 8.</p>	<p>CDE Opportunities for All Branch launches the P-3 Alignment Initiative.</p> <p>CDE elevates the role of high-quality, inclusive, and multilingual preschool, strong early intervention services, and P-3 alignment.</p>	<p>Release of Master Plan for Early Learning & Care focused on four goal areas: unify & strengthen ELC programs, workforce development, unify funding, and improve equity by streamlining governance.</p>	<p>Funding for the UPK Planning and Implementation Grant Program.</p> <p>AB 130 (167) Budget Trailer Bill signed into law.</p>

UPK Alignment

SERVICES FOR ALL 4-YEAR-OLDS
“The year prior to entrance into Kindergarten”

CA State
Preschool
(CSPP)

Head Start

Transitional
Kindergarten

Expanded
Learning
Programs

Subsidized &
Private Pay
Early
Learning &
Care

UPK Requirements

TK Expansion

Expands TK eligibility over a 3-year period with all 4-year-old children, regardless of income, becoming eligible for TK by 2025/26. (Ed Code 48000)

- Does not change the TK **3 hour** minimum requirement
- New **adult-child ratios** starting in 2022/23
- New TK **teacher qualifications**

ELO-P

Requires all LEAs to provide access to 9 hours of combined learning and care to 50% of enrolled unduplicated TK-6th graders.* (Ed Code 46120)

- Does not require LEAs to provide 9 hours **of TK**
- Does not require LEAs to provide ELO-P to **all students***

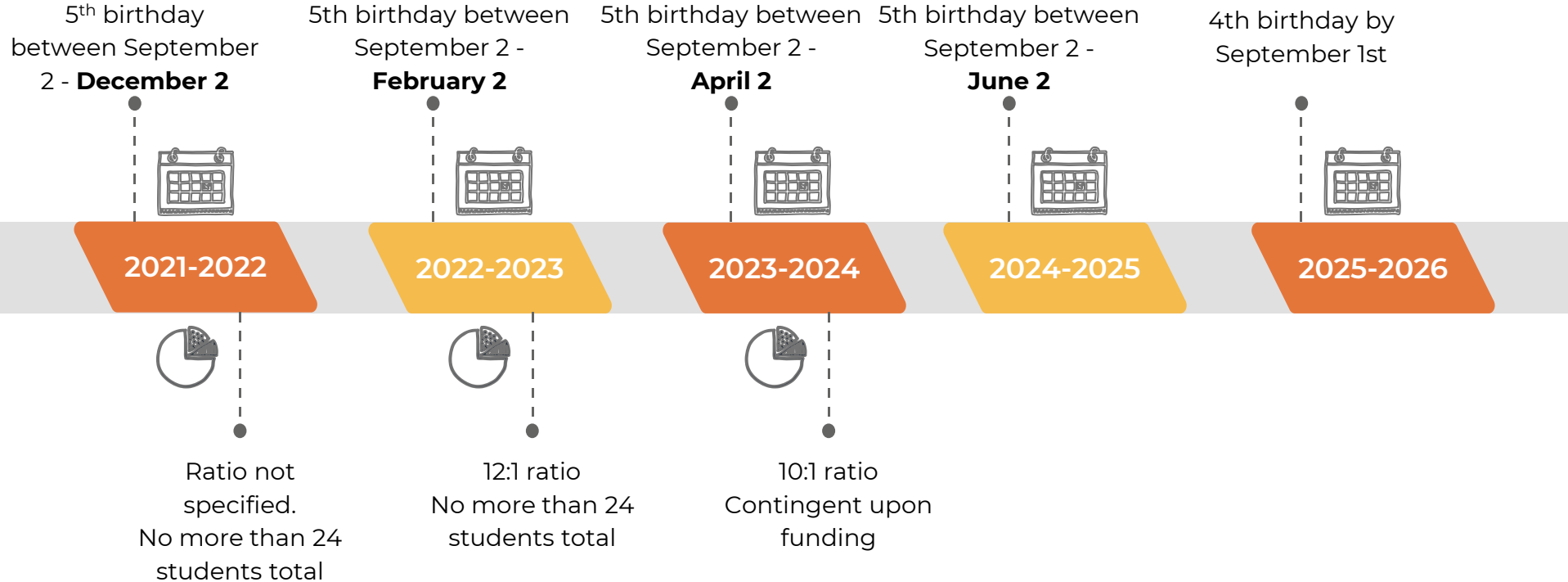
UPK

Requires all LEAs operating kindergarten to create a plan for how all 4-year-old children will have access to full-day early learning. (Ed Code 8261.5)

- **Does not require LEAs** to provide full-day TK or early learning to all 4-year-olds

*UNLESS: if LEA is 80%+ unduplicated, must provide to 100% of students, including non-unduplicated.

TK Timeline



TK Ratios, Staffing, Hours



RATIOS:

Teacher Student Ratio 1:24
Adult Student Ratio 1:12

STAFFING:

1 Credentialed Teacher
1 Additional Adult

HOURS:

- TK minimum hours and days requirement = 3 hours/180 days
- Number of required annual instructional minutes for TK/K is 36,000 minutes
- Districts are no longer required to offer the same number of hours for TK and K

TK Teacher Qualifications

By August 1, 2023, a TK teacher must have a multiple subject credential *and* **one of the following***:



Early Childhood Education Units

A minimum of 24 units in early childhood education and/or childhood development



Comparable Experience

Their LEA-determined equivalent preschool classroom setting experience (comparable to 24 units in early childhood education and/or childhood development)



Child Development Teacher Permit

A child development teacher permit issued by the California Commission on Teacher Credentialing (CTC)

*Note: If teacher is or was assigned to teach TK or combo TK/K **on or before July 1, 2015**, the above requirement is waived

**The CTC is discussing several new pathways to credentialing, including a P-3 Alignment Initiative Credential.

Combination Classes

**Combining State Preschool +
TK Students**
(additional CSPP requirements must be met)

8:1 Ratio

1 TK teacher
1 Preschool teacher
1 Adult

24 Students Total

**Combining Kindergarten +
TK Students**

12:1 Ratio

TK Teacher
Kindergarten Teacher

24 Students Total

CSPP

CSPP funds will be used to provide CSPP services for eligible 3 and 4-year-old children

INCOME ELIGIBILITY & COST

Homeless, foster, at risk, and children from families making less than 85% of State Median Income (SMI). (\$89,297 for family of 4.) Can enroll above income pupils with IEP/IFSP after.



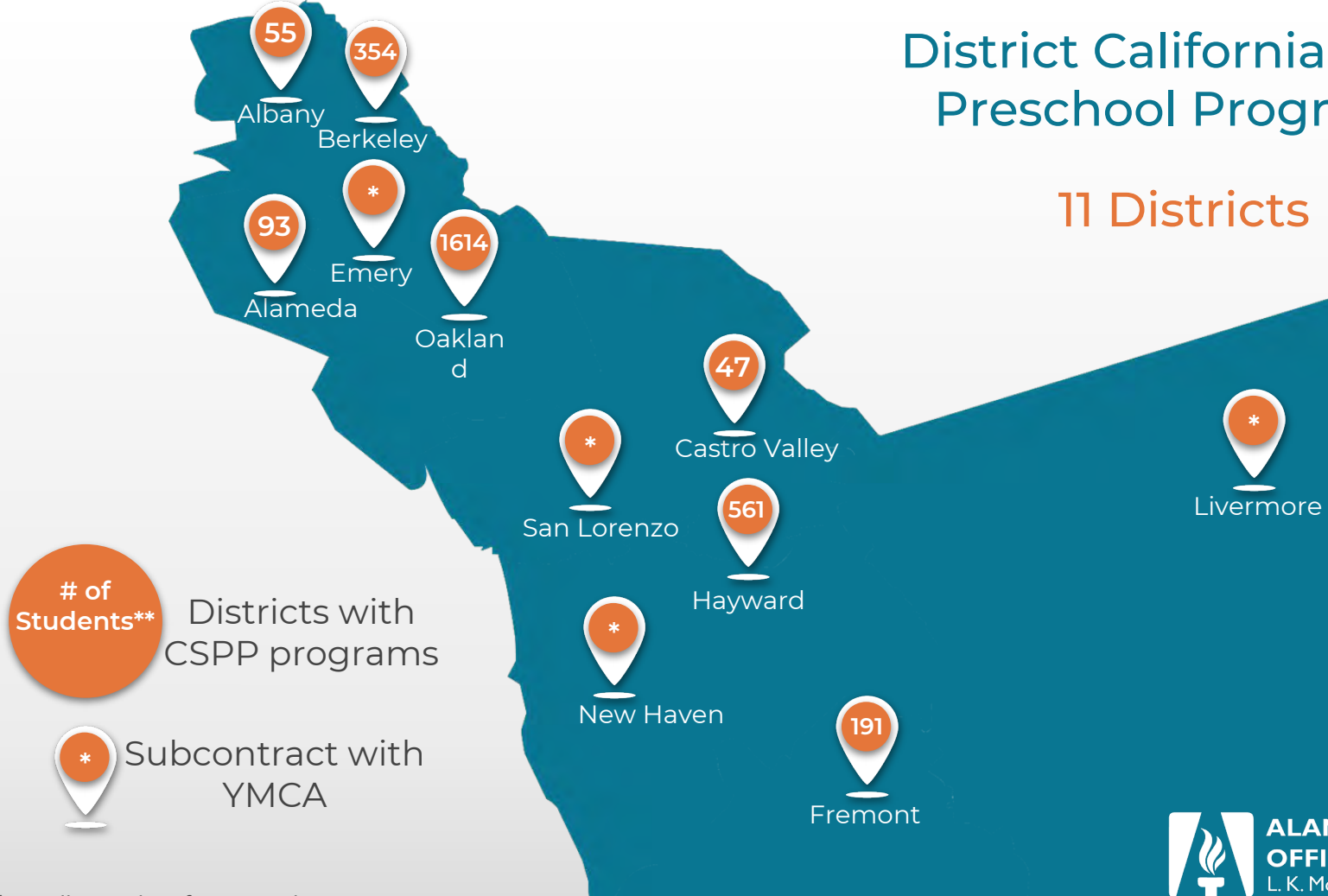
CSPP EXPANSION

These funds are intended to increase the availability of CSPP services to eligible children and CSPP services must be provided based on the needs of the families in the communities served.



District California State Preschool Programs

11 Districts



of Students** Districts with CSPA programs

***** Subcontract with YMCA

** Enrollment data from March 2021

UPK Plan

UPK Planning & Implementation Grant

- **Apportionments** based on statutory formula
- Allowable **use of funds**:
 - Creating or expanding CSPP or TK programs
 - Strengthening partnerships with other providers of UPK within LEAs attendance area
 - Planning costs; hiring & recruitment costs; staffing training & PD; classroom materials & supplies

Requirements for the LEA

- Plan due to Board for consideration on or before **June 30, 2022**
 - How families will have access to full-day learning programs that meet their needs
 - Community partnerships
- The CDE will be collecting information on the answers to the required questions after **July 30, 2022**, in a **survey**

Projected
Enrollment & Needs
Assessment

Focus Area A:
Vision & Coherence

Focus Area B:
Community
Engagement &
Partnerships

Focus Area C:
Workforce
Recruitment &
Professional
Learning

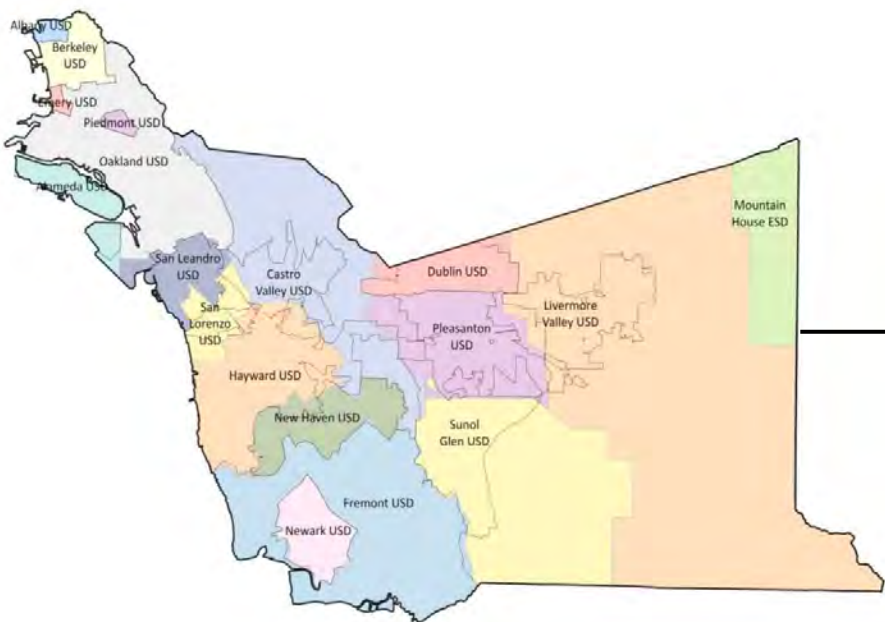
Focus Area D:
Curriculum,
Instruction, &
Assessment

Focus Area E: LEA
Facilities, Services,
and Operations

UPK Planning Template



UPK-State of the County



Approximately half of the plans are being **presented to Boards** in May; the other half, in June

Visions for UPK/UTK are focused on providing access to four-year-olds in the most inclusive and equitable way possible

Community partnerships range from CSPP programs. Head Start programs, community-based organizations

LEAs are **engaging families** through avenues such as LCAP, DELAC, ELAC, and SSC meetings

Districts are **engaging staff** at all levels by convening teams to discuss and plan UTK/UPK implementation

Rising Concerns

1	Effect on the Early Learning Ecosystem	Declining enrollment in other early learning programs serving four-year-olds.
2	Not always Parent Choice	Not necessarily “parent choice” as some students do not qualify for other childcare programs.
3	Location	Possibility of TK programs not located within the same neighborhood.
4	Lack of Mixed-delivery Programs	Opting in for TK but being excluded from other mixed-delivery programs if district does not provide UPK.
5	Facilities and Workforce	Limited facilities and declining workforce concerns.

Communication

Community Based Providers

Reassurance that TK is not replacing the existing mixed-delivery system.

The definition of UPK and that it is as an expansion of the existing mixed-delivery system.

Information about the UPK Plan and the requirement that LEAs engage stakeholders like community-based providers.

Information about additional resources and partners.

Ideas and options for retooling or making programs more competitive.

How to connect with LEAs (maps, contact lists, 1 to 1 facilitation).

Communication Families



- **TK age eligibility will be changing** over the next few years. How to figure out if your 4-year-old is eligible.
- There are many **differences between programs** under the UPK umbrella. Some offer early learning activities; others are more likely to offer extended hours.
- How to **identify** the early learning and childcare options in your area and how to **connect** with them (i.e. the Resource and Referral agencies).
- Who qualifies for **subsidies** (i.e. income threshold, need) and how to **access** them.
- The importance of early learning on **brain development** and **long term academic achievement**.

Related Policies



State Sen. Susan Rubio, is championing a bill to make kindergarten mandatory.

(SB 70)



Assemblymember Kevin McCarty, has introduced legislation that would require school districts to offer full-day kindergarten.

(AB 1973)

Universal UPK Implications – Opportunity & Challenges

Increases affordable access for preschool

Facilities and space demands

Creates additional pressure on teacher recruitment and retention

Building an ECE system that is responsive to family needs, including the mixed delivery system of private centers, FCCs and Family Friend and Neighbor



Universal UPK Implications – Opportunity & Challenges



Increases
affordable access
for preschool



Facilities and space
demands



Creates additional
pressure on teacher
recruitment and
retention



Increase understanding
and coordination, and
promote systems
investment in the ECE
workforce development
landscape

First 5's role : Changing Landscape & Preparing for Measure C

Monitor the shifting landscape of licensed capacity and demand for care and subsidies

Facilities capacity to meet need, including renovation and repair

Increase understanding and coordination, and promote systems investment in the ECE workforce development landscape





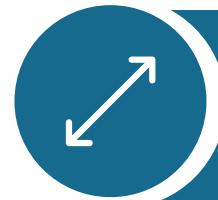
First 5's Role: Changing Landscape & Preparing for Measure C



Promote an equitable ECE system that is responsive to family needs.



Plan and implement CEL, the Centralized Eligibility List and plan for enrollment data system



Expand quality supports in the mixed delivery system



First 5 Association Update

June 2022

2022-24 Strategic Plan

On Thursday May 12, the First 5 Association Executive Directors' group met and reviewed slides outlining highlights of the Association's 2022-24 Strategic Plan. The plan outlines three-year goals regarding systems change, leadership, and local impact. The plan is structured around four key priorities: 1) advancing policy and systems change, 2) facilitating member learning and engagement, 3) centering Race, Equity, Diversity, and Inclusion (REDI) in all we do, and 4) building strategic capacity and organizational capability. Slides from the presentation are available [here](#).

Executive Director Search

The First 5 Association continues to search for its next Executive Director. Deborah Reidy Kelch, who came out of retirement to serve as Interim Executive Director, stepped down from her role at the end of May in order to return her attention to her health, family, friends, and dog.

Report: The Road to Black Birth Justice

With support from the First 5 Center for Children's Policy, the UCSF California Preterm Birth Initiative released a groundbreaking new report, [The Road to Black Birth Justice in California](#). The report summarizes the challenges and opportunities to improve the birth outcomes and experiences of Black people and their families in California. Carla Keener, Director of Programs, participated in the leadership group to develop the report.

Race, Equity, Diversity, and Inclusion (REDI) Work

Starting on May 18th, the Association has made three online learning experiences available with the goal of engaging stakeholders from wherever an individual is on the REDI journey. The first session (May 18th) was focused on Emergency REDI Leadership, the second session (June 15) will focus on REDI Leadership in Organizations, and the third session (July 13) will focus on Work with a REDI framework in Communities. More information about the series is available [here](#).

Third Leadership Cohort

Christine Hom, Finance Officer, was selected to join the First 5 Association's third Leadership Cohort, aimed to develop the next generation of equity-centered leaders at First 5. Twenty members were selected from county First 5 commissions statewide to participate in the program from June to November 2022.



Policy Updates

June 2022

On Friday, May 13th, Governor Gavin Newsom released his [May Revise to the Governor’s budget](#), with revenue projections based on the most recent tax data. The budget projects a \$97.5 billion surplus, with proposals for significant increases in almost entirely one-time spending.

May Revise Alignment with First 5 Association Advocacy Day Budget Asks	
<i>First 5 Association Ask</i>	<i>May Revise Proposal</i>
\$50M for Home Visiting and Black Infant Health project	Not proposed
\$250M for Infant and Early Childhood Mental Health	\$100M for grants for health care provider integration with other early-childhood programs
Medi-Cal Continuous Eligibility for children 0-5	Not proposed. AB 2402 (Rubio) still moving forward
ECE Coalition Ask:	In May Revise:
Waive family fees for subsidized care through 2024	Proposal to waive through 2023
\$310M for Infrastructure grants	Proposed \$200.5M
\$250M for Workforce development grants	Not proposed
ECE Provider Wages and compensation (\$333M for wages and \$400M-\$600M for benefits including health, retirement, and PTO for CCPU members)	Funding based on enrollment instead of attendance of CSPP and voucher-based care

May Revise Alignment with CA Senate “Putting California’s Wealth to Work for a More Equitable Economy,” Proposal

Both proposals include significant one-time investments, taking different approaches to supports for families with young children. Of note:

- **Financial Relief:** The Governor and Senate disagree about approaches to direct financial support to families: while both propose supports for families struggling to pay for utilities bills, Governor Newsom is proposing tax refunds to individuals who own cars, while the Senate proposes direct cash aid to families with low and middle incomes, based on the size of the family. Both proposals include increases to CalWORKs grant amounts.
- **Early Care and Education:** The Governor and the Senate agree about support for continuation of waivers for family fees, and provider hold harmless policies, as well as adjustment factors for California State Preschool and infrastructure supports, but the Senate proposes deeper investments than the Governor supports.
- **Continuous Medi-Cal Eligibility:** The Senate supports continuous Medi-Cal eligibility for children 0-5, which was not included in the Governor’s May Revise.



Amount	Proposal	One Time/ Ongoing	Funding Source
Housing and Homelessness			
\$150M	Increase in funding for the Homekey Program	One time	Not explicit
Child Care and ECE			
\$157.3	Waive family share of cost for children in CSPP and child care services	One time	Prop 98 GF, Non-Prop 98 GF, and federal funding
	CSPP Contractor hold harmless, funding based on enrollment	One time	
\$30M	Increase costs for CSPP adjustment factors for students with disabilities and dual language learners	Ongoing	Part Prop 98 GF, part non-Prop 98 GF
Policy	Allow teachers with preschool teaching permits and BA degree and who are enrolled in credentialing coursework to teach TK	Sunset June 2026	NA
\$114M	Hold Harmless: Reimburse for authorized hours in voucher-based child care	Sunset June 2023	GF and federal \$
\$200.5M	Child care infrastructure: minor renovation and repair for child care deserts and low-income communities	One time	GF and federal \$
\$20M	APP Capacity grants to serve additional slot commitments	One time	Not explicit
\$12M	Funding Promise Neighborhoods in Chula Vista, Corning, Hayward, Mission	One time	GF
\$25M	Services for prevention, intervention and services for youth who have been the victims of sex trafficking	One time	GF
\$100M	Grants for health care provider integration with other early-childhood programs	One time	Not explicit, \$50M GF



TK-12 Education

\$8B	Discretionary per-pupil funds to address staffing, student learning, and mental health and wellness needs of students and staff.	One-time	Prop 98 GF
\$1.5B	Expand Community School Grants	One-time	Prop 98 GF
\$611.8M	Universal access to school meals for all K-12 students	Ongoing	Prop 98 GF
\$4.8B	Expanded Learning Opportunities Program plus funding implementation of \$2,500 per-pupil	Ongoing	Prop 98 GF
\$1B	Support Expanded Learning Opportunities Program infrastructure	One-time	Prop 98 GF
\$100M	Expand the Community Engagement Initiative	One-time	Prop 98 GF



Health and Behavioral Health			
\$36M	To support adjustments in identifying children with signs of developmental delays	Not explicit	GF
Policy	Revise the Early Start qualification threshold from a 33% delay to a 25% delay in one of the assessment areas; and highlighting Fetal Alcohol Syndrome as a risk factor	NA	NA
\$11M	Increase resources available for DDS to award regional centers and community-based organizations through its Service Access and Equity Grant Program	One-time	GF
\$10.8M	Increase to the doula benefit maximum reimbursement rate per birth from an average of \$450 to \$1,094 per birth	Ongoing	Not explicit, GF
\$40M	Provider grants to offset cost of abortion to low & moderate income individuals	One-time	GF
\$15M	California Reproductive Justice and Freedom Fund	One-time	GF
\$1M	Reproductive rights website with information on providers and coverage	One-time	GF
\$304M	Reinstitute premium subsidies for middle income earners through Covered CA	Ongoing	GF
\$85M	Grants for wellness and mindfulness programs in schools and communities and expansion of parent support and training programs	One-time	GF
\$15M	Video series for parents to build their knowledge, tools and capacity to support the behavioral health of their children.	One-time	GF
\$75M	Assessment and intervention through digital supports	One-time	GF
\$146M	For county workload costs to support Medi-Cal eligibility determinations	One-time	Not explicit, \$73M GF
Economic Supports			
\$1.2B	California Arrearage Payment Program for past due residential energy bills	One time	ARPA
\$200M	Low income household water assistance program	One time	Not explicit
\$11.5B	\$400 refund to each eligible owner of a registered vehicle	One time	Not explicit
\$2.7B	Emergency rental assistance	One time	GF
\$200M	Residential water and wastewater arrearages payment program	One time	Not explicit



Social Services			
\$296.2M	11% increase to CalWORKs Maximum Aid Payment levels	Ongoing	Child Poverty & Family Supp Suppt Subacct
\$150M	Family finding and engagement grants in child welfare	One time	GF
\$50M	Foster caregiver application approval timeline reduction staffing	Ongoing	GF