

AGENDA

SPECIAL JOINT MEETING OF THE BOARD OF COMMISSIONERS AND THE BUDGET & FINANCE AND EXECUTIVE COMMITTEES

Budget & Finance Committee Chair: Robert Byrd

**Thursday, November 12, 2015
 1:30 PM**

Meeting Location:

First 5 LA
 750 N. Alameda Street
 Los Angeles, CA 90012



ASPOSE

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1. **ACTION**
 Call to Order / Roll Call
 - **Michael D. Antonovich, Chair**

2. **ACTION**
 Consent
 - **John Wagner, Chief Operating Officer**
 - A. Approve Commission Meeting Summary Action Minutes and Transcript 3
 - Thursday, October 8, 2015
 - B. Approve the Monthly Financial Statements Month Ending September 124
 30, 2015
 - C. Contract: Approve One Amendment and One New Agreement and 130
 Authorize Staff to Complete Final
 Contract Execution Upon Approval from the Board
 - D. Approve LAUP Fund Balance Expenditure Plan 133
 - E. Approve Policies 136
 - 1) Records Retention and Destruction Policy 138
 - a) Records Retention Schedule Document 143
 - 2) Electronic Storage of Official Records Policy 166
 - 3) Responding to Public Records Act Requests Policy 174

COMMISSIONERS

Los Angeles County Supervisor	Judy Abdo	Summer McBride
Holly J. Mitchell	Robert Byrd, Psy.D	Maricela Ramirez
<i>Chair</i>	Astrid Heger, M.D.	Carol Sigala
Brandon Nichols	Yvette Martinez	
<i>Vice Chair</i>		

EX OFFICIO MEMBERS

Barbara Ferrer, Ph.D.,
 M.P.H., M.Ed.
 Jacquelyn McCroskey, DSW
 Deanne Tilton

EXECUTIVE DIRECTOR

Karla Pleitez Howell

EXECUTIVE VICE PRESIDENT

John A. Wagner

A PUBLIC ENTITY

3. **INFORMATION**
Remarks by the Commission Chair of the Board
- **Michael D. Antonovich, Commission Chair**

4. **INFORMATION** **181**
Executive Director's Report
- **Kim Belshé, Executive Director**

5. **INFORMATION** **195**
Strategic Plan Implementation Update
- **Stacy Lee, Director, Office of Strategic Planning and Integration**

6. Break

7. **INFORMATION** **219**
First 5 CA IMPACT Update
- **Kevin Dieterle, Program Officer, Program Development**

8. **INFORMATION** **240**
Strategic Plan Implementation Update: Monitoring, Evaluation and Learning (MEL) Framework
- **Armando Jimenez, Director, Research and Evaluation**
- **Allison Wallin, Senior Research Analyst, Research and Evaluation**

9. **INFORMATION**
Public Comment (for items not on the agenda)

10. **ACTION**
Adjournment



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SUMMARY ACTION MINUTES

FIRST 5 LA Board of Commissioners Meeting October 8, 2015 1:30-4:30 pm

COMMISSIONERS PRESENT:

Commissioners:

Judy Abdo
Nancy Au
Michael D. Antonovich (Chair)
Jane Boeckmann
Suzanne Bostwick (Alternate)
Philip Browning (Vice Chair)
Duane Dennis
Sandra Figueroa-Villa
Marvin Southard
Joseph Ybarra

Ex-Officio Commissioners:

Patricia Curry
Deanne Tilton

COMMISSIONERS ABSENT:

Karla Pleitéz Howell [Excused]
Cynthia Harding [Excused]

STAFF PRESENT:

Kim Belshé, Executive Director
Raoul Ortega, Finance Director
Teresa Nuno, Chief of Programs and Planning
Linda Vo, Commission Secretary
John Wagner, Chief Operating Officer

LEGAL COUNSEL:

Craig Steele, Attorney-at-Law

CALL TO ORDER / ROLL CALL / CONSENT: (Items 1-2)

1. Commission Vice Chair Browning called the meeting to order at 1:39 pm. Quorum was present.
2. Consent
 - A. Approve Commission Meeting Summary Action Minutes and Transcript- Thursday, September 10, 2015
 - B. Approve the Monthly Financial Statements Month Ending August 31, 2015
 - C. Contract: Approve One New Agreement and One Amendment and Authorize Staff to Complete Final Contract Execution Upon Approval from the Board
 - D. Approve Recommendation to Renew Strategic Partnership with Public Health Foundation Enterprises Women, Infants and Children (PHFE WIC)

**M/S (Nancy Au / Marvin Southard)
THE ITEMS WERE UNANIMOUSLY APPROVED**

COMMISSION: (Items 3 – 10)

3. Remarks by the Commission Chair of the Board
4. Executive Director's Report
5. Expiring Initiatives Process: Fall 2015/Spring 2016

A presentation was given by Ms. Ficek regarding First 5 LA's expiring initiatives process.
6. Review and Approve the Final Draft of the Comprehensive Annual Financial Report (CAFR), Including the Independent Auditor's Report for the Fiscal Year Ending June 30, 2015

A presentation was given by Mr. Ortega and Mr. Genio on the CAFR with Mr. Alfaro on standby to answer questions.

SUMMARY ACTION MINUTES

7. Policy Update
 - A. Records Retention and Destruction Policy
 - Records Retention Schedule Document
 - B. Electronic Storage of Official Records Policy
 - C. Responding to Public Records Act Requests Policy

A presentation was given by Mr. Wagner and Mr. Steele regarding three policies that require .

8. Break
9. Legislative Session Recap

Mr. Barth gives a recap on the recent legislative session that took place in Sacramento.

10. Public Comment

ADJOURNMENT:

The Commission adjourned at 4:37 pm.

NEXT MEETING:

The next Commission meeting will take place on Thursday, November 12, 2015 at 1:30 pm.

First 5 LA
Multi-Purpose Room, First Floor
750 N. Alameda Street
Los Angeles, CA 90012

Meeting minutes were recorded by Linda Vo, Secretary, Board of Commissioners.

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MEETING OF FIRST 5 BOARD OF COMMISSIONERS

Thursday, October 8, 2015

750 North Alameda Street, First Floor

Los Angeles, California 90012

REPORTED BY:
HEATHERLYNN GONZALEZ
CSR #13646

1 Thursday, October 8, 2015; Los Angeles, California

2 1:38 p.m.

3 -oOo-

4 COMMISSIONER BROWNING: Can I have your
5 attention? I'd like to go ahead and call the commission
6 meeting to order. We're just a moment or two late, but I
7 do appreciate everyone being here on time.

8 So I think the first order of business, Linda, is
9 to call roll. Is that correct?

10 SECRETARY: Yes. Judy Abdo.

11 COMMISSIONER ABDO: Here.

12 SECRETARY: Nancy Au.

13 COMMISSIONER AU: Here.

14 SECRETARY: Jane Boeckmann.

15 COMMISSIONER BOECKMANN: Here.

16 SECRETARY: Phillip Browning.

17 COMMISSIONER BROWNING: Here.

18 SECRETARY: Joseph Ybarra.

19 COMMISSIONER YBARRA: Here.

20 SECRETARY: Duane Dennis.

21 COMMISSIONER DENNIS: Present.

22 SECRETARY: Marvin Southard.

23 COMMISSIONER SOUTHARD: Here.

24 SECRETARY: Sandra Figueroa-Villa.

25 COMMISSIONER FIGUEROA-VILLA: Here.

1 SECRETARY: Patricia Curry.

2 COMMISSIONER CURRY: Here.

3 SECRETARY: Susan Bostwick.

4 COMMISSIONER BOSTWICK: Here.

5 SECRETARY: Karla Pleitez-Howell.

6 Deanne Tilton.

7 Michael Antonovich.

8 Quorum is present.

9 COMMISSIONER BROWNING: Thank you. And Mayor
10 Antonovich will be joining us shortly, but I'm going to go
11 ahead in the interest of time and get us started.

12 I think our first agenda item is on the consent
13 calendar to approve commission meeting Summary Action
14 Minutes and do a number of other things.

15 And, Mr. Wagner, I assume you want to have some
16 comments on these items.

17 MR. WAGNER: Just very briefly. Thank you,
18 Mr. Chair.

19 Just a couple of items to draw the commissioners'
20 attention to. First subitem C is the consent calendar
21 that we bring to the board every month. And there are two
22 contracts to call out that are on consent. One is for
23 Long Beach Memorial Medical Center, and this is for the
24 baby friendly hospital project. This contract is for
25 \$172,726.

1 The second contract is actually an amendment with
2 Tulsi consulting for \$357,750. And as the board knows,
3 we've been working a lot with Tulsi Consulting that has
4 been working with First 5 LA to make sure that we are in a
5 position to implement the work of the strategic plan,
6 transforming the organization and what we're calling our
7 organizational realignment. So this contract amendment is
8 critical to seeing that work through.

9 The other item -- subitem under Item 2 is number
10 D-- or letter D that I'd like to call out. And that is an
11 annual requirement that we have to meet some state
12 reporting requirements. So, typically, this time of year
13 we bring that request to the board and it provides certain
14 programmatic and expenditure data to the State to fulfill
15 our reporting requirements.

16 Finally item D -- I'm sorry -- E is -- involves a
17 strategic partnership, and this is a strategic partnership
18 with the Public Health Foundation Enterprises Women
19 Infants and Children, or WIC program. In the past we've
20 had a strategic partnership with PHFE WIC, and this is an
21 extension of that partnership through our strategic plan.

22 In addition to approving the strategic
23 partnership, if the board approves this item, you will
24 also be giving us authority to contract -- execute a
25 contract up to \$320,000 that will allow us to do what

1 we're calling data mining. And it's basically to make
2 sure that we're collecting data, not only for First 5 LA
3 use but also county use through the strategic partnership.
4 And this is something, as I mentioned, that will continue
5 through the strategic plan.

6 And with that, that's an update on the consent
7 item.

8 COMMISSIONER BROWNING: Thank you, John. What
9 about questions or comments from the commissioners? Any
10 items that you want to comment on or have questions?

11 COMMISSIONER SOUTHARD: Move the consent.

12 COMMISSIONER FIGUEROA-VILLA: Second.

13 COMMISSIONER BROWNING: I have move and second.
14 All those in favor say aye.

15 COMMISSIONERS: Aye.

16 COMMISSIONER BROWNING: Any opposed?
17 Abstentions?

18 Nancy.

19 COMMISSIONER AU: I'm sorry. I know the time is
20 late, but I do have question regarding the approval of the
21 hospital. How many hospitals do we have right now? I'm
22 sure you've told me, but I'm sure Barbara has reported.

23 MR. WAGNER: I believe this is cycle four. So
24 there are two hospitals in cycle four, and this is one of
25 the two that we're expecting.

1 COMMISSIONER AU: So in total?

2 MS. DUBRANSKY: We have a total of 21 that are
3 currently contracted and with the two that we're
4 expecting, looks like we'll have 23.

5 MS. BELSHE: So total of 21 right now and this
6 will bring in, we anticipate, an additional two. Is that
7 right?

8 COMMISSIONER AU: Excellent. Thank you very
9 much.

10 COMMISSIONER BROWNING: Any other questions or
11 comments? Okay. Thank you.

12 So skip the remarks from the chair and move to
13 the executive director's report.

14 MS. BELSHE: Great. Thank you, Mr. Chair and
15 members.

16 I wanted to use my time to talk a little bit
17 about a meeting that occurred in Los Angeles last week,
18 which was the annual staff development summit for the
19 First 5 Association of California. So it was great that
20 it was in Los Angeles because it meant that a lot of our
21 staff was able to attend. And I want to begin by
22 acknowledging Commissioner Browning who took time from a
23 busy day to be the welcoming speaker and really help us
24 set the stage for a very positive summit that was focused
25 on policy systems change and sustainability. Philip's

1 remarks were spot on, both from his vantage point of being
2 a First 5 commissioner for a number of years as well as
3 from the vantage point of being the director of DCFS.

4 I also want to acknowledge that Phillip added
5 terrific value in terms of making recommendations for fun
6 things for summit attendees to do. He had some issue with
7 In-N-Out Burger being one of the suggested activities and
8 offered some very positive and constructive alternatives.

9 There were a couple hundred -- these are all the
10 -- all 58 county commissions were represented and it was a
11 really good reminder that yes is big as the nation state
12 of LA may be and our work here. We are part of a broader
13 community and we have much to share, but we also have a
14 lot to learn. And in that regard, it was a really, really
15 positive summit.

16 I want to acknowledge we had a number of our
17 support team: Mirna Gutierrez, Monica Lascom, Mersa
18 Carlos, and Jessie Mercado who really helped make the
19 event work and also had an opportunity to sit in on some
20 of the sessions. We had a number of our senior management
21 team colleagues who facilitated panels, who served on
22 panels, brought a lot of the good work and learning from
23 First 5 to other communities, and importantly, as I noted,
24 to hear -- hear more about what we can learn from and how
25 we can do better in common areas.

1 Manuel Pastor, who many of you may know, who's a
2 very big thinker and professor of Sociology and American
3 Studies in Ethnicity at USC opened up the -- the summit.
4 And, you know, he is just a really compelling speaker and
5 did a terrific job in terms of speaking to the changing
6 demographics, changing economics, the implications of that
7 for the future of our state broadly, LA county
8 specifically. He did a good job connecting these larger
9 kind of macrotrends with the work of First 5s. And also
10 spoke from a very personal experience about what changing
11 demographics mean through his own personal vantage point.

12 One of the things that really stuck with me was
13 his comment about, it's not enough to work to change the
14 odds of an individual child's life; we need to shift the
15 odds for all children. And he used that as a basis to
16 then talk about his own personal experience and his
17 father's opportunities that were afforded him through some
18 significant policy change and just the kind of platforms
19 that the GI Bill, for example, and other major policy
20 efforts meant for changing his life trajectory and the
21 life trajectory of many others, and really kind of
22 challenging First 5s to think about the contribution we
23 can make to not just affecting change for an individual
24 child but for children and families more broadly.

25 The summit, I thought, was a really good

1 affirmation of a lot of the work that the commission has
2 done in the context of its strategic plan and in our early
3 developmental work this past year.

4 A couple of things I'd call out: There were a
5 couple of sessions on the importance of partnering with
6 health plans and health allies and looking at Medi-Cal
7 managed care organizations specifically as an important
8 partner for reaching a significant number of children,
9 which I thought was obviously very relevant and aligns
10 well with First 5 LA's work and with LA Care to partner as
11 it relates to developmental screening. More and more
12 commissions in the context of their interest in having
13 more impact as well as living within their declining means
14 are increasingly talking about how the path to
15 sustainability and scale is through policy change, through
16 systems change, and are working with their county agencies
17 in very interesting and important ways, again, something
18 we are endeavoring to do, with John's leadership in the
19 context of our new plan.

20 And, finally, a very strong affirmation that
21 First 5s have a leadership role to play and really should
22 put a stake in the ground as it relates to developmental
23 screening; that here is a covered benefit through
24 Affordable Care Account, and yet the data throughout LA
25 and all counties really is that kids aren't getting access

1 to the services that they're covered for.

2 And so a lot of really interesting and innovative
3 work that First 5s around the state are playing with
4 managed care organizations and others to lower barriers to
5 developmental screening. And importantly, that the Help
6 Me Grow, that's the systems model we've talked with the
7 board about that we're using as the framework for
8 advancing developmental screening, is the model that
9 nearly two dozen First 5s are employing around the state.
10 So a lot of good learning associated with that.

11 So all in all, it was good fun, good
12 collaboration, good learning. I want to thank Phillip
13 again for kicking it off so ably and was really proud of
14 how well represented First 5 was, both as speakers, but
15 also as attendees and learners.

16 So I will leave it there.

17 COMMISSIONER BROWNING: They all seemed to be
18 having a great time when I left, So Raoul was there.

19 MS. BELSHE: You left us laughing.

20 COMMISSIONER BROWNING: Yeah, there were a number
21 of people who were representing LA First 5 very well. So
22 I think all the commissioners should really be pleased at
23 that.

24 MS. BELSHE: Thank you.

25 COMMISSIONER BROWNING: Okay. So Item 5,

1 expiring initiatives process, FY2015.

2 Tara, are you going to take it?

3 MS. FICEK: Okay. Well, good afternoon,
4 commissioners.

5 Today, staff is going to be presenting the latest
6 information on the expiring initiatives review and report
7 process. The presentation is going to include -- first,
8 we're going to start with the purpose of the process
9 itself, then we're going to go over the consideration that
10 staff utilizes to review each investment, and then we'll
11 also talk about which First 5 LA legacy investments will
12 be reviewed both this month and also next spring, and then
13 we're going to close with next steps.

14 So as you are all aware, per the board approved
15 governance guidelines, in particular Guideline Number 7,
16 all First 5 LA multiyear service related investments
17 expire pursuant to the time stated in their original
18 allocation or grant award. And then Guideline Number 7
19 also requires staff to review and report back to the board
20 annually on the expiring initiatives. And then the
21 purpose of this annual review and report process is noted
22 here, and that is to successfully close out and capture
23 lessons learned from our expiring investments and that
24 learning then informs our new work and, when possible, is
25 shared with others to inform the field.

1 So to capture lessons learned and consistent with
2 last year's process, the following components are
3 considered: First, we look at, was the initiative time
4 limited and/or was it capacity -- did it have a capacity
5 building focus. Next, we look at the success of the
6 initiative in completing its intended deliverables and
7 also in achieving its desired outcomes. And then we also
8 look at the initiative's ability to achieve impact on a
9 countywide or population level. And then, in addition,
10 the review process also looks at whether the initiative
11 has a clear, viable, sustainability opportunity; whether
12 the initiative aligns with our 2015-2020 strategic plan in
13 particular at the outcome, strategy, or development
14 guidelines level. And then, finally, we look at whether
15 or not there have been relevant changes in the current
16 landscape and within the environmental context of that
17 investment. And as you will recall, in very rare
18 occasions, staff has completed the review process and our
19 report back to the board has included a recommendation to
20 waive Governance Guideline Number 7 and provide continued
21 funding for a specific investment for a very set
22 timeframe. And in each of those rare occasions, it has
23 been when one of these last three considerations have been
24 met. So I'm going to walk you through an example of each
25 those three.

1 For example, our Partnerships for Families
2 investment did have a clear viable sustainability plan
3 with the Department of Children and Family Services
4 commitment to continue that investment. And because of
5 that, the board approved to continue funding Partnerships
6 for Families for six months until DCFS was able to fully
7 fund it in January 2015 of this year.

8 And then for the second bullet, for the alignment
9 with our new strategic plan, you might recall that earlier
10 this year staff also recommended continued funding for an
11 additional year through June 2016, and that was for our
12 211 information resource and referral contract. And we --
13 that is because we have identified that there was
14 potential alignment of 211's current IR and R work to our
15 new IR and R work, information resource and referral.
16 But we needed to be further along in implementation of our
17 new work in order to determine the degree of that
18 alignment.

19 And then lastly for the final bullet, earlier
20 this year, there were significant changes in the field of
21 children's health insurance coverage when Medi-Cal
22 expansion to undocumented children was approved several
23 months ago. And as a result of that important
24 development, staff recommended an extension of our Healthy
25 Kids program until next year when Medi-Cal will be ready

1 and capable of accepting current eligible Healthy Kids
2 members over to Medi-Cal.

3 So again, continued funding of an investment has
4 occurred, but it is rare and it has been when one of those
5 three additional considerations are met.

6 So now that we have walked you through the
7 components of the review process, we want you to take a
8 look at which legacy investments we will be reviewing
9 next. Hopefully, many of you will recall that the
10 expiring initiatives review process was completed earlier
11 this year and the report was provided at multiple board
12 meetings in March, April, and May, and included all of our
13 initiatives ending in fiscal year 14-15 and in 15-16.

14 However, since then, staff did determine that one
15 of our legacy investments, that's our permanent supportive
16 housing, needed to be reviewed now due to how the
17 investment is structured. And before we get into that
18 structure though, we wanted to provide you background.
19 Permanent supportive housing, as you see here, is a \$35
20 million allocation that provides housing and related
21 supportive services for families that are homeless or at
22 risk of homelessness. And with this investment, our funds
23 were advanced to the community development commission of
24 Los Angeles county to administer the program.

25 And the investment does have two distinct

1 programs. This is getting back to its unique structure.
2 It has a rental assistance program and then a capitol
3 development program. And both operate under very
4 different timelines, as you see here. The rental
5 assistance program ends in March of next year, 2016, while
6 the capitol development program won't end until November
7 of 2017.

8 So considering this two program structure, First
9 5 LA staff determined permanent support of housing need to
10 go through the review process now this fall in advance of
11 the rental assistance program's end date of March 2016.

12 And then looking ahead to next year, in the
13 spring staff will be coming back to the board to present
14 on the other expiring initiatives that are noted here:
15 That is our information resource and referral that
16 includes our contract with 211, both of the workforce
17 development investments listed there, and then our first
18 connections program which is our identification and
19 intervention, and then our parent/child interaction
20 therapy investment.

21 So First 5 LA staff right now is completing the
22 review process for our permanent supportive housing
23 investment, and we will be presenting our findings at the
24 October 29th special meeting of the board of
25 commissioners, the program and planning committee meeting

1 and, if applicable, we will present that in November as
2 action.

3 And then next year in the spring of 2016, we'll
4 be reporting to the board on other expiring initiatives
5 that were noted on the previous slide at both the February
6 and March commission meetings.

7 And that really concludes our update on the
8 expiring initiative process. So we can open it up to
9 questions and public comments.

10 MS. BELSHE: Who's this, Tara?

11 MS. FICEK: Those are my two zero to fivers.

12 MS. BELSHE: And their names?

13 MS. FICEK: Samuel, goes by Sammy if you know him
14 well. And Matthew, goes by Matt who is about to age out.
15 He's going to be five in two weeks. It goes by so fast.

16 COMMISSIONER BROWNING: All right. Questions and
17 comments from the commissioners? We have a number of
18 speakers who've signed up to speak. I'll go ahead and
19 call out the names. If you'll approach. I think we're --
20 so we have a number of speakers. If you can hold your
21 comments to one minute or so, it would be appreciated.

22 The first one is Johnnie Miller.

23 SPEAKER: Good afternoon. I will try to talk
24 fast.

25 My name is Johnnie Miller. I am the family

1 system integration manager with the Los Angeles Homeless
2 Services Authority. I oversee the homeless family
3 solution system, which coordinates homeless services for
4 families at the service planning area level throughout the
5 entire County of Los Angeles. And they do this through
6 our regionally located family solution centers.

7 First, the First 5 LA supportive services for
8 homeless families program has been a key and important
9 collaborative partner with HFSS. During the 2014 to 2015
10 program year, 54 percent of the families we saw had a
11 child between the ages of zero to five. The bulk of these
12 families were headed by a single female parent with an
13 average age of 24. And 91 percent of the families had an
14 income below 30 percent AMI, which means that a family of
15 two pays over 60 percent of their income towards rent each
16 month.

17 The loss of this program will have a significant
18 impact on our fight to end homelessness for families in LA
19 county. The loss of this resource will leave potentially
20 500 families homeless annually. Our current HFSS funding
21 is extremely limited, about 65 percent of the funding
22 requires families to receive Cal-Works, and that is --
23 assistance is very time limited and not able to support
24 families for the length of time that they need to increase
25 their income and self-sufficiency.

1 COMMISSIONER BROWNING: Thank you, Ms. Miller.
2 Appreciate that.

3 Danisha Sante.

4 SPEAKER: Good afternoon. I'm Danisha Sante, and
5 I am a representative of Upward Bound House, and I just
6 wanted to let you know how the First 5 program has
7 impacted my life. Before I was homeless, I was a -- had a
8 very young child and she was not able to be a child. And
9 we were living in motels and from friends. And it was
10 just so very counter-productive. I was spending all my
11 money to pay for our room and then had no money left just
12 to live.

13 So in March of this year I got a call from Upward
14 Bound House and they told me that I had been approved to
15 start to look for a place. I found a place. And we're
16 safe and my child can honestly be a child. And I know
17 that there's women that suffer similar stories, are going
18 through different hardships, and I just feel like this
19 program should stick around for those women that's coming
20 behind me that need this help. It's a very effective
21 program.

22 COMMISSIONER BROWNING: Thank you, ma'am.
23 Appreciate that.

24 Lalani McGregor.

25 SPEAKER: Good afternoon. So my name is Lalani

1 McGregor, and I am 24. I'm a single parent of three boys.
2 And before we came to Upward Bound House with First 5, we
3 were staying in my car, and it was kind of hard. Well, it
4 was kind of hard. It was really hard. But with the help
5 of the Upward Bound House and First 5, we were able to
6 locate a unit so that way we don't have to sleep in the
7 car and I'm able to provide my kids with the things that I
8 can't on my own.

9 So if the program can be available to other
10 parents who are going through hardship of homelessness,
11 who can't afford things on their own, the program is very
12 beneficial and it's a very humbling experience. I'm very
13 thankful for all the support, not only for the housing,
14 but as well as clothing, employment, food. And it's a lot
15 of caring people who work in program who are able to help
16 you emotionally, psychologically, not just for yourself,
17 but for your kids as well.

18 COMMISSIONER BROWNING: Thank you for sharing
19 that story, Ms. McGregor.

20 Dan Parcell.

21 SPEAKER: Hi. My name's Dan Parcell. I work at
22 LA Family Housing. I'm the housing manager there. And we
23 have housed about 120 families over the last year and a
24 half with First 5 funding. It's been incredibly
25 effective. We're able to provide many more months of

1 rental assistance than we would otherwise be able to
2 provide to these families. And we've been able to provide
3 more stabilization services to keep those families in
4 housing longer. You know, we received -- every quarter,
5 we're putting together stories of families -- success
6 stories for families that, you know, have received
7 funding. And I can't tell you the number of parents who
8 report children doing better in school, experiencing
9 better health once they get into permanent housing. This
10 is an obvious response to -- to a permanent and stable
11 place to live.

12 One family in particular absolutely would not
13 have received assistance without First 5. Their child has
14 experienced less seizures, fewer hospital visits, better
15 command of the language because he's in housing.

16 Johnnie Miller would know the percentages better,
17 but we ask all of our heads of household, when they enter
18 our system, if they experienced homelessness as a child.
19 First 5 will reduce that number in the future. We need
20 more time with these families. We have a lot of families
21 who, even if they enter the system -- enter our program
22 right now, are going to receive just a handful of months.
23 And I'm afraid that they're going to be back in the same
24 position very quickly.

25 So thank you very much.

1 COMMISSIONER BROWNING: Thank you. Appreciate
2 that.

3 Elizabeth Hagar.

4 SPEAKER: Good afternoon. I'm Elizabeth Hagar.
5 I'm the director of family programs at PATH, People
6 Assisting The Homeless. And we have also been a recipient
7 of First 5 funds. We're now in our second round of
8 funding. And over the past year and a half, we have
9 assisted over 250 families. Last year we were able to
10 house with First 5 funds 161 families, providing them with
11 rental assistance, with prevention funding to make sure
12 that they didn't fall back into homelessness. And the
13 First 5 funding has really allowed us to actively
14 collaborate with many other organizations, many other
15 service providers. Our First 5 families are well
16 connected to our family solution center as well so our
17 families are able to get mental health services, substance
18 abuse services, child care, whatever they might need. So
19 the First 5 funding has allowed us to leverage all of
20 those services.

21 And so I -- I urge you all to really consider
22 extending the funding because our families really -- we've
23 obviously been very successful and the funding has been
24 very successful.

25 COMMISSIONER BROWNING: Thank you, Ms. Hagar.

1 Appreciate it.

2 Jewel Nelson.

3 SPEAKER: Hi. Good afternoon. My name is Jewel
4 Nelson. I am a housing case manager at Upward Bound
5 House. I want to talk about one of the families I was
6 able to serve, a single mother with -- with four kids.
7 She became homeless after she was beaten by her boyfriend.
8 She was pregnant at the time. And during her linkage with
9 the program -- well, she was pregnant at the time and she
10 went to a DV shelter. And after the DV shelter, she was
11 able to go into permanent housing. And while she was in
12 permanent housing, the unthinkable did happen. Her
13 five-year old daughter was molested. So now this family
14 is homeless again.

15 She come into our program disheveled. Her
16 countenance was sour. We were able to help her with
17 finding employment. She was working two jobs. She moved
18 back into permanent housing. Her babies are safe. And
19 the icing on the cake, while she was in the program, she
20 was able to meet her current husband. She was going to
21 marry this guy, the guy that beat her. She was going to
22 the prison to marry this guy. And through the linkage
23 with the program, we were able to talk her just out of it
24 and just thinking about her kids. And so she is currently
25 married now to another gentleman that was in the program.

1 And he helped her so much. He's now a security guard -- a
2 supervisor over at security office. And they're doing
3 well and now they come back to hire our clients.

4 So a very successful story. Thank you.

5 COMMISSIONER BROWNING: Thank you, Ms. Nelson.
6 Christina Niero (phonetic).

7 SPEAKER: Hi. I'm Christina (unintelligible).
8 I'm the program manager for special service for groups.
9 I'll try to make this as fast as possible.

10 The families that have come in to us to see us,
11 although we may not be able to completely understand their
12 experience, as a mom, a lot of can relate to what they're
13 going through to try to provide safety, the basic needs,
14 food, shelter for our child. And every day these kids
15 experience the instability of not knowing if they're going
16 to have a floor to sleep on, snacks to eat, or even to
17 have clean clothes to school.

18 So First 5 has helped -- First 5 funding and
19 placing these families into housing has helped reduce the
20 negative impact these barriers have had on them. And, as
21 we all know, this is the most crucial time -- zero to five
22 is the most crucial time of the child's development.

23 So expending funding will insure that we all work
24 together to provide them the best start in life.

25 COMMISSIONER BROWNING: Thank you. Appreciate

1 that.

2 Lillianna Korea.

3 SPEAKER: Good afternoon. My name is Lillianna
4 Korea. I ended up homeless after losing my job with
5 Walmart for seven years. They can -- the 211 connected me
6 to First 5. Then I ended up with First 5 and they found
7 me housing. My son, while being homeless, he, like seen a
8 lot. So he needed therapy. So finally, when I got in
9 contact with First 5, they helped me get a house. And
10 every since then, my son's doing better. I've been
11 stable. I got a job full time as a caregiver. And just
12 taking care of my kids now. And they've always been there
13 to help me look for work and -- sorry.

14 The program just helped me a lot because, if it
15 wasn't for them, I don't know where I would be and I don't
16 know if my son would have got better.

17 Thank you.

18 COMMISSIONER BROWNING: Thank you. Appreciate
19 that.

20 Jessica Morales.

21 SPEAKER: Hello. Hi. How are you guys? I'm
22 actually a participant for LA family -- from LA family
23 housing. And it was an honor being here. And I feel for
24 her story, too, because I'm actually -- I have two kids,
25 a kid under five, and my son is anemic because I can't

1 cook a full meal at a place called home. So if we lose
2 the First 5 closeout by March, I wouldn't be able to feed
3 him a real meal, which is a warm meal. And I -- I have a
4 lot of benefits with the First 5. I mean, it's -- it's
5 everything. They've been there for me. And I can't say
6 that -- I mean, even though my dad -- I mean, my son's dad
7 works, we still can't make money, you know, bring food to
8 the house because we have to pay rent and we have to pay
9 taxes, and it's just so hard to actually say that I -- I
10 can stand here and say I can't afford a place right now
11 because of the -- you know, things going up.

12 I mean, 1,400 for a one bedroom is outrageous.
13 And it's not getting any easier. I'm trying to look for
14 work. Two jobs, and it's so hard to actually keep up with
15 my kids and work. And hopefully this helps if you guys
16 don't cut the First 5 because it's a lot of resources that
17 you guys have. And thank you very much for hearing us out
18 today And please, hear us.

19 Thank you.

20 COMMISSIONER BROWNING: Thank you. I appreciate
21 your testimony and the testimony of all the other
22 participants.

23 Our next item is Item 6. No, I'm sorry.

24 SPEAKER: Can I testify? Can I testify? I was
25 waiting just -- I didn't know if I wanted to. May I do

1 that?

2 COMMISSIONER BROWNING: You didn't fill out a
3 form. So you can testify, but afterwards will you fill
4 out one of the forms?

5 SPEAKER: I'm bringing it up right now. My name
6 is Ruth Schwartz. I think you've heard today, you know,
7 if you can do one thing, help these damn families. I
8 mean, if you can do one thing. I don't need trauma care.
9 I don't need trauma care. I need you to help these
10 families. What the heck are you doing? I mean, that's
11 what I have to say to you. What are you doing?

12 You're -- this whole process I'm telling you is
13 misguided, it's wrong. You're putting all your money into
14 what you think you can do on policy change. And I'm going
15 to tell you something. I do policy change every day.
16 It's hard. The State didn't fund you to be a think tank.
17 That's not what we voted for you to be. Help these
18 families. Rents are going up. They're going up real
19 fast. Entitlements aren't going up. Incomes aren't going
20 up. You can do one thing. And shame on this commission
21 if it doesn't.

22 That's what I'd have to say today.

23 COMMISSIONER BROWNING: Thank you. Appreciate
24 that. Are there any other speakers who didn't fill out a
25 form that I don't have?

1 COMMISSIONER ABDO: Phil, I'd like to say
2 something.

3 COMMISSIONER BROWNING: Okay. Judy.

4 COMMISSIONER ABDO: I think that it's very
5 important for us in our role of transitioning from funding
6 services to funding policy changes that we look very
7 carefully at the impact of what that transition has on the
8 people who are being served. And we've heard today some
9 very moving stories about the impact on families with very
10 young children. And of course, these are families who are
11 receiving some services. And there are many more homeless
12 families out there.

13 What I'm hoping is that next time this comes
14 before us that there will be some kind of a solution that
15 shows that homeless families will still receive services
16 even if they're not funded by First 5 LA but that they're
17 funded by somebody because I think it's very difficult for
18 us to walk out of this room knowing that we are taking
19 away the homes of people who are about to become homeless
20 at a time when homelessness is at the top of the agenda of
21 many of our -- of our local agencies.

22 So I would -- I would just like for that to come
23 back with some kind of sense of hope for families.

24 COMMISSIONER BROWNING: Okay. Very well said.

25 Other comments from any other commissioners?

1 Trish.

2 COMMISSIONER CURRY: I agree with Judy. And it
3 makes me very sad to hear the young ladies come up here
4 and be so worried about their kids. And if we are not
5 able to continue to fund things -- and I know we sit here
6 every week with this behind us and know that we don't have
7 the money. But perhaps what we can do is better advocate
8 with other organizations and other funding sources to try
9 to get the funding. If we can't fund ourselves, and we
10 can't, then we need to be a spokesperson for the children
11 zero to five that are out there that are homeless that are
12 living in cars that aren't getting the services they need.

13 You know, we can talk about trauma-informed care,
14 but the reason they need trauma-informed care is because
15 they're going through a trauma in their early life. And
16 if we can help take away that trauma, maybe we wouldn't
17 have to be funding trauma-informed care.

18 So it -- I -- I just hope that we recognize our
19 limitations but we all -- in terms of funding, but that we
20 also recognize our potential in terms of finding partners
21 that potential maybe can fund.

22 COMMISSIONER BROWNING: Okay. Good point.

23 Duane.

24 COMMISSIONER DENNIS: A couple of things. You
25 know, I heard some of the speakers talk -- talk to First

1 5. Actually, when we did this, we actually contracted
2 with CDC, so we don't have a direct contract. I mean,
3 that's important because I would, you know, in the future
4 at some point in time, like to have a report from CDC with
5 regards to sustainability because it was they who received
6 these funds from -- from us and -- and they talked about
7 sustainability in that original plan. So I -- you know,
8 to that end, I would like to have a update on where CDC is
9 around continuation and connection with other resources.

10 And then most recently, the board of supervisors
11 just allocated some funds and I believe Supervisor Kuehl,
12 as well as the Mayor, talked about an additional \$50
13 million. And so -- also, could staff, along with CDC,
14 present some sort of update of all of those new monies and
15 how they will hopefully ameliorate some of the issues that
16 we're talking about.

17 So -- but I do think it's important to have CDC
18 report back to this commission on the progress, not only
19 of the rental assistance money, but also on the capitol
20 money. And that was supposed to be done periodically. We
21 had, you know, young -- a young woman about a year ago
22 reporting on this same very issue. So those are the two
23 things would I ask as we move this conversation forward.

24 COMMISSIONER BROWNING: Okay. I'm sure we can
25 get those reports back.

1 Nancy.

2 COMMISSIONER AU: I also think that --
3 piggy-backing off Duane's comment as well as Judy -- is
4 that it's also critical for First 5 LA to see how CDC is
5 engaging with their contractors. And it's the contractors
6 that are providing the direct services to their families.
7 And really the families really need to have a place in
8 that conversation as to how they're going about --
9 prioritizing how they utilize First 5 LA's resources And
10 how -- and given the initial conversation with CDC that
11 was supposed to be an important sustainability component
12 in that planning process.

13 So it would be important for the contractors to
14 engage directly with CDC and see where the voices are in
15 terms of the impact that -- that our funding has on the
16 people in the ground.

17 SPEAKER: I'm with the CDC. We did provide
18 information and we provide quarterly reports.

19 COMMISSIONER AU: I'm talking about engagement
20 with the community as well as families.

21 SPEAKER: And we meet monthly.

22 COMMISSIONER AU: So the point of that is that --

23 COMMISSIONER BROWNING: Maybe we can get a report
24 back --

25 COMMISSIONER AU: -- our funding is limit, and

1 that's why a lot of times it's really important that
2 whoever we contract with engage in the realistic planning
3 process and how to sustain the funding so that the
4 families are not impacted, that there's a way for them to
5 be able to continue serving families. And that's the
6 whole point of it.

7 MS. BELSHE: So if I did --

8 COMMISSIONER BROWNING: Nancy, maybe if we can
9 get a report back on that specific issue.

10 MS. BELSHE: As Tara noted at the program and
11 planning committee meeting at the end of the month, this
12 is on the agenda for a specific discussion about permanent
13 supportive housing. So board members are giving us good
14 feedback and direction about some of the issues you'd like
15 to hear more about and we'll have an opportunity to dig
16 more deeply then in response to those requests.

17 COMMISSIONER BROWNING: Okay. Any other comments
18 or questions for the commission?

19 Okay. Appreciate all the testimony.

20 The next item is Item 6, review and approve the
21 final draft of the comprehensive annual financial report.

22 Raoul, are you taking the lead on that?

23 MR. ORTEGA: Good afternoon. Thank you,
24 Commissioner Browning.

25 Item 6 for your review and approval, we have the

1 fiscal year 2014-15 comprehensive annual financial report,
2 also known as the CAFR.

3 Just to remind commissioners, at the September 16
4 budget and finance committee meeting, under the leadership
5 of our committee chair, Dr. Southard and committee
6 members, vice chair, Sandra Figueroa-Villa, Jane
7 Boeckmann, Judy Abdo, staff received endorsement to accept
8 and to seek approval of the 2014-15 CAFR.

9 In addition, staff presented the CAFR to our
10 executive committee. And in alignment to our governance
11 guidelines, brought it to the full commission as an
12 informational item at the last special board of
13 commission, program and planning meeting on September
14 24th.

15 To present the overrule perspective of the
16 2014-15 CAFR and the first time presenting to the full
17 commission is Tino Genio, our lead staff accountant on
18 this year's engagement. Also with us today is Roger
19 Alfaro, who is the managing partner from Vavrinek Trine
20 Day & Company, who will available to address any questions
21 and/or concerns after our presentation.

22 From there I'll pass it on to Tino.

23 MR. GENIO: Thank you, Raoul. Good afternoon,
24 commissioners.

25 Today I will be discussing the independent

1 auditor's report, our achievement for the year, changes to
2 the presentation that the financial statements, highlights
3 for fiscal year 14-15, and comparisons of revenues,
4 expenditures, and fund balances for the last three fiscal
5 years, as well as the next steps for the CAFR.

6 Before I go on, I would like to do an overview of
7 what is a CAFR. First 5 California requires each county
8 to prepare audited financial statements in accordance with
9 generally accepted accounting principles. This consists
10 of basic financial statements and supplementary statements
11 at the fund level.

12 During fiscal year 2005-2006, the current
13 director at the time, Mr. Anthony Blanca, pushed the
14 department to exceed beyond state requirements by
15 producing a comprehensive annual financial report, the
16 CAFR. This report include as a set of US government
17 financial statements comprising the financial report of
18 First 5 LA as a governmental entity that complies with the
19 accounting requirements set by the government accounting
20 standards board.

21 The presentation of the CAFR is above the normal
22 reporting requirements set by the California Health and
23 Safety Code and the First 5 California management guide.
24 The CAFR goes beyond the scope of basic financial
25 statements and state compliance. It introduces additional

1 requirements such as a complete statistical section and
2 expands to narrative by including the letter of
3 transmittal.

4 The CAFR thus reflect a detailed view of the
5 commission's financial position at a moment of time and of
6 overall financial health of the organization.

7 The other process in itself takes about five
8 weeks to complete and impacts the whole organization from
9 interviews with senior management, staff, and
10 commissioners, confirmation of pending litigation through
11 our legal counsel, as well as diving deep into our
12 accounts payable files to assure the appropriate internal
13 controls are in place. A steward of public funds,
14 commissioners have oversight and must approve this report
15 prior to November 1st.

16 As stated on the slide and also on page 2 of the
17 draft CAFR, included in the written materials, are
18 auditors Vavrinek Trine Day & Company, or VTD, noted that
19 the financial statements are presented fairly in
20 accordance with generally accepted accounting principles.

21 In addition and separate from the opinion, during
22 the VTD's normal course of performing their assigned
23 functions during the audit, no material deficiencies and
24 internal control were identified. There were no adjusting
25 entries and no findings or observations were made, which

1 represents a clean audit.

2 And for our achievement for the year, First 5 LA
3 received a certificate of achievement for excellence in
4 financial reporting for the CAFR that covered fiscal year
5 13-14. This marks the seventh consecutive year for
6 receiving this award. We will also be submitting the
7 fiscal year 14-15 report to DFOA when the report is
8 approved by the commission.

9 There are several changes to our report for this
10 fiscal year. The first one relates to pass-through
11 expenditures. For 14-15, past-through expenditures are
12 presented separately from provided grants and allocations.
13 These pass-through grants includes child signature program
14 and partnership for families, which started in January of
15 this year. The pass-through grants are shown on page 6
16 and 14 of the draft CAFR.

17 The second change is the presentation of fair
18 market value adjustment and investment income. In the
19 past, we have presented the fair market value adjustment
20 and investment income together. Moving forward, the fair
21 market value adjustment of the LA county poll investment
22 will now be reflected as a separate line item as shown on
23 page 6 and 14 of the report. By doing this, a true
24 interest earned is now reflected in the statements. The
25 first two changes are intended to promote transparency in

1 our financial reporting.

2 The last change is the presentation of assigned
3 fund value balance, which has been revised since the
4 2015-2020 strategic plan does not impose defined
5 parameters as in the previous strategic plan. The
6 2009-2015 strategic plan did place additional constraints
7 in these funds to 90 percent for programs, five percent
8 for research and evaluation, and another five percent for
9 admin costs. The current strategic plan does not specify
10 these categories which allows the commission flexibility
11 to use these funds in alignment to the strategic plan.

12 The fund balance is shown on page 25 of the CAFR
13 and will be further discussed later in the presentation.

14 Let's look at result and highlights for 14-15.
15 In June of 2014, the commission approved 14-15 total
16 budget of 240.6 million, which consists of 221.2 million
17 for the program budget and 19.4 million for the operating
18 budget. During midyear, in March of 2015, the total
19 budget was revised to 225.5 million with a program budget
20 decreasing to 206.1 million. The decrease of
21 approximately 15 million was due to revised spending
22 protections and updated status of several programs,
23 including Welcome Baby, Select Home Visitation, and
24 Reducing Childhood Obesity.

25 Next, we have the activities of 14-15. Total

1 revenue for 14-15 was 110.6 million, of which 89.5 million
2 represents tobacco tax. The difference of about 20
3 million is for pass-through grants, interest from
4 investments, and also the rental income from LaPetite.

5 Total expenditures of almost 200 million with 180
6 million in program and 17 million in operating
7 expenditures.

8 As reflected in the slide, we continue to expand
9 in excess of revenue resulting in a fund balance of 536.6
10 million, a decrease of 89.3 million from prior year.

11 In the next three slides, we will look at the
12 14-15 activities as part of a three-year comparison from
13 prior years. This slide reflects revenues versus
14 expenditures. It's continued pattern of spending in
15 excess of revenue. What this means is a continued
16 reliance on our existing fund balance.

17 Focusing on 14-15, total revenue decreased from
18 115 million in 13-14 to 110.6 million for 14-15, a
19 decrease of 4.4 million or 3.8 percent. Total
20 expenditures for 14-15 were almost 200 million exceeding
21 revenue by 89.3 million, causing a change in our net
22 position by this amount.

23 This graph shows a comparison of our program and
24 administrative expenditures. For 14-15, the
25 administrative cost of \$8.4 million or 4.21 percent of the

1 total actual expenditures is well below the spending cap
2 of 10.9 million approved by the board during midyear
3 revision. For 14-15, the total program expenditures of
4 191.5 million, which include provided grants and
5 allocations as well as operation expenditures and direct
6 support of programmatic efforts.

7 This last graph reflects our declining fund
8 balance. The overall fund balance decreased from 625.9
9 million in June 30 of 2014 to 536.6 million as of June 30,
10 2015, a decrease of 89.3 million or 14 percent. As I
11 noted earlier, this is due to spending in excess of
12 revenue.

13 Prior to breaking down the fund balance for
14 14-15, I would like to remind the commissioners the
15 restrictions under governmental accounting standards board
16 statement number 54.

17 First, we have nonspendable. These are funds
18 that have been advanced to a contractor or grantee for
19 services to be provided in the future and are considered
20 to be an asset of the commission. An example of this is
21 the LAUP grant where we advance them the funds and
22 expenditures are reconciled quarterly against cash
23 advance.

24 Committed are funds that have been allocated for
25 a specified purpose and directed by the commission via

1 resolution. An example of this is the Children's Dental
2 Care, which has an allocation of 40 million. And after a
3 few years of implementation, it currently has
4 approximately 28.4 million remaining in their allocation
5 as of June 30th, 2015.

6 Assigned are funds that are reserved for
7 commission use consistent with the current strategic plan
8 and funds that are assigned are designated for the
9 operating budget in a reserve consistent with commission
10 established policy.

11 Now, to break down our fund balance, we define
12 parameters. This pie chart reflects the distribution of
13 our fund balance of 536.6 million, nonspendable at 39.4
14 million, committed funds at 340.9 million, assigned funds
15 of 78.1 million, and 78.2 million for unassigned. A
16 further breakdown of the classified hierarchy can be found
17 under note 5, fund balance, starting on page 24 of the
18 CAFR.

19 For next steps, upon your approval of this
20 report, it will be submitted to the State Controller's
21 Office and First 5 California by November 1st as required.
22 Also, this information will be used to update the
23 long-term financial protection which will be presented
24 starting in December and seek approval in February. In
25 addition, the finance department will use this information

1 as context for monitoring the current fiscal year's budget
2 and will revise as needed during midyear.

3 That ends my presentation today and we'll take
4 any questions that you may have. Thank you.

5 COMMISSIONER BROWNING: Very good report, very
6 thorough, and thanks for being as accurate and on time as
7 you've been, Tino.

8 What about questions from commissioners?

9 Joseph.

10 COMMISSIONER YBARRA: No question but a comment.
11 Congratulations to the team. Accommodations to you for
12 your certificate of achievement for excellence financial
13 reporting. That's a huge task to be rewarded for. So
14 good job.

15 COMMISSIONER SOUTHARD: I also wanted to
16 congratulate the team for your success in this regard.
17 And one issue that came up in the committee meeting is
18 that, unspendable is a term of art. So it doesn't seem to
19 mean what common sense would mean it -- think it meant,
20 but it's the right word.

21 COMMISSIONER BROWNING: Are other comments or
22 questions? I think this an action item. We have to take
23 a vote on this. Do we need a roll call, Linda, or is it
24 voice vote?

25 MR. STEELE: Voice vote is fine.

1 COMMISSIONER BROWNING: All those in favor say
2 aye.

3 COMMISSIONERS: Aye.

4 COMMISSIONER BROWNING: Any opposed? Abstain?
5 Okay. Thank you very much. Appreciate that.

6 MS. BELSHE: Congratulations to Raoul and the
7 finance team, and really appreciate the comments by
8 commissioners. A number of committees have heard this
9 hearing, provided feedback, so it's really been an
10 organization-wide process. But good job.

11 MR. ORTEGA: Thank you, and I appreciate your
12 leadership and the leadership of John and the overall of
13 the committees, specifically under Marv Southard's
14 leadership for the budget and finance committee. It
15 really was a great year and we're really proud of the team
16 and the efforts across the organization.

17 Thank you.

18 COMMISSIONER BROWNING: Well, done.

19 Our next item is Item 7, policy update, And we're
20 going to hear from a number of -- about a number of items.
21 And our legal counsel is going to start it off or is John
22 gong to start it off?

23 MR. STEELE: John.

24 MR. WAGNER: I'll just provide a few points of
25 context for the commission. The item before you, Item

1 Number 7, is as the chair indicated, an update of several
2 policies. And as a public entity, First 5 LA is required
3 to interaccess to our records, which are public. And we
4 can only destroy documents, records with the approval of
5 our governance board, which is you. And for those who
6 have been on the commission long enough, you'll recall
7 that, typically, every October, late in the fall, we bring
8 forward a list of documents for your consideration for
9 destruction. We haven't done that for the last couple of
10 Octobers because we have been in the process of updating
11 and amending these policies. We've had policies, but they
12 haven't been consistently implemented across all
13 departments in the organization. So folks have spent a
14 lot of time not only updating these policies but also
15 considering procedures to provide guidance to staff. And
16 so you'll hear a little bit more about this in the
17 presentation that Craig is going to provide.

18 And I just want to acknowledge we have an
19 internal policy workgroup called 3M that you've heard
20 about in previous discussion. And I want to acknowledge
21 their amazing work on this as well as that of the legal
22 counsel, contracts compliance department, which really
23 took the lead on this is initiating authority to work this
24 through the 3M process. I also want to call our Monica
25 Nuno of First 5 LA who really kept this moving forward and

1 did the presentation with Craig, legal counsel to the
2 executive committee, at the end of September.

3 So today Craig is going to provide a presentation
4 on records retention. I do want to acknowledge that there
5 are really three policies: Records retention and
6 destruction, electronic storage of official records, and
7 public records request. These are three separate
8 policies. In the past, we've had this all in one policy.
9 And in order to provide a little bit more clarity, we've
10 broken them out into three, but they're all very
11 interrelate, and the latter two are really ways in which
12 we will implement records retention for First 5 LA.

13 So as I've indicated, we've brought this to the
14 executive committee. There's been a lot of work to date
15 and a lot more remains to be done. One of the things that
16 came out of the discussions with executive committee is
17 the desire to have training not only for staff but for
18 commissioners as well. So we plan, over the next year, if
19 this policy's approved to really be working hard to
20 implement this.

21 So fill up your coffee cups and pony up to your
22 laptops and iPads because Craig has quite a presentation
23 on records retention.

24 COMMISSIONER BROWNING: Where's the timer?

25 MR. STEELE: You want the time limit up?

1 SECRETARY: Two minutes.

2 MR. STEELE: I recognize coming into this
3 presentation that there is a small possibility -- minute
4 possibility really that a small minority of people in the
5 room, very few people, might think that these
6 administrative items are not as exciting, as sexy as some
7 of your programmatic work. And I would disabuse those few
8 individuals who might have that opinion because I would
9 just note that your CAFR as well as your public records
10 and access policies are really the public face of the
11 agency as a public entity. And what we're talking about
12 updating here is the culture of transparency, the culture
13 of accountability that every public agency has to -- has
14 to recognize.

15 And so while I appreciate John thinking that you
16 might need to be caffeinated to make it through my report,
17 I'm going to try to be as lively as possible and as quick
18 as possible in going through the three policies that we're
19 asking you to approve. They are all board policies. And
20 two that have been in effect for a number of years now, as
21 well as the master retention schedule which is a new and
22 extensively updated document that we're also asking the
23 board's approval of. The policies have all been reviewed
24 and endorsed by your executive committee.

25 So the main question is, why have a records

1 retention policy in the first place. First 5 LA is a
2 public agency. It is illegal to destroy public records
3 without authorization. It's a felony to destroy public
4 records without authorization. The state constitution
5 requires that Californians be afforded access to public
6 records. So not having an effective public records policy
7 is also then a violation of the state constitution because
8 we don't give people the access that they have the
9 constitutional right to expect. A good policy also allows
10 for the orderly destruction of obsolete files. Right now,
11 our storage facilities, plural, are bursting at the seams
12 because we have not efficiently applied, as John said,
13 this records retention policy over the years. And we have
14 a whole bunch of stuff that we don't need to have, we
15 don't use, there's no business purpose for having and no
16 public purpose for retaining. And a up-to-date
17 destruction policy will allow the agency to kind of clear
18 things out and then move forward in compliance with a good
19 document retention policy.

20 And to that extent, this policy protects First 5
21 LA, its commissioners, and staff because we can point to a
22 document that says, this is why we don't keep every piece
23 of paper in the agency forever; this is why we keep things
24 two years or four years or five years as we'll get into
25 here in a moment.

1 So it's essential to have the policy in place.
2 It's essential that it be updated and it's even more
3 essential that staff and everybody who works with First 5
4 LA be trained as to its provision so that we can
5 consistently apply it across the agency.

6 We -- as we said, we need legal authority for the
7 destruction and disposal of public records. Prop 10 being
8 an initiative measure didn't really think of everything
9 that should have been adopted as part of that law, so we
10 have to do a little bit of interpretation. And a
11 consistent policy of the agency has always been to follow
12 the laws that apply to cities because we know we are a
13 local public agency; we're not a county, we're not a state
14 agency. So we follow the provisions that are applicable
15 to cities, and this policy continues that practice, which
16 is a practice that other First 5s follow.

17 So this policy that's before you sets out a
18 category of permanent records, records we'll never
19 destroy, the records effecting the title to real property
20 such as this building that we own, records that are
21 required to be kept by the statute, such as our CAFR and
22 some other things. And it doesn't allow the destruction
23 of any records that is less than two years old. So every
24 original record of the agency -- this doesn't apply to
25 duplicates, as I'll explain in a minute. But every

1 original record of the agency will be kept for at least
2 two years. Many will be kept longer than that, but at
3 least two years we keep original records.

4 The minutes are resolutions of your commission as
5 well as the boards and committees will also be kept
6 permanently.

7 The destruction of records will require a board
8 resolution adopted by this board and the written approval
9 of both the executive director and legal counsel. That's
10 the practice we've followed over the years. Some of you
11 may remember approving that in some past Octobers.

12 The policy allows duplicates to be destroyed, so
13 we don't have to keep 17 copies of the same memo. It also
14 allows the agency to scan paper copies into electronic
15 format retained in what's called a trusted system which is
16 a system that the Secretary of State approves, and then
17 destroy the paper original.

18 There's a policy also -- we're also asking you to
19 approve that sets out all of the kind of technical
20 provisions for that. And we are going to be cutting edge
21 as we go forward in terms of the electronic management of
22 documents because a lot of public agencies are -- are
23 behind in that -- in that endeavor. And staff is
24 committed to being on the cutting edge of electronic
25 document management.

1 We should note that the policy also applies to
2 commissioners. If you have original documents of the
3 commission, which I think is probably going to be unusual
4 in this circumstance, but if you do have a original piece
5 of correspondence or a document that you retained on
6 behalf of the commission, that document is at least
7 required to be retained for two years. We would encourage
8 you to not keep duplicates of items like your agenda
9 package over the course of time. Destroy them when you're
10 allowed to do that. We'd also encourage you to
11 periodically go through and eliminate e-mails that are not
12 essential to your business as a commissioner on a
13 continuing basis because official e-mails, if they are
14 retained in the course of business, meaning over a period
15 of time, could be public records of the agency subject to
16 discovery or a public records act request.

17 And we'll be doing more training on this as we go
18 forward.

19 Things that are not considered to be records
20 under this policy, and you are specifically if you adopted
21 authorizing the destruction of, things like templates that
22 we used to create agreements, duplicates, library
23 materials, e-mails that aren't related to First 5 LA
24 business, like personal e-mails, informational posters,
25 and purely personal documents.

1 I always tell the story when I do a presentation
2 like this of a staff member at a particular public agency
3 who was going through a divorce and the divorcing spouse
4 made a public records act request for that spouse's
5 checkbook because that checkbook resided in that spouse's
6 desk drawer in the city hall and it was thus alleged to be
7 a public document. And the divorcing spouse apparently
8 thought that checkbook record was so important that she
9 took the case to the Court of Appeal and back down again.
10 But the Court importantly held that every piece of paper
11 in a public agency office is not a public record; it's
12 only those documents, pieces of paper, writings in the
13 agency's custody that are actually official records of the
14 agency and kept during the course of business.

15 Key points in this policy. It establishes a new
16 records retention schedule that I'll talk about in a
17 minute. And as I said, we only destroy the records after
18 board approval and legal counsel review. However, in some
19 cases, a legal hold will trump the destruction approval
20 that is allowed by the policy. So, for example, if we are
21 in a lawsuit and I write a letter that's called a legal
22 hold letter to the staff that says, you cannot destroy
23 documents related to this lawsuit even though those
24 document could, by the policy, be destroyed in two years
25 or some other period of time, my hold trumps that

1 provision and those documents must be held for whatever
2 the length of time of the legal hold is.

3 We also have contracts that require us to keep
4 documents longer than two years. For example, we might
5 have a contract that says we'll keep the documents for an
6 audit period of four or five years. So that contractual
7 provision will trump this records schedule.

8 And, finally, there are going to be certain
9 instances where staff will determine that a business
10 reason requires retention of the record for a longer
11 period of time.

12 The master records retention schedule we're
13 asking you to approve is at page 272 of your packet. It
14 looks like the grid. And just to acquaint you with it
15 briefly -- we're not going to ask you to look at every
16 category -- we would note that the current records
17 retention schedule is one-page long and has, I think, 11
18 categories of documents. This one is multi-page and has
19 -- is the result of a process of going through with every
20 department in the organization and determining what kinds
21 of records they have and being very specific and very
22 strategic about what the retention requirements are.

23 And so you'll see, if you look across the
24 columns, there's a category of record, there's a
25 description of what kinds of stuff fit in that category,

1 there's a recommended retention period which in most cases
2 is two years, and then there's a legal citation for the
3 basis for that period so that, if somebody comes in and
4 says, I want a copy of this document from 2009, the person
5 who's responding to the public records act request says,
6 we don't have any copies of those documents from 2009,
7 here's our retention schedule, look it says keep for two
8 years, and here's the law that allows for that two-year
9 period to be enforced. It's a very efficient way to deal
10 with member of the public who may be expecting that
11 something would be retained for longer than it actually
12 is.

13 Those retention periods, as I said, are set by
14 specific laws and contract requirements, but also, where
15 there is nothing like that, we have applied the relevant
16 statute of limitations for the times within lawsuits would
17 have to be -- the times within which lawsuits would have
18 to be brought. So that's kind of the default if there
19 isn't another law that applies.

20 Records that are less than two years old may not
21 be destroyed, pursuant to this policy, except of course if
22 they're duplicates or not considered to be records, as I
23 said before. And those permanent records, again, under
24 this schedule are retained forever.

25 The policy provides a process for purging

1 nonrecords and actually recommends that we purge
2 nonrecords, that we don't keep things that we don't need
3 to keep or we aren't legally required to keep. That's
4 just efficiency and good business.

5 The second policy that we're asking you to
6 approve is a public records act policy. It exists now.
7 It's a policy of the agency right now. It sets forth how
8 we respond to the relatively infrequent public records act
9 request that we get. It sets up the deadlines for
10 responses. It sets up the exemptions that agree with
11 current state law. It also requires our staff to assist
12 requesters who come in and maybe don't know exactly what
13 document they're looking for. They know what they want to
14 find out, but can't specifically identify a document. Our
15 staff is required to help them out and help them find the
16 document they're looking for. The policy also requires
17 that electronic format documents, such as e-mails, are
18 still public records if they're retained in the ordinary
19 course of business.

20 The final policy we're asking for approval of is
21 the electronic data management system policy, which is the
22 technical provisions by which we're going to store
23 electronic records and take paper records, turn them into
24 electronic records. We're required to follow guidelines
25 that are going to be issued over time by the Secretary of

1 State in terms of the system that's acceptable to retain
2 those records on. We're only allowed by state law to do
3 this if we retain copies of the entire document in a form
4 that's searchable and that keeps the entire document
5 together. So if a contract has exhibits or diagrams that
6 are attached to it, the entire document has to be kept
7 together in a form that keeps the complete document
8 together but also that can be searchable. So it's a very
9 complicated system that has to be put together. And over
10 time, I think it will take a significant amount of staff
11 time to get those records into the right format and into
12 the system. It's an ambitious effort and part of this --
13 set of policies that is really forward looking. But it is
14 proceeding pursuant to guidelines that are issued by the
15 California Secretary of State.

16 MS. BELSHE: Who's that?

17 MR. STEELE: I'd be happy to answer any
18 questions. I put the picture of my children up just to
19 remind my staff colleagues that these adorable babies and
20 cute toddlers that we see all the time do grow up to
21 adorable teenagers and interesting young adults who ask
22 for the car keys and the ATM card.

23 But I would be happy to respond to any questions.

24 COMMISSIONER BROWNING: At least they ask.

25 MR. STEELE: Occasionally.

1 COMMISSIONER BROWNING: That was much quicker
2 than I thought. It's very informative. This is the
3 second time I've sat through this.

4 What about questions?

5 Nancy.

6 COMMISSIONER AU: Yeah. I -- I know that -- and
7 I appreciate the provision regarding the commissioners and
8 -- because we do get e-mails, and oftentimes it comes with
9 attachments, but there's also stuff that we generate.
10 Does this policy also fly when we're, let's say, doing,
11 oh, that -- we're getting involved in the personnel
12 evaluation process and it's going to be submitted
13 electronically and I usually keep it in a file. So is
14 this particular piece also subject to this policy?

15 MR. STEELE: When you correspond with -- just to
16 use your example in the personnel evaluation. When you
17 correspond with me as part of that -- or with another
18 member of the staff as part of that evaluation, the
19 received record -- right, my receipt of the e-mail from
20 you is going to trigger the agency's responsibility to
21 retain that record. And so if you're corresponding with
22 the agency, then it's our responsibility to retain the
23 record. And your sent copy is a duplicate. So it doesn't
24 have to be retained pursuant to the policy.

25 If you're corresponding with another member of

1 the commission, for example, or a member of the public,
2 then specifically with regard to e-mail, it's up to you to
3 decide whether you're going to retain the record over time
4 or you're going to just periodically delete e-mails. If
5 you decide you're going to retain them, then they're
6 subject to the minimum two-year retention period. And
7 that's why I always recommend to board members and others
8 that you should have a kind of -- as a staff does, a
9 periodic review of your inbox to decide whether you really
10 need to keep official communications.

11 And I know that e-mail is a hot topic right now,
12 obviously, and so we recommend that you be very diligent
13 about managing what you retained because we have seen
14 situations -- not at this agency but other agencies --
15 where a lawsuit has come up, for example, and we get a
16 discovery request that is every e-mail generated by every
17 member of the board for some period of time. And if they
18 exist, we have to produce them.

19 And so this policy gives you the authority to
20 manage what you keep and know that you're not required to
21 keep those things that you're not intending to keep over
22 the course of time for some -- some business. And we
23 encourage you to follow that -- that -- that policy
24 because it's, as I say, the adoption of this policy is for
25 the protection of the agency, commissioners, and staff, as

1 well as to promote the efficient retention of documents at
2 First 5 LA.

3 COMMISSIONER BROWNING: Are there other
4 questions? Comments?

5 COMMISSIONER BOSTWICK: I just want to say, thank
6 you very much. It was very clear here. What I'm going to
7 have to do with this is bring it back to our contracts and
8 grants at the Department of Public Health because our
9 retention policy is really a bit different, including --
10 in fact, they just changed it from seven years down to
11 five years.

12 So looking at this is something that I'd really
13 like to bring to their attention, especially the two year.

14 MR. STEELE: And one of the reasons, Commissioner
15 Bostwick, as I said, that we follow the provisions that
16 are available -- well, one of the benefits of following
17 the provisions that are applicable to cities is because
18 the provisions that are applicable to the cities are
19 different than what's applicable to counties. And we are
20 very clearly not a county. So we don't even look at that
21 set of laws. But -- but the local city requirements,
22 special district requirements, are different than what you
23 have to have in place as a county agency. Vis a vis,
24 First 5 LA and your department's contracts with First 5
25 LA, our contracts have a specific requirement as to

1 document retention, which is probably even different again
2 than what your department's retention period is. But vis
3 a vis First 5 LA, we have a contractual obligation to keep
4 documents for a certain period of time.

5 COMMISSIONER SOUTHARD: This is also a comment.
6 I thought I understood retention policy until your
7 presentation. I had no idea it was as complicated in the
8 categories. And it seemed to me that one of the dangers
9 of this is that staff will spend as much time sorting into
10 categories as to actually destroying things.

11 So is it possible or might it be worthwhile to
12 consolidate a bunch of the categories into -- you know, so
13 for example, a whole bunch of four years just as a way of
14 having not -- does this fall into this packet or that
15 packet. If -- or maybe it's really clear what falls into
16 which category, but it seemed to me that operationalizing
17 might take a lot of time and energy.

18 MR. STEELE: Actually, I think almost the
19 opposite is true because for years we've had this very
20 limited number of categories and we would have this debate
21 about whether something fit into one of those -- I forget
22 the number, nine or 11 or something generic -- categories.
23 And part of the reason for the inconsistency in
24 application over the years was different people thought
25 different things about where -- where documents fit into

1 those categories. So in adopting this schedule, we
2 actually sat down with each department and said, okay,
3 what kinds of records do you in the grants management
4 department have, and came to an understanding of what the
5 grants management department thinks they have and
6 categorized it that way so that staff had some input into
7 what they have and what they're going to want to manage.

8 And then we've had a more extensive training with
9 staff and will continue to have more trainings with staff
10 to help everybody figure out how their stuff fits into
11 this schedule.

12 MR. WAGNER: If I can just add one thing. One of
13 the things I've appreciated under the leadership of our IT
14 department is that we're trying to, if the board approves
15 this is policy, automate as much of this as possible. So
16 once we establish the trusted system and scan documents
17 into it, to -- to the degree we can tag things and have
18 the system determine what the clock is and how long it
19 needs to be retained, that's the goal as we implement
20 this.

21 COMMISSIONER BROWNING: Is this an action item or
22 just information?

23 MR. WAGNER: This is informational.

24 MR. STEELE: You'll have it on the next agenda.

25 COMMISSIONER BROWNING: So it will come back next

1 month.

2 MR. STEELE: And it will be an even shorter
3 presentation.

4 COMMISSIONER BROWNING: And you're available
5 afterwards to give advice on a one-on-one; right?

6 MR. STEELE: Always.

7 COMMISSIONER BROWNING: I would suggest that be
8 the next -- next option.

9 MS. BELSHE: I would also like commissioners to
10 know that fresh coffee has been brought out. But, Craig,
11 you delivered.

12 COMMISSIONER BROWNING: Very good. But before we
13 take a break, I think most of you know that Dr. Southard
14 has announced his retirement from Los Angeles County. But
15 that also means that this is probably one of the last
16 meetings that he'll be attending here as an official
17 member. Is that correct?

18 COMMISSIONER SOUTHARD: That is correct, yes.

19 COMMISSIONER BROWNING: And I'd like to take just
20 a moment -- I think some of you probably also know that
21 he's probably now the longest serving department head in
22 Los Angeles county. And so --

23 (Applause)

24 COMMISSIONER BROWNING: He has been through a
25 number of trials and tribulations and I think he's also

1 been a stalwart member of this commission and has always
2 brought good advice, common sense, critical thinking, and
3 a sense of accountability.

4 And so from -- the chair's not here to say these
5 things. And so on his behalf, I'm really saying that I
6 think Dr. Southard has been a critical player in this
7 commission and for the children and families of
8 Los Angeles county.

9 So I would just like to -- I know we've got some
10 other people who want to speak, but I'd just like
11 personally to say how much value I think he's brought to
12 the county and to this organization and would like to give
13 him a round of applause.

14 (Applause)

15 COMMISSIONER BROWNING: And so, do we have other
16 people who want to say things or actually bring things? I
17 think Commissioner Dennis.

18 COMMISSIONER DENNIS: One of the things that Marv
19 always reminds us about is Healthy Neighborhoods. And
20 whenever we're in a meeting or whenever we're talking
21 about intersection, whenever we're talking about
22 collaboration with First 5, Marv is quick to remind us of
23 the Healthy Neighborhoods concept, which is another
24 community-based concept in LA county.

25 The other thing that I'm reminded of about Marv,

1 he's a social work and I'm a social worker, you know. And
2 we MSWs need to stick together. So those two things I
3 really wanted to bring out.

4 And then, finally, I'd like to say it's been a
5 pleasure working with Marv because I appreciate his
6 rational approach to everything. He's always sound in his
7 thinking, logical in his approach, and embracing in his
8 personality. And that, I do appreciate.

9 COMMISSIONER BROWNING: Nancy.

10 COMMISSIONER AU: Well, knowing -- well, this is
11 again a result of longevity on my end because being a
12 mental health contracted agency, when I was working with
13 my particular agency, as well as a long time advocate for
14 cultural competency, especially from the Asian and Pacific
15 Islander community perspective, I really truly appreciated
16 Marv and Marv's leadership because, not only his longevity
17 as the head of the Department of Mental Health, but he
18 brought to the agency a foundational perspective that was
19 truly appreciated coming from the mental health community
20 and as well as sort of a visionary approach as well.

21 You're truly open and reflective and thoughtful
22 in terms of how you finally made your decisions, and it
23 was -- there was a level of adventure and clarity as well,
24 which I appreciated. So thank you very much, Marv, for
25 your contributions.

1 COMMISSIONER BROWNING: Okay. Jane.

2 COMMISSIONER BOECKMANN: Now, Marv I'm going to
3 miss you a lot. This won't be the same without. You've
4 been here since the beginning and you're so, so deeply
5 appreciated and we wish you all the very best. And just,
6 please, know that we love you, you'll be in our hearts,
7 and we wish everything is wonderful for you from here on
8 out.

9 COMMISSIONER SOUTHARD: Thank you.

10 COMMISSIONER BROWNING: Anyone else? Suzanne.

11 COMMISSIONER BOSTWICK: Just real quickly. I
12 just want to say that I always appreciate that you're
13 always looking upstream and you're looking at prevention.
14 And with that, I want to take this particular time to
15 thank you for the funding that you've provided for Nurse
16 Family Partnership which has been so crucial in our work
17 to be able to provide home visitation to these young women
18 in Los Angeles county. And, again, just your perspective
19 upstream has always been key with me. Thank you.

20 COMMISSIONER BROWNING: Deanne.

21 COMMISSIONER TILTON: Marv, I think of you kind
22 of like a brother in this system because you've been there
23 not only from the first with this commission but long
24 before that with ICAN. And I think probably what you
25 represent most is honesty and approachability and --

1 Phillip calls it critical thinking. I would say, yes,
2 critical thinking but creative thinking. And you also
3 have the sense of collegiality and collaboration that I've
4 never seen in another department head. And I think that
5 all you want is the best outcome and I don't think you
6 think of yourself at all. And I've seen you change your
7 position or move to the left or right because someone
8 presents information to you that guides your thinking in a
9 little different direction.

10 So you're a really good friend and you are a
11 really good friend of the children of this county. I'm
12 glad you're going to stay involved and I'm heart broken
13 that you're leaving your position. And so I hope we stay
14 in touch and know how much we -- we appreciate everything
15 you've done.

16 I don't think other people actually know that
17 Marv used to be in a rock band as the lead singer. And
18 how long were you in the Seminary?

19 COMMISSIONER SOUTHARD: Ten years.

20 COMMISSIONER TILTON: Ten years in the Seminary.
21 It's interesting --

22 COMMISSIONER DENNIS: Seminary?

23 COMMISSIONER TILTON: Yes, rock band, Seminary.

24 COMMISSIONER DENNIS: Mental health. It makes
25 sense. It all makes sense now.

1 COMMISSIONER TILTON: I think you can tell
2 everybody cares for you very much and is going to miss
3 you. And I'm sorry if I embarrassed you.

4 COMMISSIONER BROWNING: Kim, do you want to say
5 something?

6 MS. BELSHE: Thank you. How many years as the
7 department director?

8 COMMISSIONER SOUTHARD: 17.

9 MS. BELSHE: 17 years. One of the things I've
10 learned from my experience in government, not nearly as
11 long in one position, is something I learned in -- in
12 graduate school and then experienced very directly in my
13 public service jobs, which is government is where the
14 heart issues come. Issues that can be resolved outside
15 government, they're resolved outside of government. People
16 don't go say, I can think of nothing more fun than going
17 to the county board of supervisors or a state legislator
18 or Congress, right? So the issues that come to government
19 are fundamentally issues where there's a tension, there's
20 a conflict of values or priorities around what's
21 important, how to distribute resources, et cetera. So by
22 definition, these are really, really hard jobs.

23 And Phillip referenced the trials and
24 tribulations. 17 years is a remarkable commitment to
25 public service, notwithstanding the sheer difficulty and

1 complexity and challenges personally and professionally.

2 Marv, I think in so many ways you are just an
3 exemplar of public service. You know, you represent so
4 much of what is good and true about people who make a
5 career out of government. And so the words you've heard
6 from you colleagues and mine are words that really
7 represent what people in government -- the public doesn't
8 understand people in government really are all about: you
9 know, passion, commitment, integrity, accountability, a
10 focus on making a difference. Those are just a few of the
11 characteristics that have defined your leadership and your
12 endurance for 17 years. And not just to the county but,
13 as Phillip said, to First 5 LA.

14 So as a founding member, you have just been
15 instrumental in First 5 LA 1.0, 2.0, and helping to shape
16 3.0. It might be 4.0. But your endurance, your putting
17 up your hand and saying, I want to be a part of this thing
18 called First 5 LA, I see the value, I see the promise, I
19 see the role that county agencies and systems can play in
20 terms of improving outcomes for children, for families,
21 and for communities.

22 You have been so clear with us about the
23 importance of Health Neighborhoods and the relationship
24 between other work that we're doing. That will be a
25 legacy that lives on. And we hope to make you proud.

1 We asked staff, Marv, to share some words that
2 best capture you, some of which have been captured in the
3 comments by your colleagues here and so -- oh, my God this
4 is heavy. We would like to offer you First 5 LA and kind
5 of a word cloud that captures the words that the staff
6 think of when they think of Dr. Marv Southard.

7 Fundamentally, they think of visionary.
8 Supportive. Collaborative. Advocate. Calming. We need
9 a lot of calming. But you also -- you've always been very
10 calm. Inspirational. Trustworthy. Health neighborhoods
11 at the foundation.

12 So Dr. Southard, we're going to miss you so, so
13 much but we're so proud of all your leadership throughout
14 these 17 years for the county and specifically for First 5
15 LA. Congratulations.

16 (Applause)

17 MS. BELSHE: Do you want to say a few words,
18 Marv?

19 COMMISSIONER SOUTHARD: Yes, I would.

20 MS. BELSHE: We have folks listening upstairs.

21 COMMISSIONER SOUTHARD: So I'm going to close --
22 in case I don't forget, I'm going to close with my
23 greatest regret about my service here at First 5. But
24 I'll talk first about the most wonderful things. For me,
25 the three most wonderful things that I've had an

1 opportunity to experience here at First 5 is, first, the
2 commitment of all of us to having small children have
3 better lives than they otherwise would. And that's all
4 kids, not just kids at risk, but particularly kids at
5 risk. And we often don't agree about things or a lot of
6 things, but that's one foundational fact that is something
7 that everyone has always agreed on. So working with
8 colleagues on -- on that has really been a great gift to
9 me.

10 The other opportunity that I've had here is to
11 learn with the staff about all of the different things
12 that an organization can go through. And we have been
13 through a lot. I think Deanne and Jane and I are probably
14 the ones who have been here through the longest and been
15 through the most permutations over time. And I think that
16 experiencing an organization that really from birth -- I
17 mean, we -- we had nothing to start with, no policies and
18 procedures, no -- no place to be. Everything came from
19 scratch. So I think through the years, you all have built
20 something that we can be proud of.

21 And then the -- the -- the last thing I'll say
22 is, looking towards the future, I think we are now
23 positioned, even with the declining funds, to use our
24 place-based work to really invest in communities because
25 one of the things that I learned through my career is --

1 you know, I first started out as an individual therapist
2 and then found that really working with individuals didn't
3 help much if you couldn't affect the family. And then
4 later in my career, I've learned, as you've heard multiple
5 times now, that I don't think you can really support
6 families unless you build up communities. So I think that
7 kind of focus in our work together in that regard will
8 really be valuable.

9 Now, my regret. My regret is that I never got a
10 photo of my grandson to be over here so I could show it on
11 that screen. I always intended to do that, but I never
12 got organized. So anyway -- and my -- my grandson Curran
13 has serious cuteness benefits to add to the world.

14 So, anyway, thank you all. It's been a wonderful
15 time working with you.

16 (Applause)

17 COMMISSIONER BROWNING: Thank you. Let's take a
18 ten-minute break. I think we still have business left.

19 (A brief break.)

20 COMMISSIONER BROWNING: Okay, Deanne, we're ready
21 to go. I think we're going to have a dance contest with
22 Marv and Sandra. So if you'll take your seats, we'll have
23 -- we'll finish the meeting. Okay. We'll have Deanne's
24 picture up there in a minute.

25 So Item 9 is legislative session recap. So I

1 think Peter is going to give us an update on that.

2 MR. BARTH: Thank you. When I heard the
3 announcement of a policy item before, I got really nervous
4 that maybe we were just skipping the break and that I had
5 to come up for the policy department. And it reminded me
6 that, when we were providing some information to all of
7 our staff here at First 5 LA about what it does mean to do
8 policy and systems change; that the definition of policy
9 in the dictionary is a course of action.

10 So for the policy department, one way that we pay
11 attention to how systems are changing their courses of
12 action or defining them is through legislation. So while
13 it's not the only thing that the policy department does,
14 it's an important piece of it. And as I mentioned at the
15 last commission meeting, September 11th, the day after,
16 was the end of the legislative session for this year and
17 the Governor has until Sunday to sign or veto or not do
18 anything with all the bills that were send sent to him.
19 When we look at the legislative agenda, which is in your
20 board packet, he has taken action on a number of different
21 bills that we were tracking and paying attention to.

22 But I also wanted to remind you that this is a
23 process that you all have been through with us at the
24 policy department; that earlier this year, we shared with
25 the commission the current goals that we're trying to

1 accomplish with our engagement in the legislative process
2 using some criteria that helps focus the work that we're
3 doing and also making sure that we're aligning our
4 activities with some of our core advocacy partners, both
5 here in LA county statewide. And also the statewide First
6 5 community.

7 I mentioned a couple of times that it's really
8 important that, when we're talking to folks in Sacramento,
9 they don't necessarily understand the distinctions or the
10 structure or the uniqueness of the First 5 community. So
11 it's important that we have a strong First 5 voice so that
12 we're aligned with the association and the state
13 commission, et cetera.

14 And when we look at the First 5 associations'
15 policy goals that they had articulated, you'll notice some
16 great overlap with our policy goals and our strategic
17 plan. And so it's really important that we are having
18 this -- that we're not just having 58 different policy
19 agendas that are in conflict with each other, but that
20 we're really working closely with each other. You'll see
21 a lot of our strategic plan related activities aligned
22 with these goals.

23 And so when we think about the legislation and
24 the activity that we've seen over the last few months,
25 here are just some examples of how in each of these issue

1 areas we've seen some movement. First of all, a bill
2 that's still pending Governor's action is Assembly Bill 50
3 related to home visiting, which would encourage -- not
4 encourage, but would create a process that would bring
5 state departments together to focus on how we could make
6 sure that all mothers in California have access to home
7 visiting.

8 We also were successful in passing -- or
9 supporting the passage of Assembly Concurrent Resolution
10 77, which basically brought a huge number of legislators
11 together to say, we think it's important that we focus on
12 developmental screening in this state; that it's an
13 important gap that we see in the community.

14 We also have Assembly Bill 47, also pending the
15 Governor's action which is all about preschool access and
16 trying to put into legislation the commitment that the
17 Governor made in the budget last year to fund state
18 preschool for every eligible child within the next two
19 years.

20 We also were paying attention to some of the oral
21 health issues given. That's one of our largest
22 investments. And there was a successful push to have a
23 joint legislative request for an audit of Denti-Cal. And
24 rite now, the little Hoover commission, which is an
25 independent body that helps provides recommendations and

1 analysis for the legislature, to look into how can we
2 improve Denti-Cal, how can we figure out all these
3 different options. And in Sacramento, I was able to meet
4 with the head of the First 5 Association, a couple of
5 other commissioners to have conversations with folks about
6 what are some of our ideas, what are some of the lessons
7 that we've learned here on the ground in LA county and
8 some options to the past policies that will support that.

9 And then also we have this concept of, how are we
10 sustaining the system? What's the reach of our system?
11 So it can be everything from what's happening to the First
12 5 revenues, the Board of Equalization using a lot of our
13 funds to pay for administrative activities that could be
14 going to programs for children -- for children and
15 families. We're also this bill that was just signed by
16 the Governor on Friday, which is going to the help add
17 funds to the market match program that we supported.

18 Another example of it is SB105, which expanded
19 health -- Medi-Cal access for all undocumented and low-
20 income children.

21 So these are examples of how important it is
22 we're connecting our legislative work to the goals that
23 we're trying to achieve. But it doesn't matter if we're
24 in Sacramento and having conversations with folks if we
25 don't actually accomplish something. And, fortunately, we

1 actually have some great accomplishments that we can point
2 to that are going to be able to help expand services for
3 children and families. So this is some of the good news.

4 As we look to 2016, one of the big things is it's
5 a big ballot year. It's a big year where we're going to
6 have a lot of propositions on the statewide ballot, where
7 everyone's going to be trying to ask for money. So we're
8 paying attention to everything that's getting filed to see
9 what is in there, and these four initiatives in particular
10 are of interest to the First 5 community for a number of
11 different reasons.

12 The first one is the Lifting Children and
13 Families Out Of Poverty act. This is a proposed property
14 tax adjustment that would fund preschool and home visiting
15 services, would direct billions of dollars to these
16 services throughout California.

17 The School Funding and Budget Stability Act is an
18 extension of the Proposition 30 temporary income act. The
19 Invest in California's Children Act is also another way of
20 looking at how we're going to expend Prop 30 and let's put
21 most of the money into children services rather than just
22 K-12. And then the cigarette tax that has been proposed
23 and you've probably read about. There were some articles
24 in the *LA Times* about it, would leverage a \$2 tobacco tax
25 -- a new tobacco tax, also a \$2 tax on e-cigarettes.

1 So we're paying attention to all of these issues
2 because -- in particular that last one directly impacts
3 our funding sources. We want to make sure we're
4 understanding the impacts and engaging with folks to
5 understand what's happening. But just expect this issue
6 to be coming up a lot more as we have conversations with
7 you in the future.

8 Finally, as we look to the future policy
9 priorities, we're going to update the policy agenda to be
10 more reflective of the activities that were aligned in the
11 strategic plan. We're also going to be pursuing
12 legislative agendas like we have in the past, so expect in
13 the new year for us to come back to have conversations
14 about some of the bills that we're seeing, some of the
15 issues we're hearing that are being supported in
16 Sacramento.

17 But also back to the more than just legislation.
18 The policy department, in partnership with all the
19 departments at First 5, are really wanting to pay
20 attention to the multiyear strategic policy initiatives
21 that will help support advocacy coalitions, campaigns that
22 will help advance priority outcomes. This is the
23 important piece, back to Commissioners Abdo's point, after
24 the public comment earlier today. It's essential that, as
25 we do our work, we're connecting it to the opportunities

1 for sustainability and leverage so that we're able to
2 provide services, not just for a few families, but to all
3 the families that need them.

4 So this is a key piece that you'll continue to
5 see over the next year.

6 And then, finally, like I said before,
7 coordination. Coordination across all the First 5s.
8 Coordination with other partners who share our values.
9 It's really important that we have a strong voice
10 advocating for children and families, not just multiple
11 voices that can sometimes be confusing in Sacramento and
12 here in LA county.

13 So with that, here are the children in my life.
14 These are my niece and nephew and brother and sister. And
15 this is a great reminder of the work that we do everyday.

16 So any questions about anything I've shared so
17 far?

18 COMMISSIONER BROWNING: What about questions or
19 comments?

20 Judy.

21 COMMISSIONER ABDO: Some of us have relationships
22 with individual legislators. And I'm wondering if there
23 is a system you can plug us into. For instance, if
24 something's coming up on the floor on a specific day, this
25 would be a good day to text that person if I knew. And

1 I'm sure I'm not the only one who has connections with
2 people in Sacramento but I think it would be really
3 important kind of at the moment because my understanding
4 is that there are so many bills that it's very hard for
5 legislators to keep track of exactly where they are on
6 which bill at all times.

7 MR. BARTH: Yes. Definitely. And we really
8 appreciate the interest. And we're working toward being
9 able to engage each of you more fully to the extent that
10 have relationships and the extent that you want to be an
11 active voice here. Just in the same way that we're trying
12 to do that with some of our partners in the community. We
13 have done a great job of trying to coordinate with what
14 we've had in the past, but we're trying to continue to
15 build that. So we definitely will be focusing on that in
16 the near --

17 MS. BELSHE: Another opportunity, if I could,
18 just building on that, is First 5 LA I think has played a
19 big part in this. We now have annual advocacy days in
20 Sacramento. Duane attended last year and Karla
21 Pleitez-Howell. So that's something we will encourage
22 commissioners to participate in the spring as well. It's
23 been a great opportunity for them to hear, not just from
24 staff, but board members as well.

25 MR. BARTH: I apologize. I forgot one item. I

1 didn't have it in the slides, but in your packets I share
2 some information about Senate Bill 94. SB94 was the issue
3 that was raised at the last commission meeting around
4 prioritization of child care for foster care children.
5 Senate Bill 94 was introduced as an attempt to be a
6 technical fix and it was supported by the county. So what
7 you have in your handouts are the motion that was passed
8 by the county board of supervisors, the letter of support
9 that they offered for that language change. But also a
10 letter that expressed the opposition that many in the
11 child care community had to that specific approach.

12 So what ended up happening is the assembly budget
13 committee decided to pull the language, pull SB94. It's
14 no longer in consideration right now. But what's
15 happening is a lot of the stakeholders on all sides, the
16 child welfare advocates, the child care advocates, and
17 including staff from the board of supervisors are engaging
18 in, are there some temporary solutions we can have for
19 this year and as we look to the new budget year? Can we
20 come together with a proposal that works for everyone?
21 What was meant to be a relatively quick technical fix
22 turned into something a little more complicated and it is
23 indeed a complex issue as the handouts show.

24 So just wanted to let everyone know that we are
25 engaged in the issue. We are supportive of our county

1 board of supervisors, but we are also supportive of our
2 advocate partners and engaging in the process to see if
3 there's successful resolution we can bring to the issue in
4 the new legislative session.

5 COMMISSIONER AU: Two questions, again. Maybe I
6 wasn't paying attention. But the Governor has just signed
7 a number of bills. And in the list of bills that he had
8 signed was one for home visitation and child preschool, I
9 guess, for universal preschool. Am I mistaken?

10 MR. BARTH: My understanding is that they're
11 still on his desk; that those two were approved by the
12 legislature and sent for his consideration, but he has not
13 yet taken action on them. I'm going to quickly look to my
14 staff to see if that is true.

15 Yes. As of earlier today, he had not signed them
16 yet.

17 COMMISSIONER AU: Okay. And what is the read on
18 it? Do you think he's going to sign it?

19 MR. BARTH: Based on his action on some other
20 bills, the likelihood that he would sign the home visiting
21 bill is probably pretty low. One of the reasons is that,
22 if you think about his priorities and the Department of
23 Health Care Services priorities around Medi-Cal has
24 everything to do the funding gap and it has everything to
25 do with the waiver. And so they are -- he is vetoing some

1 bills either with -- one thing that we might hope for is a
2 veto directive, which is, basically, I'm not going to sign
3 this into law but I like the idea and I'm asking my
4 departments to figure something out in the interim. Or we
5 might also see a veto that just says, this not the top
6 priority; our top priority is to find the funding
7 solution.

8 What the activity around that bill has done
9 though is generated a lot of interest, both within the
10 departments at the state level and advocates to better
11 coordinate and bring folks together. So regardless of the
12 action, we now have a group of people in Sacramento who
13 are meeting frequently and meeting with department heads
14 to figure out how we can make -- move this plan forward
15 whether there's legislation or not.

16 COMMISSIONER AU: And I guess the second -- I'm
17 sorry, Deanne.

18 The second piece is having to do with the
19 initiative process. Now, I'm assuming that, in order for
20 it to be -- how should I say, meet the criteria for
21 listing on the ballot, they have to have a number of
22 signatures. What is the status of a number of these
23 initiatives that you have listed?

24 MR. BARTH: I do not know if any have met the
25 threshold yet. I know all of them are in the process of

1 it. These are all filed initiatives, which means they've
2 paid the fee and they've actually turned it into the
3 Secretary of State's office and said, we are intending to
4 go through the process to get this on the ballot.

5 COMMISSIONER AU: Thank you.

6 COMMISSIONER TILTON: Many signatures.

7 COMMISSIONER AU: Many signatures.

8 COMMISSIONER TILTON: How many is it? Do you
9 know?

10 MR. BARTH: I believe it's a couple hundred
11 thousands but I can't remember.

12 COMMISSIONER TILTON: I'm sorry. Can you
13 elaborate on SB94? This is a priority for us. It was a
14 priority of our chair. And I'm concerned that the
15 opposition to this bill doesn't really seem to recognize
16 the issue. I don't think you can assume that, because a
17 child is in foster care, that they're safe and they don't
18 need reimbursement for day care. And I think it doesn't
19 acknowledge that a lot of kids can't be placed in foster
20 care because there's no place for them because they can't
21 afford the child care. And so many relatives take in kids
22 and they lose their jobs because they can't pay for child
23 care.

24 So how -- how do we elevate this issue? And is
25 it -- is it definitely all over for the session?

1 MR. BARTH: Well, the session's ended already.
2 And since no legislative action was taken, it is over for
3 the session in that regard. But the fact that we have
4 legislative committees engaging with stakeholders and
5 bringing them together says that this is a high enough
6 priority for folks that they want to come to some
7 resolution.

8 I think there are a lot of issues. And, you
9 know, where our team is going to continue to engage with
10 the different stakeholders as we move forward in the
11 process and will come back to you with more information as
12 more comes, but there's just a lot of different
13 perspectives on the issue, whether it's the means testing
14 requirement or not, whether it's the capacity of child
15 care providers to care for those who are in the foster
16 care system. These are a lot of the issues that are
17 coming up. And what was envisioned was a technical fix.
18 This was introduced -- SB94 was not introduced as a policy
19 bill which means it gets vetted through multiple policy
20 committees. It was introduced as trailer bill language,
21 which is technically clarifying language to clarify how
22 you can spend resources within the budget. Because of
23 that, the people had assumed that this was a relatively
24 easy fix. But it ended up not being that way.

25 So rather than hold it up in the process and not

1 have any action taken, they decided to pull the language
2 and say, let's engage with stakeholders, let's get this
3 taken care of.

4 COMMISSIONER TILTON: What can we do to help that
5 process?

6 MR. BARTH: So we at First 5 at least are
7 engaging in the stakeholder conversations and are in
8 active conversation with members, staff from the board of
9 supervisors who are paying attention as well to this
10 issue. We've also asked that our -- to the extent that
11 conversations are happening in Sacramento, that California
12 Strategies engage as well.

13 COMMISSIONER TILTON: So organizations that are
14 represented on this commission can independently express
15 their concerns and address those to you?

16 MR. BARTH: Yeah. People can talk to me. And
17 then we can also figure out who else in Sacramento can --

18 COMMISSIONER TILTON: Yeah. We would need to
19 know who the target should be.

20 MR. BARTH: The follow up.

21 COMMISSIONER BROWNING: Judy.

22 COMMISSIONER ABDO: I think it's really important
23 that we follow this very closely and we need to
24 acknowledge that the real fix is more money because, if
25 there's only so much money for so many -- and it's hard to

1 call it slots when we're talking about children, but if
2 there are only so many children who can be served, it's
3 about which ones. And that's a terrible place to be. So
4 what we need to do while we're working through this is to
5 help our legislators understand and hopefully our Governor
6 know that there has to be more money or this problem will
7 not be solved.

8 MR. BARTH: We completely agree.

9 COMMISSIONER BROWNING: Trish.

10 COMMISSIONER CURRY: Well, to support what both
11 Deanne and Judy have said, this is really important and I
12 don't think they understand the whole picture up in
13 Sacramento. We have a crisis here in hiring foster
14 parents, especially foster parents for the zero to five
15 population and the zero to two population. We have an
16 increasing number over the past ten years of children zero
17 to two coming into the foster care system. There are now
18 7,200 kids under the age of two in foster care. Now, some
19 of those will be with relatives and some will be with
20 foster parents, but we are short of -- of foster parents.
21 And when we ask the people why they aren't foster parents
22 for these young kids, one of the major answers we get is
23 because the lack of child care, that it might be a single
24 parent or a couple and both working and, meanwhile, you
25 know, they have to have child care in order to take these

1 kids.

2 So now we have the emergency shelter, the welcome
3 centers downtown. The numbers of kids under the age of
4 two are increasing down there because of the lack of
5 critical foster care parents for all ages but particularly
6 the zero to two. And we cannot just continue to have --
7 at the welcome center, as an example, the -- the second
8 quarter of this year there was a 70 percent increase in
9 the number of kids under the age of two being taken to the
10 emergency shelter because we didn't have foster homes.
11 That's horrible. That is absolutely horrible. We have to
12 solve this child care crisis.

13 And, you know, there are a lot of different
14 groups I know that are asking for child care, and I'm not
15 opposed to any of them, but I am here to say that this is
16 a crisis and we -- we can't just, you know, watch it and
17 watch the numbers increase. We've got to find a way to
18 help recruit more foster parents. And they tell us that
19 this is a major issue for them in -- in becoming foster
20 parents. So we need to listen to them.

21 And I'm not upset, you know. I just -- it's --
22 it's not good to have that many kids under the age of two.

23 COMMISSIONER BROWNING: So, Peter, what's your
24 next step on this issue?

25 MR. BARTH: So for us, again, there are a lot of

1 advocates who are having conversations. There's some
2 meetings that are being convened both here in LA county
3 and up in Sacramento. And we just need to be
4 participating with them. And those who are really --
5 there are specific numbers of different board of
6 supervisors staff who are actively pushing this issue and
7 having conversations regularly, and I am connected with
8 them and I'm making sure that we understand how can we be
9 the most helpful, what is it you need us to be doing so
10 that we can move this agenda forward.

11 COMMISSIONER BROWNING: So is First 5 just a
12 convener or are they presenting information such as
13 Deanne, Judy, and Trish?

14 MR. BARTH: We're not presenting information at
15 this point.

16 MS. BELSHE: But I would note that, as specific
17 issues come up where LA county specific information could
18 be helpful, that's something we would want to do, and that
19 could involve connecting with some of the commissioners.

20 COMMISSIONER BROWNING: Duane.

21 COMMISSIONER DENNIS: You know, I just want to
22 add, when you look at this pot of money, this pot of money
23 is -- I'm not going to say alternative payment because
24 folks don't understand that. It's state general fund.
25 And I think that's the best way to look at it. So when

1 you look at this pot of money, the last two executives in
2 this state has diminished that pot of money. So with the
3 two previous administrations, that money has been reduced
4 because it's of out of state general fund, and child care
5 has been hit the way it has.

6 Secondly, if you -- you can -- I mean, using the
7 numbers that Trish gave, you can have every slot in that
8 pot of money for foster care children, every slot. But
9 then on the other hand, you can have every slot for
10 working poor parents in this county. And so that's the
11 complexity of what we do, of what is being dealt with.

12 I think it's a far more complex issue and it --
13 you know, we value what working parents are doing, trying
14 to work and take care of their children, but we also value
15 perspective foster care parents who want to take care of
16 young children and can't because child care is the
17 barrier.

18 I mean, I'm telling you, folks, these are very
19 complex issues and it's not an easy fix. And I think the
20 work that's being done statewide, as far as coalition
21 building and the degree to which this commission could be
22 a part of that coalition, I think, is going to be very
23 helpful.

24 Then on top of that, you have jurisdictions all
25 over this state dealing with it differently. LA County is

1 unique in the way it's dealing with the issue. San Diego
2 has taken a position of, heck, no, on foster care
3 children. And CDE has said nothing about it. So it's a
4 very, very complicated issue and I -- I think the stance
5 that we're taking as far as being a part of a coalition
6 to, one, understand to get further definition and then
7 later on probably, you know, are able to provide input
8 would be a intelligent standpoint because it's -- right
9 now, I think it's too early in the game to say, it's this
10 versus that. It is -- it is complex.

11 COMMISSIONER BROWNING: And I think you're right,
12 Duane. It is very complex, but I think information is
13 critical for Peter if he's going to be attending all these
14 meetings. I don't know if he's going to be advocating one
15 way or the other. But just in your example of San Diego,
16 they have shelter care programs that can keep kids for 30
17 days, and we don't have that same sort of operation. And
18 I do think that there are a number of particular
19 datapoints that we need and can provide that would provide
20 -- that would shed some more clarity on this. I don't
21 think that every foster parent needs or wants child care,
22 but there are a number of them who do. And right now,
23 that need can't be addressed by the current funding we
24 have.

25 MR. BARTH: There are a couple of organizations

1 in particular for those who are very interested. One is
2 The Advancement Project. They're the ones who have been
3 pushing the language from the very beginning. The other
4 is Children Now. Children Now is a good place because
5 they are representing sort of both sides in a sense.
6 They're seeing -- trying to see the full picture and
7 trying to come up with some resolution. So they're very
8 actively engaged. And then also, we just have to -- from
9 the board of supervisors standpoint, Genie Choe from
10 Supervisors Kuehl's office has really been leading a lot
11 of this effort here in LA county. So she is -- welcomes
12 any conversations about this issue.

13 I will also note that the points about needing
14 more money are exactly real in all of our ECE, early care,
15 child care, and early education conversations. The
16 discussions that are happening right now are about
17 temporary solutions. And when we think about the work we
18 do in the context of a legislative session or a budget
19 year, those are the conversations we'll be engaging in.
20 But part of what we're trying to be doing in a 2016 and
21 beyond world is to say, okay, let's make sure we're
22 advocating for our priorities this year, acknowledging
23 that with general fund pressures and others, we may only
24 win a couple thousand more slots. But is that enough? Is
25 that the way we need to be focusing on it?

1 So some of the work that we're doing here at
2 First 5 LA, both within the policy department and with our
3 colleagues across all departments is, what are the
4 fundamental transformations in the system we want to see
5 happen because, if I'm a parent, foster care parent,
6 working low-income parent, I care about just making sure I
7 have access to child care. I don't care that it's a
8 CalWorks stage one, two, three slot or rather it's an AP
9 slot. So we as advocates and working with advocates are
10 trying to think about, and we at First 5 LA, are trying to
11 support advocates to be able to have long-term strategies,
12 recognizing that the solution is not going to happen
13 within one year; it's going to be a few years of work.

14 COMMISSIONER DENNIS: I do have another question
15 about another unrelated issue, but Judy --

16 COMMISSIONER ABDO: I have a related one. I
17 think that what you've just raised about the silos that
18 exist in child care funding and operation is -- is the
19 really huge issue. Obviously, there needs to be more
20 money, but the complexity of the programs, no one should
21 be able to understand. And there are people who do, but
22 not very many. And I -- I -- if people are willing to
23 work on all of those things together and to try to figure
24 out a way to at least have fewer silos, it would be a huge
25 step forward for families because they don't think about

1 silos; they think about their child and how can their
2 child get child care.

3 COMMISSIONER BROWNING: Duane, you've got one
4 last comment?

5 COMMISSIONER DENNIS: Yeah, this is not related
6 to SB94. Any progress on the child care unionization
7 bill, Peter? I think that's on the Governor's desk as we
8 speak. I don't know where he is on it. He has been
9 reluctant over the last couple of years, but I -- I know,
10 you know, this is something that's been pushed by SEIU,
11 and I don't know where it is.

12 MR. BARTH: I apologize. I don't actually know
13 the answer off the top of my head, but I'm wondering if
14 Tessa and the team do.

15 SPEAKER: It's no longer a unionization bill.
16 It's really focused more on increasing training for
17 providers. And it's still on his desk.

18 MR. BARTH: Still on his desk. They had pulled
19 the unionization component out of bill. So the version
20 that he's considering just has to do with child care
21 training -- child care provider trainings, and there is
22 ambivalence of whether or not that is a priority at this
23 point because there are also child care provider training
24 conversations happening with child care development block
25 grant reauthorizations and other standards that may be

1 coming out. But he has not taken action.

2 Thank you, Tessa.

3 COMMISSIONER DENNIS: Thank you.

4 COMMISSIONER BROWNING: Any last questions for
5 Peter?

6 Thank you very much.

7 And I think our next item is Best Start Community
8 Project update.

9 MR. GONZALEZ: I was in a rock band myself years
10 ago. I was a lead singer and then found community change.

11 Good afternoon, commissioners. I wanted to share
12 that a couple of weeks ago we shared at the program and
13 planning committee meeting an exciting and major milestone
14 in the history of Best Start. Community-identified
15 projects, which is what we're going to talk about today,
16 as developed by the community partnerships through the
17 learning by doing process have taken shape in the 14 Best
18 Start communities. After years of sharing stories of
19 progress, of challenges, and the learning, today we can
20 point to concrete examples of strategies and activities in
21 the 14 Best Start communities intended to strengthen
22 families and bring about community change.

23 To get to this point, the community partnerships
24 planned and work collectively over the last year. They
25 organized their data, chose their core results, defined

1 their target populations, identified their indicators, and
2 with support, designed strategies and activities to
3 address them through community-identified projects.

4 These community-identified projects became the
5 basis for staff-developed solicitations and a request for
6 proposal process currently underway to select
7 organizations to work in collaboration with community
8 partnerships to implement these community projects and
9 achieve the desired results. We honor their invaluable
10 time, the communities' invaluable time, their passion,
11 their commitment, and of course continuing to put forward
12 Best Start in their communities.

13 And we also want to take this time to honor the
14 entire staff at First 5 LA because everyone throughout
15 this organization has played a key roll in getting us to
16 where we are today. So community staff, we say thank you.

17 As you will see from one of the handouts that we
18 provided you that highlights the strategies and activities
19 in the 14 Best Start communities, the community
20 partnerships are bringing voice, experience, and solutions
21 to the table. This is part of a larger leadership effort
22 by community partnerships to insure that parent caregivers
23 with children prenatal to five advocate for and have
24 access to quality services and supports to participate in
25 positive social networks and to engage in the civic life

1 of their communities.

2 Also, at the last PPC meeting, the commissioners
3 who were in attendance for that meeting showed their
4 appreciation for the significant progress being made.
5 Given the feedback from commissioners, we also realized
6 how important it was to build on that presentation and
7 share this information and critical milestone with the
8 entire commission. So for purposes of today's
9 presentation, we'll talk more about these community
10 projections and share some common themes that we're seeing
11 across the 14 Best Start communities.

12 So our objective is to discuss our progress in
13 the implementation of community projects, the status of
14 the funding process, and alignment between community
15 identified projects and First 5 LA strategic plan. As I
16 shared, we will also highlight some of the community
17 projects that you see listed on the handout, focusing on
18 two that are being implemented at this time and two that
19 are currently underway.

20 So for purposes of our presentation, I now would
21 like to introduce Antoinette Andrews who will walk us
22 through this presentation.

23 MS. ANDREWS: Good afternoon, commissioners.

24 COMMISSIONER DENNIS: Good afternoon, Antoinette.

25 MS. ANDREWS: Rafael and I love bringing up the

1 rear because it's is so exciting. We like for this to be
2 the last thing on your minds before you leave.

3 MS. BELSHE: Nice.

4 MS. ANDREWS: So today's presentation highlights
5 a very important milestone in the history of Best Start
6 and it also represents forward movement in strengthening
7 the commitment communities' capacity to support families.

8 As a reminder, Best Start is one of two anchor
9 investments to strengthen family protective factors; of
10 course, Welcome Baby being the other one. This
11 presentation is about community capacity building and what
12 that actually looks like at a community level in order to
13 support families.

14 In both of these investments, it emphasizes and
15 is grounded in the premise that, if families are strong
16 and communities support families to succeed, then children
17 will have better outcomes. And so for us, that translates
18 into three core results at the family level: Family
19 capacity, social connections, and concrete supports. And
20 three core results at the community level: Shared
21 vision/collective action, coordinated services and
22 supports, and places and spaces to encourage social
23 interaction.

24 And as I go into the community specific projects,
25 you'll see how these community core results actually

1 support the family core results. And together they are
2 meant to ensure that children prenatal through the age of
3 five have better outcomes.

4 Given the context of each community, parents,
5 residents, organizations, other stakeholders collectively
6 review data, as Rafael mentioned, they shared experiences
7 and they determined the core result they felt would have
8 the greatest impact on -- on families in their community.
9 And so in terms of family capacities, ensuring that
10 parents are knowledgeable, resilient, and nurturing, these
11 are the communities that selected this core result as
12 their focus.

13 Social connections means that parents participate
14 in positive social networks. And these are the
15 communities: Compton/East Compton, Metro LA,
16 Watts/Willowbrook. These are the communities that
17 selected social connections.

18 And concrete supports ensures that parents have
19 access to services and supports in times of need. And
20 there are two communities: Palmdale and West Athens that
21 focused on those core results.

22 It is also important to know that, as communities
23 were thinking about the strategies and activities that
24 they would implement, they're very clear on the definition
25 of parents. It wasn't just about biological parents, but

1 also foster parents, grandparents, and other primary
2 caregivers who are responsible for the well-being of the
3 child. And in some communities, they actually prioritized
4 certain populations that they felt they really wanted to
5 focus on first in order to have the greatest impact in the
6 community. So some communities chose -- or selected young
7 parents under the age of 25 years old. Others selected
8 fathers, parents with children with special needs,
9 low-income families, parents of children zero to three.

10 And it's important to note that, although they
11 prioritize these populations, they did not do so at the
12 exclusion of any families or parents that want to
13 participate in the activities, and so that's the footnote
14 here.

15 Now, although every community has its unique
16 needs and a very specific context, it has been very
17 interesting to us that there are some priorities that have
18 been identified across all 14 communities. It's been very
19 consistent. And some of these are strengthening parent
20 and resident leadership. They really see parents, as we
21 do, at the center of all the work that happens in the
22 communities. So it's important to ensure that parents
23 have the leadership skills and they have an active role in
24 solutions related to strengthening families and improving
25 communities.

1 Another important priority was to connect parents
2 to community resources. Community members identified that
3 there are community resources available but oftentimes
4 parents don't know about them. So there are strategies
5 and activities around insuring that parents know about
6 these community resources.

7 Strengthening social connections is also another
8 important priority that we're seeing across all 14
9 communities. And this is coming up in the -- in the sense
10 that parents want to come together to support each other.
11 So it's not your typical peer support group. It's more
12 about the connections, the bonding that parents have with
13 each other and their ability to then spread that in the
14 community to increase and strengthen social connections
15 overall.

16 They also see organizations as absolutely
17 necessary and as anchors within their communities. And so
18 according to the community partnerships, you can't have a
19 community-change effort and leave organizations behind.
20 So while parents are at the center, organizations play a
21 critical role, and community partnerships want to ensure
22 that there is improved quality of interaction between
23 organizations and parents.

24 In addition to that, they want to ensure that
25 there's better information sharing and coordination

1 between organizations. They also, with all of this, see
2 the very important -- the role of advocacy in promoting
3 systems change.

4 And so what we have done, as Rafael mentioned
5 earlier, is to take these priorities and translate them
6 into RFPs that have been released for all 14 communities.

7 So today we're going to highlight four
8 communities, examples of projects currently in
9 implementation, which are Central Long Beach and Metro LA,
10 and two that are upcoming projects, East LA and
11 Watts/Willowbrook.

12 So for Central Long Beach, there were several
13 factors that influenced their selection of their
14 strategies and activities and in addition to their core
15 result. They are very concerned about child abuse and
16 neglect, especially with -- for households with younger
17 children. They also see that families with children zero
18 to three actually are less connected to social supports
19 that are available. And so they want to make sure that --
20 that they have access to resources.

21 So here is a list of the strategies and
22 activities that they have selected and that they have been
23 implementing actually since the board's approval in
24 February of this year. And so what we've found so far in
25 their implementation of these strategies and activities is

1 that it takes time, which is not new to us. We've often
2 talked about that in previous board presentations, but it
3 takes time to ramp up. Although there are long-standing
4 relationships in Long Beach, organizations that have
5 worked together in the past, they're trying to work
6 together in a very different way to really work
7 collectively to address issues that families face in
8 Central Long Beach.

9 It also takes time to bring parents along. It
10 would be very easy for us to give a grant and for an
11 organization to implement their projects as they typically
12 do. But in the case of Best Start, this is about true
13 parent engagement from the beginning and throughout the
14 entire process. So that takes a little bit of time for
15 organizations to understand the importance of not just
16 checking in with parents but actually bringing parents
17 along and having them inform the process.

18 So that's kind of like one of the key takeaways
19 that we have learned up to this point.

20 Another project that we want to highlight is
21 Metro LA. So they've chosen social connections as their
22 core result. And in Metro LA, community members
23 identified violence and fear experienced inside and
24 outside the home as primary factors contributing to social
25 isolation and the lack of connection to support networks,

1 to resources, to programs, to services to address the
2 issues that families face. And so they believe that the
3 best way to address this is by increasing social
4 connections between families. They are focused on
5 promoting a culture of respect within the community. And
6 for them, this refers to the values and practices that
7 promote positive behaviors, social connections, and that
8 mitigate violence inside and outside the home.

9 They are also focused on insuring that there are
10 linkages within the communities so that, not only do they
11 change the culture of respect between families and within
12 families, but the entire community, including
13 organizations. And this is very important to them and a
14 big idea, which is what we are promoting across the Best
15 Start communities: Big ideas that translate into
16 innovative solutions to address concerns.

17 For upcoming projects, we want to highlight East
18 Los Angeles. They have selected family capacities as
19 their core result. And they identified that, when parents
20 have a strong understanding of the stage of child
21 development and the ways to manage stressors in their
22 lives, then they're more equipped to advocate for
23 themselves and their children, to be effective community
24 leaders, and help inform and lead changes in their
25 communities. And, therefore, they selected family

1 capacities.

2 COMMISSIONER SOUTHARD: Is there a mistake?
3 Should it be decreased the percent of parents who
4 experience frequent aggravation?

5 MS. ANDREWS: Absolutely. Decrease. Decrease.

6 MS. BELSHE: So Marv gets the award. We were
7 going to check and see who called it out.
8 Congratulations.

9 COMMISSIONER DENNIS: Way to go, staff.

10 MS. ANDREWS: That is a very important point.

11 COMMISSIONER SOUTHARD: Because I know I could
12 achieve that.

13 MS. ANDREWS: So actually in order to decrease
14 frequent aggravation, they're focused on families that do
15 live in poverty. And here are the strategies that they're
16 interested in implementing. They really want to expand
17 parent leadership in the community, increase community
18 awareness and access to information about stress and its
19 impact on child development and available resources. They
20 also want to increase access to quality programs and open
21 spaces for families. And this is a very interesting
22 concept because, what we've been talking about in terms of
23 open spaces is, you know, is there green space, are there
24 place for families to congregate.

25 East LA is interested in that, but they're also

1 interested in quality programming in these locations so
2 that families have access to information and resources in
3 places that are convenient to them. So they're very
4 interested on taking the time and mobilizing the
5 appropriate stakeholders to ensure that they're able to
6 develop a plan of action to increase quality programming.

7 For Watts/Willowbrook, they also chose --
8 selected social connections. And they are focused on
9 young parents with the understanding that young parents
10 face challenges in developing strong social connections
11 which leads them very vulnerable to stress, to feelings of
12 social isolation and depression. So they are working to
13 promote the importance of young parents and their parents.
14 That's what's so interesting about Watts/Willowbrook.
15 Often, we want to separate the people within a family, and
16 we say, well, we're going to focus on teen parents, not
17 thinking about the social connections and the networks
18 that teen parents actually have and need.

19 And so the fact that Watts/Willowbrook wants to
20 focus not only on the teen parents but their parents as
21 well and provide them with supports is a very interesting
22 way of looking at how to better support young parents.
23 So they want to build stronger social connections.

24 They also want to focus on increasing the
25 leadership capacity of young parents to be engaged in work

1 in their community, but also to expand social networks.
2 And like with the other communities, they're interested in
3 expanding collaboration among organizations.

4 So here is where -- if we were in a less formal
5 setting and if I didn't have a bad back, I might jump for
6 joy that we have arrived at this point in time, where we
7 can say to you that we have released RFPs, request for
8 proposals, for all 14 Best Start communities. And this is
9 a critical, critical moment in time for us and something
10 to celebrate.

11 As you can see, there are a lot coming your way
12 in November where we are in the thick of our selection
13 process, application review process. And the staff has
14 been working tremendously hard to ensure that we are able
15 to fund every community this calendar year. And as Rafael
16 said, we are so grateful to the entire organization. This
17 really has been an organization-wide effort to get to this
18 point. And we've come this far by faith, yes, but because
19 of the commitment and the time and the energy of community
20 members and First 5 LA staff across the organization. And
21 the lessons that we've learned over the last two years --
22 I don't know if some of you remember my very interesting
23 chart of the hills and valleys and, you know, this is the
24 reality of the community work that we're doing. And it's
25 work worth it. It is really worth the journey, but we've

1 learned some lessons during this journey. And over the
2 last two years, we've learned that transitions are
3 difficult. They can be difficult.

4 So as we look forward to all of these RFPs and
5 the selection of organizations, there is another
6 transition ahead of us. So how we deal with that is based
7 on what we've learned over the past two years and it has
8 -- is informing how we are moving forward.

9 Now, the selection of organizations and the
10 community priorities, it is also a very foundational piece
11 to the work that we're moving forward with our strategic
12 plan. As you are aware, Best Start is an anchor
13 investment but is also connected to the new work of the
14 communities outcome area. And so the -- the example that
15 I want to share here is around priority focused area
16 number 2 where communities have early care and education
17 as well as health-related services and supports that meet
18 family needs. And so the emphasis is on existing
19 community level information resource and referral
20 networks. But we're really looking at the value that
21 First 5 LA can add to what already exists. And as I
22 talked about earlier, communities are already in that
23 place of saying that there are organizations within the
24 communities, there are networks that exist, we need to
25 strengthen those relationships. And so we -- this is an

1 opportunity for us to partner with community and add value
2 as communities implement their projects.

3 And in terms of this first year of our strategic
4 plan, it really is about learning, learning about what
5 works because we want to make the best investment and
6 leverage the resources that already exist within
7 communities.

8 So with this, I'm going to turn it back over to
9 Rafael to talk about next steps, but I just want to share,
10 you know, just my excitement. But just to a certain
11 extent, I'm speechless that we really have gotten this far
12 and that communities have hung in there with us and we're
13 now at a point where we'll see real forward movement in
14 communities supporting families to succeed.

15 MR. GONZALEZ: Thank you, Antoinette.

16 So in terms of next steps, as we shared, staff is
17 working diligently to complete the procurement process to
18 select organizations to work with community partnerships
19 to identify -- thank you again, I should know better --
20 these strategies and activities. The goal is to obtain
21 board approval in November of 2015. November 12th, we'll
22 be coming to you all during the commissioners meeting as
23 well as November 19 during the program and planning
24 committee meeting. We will also be conducting a board
25 presentation in November on outcomes achieved through the

1 2013-2015 Building Stronger Families Framework
2 implementation plan.

3 So at this point, so this young man some of you
4 already met, is Antonio Guillermo Calderon who is a
5 four-year old son of our program officer, Joaquin
6 Calderon. Beautiful young man. And we also leave you
7 with some discussion questions in terms of engaging what
8 your thoughts are about this important milestone that
9 we've reached as Best Start, and also any additional
10 information you would like to know regarding the progress
11 of Best Start.

12 COMMISSIONER BROWNING: Susan.

13 COMMISSIONER BOSTWICK: First of all, thank you
14 so much for the presentation. Antoinette, I always
15 appreciate how you take us step by step through this.

16 I just wanted to verify some information and ask
17 a question. You had evaluators that were embedded in each
18 of the Best Start communities, correct? And during that
19 process, they're the ones that actually did help with the
20 communities picking their particular indicators, right?
21 So they were able to give them a lot of technical
22 assistance, right?

23 MS. ANDREWS: Yes.

24 COMMISSIONER BOSTWICK: Okay. The one thing I
25 wanted to say is, in looking at especially the projects

1 going to be implemented in Central Long Beach, I have to
2 say I commend them for this list, but -- and you said it
3 takes time. That seems to be an understatement because
4 some of these are pretty big undertakings. I take a look
5 at one of them, and it's a child abuse prevention/public
6 education campaign. That could be a whole huge project
7 just in itself and they've I've got, what, seven other --
8 six other projections to go along with it.

9 So do you think that -- that in addition to
10 assistance -- technical assistance being given by your
11 staff and by the evaluators, is there some assistance
12 being given to make sure that people don't take on too
13 much so that they don't end up in the long run not meeting
14 some of these goals or coming up with these projects?
15 Because it would be unfortunate to start all of this and
16 have some of these -- these different activities fail.

17 MS. ANDREWS: Absolutely. The supports that we
18 have in place currently are the capacity builders for
19 every community, and that is provided by the Center for
20 the Study of Social Policy. And we also have our staff
21 that is engaged with the partnerships. We also have the
22 resident outreach coordinators.

23 The contract with the developmental evaluators
24 ended -- or will end at end of this month, but we have
25 plans to bring on additional supports around data and

1 learning.

2 The role of the staff and the capacity builder is
3 to work with the organizations to identify what's
4 realistic to accomplish within the time frame. At the
5 same time, we have asked all the communities to think big
6 because we do not want to have episodic attention to
7 multiple projects that really don't roll up into the core
8 results that we seek.

9 So right now what we're doing is thinking through
10 what does it look like for the remainder of this strategic
11 plan and how do we best support communities to be able to
12 implement those projects and to actually achieve results.

13 COMMISSIONER BOSTWICK: Great. And great answer.
14 Thanks.

15 COMMISSIONER BROWNING: Marv.

16 COMMISSIONER SOUTHARD: I know you're already
17 working on this, but one of the opportunities may be with
18 the innovations, too, for the Mental Health Services Act
19 where we're asking for -- we will be asking for
20 communities to put out a bid for a lead agency to
21 implement some trauma-informed, evidence-based practice of
22 their choice. And the goal will be to fund two
23 communities in each supervisorial district. And so I
24 would imagine the Best Start communities would all be
25 candidates for application through that process. And so

1 preparing them to look at the menu of potential
2 evidence-based practices and make sure they align with
3 their priorities so, again, it's -- so the focus that
4 you're looking for remains might be a technical assistance
5 piece that you would be able to offer.

6 And then the way we plan to roll that out is to
7 have the -- to award the contract to a lead agency in each
8 of these communities so that you're selecting lead
9 agencies to help those communities would be really a great
10 thing for those communities in terms of their potential
11 success in the bidding process.

12 MR. GONZALEZ: Yes. We're currently in touch and
13 have been in touch and working very closely with Sam Chan
14 in the Department of Mental Health in terms of the
15 innovations because there is a lot of opportunity there,
16 given the relationships and some of the -- the
17 relationships and the partnerships that have been
18 developed through this process, what we see coming up,
19 what we currently have in existence. I think there's a
20 really great opportunity there.

21 I also think that there's a great opportunity
22 with the services -- with the service integration aspect
23 of Health Neighborhoods, too. And as you remember, we
24 actually met a couple of months ago with our respective
25 staffs and we're doing a follow-up where we're going to be

1 sharing some of the successful collaborations that have
2 occurred since that time between our respective staffs.
3 And it's something that we're looking at expanding with
4 the eye that you just raised right now.

5 COMMISSIONER SOUTHARD: And since you mentioned
6 Health Neighborhoods, a new development that we're
7 pursuing is bringing in the physical built environment
8 county departments also into our Health Neighborhood
9 activities and we're -- we're partnering with parks,
10 libraries, regional planning, and public works, as well as
11 public health and health services to see about that. And
12 we plan to focus that built activity in a particular
13 community in each of the supervisorial districts. So
14 we're in the process of looking where those might be. And
15 so you may be able to assist us in that process that.

16 That process I'm describing is just beginning.
17 We've had an initial set of meetings with the relevant
18 department heads and we're thinking of having kind of a
19 staff and community convening on November the 4th and then
20 follow up from there. So we'll include you in that loop
21 as that develops.

22 COMMISSIONER BROWNING: What about other
23 comments?

24 Nancy.

25 COMMISSIONER AU: Well, I'm -- I want to say

1 congratulations. I'm -- I looked at the list and I said,
2 wow, you actually achieved it. It seemed so daunting just
3 even six months ago. And to see this accomplished, I
4 congratulate you. I think it's tremendous.

5 I do have a question regarding Central Long Beach
6 because I noted that the lead regarding the implementation
7 of this plan that the community has come up with in terms
8 of their priority is with the City of Long Beach's Health
9 and Human Services. So I'm just wondering whether they're
10 also taking sort of a macro-look at all their other
11 contracts that they -- they are usually the implementer or
12 the lead for, and looking at opportunities actually to
13 sort of enhance and even integrate with the Best Start
14 effort as well. And so they could sort of maximize the
15 impact when you talk about family capacities.

16 MS. ANDREWS: Well, the -- thank you for that
17 question because it reminds me of another part of the --
18 my answer to Commissioner Bostwick, and that is, we are
19 interested in collaboratives and not single organizations.
20 And so the Long Beach Health Department is collaborating
21 with a lot of different organizations within the City of
22 Long Beach. I do not have the details in terms of whether
23 and to what extent they're looking at their other funding
24 sources and what they implement. But part of what Long
25 Beach is known for and interested in is around pulling

1 together various resources and building upon what
2 currently exists.

3 But we can definitely share at some point, you
4 know, more detail about how this is being implemented.

5 COMMISSIONER AU: It's very exciting. Thank you.

6 COMMISSIONER BROWNING: Trish.

7 COMMISSIONER CURRY: I'm a little bit confused,
8 so help we walk through this. Some of these say, you know
9 like, need help with parenting or advice and things like
10 that. And so I know First 5, we spent money the last
11 couple of years on getting PCIT up and running. And so
12 when something like that comes up in one of these
13 communities, instead of just funding the program, do we
14 talk to them about funding -- do we bring in our mental
15 health partners and ask about using MHSA dollars to fund
16 that, or do we automatically put out an RFI and try to
17 develop, you know, First 5 money for that?

18 MS. ANDREWS: So the investment in Best Start is
19 really about leveraging and adding value. So when there
20 are things that come up in the communities, the very first
21 thing is what already exists and how do we leverage what
22 exists and then how do we enhance that to insure that
23 families have greater access to it or what additional
24 things might families need so that they're successful in
25 these various programs. So the intent is not to create

1 something new. This really is based on building what
2 exists. And for those things like parent circle or parent
3 cafes, those kinds of things, communities are also
4 thinking -- looking at the other organizations and other
5 resources within their community to sustain that over
6 time.

7 COMMISSIONER BROWNING: Judy, you had a point or
8 a question?

9 COMMISSIONER ABDO: I just wondered if you could
10 talk a little bit more about what you've learned about
11 transitions and what may be happening in the future.

12 MS. ANDREWS: So one of the things that we
13 learned in transitions is that you have to give them time.
14 As we have shared with the board a few months ago, there
15 was a transition from facilitators within the communities
16 to more of a coaching model. The facilitator contracts
17 ended June 30th, but we did not inform the communities
18 until May, beginning part of May. So did not allow the
19 kind of transition that was necessary in order for us to
20 have a more smooth transition.

21 We've learned from that. And, in fact, we have
22 created what we call a transition team made up of two
23 representatives from every community. So as we have these
24 very big decisions that we have to make, we are engaged in
25 the community at the beginning versus waiting and then

1 making a decision that then negatively impacts them. And
2 so that's one of the things that we've learned about
3 transition.

4 So in moving forward, as we think through
5 organizations coming in and working with the community
6 partnerships, the communities we've -- there -- they've
7 been brought along the way from the development of the
8 RFP, which is very different than what we would typically
9 do where staff would take the lead role in developing
10 those in. Instead, we've put it in the hands of
11 communities to develop the program conceptually and then
12 we took what they wanted and developed an RFP. So from
13 the beginning, they know what their strategies and
14 activities are, what the expectations are, what the role
15 of the contractor is or the grantee will be. They are
16 involved in the selection process. They will be involved
17 in the development of performance measures. They will be
18 brought along in terms of the contract negotiation. So
19 from the -- from beginning to end, we are engaging
20 community the entire time, understanding our priorities
21 and understanding who we are as a public entity.

22 We've learned that, you know, if we don't bring
23 the communities along, then we could very easily select an
24 organization and then say, go play with the community
25 partnerships. That is not what we want to do. So we are

1 very clear that there has to be an on-boarding process for
2 these organizations. And in some cases, the organizations
3 that were selected were part of the community partnership
4 and yet they still needed on-boarding to understand that
5 this isn't simply a grant that you then run off and leave
6 the parents behind, but this is true community and parent
7 engagement from beginning to end.

8 So transition is one of the things that we
9 learned. And we're not only looking at transition in
10 terms of organizations coming in, but when contracts end,
11 at what point in time do we inform the community and how
12 do we engage them in conversations about what that
13 transition means, what it looks like, and how we would
14 move forward in a way that really values and respects
15 them.

16 COMMISSIONER ABDO: Thank you.

17 COMMISSIONER BROWNING: One last comment, Duane.

18 COMMISSIONER DENNIS: Yeah. My -- mine is a
19 technical issue. What is the term of these RFPs? because
20 some of the projects are multiyear and so would you need
21 comparable terms for the funding. So I'm really
22 interested in what are the terms of the RFPs.

23 MS. ANDREWS: Currently -- and I want to
24 emphasize currently -- the term is two years. We are very
25 clear that these projects are bigger than two years, which

1 is why in my earlier comments I talked about the fact that
2 we are looking at, what does the next five years of our
3 strategic plan look like, four and a half now, And what
4 role do the communities play in terms of implementation of
5 these projects, and what results are we seeking at end of
6 that five years. And, actually, these projects are so big
7 that they could extend beyond that.

8 But we're giving ourselves a time to be very
9 thoughtful about this, understanding that we are not to be
10 the sole funder for forever and ever. But this is an
11 opportunity to build upon existing infrastructure, to
12 strengthen that infrastructure, and to be a partner in
13 sustainability along with other funders and other
14 stakeholders within the communities.

15 COMMISSIONER DENNIS: So there is possibility,
16 Antoinette, that after the two years, a decision could be
17 made by staff and community to continue the care and
18 activities in some other shape and form?

19 MS. ANDREWS: Yes.

20 COMMISSIONER DENNIS: Okay. That's all. Thank
21 you.

22 COMMISSIONER BROWNING: Okay.

23 MS. BELSHE: May I for a final note because I
24 know we're past the hour. This is a big milestone. And I
25 want to appreciate the commissioners' thoughtful comments,

1 questions, and acknowledgment of the terrific work. Yes,
2 Rafael and Antoinette are standing before you as the
3 leadership team, along with Marsha Ellis of the Best Start
4 communities department. But as Rafael noted, it really
5 has been an organization-wide effort. So I want to
6 acknowledge that.

7 I also want to acknowledge Antoinette has a real
8 important milestone coming up on Sunday. What's happening
9 on Sunday? Antoinette is getting married on Sunday. So
10 we wish Antoinette and her fiance' for a few more days,
11 Bill, a very blessed and beautiful marriage. And most
12 immediately, we really wish Antoinette's back gets in good
13 shape so her mother won't worry about how she's possibly
14 going to get married on Sunday.

15 Congratulations on a very important personal
16 milestone.

17 MR. GONZALEZ: We'll leave this on.

18 MAYOR ANTONOVICH: Ray Jones, public comment.

19 SPEAKER: Thank you. Good afternoon, Mayor
20 Antonovich, commissioners, staff.

21 I am Ray Jones. I'm the executive director of
22 Great Beginning for Black Babies. And during the last
23 commission meeting, I spoke about Great Beginning
24 unprecedented termination from the Welcome Baby program by
25 Centinela Hospital without cause. And I asked the

1 question what are you going to do about it. And while I
2 appreciate your legal counsel's response, I completely
3 disagree that First 5 had nothing to do with gutting our
4 organization. So my question remains. What is this
5 commission going to do about it?

6 I also have another question. While 40 percent
7 of our clients are Hispanic, Great Beginning remains the
8 foremost organization serving thousands of the zero to
9 five population of people of African decent. And without
10 funding, we cannot continue to do that. So my question
11 is, other than the Black Infant Health program, which, by
12 the way, you funded under duress. We were told in 2010,
13 we're going to fund you for one year and never, ever, ever
14 come back again. And I want to thank Mayor Antonovich for
15 -- when he served as commissioner during the last term --
16 I think it was January 2011 -- one of your first official
17 acts was to make the Black Infant Health Program part of
18 the First 5 family.

19 But my question again is, other than the Black
20 Infant Health Program, what is this commission's
21 commitment to the health of the zero-to-five population of
22 people of African? What about my babies?

23 Thank you.

24 MAYOR ANTONOVICH: Adjourned.

25 (At 4:37 PM, the meeting was adjourned.)

C E R T I F I C A T E

I, Heatherlynn Gonzalez, a Certified Shorthand Reporter for the State of California, License Number 13646, do hereby attest that:

The preceding is a true and accurate transcription of the meeting of the organization named herein;

The meeting was taken down in shorthand and transcribed into English under my supervision and authority;

I have no interest, financial or otherwise, in any of the parties, issues, or individuals who are involved in this organization.

Attested to on this 21st day of October, 2015.

CERTIFIED SHORTHAND REPORTER
FOR THE STATE OF CALIFORNIA

FIRST 5 LA

SUBJECT:
Monthly Financial Reports

RECOMMENDATION:
Approval of the monthly financial statements for the month ending September 30, 2015.

BACKGROUND:
Staff provides monthly financial reports for the Commission's review and approval to ensure transparency of the financial status of First 5 LA.

DISCUSSION:
First 5 LA began the month with a cash balance of \$542.7 million. During the month, we received \$8.5 million in revenues. We had \$1.4 million in operating expenditures, \$3.6 million in program expenditures, and \$334,769 in pass-through expenditures. As a result, First 5 LA ended the month with a cash balance of \$545.8 million.

This report includes detailed financial information for the month ending September 30, 2015. The financial statements are unaudited and reported as a "soft close." All materials in this packet and check registers are available online. Statements in this report include the following:

- Revenue and Expense Statement: Summarizes financial statements to highlight the starting cash balance, revenues received, program and operating expenses, and the ending cash balance for the month.
- Balance Sheet: Provides a "snapshot" view of the Commission's assets, liabilities and fund balance as of September 30, 2015.
- Detailed operating and program expenditures: Shows expenses against the FY 2015-16 Budget approved on June 11, 2015, concluding with a report of expenditures related to programs functioning as pass-through agreements.

**Los Angeles County Children and Family First -
Proposition 10 Commission (aka) First 5 LA
Revenue and Expense Statement
September 30, 2015, Unaudited**

	REVENUES AND EXPENDITURES	
Cash Balance as of August 31, 2015	\$ 542,722,160	
Revenue		
Monthly State Allotments	\$ 8,014,076	(1)
State Commission Matching Grant - Cares Program	331,533	
Medi-Cal Administrative Activities (MAA)	-	
State Commission - Other Program Funds	-	
Interest Income - Unreserved	143,808	
Investment Income - Other	-	
Rental Revenue - La Petite	9,264	
Partnerships for Families (PFF) - LA County Dept. of Children and Family Services (DCFS)	-	
Total Revenue	\$ 8,498,681	
Expenses		
Program Budget (Attachment A)		
2015-2020 Strategic Plan: Focusing For The Future	\$ 2,363,395	
Legacy Investments	858,216	
Research and Evaluation	426,776	
Total Initiative/Program Expenses	\$ 3,648,387	
Pass-Through (Attachment B)		
Medi-Cal Administrative Activities (MAA)	\$ 8,351	
Child Signature Program (CSP)	-	
Partnerships for Families (PFF) - LA County Dept. of Children and Family Services (DCFS)	326,419	
Total Pass-Through Expenses	\$ 334,770	
Operation and Administration (Attachment C)		
Personnel	\$ 1,124,680	
General Operating	134,356	
Professional Services	66,952	
Consultant Services	75,663	
Travel & Meetings	13,205	
Capital Improvements	-	
Total Operation and Administration	\$ 1,414,856	
Total Expenses	\$ 5,398,013	
Variance (Revenues - Expenses)	\$ 3,100,668	
Cash Balance as of September 30, 2015	\$ 545,822,828	(2)

NOTE:

- 1) Tobacco Tax Revenue for July 2015.
- 2) Cash Balance excludes fixed assets and liabilities.

**LOS ANGELES COUNTY CHILDREN AND FAMILY FIRST - PROPOSITION 10 COMMISSION (AKA FIRST 5 LA)
PROGRAM EXPENDITURES BY FY 2015-16 BUDGET
SEPTEMBER 30, 2015, UNAUDITED**

INITIATIVE/PROGRAM	FY 2015-16 BUDGET*	SEPTEMBER EXPENDITURES	FISCAL YTD EXPENDITURES	BALANCE REMAINING
2015-2020 STRATEGIC PLAN: FOCUSING FOR THE FUTURE				
Investments and Approaches Reaffirmed by the Board and Aligned with SP				
Families: Placed-Based - Welcome Baby/Select Home Visiting	36,603,000	1,764,544	2,199,726	34,403,274
Communities: Place-Based - Community Capacity Building	17,029,000	429,146	587,824	16,441,176
Policy Agenda/Advocacy	2,797,000	10,000	10,000	2,787,000
Communications & Marketing	4,672,000	41,799	147,979	4,524,021
Communications - Conference Funding	200,000	-	10,000	190,000
Existing Investments Potentially Aligned with SP				
Healthy Kids	2,250,000	-	-	2,250,000
Information Resource and Referral	1,360,000	92,357	194,800	1,165,200
New Investments Under Development (Strategic Plan Implementation Fund)				
Families	636,000	-	-	636,000
Communities	1,093,750	-	-	1,093,750
Early Care & Education (ECE) Systems	370,000	25,549	25,981	344,019
Health, Mental Health & Substance Abuse Systems	546,250	-	-	546,250
Other/Cross - Cutting Activities	490,000	-	-	490,000
LEGACY INVESTMENTS				
At-Risk Fathers Investment	150,000	-	-	150,000
Baby Friendly Hospitals	1,245,000	-	-	1,245,000
Black Infant Health	1,955,000	28,402.00	47,557	1,907,443
Children's Dental Care	10,656,000	161,170.00	161,170	10,494,830
Children's Vision Care	1,341,000	12,274.00	20,978	1,320,022
Early Identification and Intervention - Autism and other Developmental Delays	818,000	63,349.87	71,622	746,378
ECE Environmental Scan	80,000	-	-	80,000
Healthy Food Access	2,064,000	78,327.33	78,327	1,985,673
Little by Little/One Step Ahead	3,515,000	-	288,909	3,226,091
Los Angeles Universal Preschool (LAUP)	55,423,000	-	-	55,423,000
Oral Health & Nutrition - Dental Home	3,904,000	-	-	3,904,000
Parent Child Interaction Therapy	4,642,000	-	-	4,642,000
Partnerships for Families (PFF)	150,000	-	-	150,000
Peer Support Groups for Parents	1,469,000	-	-	1,469,000
Policy Advocacy Fund	2,194,000	181,093.10	181,093	2,012,907
Reducing Childhood Obesity	15,462,000	-	-	15,462,000
Resource Mobilization - ECE	1,225,000	27,751.15	43,126	1,181,874
Resource Mobilization - Funder Partnership	60,000	-	2,474	57,526
Resource Mobilization - Health	1,540,000	-	-	1,540,000
Resource Mobilization - Organizational Capacity Building	550,000	-	-	550,000
Tot Parks and Trails	660,000	-	-	660,000
Universal Assessment of Newborns	8,785,000	305,848.00	433,232	8,351,768
Workforce Development	2,522,000	-	-	2,522,000
Workforce Development - ECE Workforce Consortium	12,798,000	-	-	12,798,000
RESEARCH AND EVALUATION				
Data Development and Integration	2,527,000	45,982	215,389	2,311,611
Data Development with Funders	900,000	-	-	900,000
Program Evaluation	4,240,000	380,794	437,377	3,802,623
TOTAL	208,922,000	3,648,387	5,157,565	203,764,436

* The FY 2015-16 Budget was approved by the Board of Commissioners on June 11, 2015

NOTES -PROGRAM EXPENDITURES BY FY 2015-16 BUDGET:

Journal entries for FY 2014-15 accrued expenses were reversed in July 2015. The amounts reported are the actual program expenditures for September 2015.

LOS ANGELES COUNTY CHILDREN AND FAMILY FIRST - PROPOSITION 10 COMMISSION (AKA FIRST 5 LA)
 EXPENDITURES - PASS-THROUGH
 SEPTEMBER 30, 2015, UNAUDITED

Attachment B

INITIATIVE/PROGRAM - PASS-THROUGH	SEPTEMBER EXPENDITURES	YEAR TO DATE EXPENDITURES
Medi-Cal Administrative Activities (MAA) - LA County Charges	-	-
Medi-Cal Administrative Activities (MAA) - Participation Payment	8,351	8,351
Child Signature Program (CSP)	-	-
Partnerships For Families - LA County Department of Children and Family Services (DCFS)	326,419	753,300
TOTAL	334,770	761,651

**Los Angeles County Children and Family First -
Proposition 10 Commission (aka) First 5 LA
Operating & Administrative Budget Update
September 30, 2015, Unaudited**

OPERATION AND ADMINISTRATION EXPENSE	SEPTEMBER ACTUAL	FISCAL YTD ACTUAL	FY 2015-16 BUDGET	FISCAL YTD VARIANCE
Personnel Related Expenses				
Salaries & Wages	850,928	2,221,265	12,387,038	10,165,773
Fringe Benefits	273,752	776,748	3,980,943	3,204,195
	1,124,680	2,998,013	16,367,981	13,369,968
General Operating Expenses				
ADP Payroll Charges	2,244	6,365	31,000	24,635
Workers Compensation Insurance	-	-	100,000	100,000
Corporate Insurance	28,999	28,999	76,000	47,001
Mileage Expense	4,132	6,420	61,850	55,430
Telephones & Modems	1,935	11,741	65,000	53,259
Printing	3,350	4,137	19,200	15,063
Postage & Delivery	1,100	4,400	13,300	8,900
Office Supplies	3,653	16,816	83,980	67,164
Subscriptions & Publication	711	981	10,060	9,079
Equipment Rental	8,680	20,754	118,200	97,446
Repair & Maintenance - Furniture & Fixtures	33,229	102,925	180,000	77,075
Repair & Maintenance - Equipment	345	1,035	32,000	30,965
Rents & Lease - Offsite Storage	473	9,938	23,700	13,762
Los Angeles County Overhead	6,000	6,000	27,000	21,000
Contingency	7,062	13,181	75,000	61,819
Facilities & Other Supplies	-	23	12,150	12,127
Utilities	16,869	63,420	155,000	91,580
Educational Supplies	-	341	5,300	4,959
Cell Phones	2,739	7,985	52,250	44,265
Hardware & Software Maintenance	12,835	28,447	258,000	229,553
	134,356	333,908	1,398,990	1,065,082
Professional Services				
Audit and Accounting Fees	30,250	30,250	70,000	39,750
Legal Fees	21,018	21,018	175,000	153,982
Membership Dues	-	1,062	82,100	81,038
Professional Development	7,189	10,536	210,800	200,264
Professional Dues First 5 Association	-	-	50,000	50,000
Staff Recruitment	577	577	25,000	24,423
Commission Stipends	-	-	34,000	34,000
Human Resources Related Costs	7,918	10,990	68,000	57,010
	66,952	74,433	714,900	640,467
Consultant Services				
Consultant Fees	74,651	145,645	1,491,000	1,345,355
Other Professional Fees	882	62,757	237,500	174,743
External Reviewers	130	6,020	5,000	(1,020)
	75,663	214,422	1,733,500	1,519,078
Travel & Meetings				
State Prop 10 Commission Activities	-	-	40,000	40,000
Conferences - Travel & Lodging	1,879	5,063	86,242	81,179
Conference - Registration Fees	5,098	9,518	89,485	79,967
Local Meeting Expenses	1,913	7,055	115,900	108,845
Lodging	1,203	4,259	84,876	80,617
Per Diem	3,112	5,268	42,488	37,220
	13,205	31,163	458,991	427,828
Capital Improvements				
Capital Outlay (Equipment Purchases)	-	-	120,000	120,000
TOTAL OPERATING EXPENSES	1,414,856	3,651,939	20,794,362	17,142,423

NOTES - OPERATING & ADMINISTRATIVE BUDGET UPDATE:

The administrative expenses are within the maximum authorized under the Board policy.

* The FY 2015-16 Operating Budget was approved by the Board of Commissioners on June 11, 2015.

**Los Angeles County Children and Families First -
Proposition 10 Commission
Statement of Net Assets
September 30, 2015, Unaudited**

Assets	
Current Assets:	
Cash	\$ 7,011,477
Cash- Morlin Mgmt Corp	26,950
Investment:	
Operating and Allocated funds	504,886,204
Operating Fund - SRI	-
Advance - LA Care Health Plan	8,930,459
Advance - LAUP	26,213,336
Advance - UCLA Dental Home Project	4,267,841
Interest Receivable	-
Other Receivables	6,852,749
Total Current Assets	\$ 558,189,017
Fixed Assets:	
Land	\$ 2,039,000
Building & Improvements	12,076,512
Furniture & Fixtures	627,671
Computer, Software & Accessories	1,755,170
Office Equipment	331,033
Accumulated Depreciation	(4,944,345)
Total Fixed Assets	\$ 11,885,041
Total Assets	\$ 570,074,058
Liabilities and Net Assets	
Current liabilities:	
Other Liabilities	\$ 61,848
Total Current Liabilities	\$ 61,848
Net Assets:	
Investment in capital assets	\$ 11,885,041
Restricted	558,127,169
Total Net Assets	\$ 570,012,210
Total Liabilities and Net Assets	\$ 570,074,058

NOTES:

(1) Other Liabilities include accounts payable, security deposit from La Petite Academy and other related liabilities.

FIRST 5 LA

SUBJECT:
Contracts for approval

RECOMMENDATION:
Approve one new agreement and one amendment and authorize staff to complete final execution of the agreements.

BACKGROUND:
First 5 LA's approved programmatic budget for FY 2015-16 totals \$208,922,000 and the approved operating budget totals \$20,794,362. Funding for these initiatives and programs was included in the budget presented to the Board on May 14 and approved on June 11. For contracts that span across fiscal years, the estimated spending amount for each fiscal year will be included in First 5 LA's annual budgets for approval. Pursuant to the contract, if the Commission does not appropriate funds for the contract in future fiscal years, First 5 LA may terminate the contract. Upon approval of the agreements presented below, staff will complete final execution.

There is **one new agreement** with Martin Luther King Jr. Los Angeles Healthcare Corporation to enhance and support a continuum of care to achieve the goals of improving the initiation and duration of exclusive breastfeeding by improving breastfeeding policies and procedures in birthing hospitals. The Contractor is expected to attain the Baby-Friendly Hospital designation during the course of the contract.

There is **one amendment** with the County of Los Angeles, Department of Mental Health for the Parent Child Interaction Therapy (PCIT) project which seeks to expand access for young children and their families to PCIT services. This is being accomplished by increasing the number of PCIT-certified mental health providers in Los Angeles County and expanding the number and capacities of clinical programs to provide PCIT services. The Contractor is requesting additional funds to support enhanced PCIT service delivery including transportation, childcare services, program supplies, creation of PCIT tool kits, technical assistance through teleconference calls, creation of a PCIT consortium, community events, a PCIT van and capital expenses to retrofit facilities and/or acquire equipment needed to implement PCIT.

DISCUSSION:
Staff seeks the Commission's approval of the agreements summarized in Attachment A.

November 2015

NEW AGREEMENTS										
DEPARTMENT	INITIATIVE AND PROGRAM	CONTRACT (PROJECT) INFORMATION	BOARD APPROVAL DATE	PROCUREMENT METHOD	PROJECT LENGTH	ESTIMATED TOTAL PROJECT COST	*CONTRACT AMOUNT	ANTICIPATED CONTRACT START DATE	ANTICIPATED CONTRACT END DATE	ANTICIPATED PROJECT END DATE
Program Development	Baby Friendly Hospitals / Baby Friendly Hospital Project - Cycle 4	<p><u>MARTIN LUTHER KING JR LOS ANGELES (MLK-LA) HEALTHCARE CORPORATION</u> This investment enhances and supports a continuum of care to achieve the goals of improving the initiation and duration of exclusive breastfeeding by improving breastfeeding policies and procedures in birthing hospitals. The Contractor is expected to attain the Baby-Friendly Hospital designation during the course of the contract.</p>	3/12/2009	RFP	3 Years, 6 Months	\$610,476	\$610,476 Estimated FY 15-16 Spending \$85,000 Impact to FY 16-17 Budget \$170,000 The remaining balance will be spent in future fiscal years.	12/1/2015	5/31/2019	5/31/2019

*Final negotiated amount on the budget

November 2015

Attachment A

AMENDMENTS									
DEPARTMENT	INITIATIVE AND PROGRAM	CONTRACT (PROJECT) INFORMATION	BOARD APPROVAL DATE	PROCUREMENT METHOD	PROJECT LENGTH	CURRENT CONTRACT AMOUNT	AMENDMENT AMOUNT	NEW CONTRACT AMOUNT	*SATISFACTORY PROGRESS ACHIEVED BY CONTRACTOR?
Program Development	Parent Child Interaction Therapy / Parent Child Interaction Therapy	<p>COUNTY OF LOS ANGELES DEPARTMENT OF MENTAL HEALTH (#08379.4) Amendment for additional funding The Parent Child Interaction Therapy (PCIT) project seeks to expand access for young children and their families to PCIT services. This is being accomplished by increasing the number of PCIT-certified mental health providers in Los Angeles County and expanding the number and capacities of clinical programs to provide PCIT services. The Contractor is requesting additional funds to support enhanced PCIT service delivery including transportation, childcare services, program supplies, creation of PCIT tool kits, technical assistance through teleconference calls, creation of a PCIT consortium, community events, a PCIT van and capital expenses to retrofit facilities and/or acquire equipment needed to implement PCIT.</p>	2/10/2011	Strategic Partnership	5 Years	\$16,991,863 \$3,865,380 of which is budgeted for FY 15-16	\$1,463,600	\$5,328,980	Yes 132

*Satisfactory progress is based on whether contractors and grantees are making or will be expected to make satisfactory progress towards completion in the current agreement by the contract expiration date.

FIRST 5 LA

SUBJECT:

Los Angeles Universal Preschool (LAUP) Fund Balance

RECOMMENDATIONS:

1. Approve LAUP's utilization of its Fund Balance (est. \$45-50M) for a period of up to four years following end of the Master Agreement on June 30, 2016
2. Authorize First 5 LA staff to begin contract negotiations with LAUP for a FY 16-17 contract entailing activities in alignment with First 5 LA's current Strategic Plan

BACKGROUND:

The Second Master Agreement with LAUP will conclude on June 30, 2016. Previously, LAUP had two sources of funds under the Master Agreement. The first, entitled the Performance Incentive Fund (PIF), was established by the Commission on June 11, 2009 to incentivize cost savings. In each year of the contract there were unspent monies. LAUP had the ability to access those funds contingent upon meeting programmatic targets. In addition, a separate Sustainability Fund (SF), previously referred to as the Early Learning Endowment existed. As the contract with LAUP evolved, First 5 LA staff recommended these two funds merge into a single Fund Balance, and this action was approved by the Board in November 2014.

Prior to the FY 15-16 contract renewal process, First 5 LA staff requested the directional endorsement of LAUP's use of the Fund Balance following the end of the Master Agreement on June 30, 2016. The use of the remaining LAUP Fund Balance was endorsed by the Board on April 9, 2015 (Agenda Item: 5A), with the contingency that funds were to be used exclusively on First 5 LA's and LAUP's mutually aligned priorities and associated strategies around policy and advocacy, Quality Rating and Improvement Systems (QRIS) and workforce development. In May 2015, the Fund Balance was estimated to be between \$30 and \$40 million. However, the Fund Balance following the end of the LAUP Master Agreement is currently estimated at \$45-50 million. Staff recommends that the remaining Fund Balance be utilized over the course of up to four years, FY 17- FY 20.

This memo serves to inform the Board of some key areas around which LAUP proposes to utilize the remaining Fund Balance. Upon approval from the Board of Commissioners for LAUP to access the Fund Balance following the end of the Master Agreement, First 5 LA staff will continue to work with LAUP to develop documents, including a performance matrix, budget, and budget narrative, to execute a new contract with LAUP to perform activities mutually aligned with both organizations' respective strategic plans for FY 16-17 through FY 19-20. The plan for LAUP's use of the Fund Balance was presented as information to the First 5 LA Special Meeting of the Board of Commissioners/Program and Planning Committee on October 29, 2015 (Agenda Item: 3B).

DISCUSSION:

Pursuant to LAUP's 2015-2019 strategic plan, LAUP is currently in Phase II of a three-phased approach toward its implementation. While Phase I was focused largely on implementation planning, Phase II began on July 1, 2015. During this phase, LAUP will shift its primary focus from providing tiered payment for preschool spaces based on classroom quality to providing quality improvement supports in the form of coaching and training and technical assistance. Following the end of the Master Agreement on June 30, 2016, LAUP will enter Phase III of its strategic plan, which will carry the organization through FY 19-20. It is during this period that staff recommends the use of the Fund Balance from its original allocation to support LAUP efforts directly aligned with the objectives and strategies outlined in First 5 LA's 2015-2020 Strategic Plan.

These shared objectives and strategies around increased access to quality, affordable early care and education fall under the following three areas: The estimated percentage of total funds is noted below.

- 1) Policy and advocacy supporting high quality early learning at the local, state, & federal level (10%)
- 2) Uniform QRIS in LA County (80%)
- 3) ECE workforce development (10%)

Policy and Advocacy

Together, LAUP and First 5 LA have developed shared messaging around the end of the Master Agreement and have expressed a commitment to working together, alongside other key stakeholders, to advocate for more sustainable local, state, and federal funding for quality early care and education. Our organizations' history of and commitment to continuing our work together has resulted in numerous wins to date, including bringing Race to the Top – Early Learning Challenge and California State Preschool Program QRIS Block Grant funds to Los Angeles County.

In addition to advocacy efforts focused on increasing access to quality early care and education (ECE), strengthening the ECE workforce, and investing in quality measures that support the classroom experience for children ages 0-5, LAUP will also work in tandem with First 5 and other relevant partners to urge policy makers to raise provider reimbursement rates and to support programs and policies to strengthen family engagement. One critical element of our organizations' future advocacy work is maintaining flexibility so that the policy agenda can be responsive to critical and unforeseen changes that may arise within the policy landscape.

In support of its future advocacy efforts, LAUP will draw upon the talents and resources of its 3,000 Parent Ambassadors, trained by LAUP through a grant from the California Community Foundation (CCF). The Parent Ambassadors who have gone through LAUP's Parent Ambassador Program are familiar with the importance of civic engagement, crafting a message, speaking with elected officials and coalition building. These parent advocates are well-equipped to communicate with decision makers about the impact of quality early learning experiences for young children, and occasionally participate in legislative trips to Sacramento and/or Washington, DC.

Uniform QRIS in LA County

At the September 24, 2015 Special Meeting of the Board of Commissioners and Program and Planning Committee, First 5 LA's Board of Commissioners learned more about QRIS broadly, and about First 5 CA's newest funding initiative, entitled Improve and Maximize Programs so All Children Thrive (IMPACT). IMPACT's purpose is to support a network of local quality improvement systems to better coordinate, assess, and improve the quality of early learning settings. This five-year initiative would mean an investment of approximately \$13.3 million into Los Angeles County and requires a First 5 LA match of \$8.3 million. While IMPACT does have programmatic targets, its primary focus is systems building.

First 5 LA will play the role of convener among key stakeholders to further develop a uniform QRIS in Los Angeles. Currently, this group – named the QRIS Architects – includes LAUP, Los Angeles County Office of Education (LACOE), Child Care Alliance of Los Angeles (CCALA), and Office of Child Care (OCC). Facilitated by a third party consultant, VIVA Strategy + Communications, together the stakeholders agreed that Los Angeles County would be best served by utilizing IMPACT funds as a means to create a countywide vision and approach to QRIS regardless of funding stream.

In order to meet the match requirement for the First 5 CA IMPACT initiative, a portion of the LAUP Fund Balance (layered with state QRIS Block Grant funding) will be used to meet the site target of 468 sites in Los Angeles County as required under IMPACT. This approach has numerous advantages for both LAUP and First 5 LA. Not only will this approach allow First 5 LA to meet the IMPACT match requirement without allocating any new funds, it will allow LA County to maintain high quality sites, even after the Federal Race to the Top-Early Learning Challenge (RTT-ELC) funding of \$15.78M ends in June 2016. In addition, LAUP is familiar with First 5 CA reporting requirements through previous initiatives such as the Child Signature Program (CSP) and CARES Plus and is currently meeting site

targets required by IMPACT funding through RTT-ELC funding. Consequently, LAUP is well-equipped to meet the reporting and evaluation requirements of the IMPACT initiative. The approach of utilizing a portion of the LAUP Fund Balance to meet IMPACT site targets allows us to leverage existing funds and focus on QRIS systems building with QRIS partners without infusing significant new resources into a system not yet equipped to handle such an infusion of funds. Finally, this would allow a number of LA's existing QRIS-rated programs to remain engaged in LA County's QRIS despite the end of RTT-ELC. In maintaining these sites through a portion of the LAUP Fund Balance, sites will be able to maintain quality supports which facilitate the maintenance of a site's quality rating. Continued service of providers will help maintain the existing infrastructure of quality child care in Los Angeles County as the QRIS Architects develop a uniform approach to QRIS and work to develop a model that is affordable and scalable.

While staff proposes that a portion of the LAUP Fund Balance be utilized to meet IMPACT site target requirements, it is important to note that this will occur in tandem with conversations among the QRIS Architects about how to develop a longer-term approach for QRIS that works for the County. As this approach is developed, the manner in which QRIS is implemented may be altered to better suit the unique needs of the children and child care providers in LA County. While LAUP proposes utilizing their own model to serve the required IMPACT sites, this does not bind Los Angeles County to this model in the future, nor does it mean that QRIS will be implemented exclusively by LAUP or using the LAUP model of quality improvement. Additionally, the utilization of the LAUP Fund Balance to meet the rated site requirements under IMPACT does not exclude service or targets outside that catchment – that is, there is the opportunity to serve sites beyond those served by LAUP through additional funding sources.

As part of maintenance of the site targets, each of the 468 required IMPACT sites will have access to a team of LAUP staff to assist them in following a continuous quality improvement cycle. The improvement cycle will include biannual assessment and tier assignment based on the California Quality Continuum Framework (QCF). The model assumes that program needs will vary and therefore quality improvement supports will vary based on the Tier rating a site receives. Program staff at sites rated 1-3 will be assigned a Coach, Program Leadership Consultant (PLC), and Workforce Development Specialist (WDS) to identify areas of need and set improvement goals, whereas sites rated 4-5 will work with a Coach and Family Engagement Specialist (FES) to set improvement goals and use the Strengthening Families framework as a guide to develop goals aimed at improving family and community engagement.

During the first year of the proposed agreement with LAUP, the provision of quality improvement services by LAUP to maintain the quality sites rated through RTT-ELC would be delivered as they are under the contract. However, it is the intention of both First 5 LA and LAUP that over time, LAUP will use this period to evaluate the quality improvement model and together with other QRIS stakeholders, establish ways in which to make it the most cost effective so that it can be scaled more broadly in Los Angeles County in future years. When F5LA staff comes to the Board to renew the contract for FY 17-18, we will identify any changes to the model based on information collected and analyzed during Year 1 of the proposed agreement with LAUP.

Workforce Development

It is through both policy and advocacy as well as a uniform QRIS that LA County can see the most meaningful changes in its ECE Workforce Development system. The struggles faced by the ECE workforce are well-established, and it is through policy change that First 5 LA and LAUP can most effectively influence the quality of and improve conditions for the ECE workforce. LAUP will focus on areas such as strengthening the professional development system for ECE providers working in a variety of settings (center-based, family child care homes, license-exempt) and advocating for other issues related to the ECE workforce, including reimbursement rates that reflect the true cost of care. These activities will help ensure that ECE is a viable, long-term career option for those entering the field. With the Fund Balance from the Master Agreement, LAUP will address issues around workforce development through the aforementioned pillars – policy and advocacy and a uniform QRIS.

First 5 LA

SUBJECT:

Policies for approval on consent (presented to the Board as an informational item at last month's Board meeting and to the Executive Committee in September).

RECOMMENDATION:

Approve these three Board-approved policies:

1. Records Retention and Destruction Policy
2. Electronic Storage of Official Records Policy
3. Public Records Request Policy

BACKGROUND:

As a public entity, under state law First 5 LA is required to maintain access to records used to conduct official public business, and can only destroy those records with prior approval from the Board. These policies establish:

- definitions used to adhere to state requirements (including clarification of what is a public record and what is not a public record),
- timelines for which various types of public records must be maintained (addressed in the "Records Retention Schedule"),
- internal procedures for records retention and destruction, including electronic storage, and
- internal procedures for responding to requests for public records.

Throughout its history, First 5 LA has complied with these state requirements but did not have a consistent process for implementing these requirements across the entire organization. Since February 2014, the First 5 LA internal policy workgroup (3M) has been working with our legal counsel on updating these policies, providing important procedural guidance to staff should the policies be adopted. For example, the "Records Retention and Destruction Policy" provides overall guidance on requirements to retain records and how to go about seeking Board approval for their destruction. And for the first time, this policy includes a comprehensive master "Records Retention Schedule," outlining over 130 series of records, providing a specific retention period for each type of record. The schedule also breaks down types of records held by function versus department so that even if departments change, the schedule remains valid.

The "Public Records Request Policy" further outlines how to handle public requests for these official records in a way that is responsive to the public's right to see how official public business is conducted, consistent with state law and the policies and timeframes put forth in the "Records Retention and Destruction Policy." In addition, by clarifying the definition of these records and their timeframe for retention, we are better able to appropriately handle record destruction. Since working on the revisions to these policies, First 5 LA has not sought Board approval to destroy public records, which presents a cost to the organization.

Finally, the "Electronic Storage of Official Records Policy" outlines the policies and procedures for establishing an electronic data management system (EDMS) that will be the trusted system of record for official documents.

These policies and procedures require Board approval, due to the nature of their content. The policies were presented for your review at the October 8, 2015 Board meeting and we are now bringing them back for final consideration and approval. Prior to coming to the full Board, policies

are brought before the Executive Committee for their review and input. All three of these policies were reviewed by the Executive Committee on September 23, 2015.

DISCUSSION:

Upon Board approval, First 5 LA management will put in place an internal structure to implement these policies. The internal process will include a mapping of existing documents, a training on the policies and procedures for all staff and specialized training for key staff, a migration from our current systems to the new EDMS, and a clean-up of existing documents (in paper and in electronic form). Additionally, training for Commissioners on the policies and procedures will also be conducted. It is expected this implementation will take at least 12 months.

Los Angeles County Children and Families First Proposition 10 Commission

SUBJECT: Records Retention and Destruction Policy	Policy Number: E-1002x
	Effective Date:
	Supersedes: 01/12/12, 11/06/01
Initiating Authority: Executive	Page 1 Of 5

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 LA to reduce records inventories that are obsolete and no longer have a public use.

II. APPLICATION

This policy applies to all First 5 LA employees and officials.

III. POLICY

First 5 LA chooses to comply with the provisions of Government Code Sections 34090-34090.7, inclusive, pertaining to the retention and destruction of local government records, to facilitate the proper retention and destruction of agency records. This policy provides guidelines and procedures for the retention of active records, destruction of obsolete records, and purging of documents that do not have to be retained.

All First 5 LA records shall be retained in full compliance with this policy and applicable law. Destruction of First 5 LA records, and purging of non-records, shall be permitted only in compliance with the requirements of Government Code Sections 34090-34090.7 and this policy.

DEFINITIONS

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

“First 5 LA record”: A writing (as defined below) regarding the conduct of First 5 LA business, which is in the custody of a First 5 LA 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. 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 LA 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.

“Non-record”: A writing that does not constitute a First 5 LA Record, including: (1) magazines or publications not produced by First 5 LA; (2) library or museum material intended solely for reference or exhibition; (3) transitory writings, including working papers, appointment logs, notes, calculations or preliminary internal drafts, or internal correspondence (including intra-agency memoranda), that are not retained by First 5 LA in the ordinary course of business even if they contain information relating to the conduct of the First 5 LA’s business; (4) unofficial duplicate of documents kept only for convenience or reference; and (5) documents that do not contain information relating to the conduct of First 5 LA’s business.

“Writing”: Any handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail (e-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 LA record series identifies the type of record to be retained. The content of each record series 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:

- **Record Series: identifies the type of First 5 LA record to be retained.**
- **Description of Records: describes the record by content and may include examples of records that are covered by the Record Series.**
- **Retention Period: establishes the period of time the document must be retained.**
- **Legal Authority: identifies relevant laws used in determining the retention period.**

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 Section IV.E of this policy, unless longer retention is required by a legal hold (see Section IV.C) 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.

a. **Contractual obligations may impose longer retention periods**

First 5 LA has contracted with various grantors to receive funding in addition to its Proposition 10 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 LA is the grantor.

As a condition of receiving monies through funding source agreements, First 5 LA has agreed to retain certain records specified in the grant agreements for a set length of time. First 5 LA 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.

b. Electronic Document Management System

First 5 LA 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 LA has adopted an administrative policy for converting and storing paper records in the Electronic Document Management System in compliance with California state law.

B. NO DESTRUCTION OF FIRST 5 LA RECORDS WITHOUT BOARD APPROVAL

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

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

For those First 5 LA 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.

C. 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 LA to preserve and not destroy any records potentially relevant to any of the following actions which First 5 LA 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.

D. PURGE OF NON-RECORDS

Non-records need not be retained and should be purged pursuant to this policy when no longer needed, provided a legal hold does not prohibit their destruction.

Duplicate copies of records are non-records. Pursuant to Government Code Section 34090.7, duplicate copies of records less than two (2) years old may be destroyed if the duplicate copies are no longer required, unless the duplicate copies are subject to a legal hold (see section IV.C above).

E. DESTRUCTION OF FIRST 5 LA RECORDS

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

Step 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 (see Section IV.C above)?
- 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 LA, provide valuable research data, or document the history of First 5 LA and its departments.

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

Step 2: A list will be made of all records to be destroyed and submitted to the Chief Operating Officer (COO) or designee or applicable Department head for written approval. The list of records shall not include any First 5 LA records subject to a legal hold, and the COO or designee or Department Head shall sign a destruction form so attesting.

Step 3: This list, and the signed destruction form, will be presented to First 5 LA legal counsel who will be asked to review and approve the destruction of the records identified.

Step 4: Once the written approval of legal counsel has been obtained, a resolution will be brought before the Board at an open meeting requesting approval of the request to destroy those records.

Step 5: The Board shall authorize records destruction by resolution.

The COO or designee will coordinate with any department requiring destruction of records to ensure protocol is followed and requisite review and approvals are obtained from Legal Counsel and the Board.

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 Step 1 basis for retaining the records for a longer period than set in the Records Retention Schedule.

Exception: First 5 LA Records Pre-Approved for Destruction

In the event the Records Retention Schedule expressly states that a First 5 LA record may be destroyed without further Board approval, such record is not subject to the destruction resolution requirement above and may be destroyed without further approval.

F. DESTRUCTION

The secure destruction of any record shall be by burning, shredding, or other mechanism which shall render its content forever unreconstructable.

G. TRAINING

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

First 5 LA

DRAFT Records Retention Schedule

ALL DEPARTMENTS			
Records Series Category	Description of Records See Footnote 4 for Definitions	Recommended Retention Period ^{FN1}	Legal Citation
Agendas and Minutes – 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	Gov't Code § 34090
Agendas and Minutes – External Meeting with Grantees, Consultants, Contractors, or Vendors	Includes agenda, minutes, meeting summaries and attendance record, if any, for meetings with grantees, consultants, contractors, or vendors. NOTE: Transfer records to Contract Compliance Department if related to compliance or performance issues.	Contract termination plus 4 years or project completion plus 4 years, whichever is later (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
Agendas and Minutes – External Meetings Convened by First 5 LA (Not Involving Grantees, Contractors, Consultants, or Vendors)	Includes agenda, minutes, meeting summaries and attendance record, if any, for all other meetings convened by First 5 LA that are held with persons or entities external to First 5 LA, who are not grantees, contractors, consultants, or vendors.	2 years	Gov't Code § 34090
Budget Tracker	Spreadsheet or chart tracking grantee, contractor, consultant, or vendor expenditures. Applies to those departments that use a budget tracker.	Contract termination plus 2 years or project completion plus 2 years, whichever is later (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
Calendars	Appointment books and scheduling calendars	4 years	Gov't Code § 34090

ALL DEPARTMENTS

Records Series Category	Description of Records See Footnote 4 for Definitions	Recommended Retention Period ^{FN1}	Legal Citation
Contract Working Documents	<p>Miscellaneous records related to grantee, contractor, consultant, or vendor that are not retained by Contracts Compliance and not covered by another records series category. May include negotiating history retained by department, and post-contract records not transferred to Contracts Compliance.</p> <p>NOTE: Department is not required to retain working documents except to the extent required by First 5 LA policy. To the extent working documents are retained, this retention period applies.</p>	Contract termination plus 2 years or project completion plus 2 years, whichever is later (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
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</p> <p>NOTE: Transfer to Contract Compliance Department internal and external correspondence related to compliance or performance issues.</p>	Contract termination plus 2 years (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
Correspondence - Other	<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 does not fall under any other retention category. If subject matter requires longer retention, use the longer retention period.</p> <p>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 LA Records Retention and Destruction Policy for details.</p>	3 years	Gov't Code § 34090

ALL DEPARTMENTS

Records Series Category	Description of Records See Footnote 4 for Definitions	Recommended Retention Period ^{FN1}	Legal Citation
Evaluations Prepared by Staff	Program evaluations prepared by staff.	Program termination plus 4 years (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
Procedures – Department (re: Grantees, Contractors, Consultants or Vendors)	<p>Internal procedures developed by the certain departments generally involving interactions with contractors or grantees. Examples: Site visit procedures, progress report, invoice review/approval, and budget modification procedures.</p> <p>NOTE: If a procedure may be used as basis for terminating a contract, save superseded procedure for same length of time as any contract covered by the procedure.</p>	<p>Until superseded, but retain minimum 2 years (see FN 1) unless used as a basis for contract termination</p> <p>If used as basis for terminating a contract, see NOTE under Description of Records.</p>	Gov't Code § 34090
Documents for Transactions Less than \$5,000	<p>If an agreement is executed, transfer agreement documents to Contract Compliance for retention.</p> <p>Transfer Purchase Request and Invoice to Finance. All other documents related to transaction, department retains.</p>	Completion of transaction plus 4 years (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
Draft Documents (Internal) - Retained	<p>Internal drafts of correspondence, memos, presentations, reports and other documents retained in the ordinary course of business.</p> <p>NOTE: First 5 LA is not required to retain internal drafts. To the extent internal drafts are retained, a minimum 2 year retention period applies. See First 5 LA Records Retention and Destruction Policy for details.</p>	2 years	Gov't Code § 34090

ALL DEPARTMENTS

Records Series Category	Description of Records See Footnote 4 for Definitions	Recommended Retention Period ^{FN1}	Legal Citation
External Resources / Research Literature	<p>External resources not produced for or by First 5 LA, but used in support of a decision by First 5 LA (for example, when summarized or quoted in a staff report). Includes newspaper, magazine or journal articles, briefs, and reports.</p> <p>NOTE: If not used to support a decision, External Resources may be destroyed when no longer needed.</p>	2 years	Gov't Code § 34090
Legal Opinions	Legal opinions received from counsel regardless of format (includes letters, memos, emails, etc.)	Until superseded, but retain minimum of 4 years (See FN 1)	Gov't Code § 34090; Civ Code Proc. § 340.6
Lists/Rosters	Mailing lists, and other lists and rosters created for internal use, such as lists of potential conferences staff may be interested in attending, lists of department projects, grantee/contractor lists, vendor lists, and lists of Commissioners and Committee appointments.	Until superseded, but retain minimum 2 years (See FN 1)	Gov't Code § 34090
Planning - Department	Planning documents regarding internal Department planning.	2 years	Gov't Code § 34090
Planning - Projects	Internal projects such as LCFF, OTT, staff development, etc.	Project termination plus 2 years	Gov't Code § 34090
Presentations – External and Internal	<p>Public presentations (external) not tied to a particular grant or contract. (Does not include presentations given to the Board or a Committee. See Executive Department Records Retention Schedule.)</p> <p>Presentations given to other departments or intra-department.</p>	2 years	Gov't Code § 34090
Reports – Internal	Internal reports unrelated to a specific grantee, contractor, consultant or vendor. Includes Program Officer Monthly Progress Reports; requests from another department to provide data or information, if retained; and records of work groups internal to First 5 LA regarding various topics.	2 years	Gov't Code § 34090
Training and Outreach	Department records related to conference and seminar attendance.	2 years	Gov't Code §34090

ALL DEPARTMENTS

Records Series Category	Description of Records See Footnote 4 for Definitions	Recommended Retention Period ^{FN1}	Legal Citation
Training Presentations	Training presentations given to First 5 LA staff.	Until superseded, but retain for no less than 2 years (See FN 1)	Gov't Code § 34090
Video Recordings	Video recordings of events.	10 years	Gov't Code § 34090
Correspondence - Support Letters	Correspondence in support of a project or initiative. For example, CHOICE, Promise Neighborhoods, Promise Zone 2013, etc.	3 years	Gov't Code § 34090
Membership Information	Records related to First 5 LA's membership in various external organizations.	2 years	Gov't Code § 34090

BEST START COMMUNITIES

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Best Start Community Documents	Documents related to the Best Start Communities including partnership sign-in sheets, governance guidelines, community plans and assessment reports.	TBD	Gov't Code § 34090

CONTRACT COMPLIANCE DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Appeals	Appeals related to contract solicitations.	Conclusion of appeal plus 2 years	Gov't Code § 34090; Civ Code Proc. § 337

CONTRACT COMPLIANCE DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Agendas and Minutes – External Meeting with Grantees, Consultants, Contractors, or Vendors	Includes agenda, minutes, meeting summaries and attendance record, if any, related to compliance or performance issues.	Contract termination plus 4 years or project completion plus 4 years, whichever is later (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
Contracts, Amendments and MOUs. Insurance Documentation	Executed agreements with all exhibits; amendments; and related proof of insurance	Permanent	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
Contract related Documents and related Procurement Documents, for Grantees, Consultants, Contractors, and Vendors (Except MAA, See "Contract Documents - MAA" below)	First 5 LA forms, corporate/agency documents, compliance documents, correspondence related to contract compliance, site visit reports, and procurement documents. NOTE: Exception. If funding source agreement requires longer retention period, retain those related records for the longer retention period stated in the agreement. See FN 2.	Contract termination plus 4 years or project completion plus 4 years, whichever is later (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
Contract Working Documents	Records including contractual term negotiating history.	Contract termination plus 2 years or project completion plus 2 years, whichever is later (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
Contract related Documents, and related Procurement Documents, for MAA-funded Contracts	First 5 LA forms, corporate/agency documents, compliance documents, correspondence, and procurement documents. Finance Department is custodian for all other records related to MAA. See FN 2.	Termination of LA County MAA Agreement plus 5 years (unless LA County approves in writing a shorter term, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements

CONTRACT COMPLIANCE DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Contract Procurement Documents - Cancelled Solicitations	After an RFQ or RFP was issued, it was cancelled and no agreement was finalized, executed or acted upon. Records covered by this record series include the RFQ or RFP and any proposals or statement of qualifications received by First 5 LA.	Cancellation plus 3 years	Gov't Code § 34090; Civ Code Proc. § 337
Contract Procurement Documents - Unsuccessful Proposer	Proposals and statements of qualification, application, correspondence, and review tool related to unsuccessful applications.	Date of declination plus 2 years	Gov't Code § 34090; Civ Code Proc. § 337
Deliverables, Reports and Evaluations Produced by Grantees, Contractors, Consultants or Vendors	Deliverables, reports, or evaluations that are produced by a grantee, contractor, consultant or vendor, except lobbying (see Policy Dept Schedule for Deliverables related to lobbying, 7 year minimum).	Contract termination plus 4 years or project completion plus 4 years, whichever is later (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
Correspondence - Internal (re: Grantees, Contractors, Consultants or Vendors)	Substantive correspondence exchanged internally regarding grantees, contractors, consultants or vendors that implicates non-compliance or non-performance issues, including email and other memoranda.	Contract termination plus 4 years or project completion plus 4 years, whichever is later (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
Correspondence - External (Grantee, Contractor, Consultant or Vendor)	External correspondence, including emails, memos and letters, exchanged with grantee, contractor, consultant or vendor related to compliance and performance issues.	Contract termination plus 4 years or project completion plus 4 years, whichever is later (unless funding source agreement requires longer retention, see FN 2)	Gov't Code §34090; Civ Code Proc. § 337; First 5 LA Agreements
Memoranda of Understanding (MOUs)	Agreements entered into that do not commit First 5 LA to expend money.	MOU termination plus 4 years	Gov't Code § 34090; Civ Code Proc. § 337
Pool Documents - Successful Proposers	Proposers who are pre-screened to be part of a pool from among which staff may choose to solicit for future projects. Includes solicitation documents, proposal/application, completed First 5 LA forms and documents, and related correspondence.	Termination of pool membership plus 2 years (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements

CONTRACT COMPLIANCE DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Pool Documents - Unsuccessful Proposers	Records related to proposers who are not chosen to be part of a pool. Includes declination Letter and proposal/application.	Date of declination plus 2 years (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements

EXECUTIVE DEPARTMENT INCLUDING COMMISSION AND COMMITTEES

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Part 1: Department Records			
Agendas and Minutes – External (Quarterly L.A. County Meetings)	Quarterly meetings with Board of Supervisor Deputies. Includes agenda, minutes, meeting summaries and attendance record, if any.	2 years	Gov't Code § 34090
Correspondence - External – Real Property/Metro Union Station	Correspondence regarding real property issues exchange with or about Metro Union Station.	Permanent	Gov't Code § 34090
Correspondence – External – State and County	Substantive correspondence exchanged with Los Angeles County or First 5 California or any other state agency. Includes emails, memos and letters involving substantive issues.	3 years	Gov't Code § 34090
Executive Department Initiatives	Projects initiated by the Executive Department that are not covered by another department's retention schedule and are not related to a contract or agreement. Example: L3 (listening, learning & leading) Initiative.	2 years	Gov't Code § 34090
FPPC Statement of Economic Interest (Form 700) for Code Filers	Copies of FPPC forms for Board of Commissioners, Alternate Commissioners, Ex-Officio Representatives, and Chief Executive Officer. Original forms are forwarded by First 5 LA to Los Angeles County and First 5 LA retains a copy.	4 years	Gov't Code § 81009(f)

EXECUTIVE DEPARTMENT INCLUDING COMMISSION AND COMMITTEES

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
FPPC Statement of Economic Interest (Form 700) for Filers Designated in First 5 LA's Conflict of Interest Code	Original FPPC Statement of Economic Interest (SEI) for the designated positions on First 5 LA's Conflict of Interest Code. The originals of these SEIs (also known as Form 700s) are retained by First 5 LA.	7 years	Gov't Code § 81009(e)
Policies and Procedures for First 5 LA - Agency-wide	Policies and procedures applicable to all employees and departments.	Permanent	Gov't Code § 34090
Real estate - Ownership	Records related to First 5 LA's ownership of real estate and any building construction or capital improvements.	Permanent	Gov't Code § 34090; Civ Code Proc. § 337.15
Real estate - Lease	Record related to tenant's lease of First 5 LA's property.	Lease expiration plus 4 years	Gov't Code § 34090; Civ Code Proc. § 337.2
Part 2: Commission and Committee Records			
Audio Recordings	Audio recordings of Commission and Committee meetings. Recordings may be destroyed 30 days after the recording is made, without further action of the Board, unless a recording is subject to a legal hold.	30 days	Gov't Code § 54953.5(b)
Budgets – Final Adopted	The final budget as adopted.	15 years	Gov't Code § 34090
Bylaws	First 5 LA adopted bylaws.	Permanent	Gov't Code §34090

EXECUTIVE DEPARTMENT INCLUDING COMMISSION AND COMMITTEES

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Correspondence –Commission or Committee	<p>Substantive correspondence received by or sent on behalf of the Board of Commissioners or a Committee, related to First 5 LA business. Includes emails, memos and letters involving substantive issues not related to a grant, contract, lobbying, employment, or public records request, and that does not fall under any other retention category. If subject matter requires longer retention, use the longer retention period.</p> <p>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 LA Records Retention and Destruction Policy for details.</p>	3 years	Gov't Code §34090
Meeting Agendas	Meeting agendas for Commission and Committees	Permanent	Gov't Code §34090
Meeting Minutes, Transcripts or Action Summaries	Meeting minutes, transcriptions, or action summaries for Commission meetings and Committee meetings.	Permanent	Gov't Code §34090
Meeting Packets including Late Correspondence	Includes staff reports, presentations, late correspondence, and other meeting materials distributed in advance of, or at, Commission meetings and Committee meetings.	15 years	Gov't Code §34090
Resolutions	Resolutions of the Commission or Committees.	Permanent	Gov't Code §34090

FINANCE DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
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FINANCE DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Accounts Payable	<p>Includes records of payments made to vendors, contractors, consultants, grantees, etc., and related back-up documentation.</p> <p>NOTE: Exception. If funding source agreement requires longer retention period, retain those related records for the longer retention period stated in the agreement. See FN 2</p>	Fiscal year-end audit closed plus 7 years, (but see Note and FN 2)	Gov't Code § 34090; 29 CFR §§ 516.2, 516.5, 516.6; 22 CCR § 1085-2(c); 26 CFR § 31.6001-1(e)(2); Labor Code § 1174(d); FPPC Lobbyist expenses 2 CCR § 18610; First 5 LA Funding Contracts
Accounts Receivables	<p>Includes records of monies received by First 5 LA.</p> <p>NOTE: Exception. If funding source agreement requires longer retention period, retain those related records for the longer retention period stated in the agreement. See FN 2.</p>	Fiscal year-end audit closed plus 7 years, (but see Note and FN 2)	See A/P
Annual Audit - Final	Final audit report.	Permanent	Gov't Code § 34090
Audit Working Papers	<p>Working papers related to either the annual audit or a special audit.</p> <p>NOTE: Exception. If funding source agreement requires longer retention period, retain those related records for the longer retention period stated in the agreement. See FN 2.</p>	Fiscal year-end audit closed plus 7 years, (but see Note and FN 2.)	See A/P
Banking Records – Registers, Reports and Statements	<p>Bank Registers, Blackbaud report and Monthly statements</p> <p>NOTE: Exception. If funding source agreement requires longer retention period, then <u>all</u> banking records must be retained for the longer retention period stated in the agreement.</p>	Fiscal year-end audit closed plus 7 years, (but see Note and FN 2)	See A/P
Banking Records – Signature Cards and Applications	Bank signature card authorizations and credit card applications	The earlier of termination of account plus 4 years or superseded authorization plus 4 years	Civ. Code Proc. § 337

FINANCE DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Budgets - Working Papers	Documentation used to create budget, to the extent such documentation is retained. Executive Department is custodian of final budget.	2 years	Gov't Code § 34090
Census Bureau - Annual Survey for Government Finances	A voluntary program that First 5 LA participates in per 13 U.S.C. §182.	2 years	Gov't Code § 34090
Check Registers	Used for payment approval.	2 years	Gov't Code § 34090
Credit Applications completed by First 5 LA.	Applicable when First 5 LA is the vendor, such as renting a meeting room.	Event plus 4 years	Gov't Code § 34090; Civ. Code Proc. § 337
Financial Reporting – Asset Inventory & Depreciation Schedule	Includes Capital Asset Inventory list and depreciation schedules.	Fiscal year-end audit closed plus 7 years	See A/P
Financial Reporting – Monthly Report	Electronic copy of monthly financial report included in Commission packet.	2 years	Gov't Code §34090
First 5 CA Annual Report - Working Papers & Correspondence	Working papers prepared by Finance for report submitted to First 5 California. Research and Evaluation is custodian of final report.	4 years from the date report is filed with state	Health & Safety Code §§ 130150 and 130151; Gov't Code § 34090
General Ledger	Data contained in financial accounting software (Blackbaud). NOTE: Exception. If funding source agreement requires longer retention period, retain those related records for the longer retention period stated in the agreement. See FN 2.	Fiscal year-end audit closed plus 7 years (but see Note and FN**)	See A/P

FINANCE DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Grantee and Contractors Management	<p>Program Fiscal Audit Services and Presentations to Grantees</p> <p>NOTE: Exception. If funding source agreement requires longer retention period, retain those related records for the longer retention period stated in the agreement. See FN 2.</p>	Contract termination plus 4 years or project completion plus 4 years, whichever is later (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
Insurance – First 5 LA	Liability, SLIP limited liability, and workers' compensation Insurance policies and related records.	Permanent	Gov't Code § 34090
Long -Range Financial Plan (LRFP)	Health and Safety Code Section 130151 requires preparation of the Long Range Financial Plan.	2 years	Health & Safety Code §§ 130150 and 130151; Gov't Code § 34090
Medi-Cal Administrative Activities (MAA)	<p>Records described in the MAA agreement between First 5 LA and Los Angeles County, except the agreement and exhibits. Contract Compliance is custodian of the agreement and exhibits.</p> <p>NOTE: MAA Agreement imposes minimum records retention period of MAA Agreement termination plus 5 years, unless L.A. County's written approval is obtained. See FN 2.</p>	Fiscal year-end audit closed plus 7 years (County written approval required) (See Note and FN 2)	Gov't Code § 34090; Civ Code Proc. § 337; First 5 LA Agreements
Payroll	<p>Payroll records including worksheets, reports, and payroll purchase requests.</p> <p>NOTE: Exception. If funding source agreement requires longer retention period, then <u>all</u> payroll records must be retained for the longer retention period stated in the agreement.</p>	Fiscal year-end audit closed plus 7 years (but see Note and FN 2)	Gov't Code § 34090; 29 CFR §§ 516.2, 516.5, 516.6; 22 CCR § 1085-2(c); 26 CFR § 31.6001-1(e)(2); Labor Code § 1174(d)); First 5 LA Funding Contracts
Procedures – Finance Department	Department Procedures	Permanent	Gov't Code § 34090
Risk Management -Claims Against First 5 LA	Claims for money or damages filed with First 5 LA.	Permanent	Gov't Code § 34090

FINANCE DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
State Certification of Compliance by FY	Submitted to First 5 California annually.	Permanent	Health & Safety Code §§ 130150 and 130151; Gov't Code § 34090
W-9 Forms	W-9 Forms received from grantees, contractors, consultants, vendors, reviewers, single purchase (collectively, "vendor"), and Commissioners.	Vendor termination plus 6 years	26 U.S.C. § 3402; 26 CFR § 31.6001-1(e)(2); IRS General Instructions for Forms 1099 (Cat. No. 27976F; p. 5)

GRANTS DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Initiative Brief	Summary of investment or initiative area.	2 years	Gov't Code § 34090

HUMAN RESOURCES DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
ADA/ADEA Process	Records regarding accommodation process	Permanent	Gov't Code §34090
CalOSHA - Filings	Forms filed with CalOSHA, along with other workplace safety records. Includes CalOSHA Forms 300, 300A and 301; other logs of workplace injury or illness; employee complaints related to workplace safety	5 years from the end of the calendar year covered by the forms or logs	8 CCR § 14300.33, Gov't Code § 34090
CalOSHA - Injury and Illness Prevention Program	Injury and Illness Prevention Program related records.	5 years from end of calendar year in which program was superseded	8 CCR § 14300.33, Gov't Code § 34090(d)

HUMAN RESOURCES DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Correspondence - Internal re: HR issues	<p>Substantive correspondence exchanged internally, including email and memoranda, regarding employment issues that are not specific to an individual employee.</p> <p>NOTE: Correspondence regarding a specific employee should be retained based on applicable category (e.g., Employee Personnel File, Employee Exposure Record, Employee Leave of Absence Records).</p>	<p>Permanent</p> <p>If employee specific, see NOTE.</p>	Gov't Code § 34090
Employee Benefit Invoices	Copies of monthly invoices received from benefit carriers. (Originals are provided to Finance)	2 years	Gov't Code §34090.7
Employee Benefit Plan Documents	Includes summary plan document and contract documents coverage.	Permanent	Gov't Code §34090
Employee Benefits Records - Not Retirement	Documentation of benefits elections, beneficiary designations, eligibility determinations, COBRA notices for each employee.	Employment termination plus 10 years (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; 29 U.S.C § 1027
Employee Benefits Records - Retirement Benefits	Records required to determine retirement benefits for each employee. Includes completed 457(b) and 403 (b) forms; loan documents related to same; and age & social security information.	Employment termination plus 10 years (unless funding source agreement requires longer retention, see FN 2)	Gov't Code §34090
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	29 CFR 1910.1020(c)(5)&(d)(1)(ii)
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 correspondence related to same.	Employment termination plus 30 years	29 CFR §825.500; Gov't Code §12945.2

HUMAN RESOURCES DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Employee Personnel File	<p>Contents of Employee Personnel File and any separate Employee Medical File. Includes employment application and resume; offer letter; job descriptions; new hire form; scheduling form; change of status form; conference, training, and related certificates; disciplinary and performance evaluations; separation records; other correspondence related to the above.</p> <p>EXCEPTION: Do not destroy any personnel or recruitment files if (1) First 5 LA has received a verified FEHA complaint, or (2) if any pending employment claim or litigation. (FN***)</p> <p>NOTE: See "Employee Leave of Absence Records" and "Employee Exposure Record" for records requiring longer retention.</p>	Employment termination plus 10 years (unless funding source agreement requires longer retention, see FN 2)	Gov't Code § 34090; 29 CFR §§ 1602.14, 1602.31, 1627.3; Cal. Lab. Code § 1174, 1197.5(d), 1198.5(c)(1); Gov't Code § 12946
Employee Personnel File - Medi-cal Administrative Activities (MAA) Contract	<p>Records (described under "Employee Personnel File", above) related to any employee whose position is paid for by MAA.</p> <p>EXCEPTION: Do not destroy any personnel or recruitment files if (1) First 5 LA has received a verified FEHA complaint, or (2) if any pending employment claim or litigation. (FN 3)</p>	The longer of: (1) Employment termination plus 10 years; or (2) Termination of MAA Agreement plus 5 years (unless LA County approves in writing a shorter term) (See FN 2)	Gov't Code § 34090; 29 CFR §§ 1602.14, 1602.31, 1627.3; Cal. Lab. Code § 1174; OMB A-133; Gov't Code § 12946
Employee's Withholding Allowance Certificate	Completed form W-4.	As long as in effect plus 5 years	26 USC § 3402; Treasury Regulation § 31.6001-1 & -2; IRS Pub. 15 (2014), (Circular E)

HUMAN RESOURCES DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Employment Development Department Correspondence	<p>General correspondence exchanged with the EDD, including such topics as unemployment insurance, state disability, FMLA and paid family leave.</p> <p>NOTE: Correspondence regarding a specific employee should be retained based on applicable category (e.g., Employee Personnel File, Employee Exposure Record, Employee Leave of Absence Records).</p>	<p>5 years for general correspondence.</p> <p>If employee specific, see NOTE.</p>	29 CFR §825.500
Employment Eligibility Forms Verification	Completed I-9 Form	Employment termination plus 10 years (unless funding source agreement requires longer retention, see FN 2)	8 U.S.C. §1324a(b)(3)
Litigation Records regarding Employment Practices - Key Records	Covers DHEA, EEOC, FMLA, and unemployment litigation.	Permanent	Gov't Code § 34090
Policies and Procedures for First 5 – Employee Handbook	Employee Handbook	Permanent	Gov't Code § 34090
Recruitment - Unsuccessful Applicants	<p>Applications, resumes, and related records of unsuccessful candidates. (For successful candidate application see Personnel File.)</p> <p>EXCEPTION: Do not destroy any recruitment or personnel files if (1) First 5 has received verified FEHA complaint, or (2) if any pending employment claim or litigation. (FN 3)</p>	Position filled (or search terminated) plus 3 years (see EXCEPTION)	Gov't Code § 34090; 29 CFR §§ 1602.14, 1602.31, 1627.3; Cal. Lab. Code § 1174; OMB A-133; Gov't Code § 12946
Vendor - HR Support	Vendors who supply support services for HR. Includes RFP/RFQ, final contract, correspondence, reports, other related records.		Gov't Code §34090; Civ Code Proc. §337; First 5 LA Agreements

HUMAN RESOURCES DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Recruitment - Position	<p>Records related to the recruitment process, such as internal memo, job description, job postings, recruitment log, requisition, screening questions.</p> <p>NOTE: Copies of job description and job posting should be added to the successful applicant's personnel file.</p> <p>EXCEPTION: Do not destroy any recruitment or personnel files if (1) First 5 has received verified FEHA complaint, or (2) if any pending employment claim or litigation. (FN 3)</p>	Position filled (or search terminated) plus 5 years (see EXCEPTION)	Gov't Code § 34090; 29 CFR §§ 1602.14, 1602.31, 1627.3; Cal. Lab. Code § 1174; OMB A-133; Gov't Code § 12946
Workers' Compensation Claims	Applies to all workers' compensation claims and workers' compensation litigation records.	Permanent	Labor Code 6401.7; 8 CCR §§ 10101, 10101.1, 10102, 10103

INFORMATION TECHNOLOGY DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Computer System Documentation	Documentation depicting and describing First 5 LA's computer system. Includes diagrams, drawings and descriptions.	Until superseded, but retain for a minimum of 2 years. (See FN 1)	Gov't Code §34090
Correspondence - Request for Service from First 5 LA staff	Requests and responses to requests for service.	2 years	Gov't Code §34090
Manuals - Software & Hardware	User guides, instruction manuals, printed or video tutorial manuals are not "records" of First 5. They are reference guides and may be discarded when the software or hardware is fully decommissioned.	Superseded or Obsolete	Gov't Code §34090

INFORMATION TECHNOLOGY DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Procedures – Information Technology Department	Procedures prepared by the Information Technology department and only applicable to department operations.	Until superseded, but retain for a minimum of 2 years. (See FN*)	Gov't Code §34090

OFFICE OF STRATEGIC PLANNING DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Strategic Plan	Final adopted strategic plan.	Strategic Plan expiration plus 2 years (but retain longer if investments or projects are still active)	Gov't Code §34090
Strategic Plan - Working Documents	Records related to the development of the Strategic Plan (e.g. policy agenda)	Strategic Plan expiration plus 2 years	Gov't Code §34090

POLICY DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Correspondence - External (Related to Lobbying)	Lobbying correspondence to or from elected officials or other governmental officials.	7 years	2 CCR §18610
FPPC Lobbyist Form	Registered lobbyist employer disclosure form (FPPC Form 635) filed with the Fair Political Practices Commission.	5 years from date Form 635 is filed with FPPC	2 CCR §18610

POLICY DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Federal or State Advocacy Documents	Work product or deliverables created by First 5 LA or a consultant that are related to federal or state legislation and advocacy related to First 5 LA's mission.	Contract termination plus 4 years, or project completion plus 4 years, or 7 years total, whichever is later (unless funding source agreement requires longer retention, see FN 2)	2 CCR §18610; Gov't Code §34090
Government Affairs Team Research	Research prepared by the department, including lists of elected officials, district maps, Board of Equalization data.	2 years	Gov't Code §34090
Policy Agendas	First 5 LA's agenda for policy development related to a Strategic Plan.	Strategic Plan expiration plus 2 years	Gov't Code §34090
Policy Briefs	Documents describing issues and potential policy recommendations.	5 years	Gov't Code §34090

COMMUNICATIONS DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Event summaries	Summaries of staff's attendance at an outreach event, such as a street fair booth, to the extent such summaries are drafted and retained.	4 years	Gov't Code §34090
Inventory of Promotional Items	List tracking quantities of promotional items in stock.	2 years	Gov't Code § 34090
Marketing and advertising materials	Design file and final product for brochures, ads, holiday cards, etc.	permanent	Gov't Code § 34090
Newsletters or Reports - External	Newsletters sent to individuals or entities outside of First 5 LA. Example: Monday Morning Report	2 years	Gov't Code § 34090
Photos	Images	Permanent	Gov't Code §34090

POLICY DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Photos	Executed Photo Releases	Permanent	Gov't Code § 34090
Press Releases,	Press releases are posted to website.	Permanent	Gov't Code § 34090
Media Communications	Letters to the editors, Opinion pieces	Permanent	
Promotional Items	Samples of and digital production files for promotional items	2 years	Gov't Code § 34090
Public Records Act	Public records request correspondence exchanged with person making the request, including records identified as responsive and withheld from disclosure.	4 years	Gov't Code § 34090; Civ Code Proc. § 343
Talking Points	Talking points prepared by Public Affairs Department.	2 years	Gov't Code § 34090
Videos	Videos pieces, both short (ads) and longer (informational). Some may be housed on the website, some may not.		
Website	Pages published on First 5 LA's website.	2 years	Gov't Code § 34090

RESEARCH & EVALUATION DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Evaluation Data - Consent Forms	Consent and confidentiality forms permitting access to data.	Permanent	Gov't Code §34090
Evaluation and Research Data – Internally Housed	Data that has been gathered to evaluate programs and projects funded by First 5 LA.	Permanent, unless a shorter period is required by any related consent form	Gov't Code §34090

RESEARCH & EVALUATION DEPARTMENT

Records Series Category	Description of Records	Recommended Retention Period ^{FN1}	Legal Citation
Evaluation and Research Data - Externally Housed	Data that has been gathered to evaluate programs and projects funded by First 5 LA, where the data is housed by a third party contractor or shared with another entity.	Retain for period set forth in any sharing MOU or Contract termination plus 4 years, whichever is later (unless funding source agreement requires longer retention, See FN 2)	Gov't Code §34090; Civ Code Proc. §337; First 5 LA Agreements
Evaluation Data - Sharing MOUs	Memorandum of Understanding to permit data sharing between First 5 LA and another entity.	MOU termination plus 4 years (unless funding source agreement requires longer retention, See FN**)	Gov't Code §34090; Civ Code Proc. §337; First 5 LA Agreements
Evaluation Reports and Presentations	Evaluation reports and presentations regarding various grantees, programs, consultants, contractors and others projects funded by First 5 LA. The term "Contract" under Recommended Retention Period refers to the contract with the grantee, program, consultant or contractor that is being evaluated.	Contract termination plus 4 years or project completion plus 4 years, whichever is later (unless funding source agreement requires longer retention, see FN**)	Gov't Code §34090; Civ Code Proc. §337; First 5 LA Agreements
First 5 LA Annual Report to First 5 California	Final annual report made to First 5 California.	Permanent	Health & Safety Code § 130150; Gov't Code § 34090
First 5 LA Annual Report to First 5 California – Working Documents	Working documents related to annual report made to First 5 California.	Date report is filed with California plus 7 years	Health & Safety Code § 130150

Footnote 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 2 years: Minimum retention period is 2 years. If superseded prior to 2 years, must retain for

full 2 years.

Footnote 2: First 5 LA has entered into agreements in order to receive certain special funds, and each agreement requires specific records retention periods for records related to the use of those funds. Notwithstanding this records retention schedule, records specified in those agreements must be retained for the longer period specified in the agreement. Please refer to the agreement for complete retention requirements; below is a short summary.

Examples include:

Medi-Cal Administrative Activities (MAA) funding agreement: records listed in the MAA agreement between First 5 LA and LA County must be retained until the MAA agreement is terminated plus 5 years, unless LA County approves a shorter term in writing. The five year count is triggered when First 5 LA's MAA agreement with Los Angeles County is terminated.

CSP funding agreement: records listed in CSP agreement between First 5 LA and First 5 California must be retained for a period of five (5) years after final payment of program expenditures.

CARES Plus funding agreement: records listed in CARES Plus agreement between First 5 LA and First 5 California must be retained for a period of five (5) years, or local policy retention period (whichever is greater), after final payment of expenditures.

State-Funded School Readiness Initiative (SRI) (terminated FY 2010-2011): records listed in the SRI agreement must be retained for a period of three years after the final payment of program expenditures.

Footnote 3: "Do not destroy" instruction applies to all personnel files of similarly situated employees, and not just files of the complaining party.

Footnote 4: In addition to the definitions set forth in the Records Retention and Destruction Policy, the terms used in this Records Retention Schedule have the following meanings:

"External Correspondence" or "External Drafts": Correspondence or drafts received from or sent to a person, agency or entity outside of First 5 LA.

"Internal correspondence": Correspondence exchanged within First 5 LA, and not shared with a person, agency or entity outside of First 5 LA. Intra-agency memoranda are a type of Internal Correspondence. In the event First 5 LA employees correspond with attorneys or consultants who are agents of First 5 LA, such correspondence shall be deemed internal to First 5 LA.

"Internal Drafts": Drafts prepared by First 5 LA, and not shared with a person, agency or entity outside of First 5 LA. In the event First 5 LA employees received drafts from attorneys or consultants who are agents of First 5 LA, such drafts shall be deemed internal to First 5 LA.

"Substantive correspondence": Correspondence that relates to the conduct of First 5 LA's business, is required for future reference by the agency, and documents actions, decisions, or other matters of importance to First 5 LA, including any writing that (1) records the formulation and implementation of policies and decisions (e.g., staff changes, policy setting, strategic planning); or (2) initiates, authorizes, furthers, or completes a transaction of official agency business. Items of correspondence that are not necessary for future reference, such as personal communications, minor transmittals, information provided or received for inclusion in a larger document, preliminary discussions of ideas, and basic scheduling correspondence, for example, are not considered "substantive correspondence."

Los Angeles County Children and Families First Proposition 10 Commission

SUBJECT: Electronic Storage of Official Records	Policy Number: E-1003x
	Effective Date:
	Supersedes:
Initiating Authority: Executive	Page 1 Of 8

I. PURPOSE

First 5 LA uses an Electronic Document Management System (EDMS) to electronically store official records of First 5 LA. Defined in the “Records Retention and Destruction” policy, these official records may have originally existed as either a paper record or an electronic record.

The purpose of this policy is to ensure that First 5 LA is in compliance with regulations developed by the Secretary of State (SOS) regarding recording, storing, and reproducing permanent and nonpermanent documents or records electronically in a trusted system as set forth in California Government Code Sections 12168.7 and 34090.5, so that every reproduction of a record from the EDMS will be deemed to be a copy of an original record. This policy sets forth the business practices that will be implemented to ensure that the process for converting and storing paper records in the EDMS complies with California state law.

An additional purpose of this policy is to permit First 5 LA, pursuant to California Government Code Section 34090.5, to destroy original paper records, documents, instruments, books, and papers (“paper records”) once those paper records have been stored into the EDMS in compliance with the procedures set forth in this policy. **Documents destroyed pursuant to this policy described below are, by definition, copies of documents appropriately transferred into the EDMS. For destruction of other sorts of documents not transferred into the EDMS, please see the “Records Retention” policy.**

II. APPLICATION

This policy applies to the storage of all electronic records by First 5 LA employees and officials.

III. POLICY

RECORDS RETENTION POLICY COMPLIANCE

- A. The Electronic Document Management System (EDMS) shall comply with the Records Retention and Destruction Policy for First 5 LA Records as approved by First 5 LA Board of Commissioners.

Records stored in the EDMS that have reached their destruction date in accordance with First 5 LA’s retention policy will be archived and flagged for destruction by the system. These documents will then be deleted from the archives by the Information Technology

EDMS (IT EDMS) administrator after the Chief Operating Officer (COO) or designee obtains the necessary approval from the Commission and legal counsel, and notifies the administrator. Only the IT EDMS administrator and the Records Manager have security access to delete records from the system.

- B. Record Holds: When notified by a First 5 LA attorney and/or the COO that a “records hold” or “legal hold” is in place, or when First 5 LA staff reasonably anticipates that a claim or litigation may ensue, the system administrator(s) shall tag the potentially relevant records in the EDMS, using a unique tag, so that these records are retained beyond their destruction date and not destroyed.

DEFINITIONS

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

“**AIIM**” the Association for Information and Image Management.

“**AIIM Guidelines**” the recommended practice report produced by AIIM and known as “AIIM ARP1-2009 Analysis, Selection, and Implementation of Electronic Document Management Systems (EDMS),” approved June 5, 2009.

“**DPI**” and “**PPI**” dots per inch and pixels per inch, respectively. The terms may be used interchangeably.

“**Electronically originated records**” any record created without first having originated in hard copy format. It includes all documents or records generated through electronic submissions.

“**Lossless compression method**” a compression method by which data are compressed by efficient coding of the information in the image and where the reconstructed image contains the same amount of information as the original data.

“**OCR**” or “**Optical Character Recognition**” the mechanical or electronic translation of scanned images of handwritten, typewritten or printed text into machine-encoded text by means of an optical scanner and specialized software.

“**PDF**” or “**Portable Document Format**” is an open standard for document exchange. This file format is used to represent documents in a manner independent of application software, hardware, and operating systems. Each PDF file encapsulates a complete description of a fixed-layout flat document, including the text, fonts, graphics, and other information needed to display it.

“**PDF/A**” or “**Portable Document Format/Archival**” is an electronic file format whereby documents are self-contained allowing them to be reproduced with all the document coding embedded within the file. It is a file format for the long-term archiving of electronic documents. It is based on the PDF Reference Version 1.4 from Adobe Systems Inc. (implemented in Adobe Acrobat 5 and latest versions).

“**RAID Data Storage**” (**redundant array of independent disks**) is a data storage virtualization technology that combines multiple disk drive components into a logical unit for the purposes of data redundancy or performance improvement. Data is distributed across the drives in one of several ways, referred to as RAID levels, depending on the specific level of redundancy and performance required. The different schemes or architectures are named by the word RAID

followed by a number (e.g. RAID 0, RAID 1). Each scheme provides a different balance between the key goals: reliability, availability, performance, and capacity. RAID levels greater than RAID 0 provide protection against unrecoverable (sector) read errors, as well as whole disk failure. First 5 LA storage uses RAID 5.

“Records hold” or “legal hold” refers to the duty to preserve and not delete any records, electronic or otherwise, that are potentially relevant to any of the following in which First 5 LA may be involved: 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 (PRA) request, a pending audit, or other similar legal matter.

“Trusted system” is defined in California Government Code § 12168.7 and means “a combination of techniques, policies, and procedures for which there is no plausible scenario in which a document retrieved from or reproduced by the system could differ substantially from the document that is originally stored.”

IV. PROCEDURES

PROCEDURE FOR CONVERTING AND STORING PAPER RECORDS IN THE EDMS

- A. In consultation with legal counsel and the COO or designee, the IT EDMS Administrator is the First 5 LA official responsible for oversight of the EDMS. The COO or designee shall provide assistance and guidance to First 5 LA departments. Department heads are responsible for ensuring the intent of this administrative policy is carried out. The Information Technology Department is responsible for ensuring the EDMS serves as a trusted system for storage and reproduction of First 5 LA records that originated in paper format.
- B. Identifying Paper Records to be converted and stored
 1. All records governed by the Records Retention and Destruction policy may be converted and stored in the EDMS. Each department head shall determine which records for their department will be stored in the EDMS.
 2. The COO (or designee) shall work with each First 5 LA department to prioritize their records for conversion and storage in the EDMS.
 3. Unless a draft is being retained as a First 5 LA record, preliminary drafts should not be stored into the EDMS.
 4. Each First 5 LA department is responsible for converting and storing that department’s records into the EDMS.
- C. Scanning of Paper Original Records
 1. Original paper records governed by this policy are required to be scanned, using First 5 LA’s scanning stations. The resulting electronic record in PDF format is then tagged according to the retention period defined in the Records Retention and Destruction Policy and stored in EDMS. In the event the original record is in color, the original paper document may not be destroyed unless it is scanned in color.

2. The scanning technician (staff or vendor) shall check the scans for legibility (readability), completeness (page counts) and confirm document pages were scanned in the proper sequence, and re-scan poor quality images and missing pages, and correct page sequencing if necessary.
 3. Scanned images shall be a true and accurate copy. First 5 LA EDMS ensures that all scanned documents are reproducible in their original form matching both size and color.
 4. Notes and annotations deemed significant by the responsible department and/or that must be retained pursuant to federal law, state law, or First 5 LA's current Records Retention and Destruction Policy, shall be scanned and managed as a part of the electronic record.
 - a. Loose notes to be included in the scanned document will be placed in order at the back of the document behind a slip sheet before scanning.
 - b. Any page containing sticky or otherwise attached note(s) will be copied with the notes in place. Before scanning, a photocopy of the page with the note(s) in place will be made and placed in page order at the back of the document behind a slip sheet, and the notes removed from the original document. In this way, First 5 LA will retain both a clean copy of the document, and a copy of the page with note(s) in place.
 5. Staff may employ a digitized record enhancement technique which is commonly used in scanning software, including but not limited to deskew, despeckle, crop, and rotate; provided, however, that staff shall not use an enhancement technique if it alters the content that exists in an original record.
- D. Indexing
1. Each document will be tagged in the EDMS with the minimum information as stated below. The relevant tagging data is used by the EDMS search capability to facilitate retrieval. First 5 LA's EDMS also has content search capability. The minimum tagging information includes the record's name, date, and retention period. The department responsible for the record will input the tagging information required for that record.
- E. Optical Character Recognition
1. Optical Character Recognition (OCR) should be performed on paper documents that are not legible after scanning.
- F. Quality Control and Assurance
1. Scans of records will be verified as accurate and complete by appropriate staff before finalizing their placement in the EDMS. Assigned staff shall review and verify each image of each page of the record is a true and accurate copy of the original record that can be reproduced from the electronic record with full legibility, and the indexing is accurate.
 2. Poor quality images shall be rescanned. If an accurate and fully legible electronic record cannot be made from the original paper record, then the electronic record may be imported into the EDMS, but the original paper record shall be retained and appropriately filed to preserve it. The electronic record shall be appropriately noted in the EDMS to indicate the file location of the paper

original.

G. Paper Record Destruction

1. All scanned documents shall be retained until the digitized image and indexing is verified as accurate and complete. (See Quality Control and Assurance.)
2. Once the digitized image and indexing are verified as accurate and complete, and the document can be reproduced with full legibility, the paper record may be destroyed with the consent of the Department Head and the COO or designee, which consent shall be in writing (see Form B attached); provided, however:
 - a. No paper record designated as a vital historical record shall be destroyed. The COO, in consultation with First 5 LA Attorney's office, shall identify those classes of records that are vital historical records. Vital historical records, at a minimum, shall include:
 - 1) Minutes of the meeting of any legislative body of First 5 LA
 - 2) Resolutions of any legislative body of First 5 LA
 - 3) Records affecting the title to real property or liens, including any record recorded with the L.A. County Recorder's office
 - 4) Original executed contracts and agreements, and related budgets, litigation form, and signature authorization form.
 - 5) Employee personnel files and other related Human Resources Department records.
 - b. No page of a paper record scanned and stored in the EDMS shall be destroyed if any page cannot be reproduced with full legibility. Every unreproducible page shall be permanently preserved in a manner that will afford easy reference (see above, "Quality Control and Assurance").

PROCEDURE FOR STORING ELECTRONICALLY ORIGINATED RECORDS IN EDMS

- A. First 5 LA electronic records that are governed by the Records Retention and Destruction Policy must be saved as PDF and then stored in the EDMS.
 1. Conversion should be performed with a minimum 300 DPI and adjusted higher on an individual record basis to provide accurate and complete reproduction. For image files in other formats, such as JPEG, BMP, or GIF, the resolution should be adjusted to closely match the DPI of the original image file.
 2. For maps, design plans, or other architectural drawings will be accepted from a contractor, consultant or vendor with the intent of storing the record in the EDMS, such submissions shall be of the highest possible resolution and quality in Adobe Acrobat PDF format, with a minimum 400 DPI.
- B. Unless a draft is being retained as a First 5 LA record, preliminary drafts should not be stored into the EDMS.
- C. Each First 5 LA department is responsible for converting, storing and indexing that department's electronic records into the EDMS following the required minimum tagging used for paper records (above), as defined by the content type. All electronically originated records that are converted to PDF format must be text-searchable to the extent feasible.
- D. Quality Control and Assurance. Once an electronic record is converted and stored in the EDMS, a department staff person shall review and verify that each image of each page

of the record is a true and accurate copy of the original electronic record that can be reproduced from the EDMS record with full legibility, and that the indexing is accurate.

- E. Duplicates Stored on First 5 LA Server. Once an electronic record is converted and stored in the EDMS, the electronic record on First 5 LA's server may be deleted as a duplicate.

SYSTEM CONFIGURATION AND BACKUP TECHNOLOGY

A. User Access

1. The EDMS resides on a dedicated server within First 5 LA's secure network. The COO or designee, in conjunction with the IT Department, is responsible for granting user rights to access the EDMS. Access will be assigned using granular permissions based on a user's role within the organization. User roles include:
 - a. System Administrator: broad access to the entire system.
 - b. Records Manager: permission to view, search, add, edit, delete and print information.
 - c. Department Representative: view, search, add, and print information.
 - d. Scanning Technician: view, search, add, and print information.
 - e. User: view, search and print only.
2. Employees shall access the system using their assigned login and password. Access rights, permissions, and security shall be linked to an individual user's login and password.

B. Image Format and File Compression

1. File Format. All scanned documents will be stored in EDMS in PDF file format. Electronically originated records shall be stored in PDF file format. Images exported from the EDMS will be non-modifiable.
2. Document Image Compression. To the extent document image compression is required, the EDMS will use compression technology in compliance with AIIM Guidelines Section 5.4.2.4.
3. The minimum resolution level for standard business documents shall be 300 DPI/PPI. Where image files in other formats, such as JPEG, BMP, or GIF, are converted to PDF, the resolution shall be adjusted to closely match the DPI of the original image file.

C. Technology and Backup Procedures

1. Storage and Backup

The Information Technology Department's data backup process covers all databases, servers and their contents residing on premise at 750 North Alameda Street, Los Angeles, CA 90012. Storage for ECM (Documentum) and SharePoint platforms are on premise. IT performs daily incremental backup and weekly full backup (over the weekend). Backups are stored on tapes and disk storage on site. Every Tuesday a copy of the full backup tapes (cassettes) are sent off site to Iron Mountain. The full backup tapes are rotated back into the backup pool of tapes for reuse every 30 days so at any given time, there are four sets of full backups, one set is on site and three sets are on Iron Mountain site. First 5 LA does not have an alternate site to recover any of its systems or electronic content in case of a site failure, where the server room is unavailable for recovery.

The File Server, with the stored PDF images, is on a RAID5 storage device. Please refer to RAID5 Definition in section III.

2. In compliance with AIIM Guidelines Section 5.3.3(a), the EDMS utilizes both hardware and media storage methodologies to prevent unauthorized additions, modifications or deletions during the approved record retention period of the stored information.

The security software includes password protection to prevent unauthorized deletion of data and creates an audit trail.

3. Audit Trail. In compliance with AIIM Guidelines Section 5.3.3(b), the EDMS uses an independent audit process to ensure electronically stored information is not modified, altered, or deleted during the approved record retention period of the stored information.
 - a. The audit trail security system and encryption software prevents modifications; user access permitting modifications is limited and managed by audit trail security.
 - 1) A limited number of users are authorized to delete or modify files. Explicit rights are assigned by the IT EDMS Administrator before a user is authorized to delete or modify files.
 - 2) A record is made of modifications made to the audit trail and other electronic files.
 - 3) The audit trail cannot be modified or tampered with by the Systems Administrator.
 - 4) Records placed in the Archive Bin may be reinstated or purged from the system. Only the Systems Administrator and the Record Manager has system authorization to perform these actions.
 - b. The audit trail shall be configured to track basic events in the repository that involve accessing, modifying or exporting data. Basic events include:
 - 1) Login and logout
 - 2) Creating, editing, printing or deleting documents
 - 3) Creating, editing or deleting templates, fields and annotations
 - 4) Adding security tags
 - 5) Exporting documents, volumes or briefcases
 - 6) Sending documents to the Recycling Bin.

V. RESPONSIBILITIES

The Chief Operating Officer is responsible for appointing a Records Manager. In coordination with the COO, the Records Manager will monitor the procedures for this policy and coordinate with Department Heads as required. Each department will have a single point of contact, responsible for records applicable to the specific department.

The Information Technology Department is responsible for appointing the IT EDMS Administrator. This individual is responsible for overseeing the hardware and software of the EDMS application.

Los Angeles County Children and Families First Proposition 10 Commission

SUBJECT: Responding to Public Records Act Requests	Policy Number: P-3501x
	Effective Date:
	Supersedes: 01/12/12, 11/06/01
Initiating Authority: Communications and Marketing Department	Page 1 Of 7

I. PURPOSE

This policy sets forth the guidelines and procedures pertaining to the public review of First 5 LA records, and provides guidance to staff when responding to requests for public records.

II. APPLICATION

This policy applies to all First 5 LA public records.

III. POLICY

First 5 LA is a public organization. First 5 LA affirms the public's right to access its public records in compliance with the California Public Records Act, Government Code 6250 through 6276.48 (the "Act"), and California Constitution art. I, sec. 3(b). First 5 LA will comply fully with the Act and the California Constitution. This policy shall be interpreted and enforced in a manner that is consistent with those laws, and nothing in this policy is intended nor shall it be construed to conflict with the terms of the Act or the California Constitution.

IV. PROCEDURES FOR COMPLYING WITH A PUBLIC RECORDS ACT REQUEST

The California Public Records Act provides that the public has a right to inspect and obtain a copy of most of the records retained by public agencies in the course of doing business. The Legislature has declared that access to information concerning the conduct of the people's business is a fundamental and necessary right of every person in the state. The public's right to access public records is also guaranteed by the California Constitution.

The right of access is not unlimited. By law, some records are exempt from disclosure. These exemptions generally protect two categories of interests that compete with public disclosure. Some exemptions protect an individual's fundamental right to privacy. Other exemptions protect records from disclosure to foster efficient and effective government functions.

First 5 LA maintains many public records. Unless there is a specific exemption listed in the Act or in another statute (see discussion below), most records maintained by First 5 LA will be public records. In those cases where portions of a record are public and other portions are exempt from disclosure, staff will redact or remove the information that is exempt before

disclosing the remainder of the record.

Special rules apply for requests for Fair Political Practices Commission (FPPC) Filings. Those rules are addressed below under “FPPC Filings.”

WHAT IS A PUBLIC RECORD?

As defined by the Act, public records are any writing containing information relating to the conduct of the public’s business prepared, owned, used or retained by any state or local agency regardless of physical form or characteristic. Writing is further defined to include any handwritten or typewritten document, photographs, pictures, drawings, audio or video recording, computer data, electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation.

WHAT CONSTITUTES A REQUEST FOR A PUBLIC RECORD?

Any member of the public, whether a Los Angeles County resident or not, may request to view or pay for a copy of a public record. Though staff can ask for the information in response to a public records request, the requester does not have to give their name or other identifying information such as address or telephone number, does not have to put their request in writing, and does not have to explain why they want the record. A request may be made over the telephone, in person, in writing, by facsimile or electronic mail.

Sometimes requesters will incorrectly cite to the federal Freedom of Information Act (FOIA). Although FOIA is not applicable to First 5 LA, First 5 LA will respond to such requests as if the request had been made pursuant to the Act.

A requester must identify an actual public record; requests that are too vague cannot be fulfilled. Staff is required by statute to assist the requester in identifying the desired public records. Except for certain requests for the extraction or compilation of existing electronic data (see below), the Act does not require First 5 LA to create records that do not exist or that it does not keep (e.g., a written summary of a document or a list of expenditures or events).

If a person makes a request for a record that does not exist, or that is vague, First 5 LA staff should nevertheless attempt to assist the requester in identifying existing records that contain the information being sought where possible, including records or information that is responsive to the purpose of the request, if stated. If reasonable under the circumstances, First 5 LA staff should also describe the information technology and physical location in which the records exist, and provide suggestions for overcoming any practical basis for denying access to the records or information sought. In the event First 5 LA compiles an index of its records, provision of that index to a requester satisfies First 5 LA’s obligation to assist the requester.

RESPONDING TO REQUESTS FOR RECORDS

Request to Inspect Records: Disclosable public records should be available for inspection during normal business hours. Original First 5 LA records shall remain in the custody of First 5 LA at all times, ensuring their integrity and accessibility. Inspection of original First 5 LA files/records by a requester must be supervised by a First 5 LA employee to ensure that First 5 LA records are not altered, destroyed or removed from the premises.

If records are not immediately available because the records are being used by staff or are off-site, or if staff is not available to monitor the inspection, staff may ask the requester to make an appointment to view the records. The appointment date should be as soon as possible following the request.

If records need to be reviewed for exempt material, need to be redacted, or will be withheld in their entirety because they are exempt from disclosure, staff should follow the procedure in the next section regarding "Request for Copies of Records."

Request for Copies of Records: First 5 LA staff has ten (10) calendar days to determine whether to grant a request for public records and respond in writing to the requester with First 5 LA's determination. The 10-day response period starts with the first calendar day after the date of receipt. For example, the determination for a request received on April 1 is due on April 11.

The 10-day response period is not the time period for complying with the request, rather it's the time period for responding to the requester with a written determination as to whether records have been located and what, if any, information in those records is exempt from disclosure.

Content of the Determination Letter: If any information is exempt from disclosure and will be redacted or withheld from the requester, or if the request will be denied, the determination letter must so state and provide the reasons for redacting or withholding the records, which can be accomplished by providing a brief generalized description of the information withheld and citing to the statutory exemptions relied upon.

The letter must be signed with the name and title of the person responsible for the denial. If the request for copies is being granted, the determination letter should include a request for pre-payment of the applicable duplication costs and a statement that the copies will be made available a certain number of days after receipt of payment. Records do not have to be copied until after payment is received. If the request is to inspect records, then the letter should set forth the date after which the records will be available, and invite the requester to call or write for an appointment. First 5 LA may not require a fee for inspection of records.

Duplication Costs: The cost for copying the records is the direct cost of duplication or a statutory fee, if applicable, and does not include staff time to research, retrieve, review or compile the records. First 5 LA has determined that the direct cost of duplication for normal sized photocopies is 29 cents (29¢) per page, and for electronic records copied to disc, the fee is \$10.00 per disc. Please note: First 5 LA will not collect the duplication fee if under 50 pages. If an outside duplication firm is employed to make the requested copies, the cost charged to First 5 LA will be passed along to the requester.

If a request for electronic records requires compilation or extraction, or computer programming to produce the record, or requires the production of an electronic record that is produced only at otherwise regularly scheduled intervals, the requester shall bear the cost of producing an electronic copy, including the cost to construct the record, and the cost of programming and computer services necessary to produce a copy. If staff produces the copy, the cost of producing such electronic copy shall be charged at the staff member's fully burdened hourly rate. If an outside computer programmer or computer consultant makes the copy, the cost charged to First 5 LA by the programmer or consultant shall be charged to the requester.

The cost of duplication for some records is set by statute. A common example of a statutory fee is the ten cents (10¢) per page charge for copies of campaign and economic disclosure statements. See FPPC Forms, below.

In all cases, a requester must pay for the records before copies of the disclosable records are released.

Fourteen-Day Extension to Respond: In four statutorily defined “unusual circumstances,” First 5 LA may take up to an additional fourteen (14) calendar days to make a determination on the request. The four unusual circumstances are the following:

- The need to search for and collect records from an off-site location.
- The need to search for, collect and examine a voluminous amount of records.
- The need for consultation with another agency having an interest in the request or among two or more components of the agency receiving the request.
- The need to compile data, write a computer program or construct a computer report to extract data.

If it becomes necessary to invoke one or more of the above listed reasons for taking additional time in which to make a determination, written notification must be given to the requester by the 10th day following their request. This written notification must state the reason for the delay and the date on which a final determination will be provided to the requester.

Format of record: If a requester does not specify the format requested, it shall be assumed that the requester is seeking a paper copy of the record. If a requester asks for an electronic copy but does not specify format, it shall be assumed that the requester is seeking a portable document format (PDF).

Requests for Electronic Records: A requester may ask for identifiable public records that exist in electronic format. If the record is not exempt, First 5 LA must make the information available in electronic format in any electronic format in which it holds the information. In the event the requester specifies a specific electronic format, First 5 LA must produce the record in that format if the requested format is one that has been used by First 5 LA to create copies for its own use or for provision to other agencies. If the data requested is part of a larger database or other compilation of electronic data, the requester may ask to have the data extracted or compiled, but must pay the extra costs associated with such extraction, compilation or computer programming (see duplication costs, above).

First 5 LA is not required to release exempt electronic data, or to release an electronic record in electronic form if its release would jeopardize or compromise the security or integrity of the original record or of any proprietary software in which it is maintained.

Records Not Subject to Disclosure (Exempt Records): The Act details records that are exempt from disclosure. The following types of records are the most frequently requested documents that are exempt and therefore are not available to the public:

- Preliminary inter-agency drafts and notes customarily discarded (including stenographic notes and tapes used for transcription of a typed document and then discarded or reused), and interagency or intra-agency memorandum which are not retained in ordinary course of business, provided that the public interest in withholding such records clearly outweighs the public interest in disclosure.

NOTE: Care should be taken to keep such notes and working papers separate from files containing records that are considered public and to label personal working files as such.

- Records pertaining to pending litigation to which the Commission is a party or claims made pursuant to Government Code Section 810 et seq., until such litigation or claim has been finally adjudicated or otherwise settled.
This includes records created in anticipation of litigation before the litigation or claim is filed.
- Personnel, medical, or similar files, the disclosure of which would constitute an unwarranted invasion of personal privacy.
- Test questions, scoring keys, and other examination data used to administer examinations for employment.
- The contents of real estate appraisals, engineering or feasibility estimates and evaluations made for or by the Commission relative to acquisitions of property, or prospective public supply and construction contracts, until such time as all of the property has been acquired or all of the contract agreements obtained.
- Records, the disclosure of which is exempted or prohibited pursuant to provisions of federal or state law, including, but not limited to provisions of the Evidence Code relating to privilege.
- Attorney-client privileged communications, which include confidential communications exchanged between Commission legal counsel and either Commission personnel, or other parties with whom the Commission has a confidential relationship. Some consultants may fall within the Commission's scope of privilege; contact First 5 LA's General Counsel if you have any question regarding whether a record is an attorney-client privileged communication.
- Social Security numbers.
- Any record that is either exempt from disclosure or not a public record under applicable law.
- Any record exempt under the balancing test. Section 6255 of the Act contains an exemption for records not otherwise specified in the Act, where the public interest served by not disclosing the record clearly outweighs the public interest served by disclosure of the record. The court will carefully scrutinize use of this provision, so it should be used only in extraordinary circumstances after consultation with First 5 LA's General Counsel.

A request for records should first be checked against the exemptions in the Act and discussed with the First 5 LA's General Counsel. It is important to remember that over the years, the Legislature has added, changed, or even dropped specific exemptions, and the courts are continuing to opine on the scope of records covered by each exemption. Therefore, it is important to consult with legal counsel before releasing or withholding records.

Protecting Exempt Records; Waiver: It is important not to release exempt records to the public without authorization, as release of an exempt record could waive any applicable exemptions that would justify nondisclosure, and once released, the record may have to be given to anyone who requests it, unless an exception applies. Consult with First 5 LA's General Counsel in the event First 5 LA staff wants to share an exempt record with another public agency or someone

not within First 5 LA's scope of privilege in order to determine whether an exception applies that would permit the record to be shared.

SPECIAL RULES FOR REQUESTS FOR FPPC FILINGS

No later than the second business day following the day on which it was received, reports and statements filed pursuant to the Political Reform Act (Gov't Code § 81000 et seq.) must be made available for public inspection. First 5 LA may not require names or other identifying information from persons requesting to inspect or receive copies of such reports and statements.

Government Code Section 81008 sets a statutory fee for copies of FPPC forms, and First 5 LA cannot charge more than the statutory fee:

- Copies of reports and statements shall be provided at a charge of ten cents (\$0.10) per page.
- For reports and statements that are five or more years old, a five dollar (\$5) per request retrieval fee will be charged. A request for more than one report, statement, or report and statement at the same time shall be considered a single request.

V. RESPONSIBILITIES

The Director of Communications and Marketing is responsible for managing First 5 LA's response to Public Record Act requests as well as responses to requests for FPPC filings. This includes coordinating the written response with the Executive Department, legal counsel and other Department Heads as necessary, as well as coordinating the requests for inspection of records.

At the direction of the Director of Communications and Marketing and under his/her supervision, any duty imposed on the Director of Communications and Marketing by this policy may be performed by another First 5 LA employee.

Any employee who receives a request for public records by mail or email must immediately forward it to (a) the Director of Communications and Marketing (b) his/her Department head, if the recipient is not a Department head, and (c) retain a copy so that he or she may assist with completing the request.

In the event this Policy does not specify a fee for a particular type or format of copy, the Director of Finance will set the fee based upon direct cost of duplication, or when permitted by the Act, the cost to produce a copy of the record (e.g., Gov't Code § 6253.9(b)).

The fee may be waived if the request for reproduction is a minimal one, or if it is in First 5 LA's best interest to do so. The Director of Finance or designee will make the determination as to waiving of fees.

VI. REFERENCES/LEGAL AUTHORITY

California Government Code Section 6250 et seq.
California Government Code Section 81008.

VII. APPROVALS

Gabriel Sanchez, Director of Communications and Marketing,
Initiating Authority

Date

John Wagner, Chief Operating Officer

Date

Kim Belshé, Executive Director

Date

DRAFT

Memo

To: Board of Commissioners
 From: Kim Belshé, Executive Director
 Date: November 12, 2015
 Subject: **EXECUTIVE DIRECTOR'S REPORT**

EXECUTIVE DIRECTOR'S HIGHLIGHTS

To start this month's report, I want to share with Commissioners a recent article that appeared in the Stanford Social Innovation Review (SSIR), "The Early Childhood Challenge for Philanthropists". This short piece lays out five categories of philanthropic investment that can dramatically increase kindergarten readiness for at-risk children. Of note, the article's recommendations are closely aligned with First 5 LA's strategic focus as established in our Strategic Plan for 2015-20, including: family strengthening through home visiting; early care and education (ECE) quality improvement; developmental screenings; ECE workforce development; and advocacy for expanded funding for high-quality, evidence-based programs.

The paper concludes, "Philanthropy can and must demonstrate what works to improve kindergarten readiness for low-income children and thereby encourage smarter - and hopefully larger - public investments to equip our newest generation to thrive in school and life." As a public funder, First 5 LA's work is well aligned with this direction and approach to contributing to greater impact for young children in LA County. Take a look. (http://ssir.org/articles/entry/the_early_childhood_challenge_for_philanthropists).

Turning to the past month, I have had the opportunity to represent First 5 LA at a number of important meetings in LA County. These conferences and Summits have provided an opportunity for First 5 LA to share information about the Commission's work and investment strategy, strengthen partnerships and build new relationships, and reinforce the connections between the work that we do on behalf of LA County's youngest children and broad efforts to close the gap in opportunity experienced by disadvantaged communities.

As an example, I participated on a panel at the Southern California Grantmaker's (SCG) annual conference focused on the "Education Continuum: Supporting Learners from Cradle to Career." This panel was a terrific opportunity to share our Commission's understanding that supporting children 0 to 5 is a key piece of the "opportunity gap closing puzzle." I highlighted three key "puzzle pieces" – family strengthening via home visiting; developmental screening through Help Me Grow,

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and early learning through policy and advocacy, quality and workforce – that First 5 LA is joining with others to develop and advance in LA County. All and all, it was great to have SCG and others recognize that we will not be able to close the opportunity gap without focusing on the first five years of a child's life and that First 5 LA is an important partner and collaborator.

I also had the opportunity to join a Summit on “LA's Workforce at the Crossroads: The Essential Role of Early Care and Education and its Workforce.” This gathering, convened by the Los Angeles Workforce Development Board and Los Angeles Universal Preschool (LAUP), represented the first time that the workforce development community and the early care and education community have come together to talk about the critical connections between the County's workforce development goals and early care and education. I was pleased to share the Commission's new Strategic Plan areas of focus and recognition that to advance First 5 LA's overarching result regarding kindergarten readiness, we need to ensure we have a robust, well-trained workforce to care for and educate our children. We expect a White Paper will be produced as a result of this event, with recommendations that can be considered and adopted by the Workforce Development Board in the coming year.

Relatedly, First 5 LA Commissioners and staff joined in celebrating Families in Schools' (FIS) 15th Anniversary and receiving FIS' recognition of First 5 LA's contribution to family engagement and empowerment. Thank you to Commissioners Figueroa-Villa, Dennis and Bostwick and the cross-section of First 5 LA staff who attended. First 5 LA has been a long-standing partner with FIS and, together, our organizations have sought to strengthen parents in their role as a child's first teacher and strongest advocate. We are proud to work with FIS and many others throughout LA County to change the conversation about the importance of the early years and the critical role of parents in improving outcomes for our youngest children.

A final highlight from last month was the screening of a documentary film regarding trauma-informed care, Paper Tigers, a film that highlights the challenges of educating traumatized youth and the power of Trauma Informed Communities – “a movement that is showing great promise in healing youth struggling with the dark legacy of adverse childhood experiences.” This was the first time First 5 LA has had the opportunity to screen an entire film for staff and we were pleased by the great staff turnout. And, we were pleased that a number of Commissioners (thank you Commissioners Bostwick, Tilton, and Shabazz) were able to join as well. While Paper Tigers does not focus on the 0-5 population or health-related systems, it was a stark presentation of the implications of trauma and youth learning and development and the power of trauma-informed practices in the educational setting. The film screening is one of a number of staff and board development activities that the staff Trauma-Informed Care team is planning around the new strategic plan.

Turning now to the year that was 2015...

2014 ended with Board approval of First 5 LA's Strategic Plan for 2015-20, “Focusing for the Future” - our roadmap for how First 5 LA will contribute to improved outcomes for LA County's youngest children. This year, our focus has been to put into place the critical building blocks required for First 5 LA to be a high-performing organization able to maximize our contribution to ensuring that all children in LA County enter kindergarten ready to succeed in school and life. In that regard, 2015 has been a pivotal year for First 5 LA, as we undertake the important, challenging and necessary work associated with ensuring First 5 LA can effectively execute the new Strategic Plan through 2020. Recognizing the multiple components of organizational transformation, we have worked together to affect change across multiple domains: strategy, structure, people, processes, and governance.

Working together, we have made important progress across all domains. Highlights include:

Strategy:

- We have seen important progress on the Strategic Plan's two "anchor" investments in Best Start: Welcome Baby home visiting and Best Start community capacity-building. Both of these investments seek to strengthen families' access to parenting knowledge, information and concrete supports and are guided by the philosophy of the Building Stronger Families Framework – that is, if families are strong and communities support families to succeed, then children will have better outcomes.
- Within First 5 LA, we have established teams to design and advance a discrete number of new projects associated with the Strategic Plan. The initial focus is on new work that requires considerable planning and early developmental activity, such as our role and approach to trauma-informed care and early care and education (ECE) Quality Rating and Improvement Systems (QRIS). The new project teams represent an interdisciplinary approach in their composition and to their work, proactively including, as one example, the inclusion of administrative colleagues in the early project design and implementation.
- Externally, First 5 LA staff is partnering with existing contractors in new ways, such as LA Care, and building new partnerships with our County agencies partners, such as the new Office of Child Protection, with a focus on broader, systems changes that can maximize impact for families with young children.

Organization alignment:

- First 5 LA staff is working together in new ways that reflect more collaborative, interdisciplinary approaches. We established a Transformation Management Office (TMO) that provides a framework for staff members to identify the interdependencies of our work and collaboratively develop and advance solutions and sequence projects key to execution of the new Strategic Plan.
- Informed by our work with Tulsi Consulting, learning from best practices, and input from staff via staff meetings, focus groups, interviews, open sessions, and Q&As, we are working to better align our organization to the mission and strategy of the new Strategic Plan. Foundational to this work has been the identification of First 5 LA's existing and future functional core capabilities, a process led by Tulsi consulting which engaged all departments.

Talent development:

- The SMT agreed as organization leaders that we would undertake performance evaluations (PEs) concurrently – with all PEs due on the same date. This is an example of an HR best practice, but had never been done before at First 5 LA. In addition, we included a new component to the PE process that invited staff to provide a self-evaluation, as well as a peer-to-peer input process that provided more comprehensive feedback to our employees. We are currently in the process of implementing the merit pay component of First 5 LA's board-approved compensation policy.
- Under the new leadership of our Human Resources (HR) department and with the support of part-time HR support drawn from the private sector, we made good progress this year in identifying the short-term training needs of staff. Informed by an employee survey, feedback from the SMT, employee focus groups, self-evaluations and staff development plans, a number of specific classes and trainings were identified. Informed by these inputs, HR is working with Department Directors to develop a short-term training model that offers a number of classes open to all employees as well as specific trainings targeting supervisors. These short-term models will inform a longer-term professional training and development strategy that will be available across the entire organization.

Processes:

- Through our TMO, we have established a process that enables staff across the organization to proactively identify specific business processes and systems that are required to support our work. Business processes related to effective implementation of the new Strategic Plan include a number of projects, such as ensuring systems are in place to support work fundamental to our strategic direction, including Monitoring, Evaluation, and Learning (MEL).
- Organization-wide, the “3M” (Method, Mission, Mobilize) workgroup, convened by our Chief Operating Officer John Wagner, continues to provide a platform for organization-wide conversations amongst a cross-section of staff on policies and procedures. 3M issues are important and relevant to our employees and to the effective and efficient operations of First 5 LA, addressing a key learning of our 2013 Listening, Learning, and Leading (L3) effort by providing organization-wide input and implementation of critical policies and procedures. Examples here include document retention/destruction policy, travel and parking policies, promotional pay, and defining allowable reimbursement costs for staff and Commissioners.

Governance:

- At each Commission meeting and many Program and Planning Committee meetings, we dedicated time to a topic area associated with the new Strategic Plan. Examples include Trauma Informed Care, kindergarten readiness assessments, the Help Me Grow developmental screening framework, and Early Care and Education policy and advocacy. Such sessions have helped to build Commissioner and staff understanding and awareness of many of the key issues that are central to advancing First 5 LA's new Strategic Plan. They have also strengthened relationships with key individuals and organizations who are working in these fields and who we anticipate will be partners in our work going forward.
- Our Commissioners have been generous this past year with their time, wisdom, and many contributions to our work. Whether it be our monthly Board and Committee meetings, evening early childhood development events, weekend celebrations, and various conferences, the Board has been present, engaged, and visible in its work on behalf of LA County's youngest children and their families.

I'm proud of how First 5 LA – staff and Board alike – have come together this past year with an eye towards a common goal: the effective execution of the new Strategic Plan. I commend the organization and our many partners for their investment of energy and effort, which has been critical to focusing and strengthening First 5 LA to support our shared aspiration: to be a leading early childhood advocate working in partnership with others to strengthen families, communities and systems of services and supports so that all children in LA County enter kindergarten ready to succeed in school and life.

ORGANIZATION-WIDE ACTIVITY HIGHLIGHTS

I. PERINATAL SUPPORT

No highlights to report this month.

II. PARENTING SUPPORT AND CHILD SAFETY

No highlights to report this month.

III. PHYSICAL AND MENTAL HEALTH

9/27 Tiny Tots Olympics

Tiny Tots Olympics provided little ones and their families the opportunity to experience various interactive fitness activities. Over 200 families participated in a torch run, balance beams and other Olympic activities. First 5 LA hosted a resource table and distributed Family Guides, books and balls.

10/11 LA Trust Tooth Fairy Convention

This oral health expo offered a variety of health screenings, information on preventive and oral health care. The goal of the event was to increase student health and readiness and to learn through access, advocacy and programs. During the expo First 5 LA hosted a resource table providing information on oral health care for children from 0 to 5, distributed books about dental care, Family Guides, brochures and tooth brushes to over 200 attendees.

Staff Contact: Violet Gonzalez (vgonzalez@first5la.org)

10/24 Wilmington Garden Opening

On Saturday, October 24th, First 5 LA Children's Garden Collaborative/Little Green Fingers Project hosted the grand opening of the East Wilmington Community Garden. East Wilmington Community Garden is the 7th of 8 Children's Gardens built by the lead grantee, LA Conservation Corps, since the investment began in March of 2012. The garden has 38 plots and is located in the heart of Greenbelt Park, where families can find safe places to play on basketball courts, soccer fields and playgrounds. Families who have plots at the garden are supported by staff from LA Neighborhood Land Trust and Best Start Wilmington. Commissioner Nancy Au represented First 5 LA at the opening and honored the community's gardening efforts alongside representatives of Mayor Eric Garcetti, California Senator Isadore Hall, Councilmember Joe Buscaino, and Assemblymember Mike Gipson.

Staff Contact: Faith Ramirez (framirez@first5la.org)

IV. SCHOOL READINESS

Los Angeles Unified School District

LAUSD held its Ad Hoc Committee on Early Education and Parent Engagement in October 2015, the first one under the Chairmanship of new Board Member Ref Rodriguez. First 5 LA is a member of the Committee, as is staff from Early Edge California, Advancement Project, LAUP, Children Now, the LA Chamber, and unions, associations, and parent groups. The Local Control Funding Formula (LCFF) group that First 5 LA convenes bi-weekly helped to identify the agenda items for the meeting and will continue to provide input into the meeting content. Items discussed at this first meeting included a review of the Expanded Transitional Kindergarten Program, an Advancement Project presentation about gaps in child care and preschool service within LAUSD boundaries, and the status of schools' parent center renovations.

Councilman's Principal Workshop

On Monday, November 2, 2015, First 5 LA Policy staff spoke to a roomful of school principals and other administrators at Councilman Mitch Englander's forum highlighting resources and supports for schools in the San Fernando Valley. Staff highlighted the value of focusing resources on early learning, including investing in programs like home visiting that support family strengthening and early literacy to prepare children for success in school.

VICA Education Committee

First 5 LA is represented on the Valley Interstate Commerce Association (VICA) as Co-Chair of their Education Committee. The committee met on Tuesday, November 5, 2015, and staff spoke to the group about early education wins in the legislature this past year and anticipated priorities for the coming budget and legislative year.

LA Compact Legislative Delegation Reception

The L.A. Compact signers, which include Los Angeles Mayor Eric Garcetti, Los Angeles County Supervisor Mark Ridley Thomas, Los Angeles Unified School District (LAUSD) Superintendent Ramon Cortines, the LAUSD School Board President, United Way of Greater Los Angeles, the Los Angeles Area Chamber of Commerce, First 5 LA, the Associated Administrators of Los Angeles and L.A. Compact partner United Teachers Los Angeles, held a reception for legislators on Monday, November 9, 2015 to discuss joint advocacy work the group is doing for the education system in Los Angeles. Legislators were invited to speak about their priorities for the coming budget and legislative year, starting January 2016.

The L.A. Compact is an historic agreement that was signed by key education stakeholders in Los Angeles as a commitment to support significant system changes to better prepare students in Los Angeles for college and sustainable jobs and careers. The L.A. Compact is established based on the belief that all students can achieve at high levels and seeks to ensure that all students graduate from high school, and are ready for college and the 21st century workplace. The L.A. Compact focuses on areas of shared interest where all signers can work together, despite their differences.

Staff Contact: Tessa Charnofsky (tcharnofsky@first5la.org)

9/26 Brain and Early Learning / First 5 CA

This conference provided early childhood teachers, parents, home-based care providers and children's librarians information on research trends in early childhood brain development, strategies for developing literacy, and gained insight into supporting children's discovery of nature and child-centered children's explorations. In partnership with First 5 California, First 5 LA provided Family Guides, Father Resource Guides, First 5 LA brochures and balls to over 200 participants.

10/3 Feria de Educación

Feria de Educación is the country's largest education event that promotes academic achievement and parental advocacy for Hispanic students and parents. More than 20,000 families participated in the educational pathway that motivates and guides Hispanic parents and students through every step of the educational process from Pre-Kinder through college and into a successful career. The goal is to encourage and advocate for students to complete high school and achieve a college degree. First 5 LA in partnership with First 5 California and Jumpstart hosted a reading garden for kids and their families where families enjoyed a space to read a book and participate in celebrity lead reading. Families visiting the First 5 LA table received free books, Family Guides, brochures and a tambourine.

10/10 United Way – Fall into Literacy

United Way Fall into Literacy bridges the literacy gap by providing annual literacy programs for both parents and students, engaging families and providing useful tools to help create pathways to success. Over 200 families enjoyed story sharing presentations by authors and local elected officials. During the event First 5 LA hosted a resource table providing families with Family Guides, First 5 LA brochures and free books.

Staff Contact: Violet Gonzalez (vgonzalez@first5la.org)

Grantmakers for Education

Community Investments (CI) staff participated in the Grantmakers for Education (GFE) Annual Conference in San Francisco on October 20-23, 2015. In recognition of funders' growing interest in early childhood education (ECE) and its connection to K-12 and post-secondary systems, GFE dedicated a full-day session to exploring the significance of ECE's impact on the education continuum.

The "Cradle to Career" program drew more than 100 funders and included a presentation by Dr. Anne Fernald, Professor of Human Biology at Stanford University, of current research on early brain development and how early parent-child interactions lay the foundation for a child's social, emotional, physical and intellectual growth. The San Francisco Unified School District (SFUSD) Early Education Department also shared their experience working as part of a public/private partnership—with Stanford University and philanthropic partners including the David & Lucille Packard Foundation, Evelyn & Walter Haas, Jr. Fund and First 5 San Francisco—to create and execute a PreK-3rd grade strategy in which preschool and early elementary grades align curricula, methodology, and assessments in order to provide consistency in supporting children's social emotional development as well as academic outcomes that lead to future school success.

Other GFE conference session topics aligned with First 5 LA's FY 2015-20 Strategic Plan ECE Outcome Area included: ECE workforce development and compensation, increasing access to affordable quality ECE, cross-sector collaboration and coalition-building to advance policy and systems change. The conference also provided informal opportunities for First 5 LA to network, build relationships, exchange information, share promising practices and challenges with education funders representing both local and national foundations across the education spectrum.

The growing dialogue on ECE presents an exciting and timely opportunity for First 5 LA to increase our level of engagement among education funders to partner in our learning and grantmaking in order to achieve greater impact on children 0 to 5 and their families. Staff will continue to build relationships with the GFE community and explore opportunities for collaboration.

Staff Contact: Jennifer Cowan (jcowan@first5la.org)

V. BEST START

Region 1: East LA, South El Monte/El Monte, Central Long Beach

Best Start East LA had an active month - they received training on outreach and event planning that they then implemented for the Grand Opening of the Tot Lot at City Terrace Park. The Outreach & Engagement Committee set goals and performance measures to assess success of the event, one being reaching at least 150 people, a metric they exceeded as the event welcomed close to 250 people. Additionally, members of the Advisory Committee facilitated a Partnership Meeting, and designed in partnership with the Family Resource Library a workshop on how to overcome social stigmas and diminish parental stress.

Best Start South El Monte continues to strengthen its structure and plan for the future. The Advisory Committee has been tackling decisions about bylaws and connecting with partners in the community, including the Office of Congresswoman Linda Sanchez and SPIRITT's Parent Advisory Committee and Parents as Leaders and Support (PAC PALS). Meanwhile, the Communications Workgroup developed plans to reengage the *We Support Best Start* businesses next month.

The *Best Start* Central Long Beach partnership is holding elections in November for the 2016 calendar year. Additionally, October and November are important periods for the implementation of the Capacity Building Activities including a police convening, parent leadership trainings, and collaborative meetings and trainings.

Region 2: Southeast Los Angeles, Wilmington, Metro LA

During September, the *Best Start* Southeast LA Community Partnership worked on developing a capacity building plan focused on three core capacities: Inclusive Governance, Effective Collaboration, and Building Neighborhood Capacities. The Partnership also engaged in a conversation focused on strengthening the collaboration between organizations and community members.

In *Best Start* Wilmington, the Wilmington Family Fiesta at Banning Park was held in September. The group "I Heart Wilmington" and the Neighborhood Action Councils (NACs), along with local organizations and businesses, helped plan the family event that included a bike ride, family activities and live entertainment. The event promoted relationship building and local families connected with each other through interactive activities provided at each booth.

In September Field Deputy Fredy Torres from District 8 Councilman Marqueece Harris-Dawson visited *Best Start* Metro LA's Richardson Park Neighborhood Leadership Group to build collaboration between the council office and the group, and to hear directly from residents about community issues and concerns. At the meeting, Communications Task Force members launched the newest partnership newsletter which included two stories written by BSMLA Parents and served as a tool to introduce the council office to the group and the rest of the partnership.

Region 3: Panorama City & Neighbors, Northeast Valley Community, Lancaster, Palmdale

Best Start Panorama City & Neighbors (BSPCN) continues to foster cross-community learning. In September, several BSPCN Community Partnership members attended a *Best Start* Metro LA meeting to share how they foster parent engagement in their own community. BSPCN members emphasized the importance of parents talking and reading to children and guided Metro members through the "Ready for Kinder" workbook they developed in 2013. In October several BSPCN members attended the Families in Schools Alliance 2015 conference—a gathering where parents, education, and community leaders learn and discuss pressing issues affecting student achievement in communities.

The *Best Start* Northeast Valley (BSNEV) RFP was released in September. The Guidance Body for BSNEV community has continued to meet with Center for the Study of Social Policy (CSSP) and First 5 LA staff to secure capacity building support necessary to continue to move the work forward in preparation for collaborating with the selected Contractor for the RFP.

Best Start Palmdale (BSP) members have been working together to strengthen the Partnership's core message through dynamic workshops in the Communications Workgroup. BSP is in the contract development stage of the RFP process. The contractor is set to begin on-boarding in early December 2015.

The *Best Start* Lancaster (BSL) Partnership approved its Communications Plan, which identified the community's goal to reduce and prevent child abuse and neglect through parental education on child abuse, encouraging parent and child interaction and play, and providing stress relieving activities and tips.

Region 4: Broadway-Manchester, West Athens, Watts-Willowbrook, Compton-East Compton

Best Start Watts-Willowbrook selected Crystal Stairs as its contractor for its Building Stronger Families Capacity Building Activities. They also continued their outreach and community engagement work by participating at and sponsoring a Cancer Awareness Bike Ride and Health Fair on October 3.

Best Start Broadway-Manchester is planning a holiday outreach event for December that will connect residents to resources and services, as well as introduce them to the work of *Best Start*.

They are also working on a capacity building plan for the new-year, which includes strengthening governance and leadership training.

Best Start West Athens continued to build the skills of its Leadership Group, which now develops Partnership agenda and handles all facilitation of its meetings. They did another communications training focusing on messaging at their October Partnership meeting and are completing their first *Best Start West Athens* brochure.

Best Start Compton-East Compton began its formal orientation process for new members by organizing a meeting on October 29. The communications workgroup also participated in a health fair held by Spirit Ministries and a Halloween event hosted by El Nido Family Centers.

Staff Contact: Katie Kurutz (kkurutz@first5la.org)

VI. WORKFORCE DEVELOPMENT

No highlights to report this month.

VII. COUNTYWIDE SYSTEMS IMPROVEMENT

Countywide Systems Improvement Evaluation

The Countywide Systems Improvement Evaluation was launched in December 2013 with a primary goal of understanding how the countywide strategies of public education, policy, resource mobilization, and organizational capacity building have contributed to changes in public knowledge, policy and resources available to serve children 0 to 5 in Los Angeles County. A secondary goal of the evaluation is to promote organizational learning about systems improvement efforts.

The final evaluation report was completed in October of 2105. The report describes milestones, achievements and key lessons learned about the countywide strategies. The report provides agency-wide recommendations to strengthen future systems improvement efforts. The first recommendation focuses on communication. Specifically, the report highlights the importance of clearly articulating First 5 LA's definition of and approach to systems improvement work and carefully targeting communication about the agency's systems-improvement approach to various stakeholders and potential partners. The second recommendation centers on convening. The evaluation findings suggest that First 5 LA could play a meaningful role in systems improvement efforts by acting as a convener of affinity groups and collaboratives that are addressing systems-level issues. The final recommendation concerns ways to strengthen efforts to collaborate with other entities. The report suggests that First 5 LA should establish goals and objectives for collaborative efforts and that the relationships that the collaborations are based on should be tracked and managed in a systematic way.

The report is available on the First 5 LA website. (www.first5la.org/index.php?r=site/tag&id=1029)

Staff Contact: Allison Wallin (awallin@first5la.org)

Conference/Events Grants

9/17 & 9/18 Los Angeles Child Guidance Clinic Conference- Using Sensory-Based Interventions across Disciplines to Support Relationships, Address Trauma, and Promote Self-Regulation

This conference brought together leaders in the occupational therapy, physical therapy, and mental health fields, to draw upon the wealth of knowledge and experience of those who often use the sensory system as the starting point for intervention and treatment. Participants had the opportunity

to interact with sensory tools and toys to help them explore possible intervention tools or strategies for helping families. First 5 LA awarded a grant in the amount of \$5,000 and provided 100 attendees with Family Guides, Father Resource Guides and tote bags.

9/25 ICAN – NEXUS XX Conference

This conference explored family violence, in particular the connection between child abuse and domestic violence. The event provided content specific to parents and/or children 5 and under in the general session and workshop topics. Workshop sessions focused on developmental and mental health and public health topics with a continued special emphasis on this youngest and most vulnerable population. First 5 LA awarded a grant in the amount of \$25,000 along with a resource table onsite, provided over 600 attendees Family Guides, First 5 LA Brochures, Father Resource Guides, books and pens.

Staff Contact: Violet Gonzalez (vgonzalez@first5la.org)

Countywide Public Education Activities Supporting First 5 LA Investments

9/26 Heal the Bay Otter Week

Otter Week at Heal the Bay offered families the opportunity to learn about sea otters and their habitats. In conjunction with Otter Week we partnered with Heal the Bay for a special story time with First 5 LA's character Potter the Otter. The special reading with Potter the Otter was attended by 25 kids and their families. During the reading First 5 LA hosted a resource table providing Family Guides, Father Resource Guides and books.

10/11 Discover Marina Del Rey

This event provided information on being responsible and proactive stewards of world-renowned public urban beaches for the benefit of current and future generations. Over 300 participants had the opportunity to experience clean, safe, and accessible public urban beaches and the Marina del Rey harbor while promoting quality of life, economic vitality, boating, and other recreational opportunities. First 5 LA provided Family Guides, First 5 LA Strategic Plan Highlights and free books.

Staff Contact: Violet Gonzalez (vgonzalez@first5la.org)

VIII. INTERNAL INITIATIVES

No highlights to report this month.

IX. FEDERAL AND STATE PUBLIC POLICY AND GOVERNMENT RELATIONS

Federal Budget and Legislation

A final action by John Boehner prior to his departure as House Speaker was to pass a budget deal that sailed through the Senate and was signed by the President on November 2nd. This deal averts a debt ceiling limit crisis and a battle over enacting the annual budget, and it partially undoes automatic sequestration cuts and implements new caps on discretionary spending for both FY 2016 and 2017. What this will mean for non-defense discretionary spending, assuming the budget is finally passed, is that there is wiggle room for some increases in spending. The deal adjusts spending caps for two years by a total of \$80 billion, split between defense and non-defense programs.

Child Care Development Fund State Plan

The Federal Administration for Children and Families, Office of Child Care, provides California over \$550 million annually for child care via the Child Care Development Fund (CCDF). The California Department of Education (CDE) submits a plan to the Office of Child Care every two years (just

changed to every three years) providing a description of how they plan to spend the money. Since Congress reauthorized the Child Care Development Block Grant (which gets its funding from CCDF) in 2014, California's state plan will be significantly revised in order to reflect changes in the law. A number of public input sessions, planning meetings and hearings will be held prior to the March 2016 submission deadline. First 5 LA, either directly or through our partners, are involved in these discussions.

Staff Contact: Tessa Charnofsky (tcharnofsky@first5la.org)

Policy Advocacy Fund Grantee Meeting

On Wednesday, October 21, 2015, the Policy Department held the first quarterly meeting of the fiscal 2015-2016 year for Policy Advocacy Fund (PAF) grantees at First 5 LA. The meeting focused on *State Budget Advocacy: Whom Do We Target, How Do We Engage and What Works?* The meeting was presented in an informal one-on-one interview with Nicole Vasquez, Deputy Chief Consultant, California State Assembly Budget Committee and Anna Levine, Senior Staff Attorney, Child Care Law Center as the moderator. The first half of the session presented what can be accomplished through budget advocacy, and presented real-time examples on the process from inside and outside of government. The second half included two breakout sessions during which grantees and/or experienced advocates explored advanced questions (with Nicole Vasquez), while those new to state budget advocacy learned about how the process works and ways to start getting involved (from Anna Levine).

Staff Contact: Amelia Cobb (acobb@first5la.org)

State Legislative Update

Sunday, October 11, 2015, was the last day for Governor Brown to take actions on one hundred bills that were passed by state lawmakers in September 2015. Among those that the Governor signed was AB 1321 (Ting), which is on First 5 LA's 2015 State Legislative Agenda. The bill will establish the Nutrition Incentive Matching Grant Program in the State's Office of Farm to Fork, and create the Nutrition Incentive Matching Grant Account in the Department of Food and Agriculture Fund. Matching funds received from federal grant programs, as well as funds from other public and private sources will be used to provide grants under the Nutrition Incentive Matching Grant Program, and to administer the Nutrition Incentive Matching Grant Program.

This new grant program represents potential long-term sustainability for First 5 LA's Market Match, an innovative California healthy food program that doubles low-income shoppers' CalFresh and WIC nutrition benefits at participating farmers markets and allows them to purchase more healthy fruits and vegetables. First 5 LA provided a \$2.5 million grant – the largest infusion of funds in the program's five-year history – which enabled Market Match to launch a five-year expansion that is expected to increase access to healthy foods for young children of low-income families at 37 Los Angeles area farmers' markets by 2018. The expansions will more than double the number of local markets participating in the program.

Unfortunately, several other bills on First 5 LA's legislative agenda were vetoed by the Governor during this period, including AB 47, AB 74 and AB 50. The Governor signing AB 47 (McCarty) would have increased early learning opportunities for young children by requiring that all children who are not enrolled in transitional kindergarten have access to the state preschool program the year before they enter kindergarten. Another piece of legislation, AB 74 (Calderon) would have required a phase-in of annual state inspections for child care facilities. Governor Brown's veto message for both ECE-related bills indicated that such policy changes should be considered as part of the annual state budget process.

A third bill, AB 50 (Mullins) would have required the state to develop a feasibility plan for offering evidence-based home visiting program to Medi-Cal eligible pregnant and parenting women. The

Governor vetoed the bill, noting that it would require new spending at a time when there is considerable uncertainty in funding for new programs.

An updated version of First 5 LA's Legislative Agenda is included in this report (Attachment A).

Staff Contact: Ruel Nolloedo (RNolloedo@first5la.org)

X. CONTRACTS EXECUTED BETWEEN \$25K - \$75K

Procurement Update

Pursuant to the Procurement Policy adopted on February 13, 2014, "The Executive Director (or designee) may approve any contract less than \$75,000 in the aggregate in a fiscal year, and will establish appropriate internal policies and controls for those awards. Copies of contracts executed in the amount of \$25,000 or more and up to \$75,000 within a fiscal year will be provided to the Commission during the course of its normal business and be provided as informational items."

The following contract was executed between September 19, 2015 and October 23, 2015. A copy of the executed contract can be found here: www.first5la.org/postfiles/files/Nov2015ED.pdf

#09031 JANE HAMMERSLOUGH – Contract Amount: \$50,000

Contract Period: 10/1/2015 – 6/30/2016

The Contractor will write the Quarterly Family Guide, its promotional poster and online content. The Contractor will also write for tertiary projects as needed by the Communications and Marketing Department.

**First 5 LA
2015 Legislative Agenda
(updated October 11, 2015)**

Bill #	Author	Description	Status
AB 47	McCarty	Requires all children who are not enrolled in transitional kindergarten to have access to the state preschool program the year before they enter kindergarten, if their parents wish to enroll them, contingent upon the appropriation of sufficient funding in the annual Budget Act for this purpose. Requirements would take place on or before June 30, 2018 (as amended 9/4/15).	10/09: Vetoed by Governor
AB 50	Mullins	Requires the State Department of Health Care Services to develop a feasibility plan that describes the costs, benefits, and any potential barriers to offering evidence-based home visiting program are offered and provided to Medi-Cal eligible pregnant and parenting women. The bill would also require the department, in developing the plan, to consider, among other things, establishing Medi-Cal coverage for evidence-based home visiting program services and incentives for Medi-Cal providers to offer those services, and would require the department, in developing the plan, to prioritize the identification of funding sources, other than General Fund moneys, to fund evidence-based home visiting program services (as amended 9/4/15)	9/23: Vetoed by Governor
AB 74	Calderon	Requires the state to improve quality of care provided in child care facilities by requiring incremental implementation to unannounced annual inspections of child care and development facilities by 2018.	9/30: Vetoed by Governor
AB 648	Low	Establishes the Virtual Dental Home (VDH) grant program at the California Health Facilities Financing Authority and appropriates \$3 million from the California Health Facilities Financing Authority Hospital Equipment Loan Program to expand the VDH model of community-based delivery of dental care (as amended 9/1/15).	9/9: Sent to inactive file at request of author.
AB 1321	Ting	Establishes the Nutrition Incentive Matching Grant Program in the Office of Farm to Fork. Creates the Nutrition Incentive Matching Grant Account to collect matching funds received from federal grant programs and funds from other public and private sources to provide grants under the Nutrition Incentive Matching Grant Program and to administer the Nutrition Incentive Matching Grant Program.	10/02: Signed by Governor.
SB 277	Pan	Removes the personal belief exemption from school immunization law and requires the governing board of a school district to notify parents or guardians of school immunization rates.	6/30: Signed by Governor
ACR 77	Stone	Urges the Legislature to leverage existing efforts and statutes to ensure an accountable, results-oriented, and coordinated network of resources to provide multidisciplinary early identification and intervention services and supports to infants and toddlers. Also urges Legislature to support and promote community-driven efforts to coordinate referrals and linkages between, and guide families through the complexities of, the early identification and intervention systems, through programs and models such as Help Me Grow California.	08/24: Passed both Assembly and Senate. 09/03: Chaptered by Secretary of State

Special Session Bills:

ABx2 11	Nazarian	Updates the Cigarette and Tobacco Products Licensing Program under the Board of Equalization (BOE) by increasing licensing, distributor, and wholesaler fees.	9/10: In Assembly and read second time. To third hearing.
SBx2 10	Beall	Amends the Cigarette and Tobacco Products Licensing Act. Requires a fee to be submitted with each license application. Require every retailer to file an application for renewal of a retailer's license accompanied with a fee per retail location, in the form and manner prescribed by the Board of Equalization. Increases certain wholesaler and distributor fees.	8/27: Passed Senate. Sent to Assembly. (24-15)

FIRST 5 LA

SUBJECT:
Strategic Plan Implementation Update, 1st quarter

BACKGROUND:

First 5 LA began the official implementation of its newly adopted strategic plan on July 1, 2015. The new plan aims to provide increased clarity and focus on how First 5 LA will make a lasting impact on the greatest number of children in Los Angeles County. The Commission underwent extensive analysis, engaged in thoughtful conversations and deliberation and ultimately made tough choices when selecting its priority outcome areas and focused approach for the next five years.

The 2015-2020 Strategic Plan recognizes that First 5 LA is one organization, among many, that has a vested interest in improving the lives of children and families, and that the path to widespread impact and sustainability runs through community, systems and policy change. The goals in the plan are ambitious and acknowledge that First 5 LA must evolve its approach as a funder and play a leadership role in convening, collaborating, coordinating and advocating on behalf of children prenatal to age 5 in Los Angeles County. To help define and support First 5 LA's more focused role, the Commission adopted six investment guidelines, which express the organization's point of view about how and where it can have the most impact.

The Commission's investment guidelines are:

- ✓ Focus on prevention
- ✓ Focus on systems and policy change
- ✓ Seeks to have broad impact, affecting large numbers of people
- ✓ Prioritize investments that strengthen families, and whenever possible, improve community capacity
- ✓ Prioritize identification and scaling up of evidence based practices
- ✓ Engage partners at the earliest possible stage of activity and/or investment

This update to the board reflects on some early themes that staff have identified, in the first quarter of implementation of the plan.

What Are We Learning?

- **Anchor Investments:** It is critical to acknowledge that the new strategic plan builds on years of major investments and learning in two key areas: Welcome Baby and Community Capacity Building. These two investment areas reflect a commitment to supporting community needs, while lifting up systems and policy opportunities to sustain and address these issues for the long term.
- **Partnerships:** Leading with partnerships and engaging in conversations at the beginning of developing initiatives changes *how* we do our work. Staff have initiated conversations with a diverse array of agencies, funders, and other institutions to inform and collaborate on the implementation of key strategies within the plan in the first quarter, including but not limited to: Help Me Grow, the David and Lucile Packard Foundation, LA Care, Abriendo Puertas, and Center for Youth Wellness.
- **Roles:** Staff have and continue to carefully consider the appropriate role for First 5 LA in each strategy area. First 5 LA may choose to play the role of convener, funder, catalyst

or advocate; these choices result in different implications relative to agency resources (e.g. staff, budget, focus) timing, opportunity and a consideration for the landscape of existing players and interests in a given area.

- **Systems and Policy Change:** In several key strategy areas, First 5 LA is focused on systems and policy change including: Quality Rating Improvement Systems, Office of Child Protection Prevention Plan, and the State Early Childhood Education Policy Coalition. In each of these areas, focusing on the development of a larger system, plan or coordinated advocacy strategy, elevates the discussion away from more narrow interests, to the higher interest to the benefit of improved outcomes for children and their families.
- **Internal Operations and Staff Capacity:** First 5 LA's ability to execute the plan is tied to its ability to ensure staff have the skills, experience and capacities required to effectively build relationships, convene major institutional players, devise sophisticated policy strategies and deploy consultant/expert resources effectively. Additional considerations include the successful management of legacy investments, improving internal systems and clarifying the culture of the organization to align with the plans demands.

Conclusion

First 5 LA has embarked on its first quarter of implementing the 2015-2020 Strategic Plan with humility and recognition that the extraordinarily ambitious goals reflect the Commission's deep desire to make a lasting impact on the lives of young children in Los Angeles County. Staff are committed to learning and growing as an organization in order to meet the demands of the plan, so that all young children in Los Angeles County are given the opportunity to meet their full potential and enter kindergarten ready to succeed in school and life.

Strategic Plan Implementation Update

Stacy Lee, Director

Office of Strategic Planning and Integration

November 12, 2015



Overview

- Review our Plan
- 1st Quarter of Implementation
- What Are We Learning?
- Next Steps

Our Vision

Throughout Los Angeles' diverse communities, all children are born healthy and raised in a safe, loving and nurturing environment so that they grow up healthy in mind, body and spirit, and are eager to learn, with opportunities to reach their full potential.



Our Mission

First 5 LA, in partnership with others, strengthens families, communities and systems of services and supports so all children in Los Angeles County enter kindergarten ready to succeed in school and life

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Overarching Result

Children enter kindergarten ready to succeed in school and life



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Strategic Plan 4 Outcome Areas

Families

- Home Visiting
- Parent Engagement

Communities

- Community Capacity Building
- ECE and Health Supports
- Places and Spaces

ECE Systems

- Public Funding
- Quality Rating Improvement System
- Professional Development

Health

- Developmental Screening
- Trauma Informed Care

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6 Investment Guidelines

- Focus on prevention
- Focus on systems and policy change
- Seeks to have broad impact, affecting large numbers of people
- Prioritize investments that strengthen families, and whenever possible, improve community capacity
- Prioritize identification and scaling up of evidence based practices
- Engage partners at the earliest possible stage of activity and/or investment



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**Quarter 1,
Year 1**

**What Are We
Learning?**

What Are We Learning?

Anchor Investments

Home Visiting and Community Capacity Building

- Early efforts to clarify and focus both investments provided important lessons for the Strategic Plan efforts
 - Building Stronger Families Framework
 - Welcome Baby Sustainability Planning
- New Strategic Plan focus on sustainability, partnership and systems change continues to inform these investments in terms of learning and adjustments needed to maximize their impact
 - Over 13,200 clients will be served in FY 15-16 through Welcome Baby and Select Home Visiting Programs in LA County
 - Implementation of Best Start Community RFP's and integration of Best Start Communities work across organization

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What Are We Learning?

Partnerships

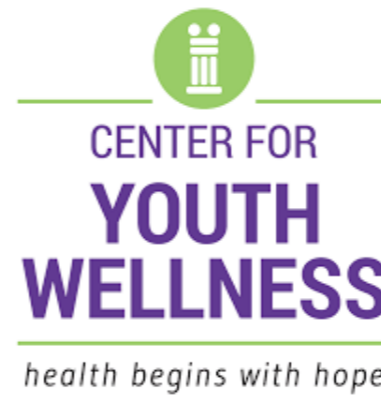
Changes *how* we do our work

- Ability to execute more dependent on other parties
- Navigate aligned and unaligned goal areas between potential partners – flexibility and savvy
- Relationship building takes time –
“Collaboration moves at the speed of trust”

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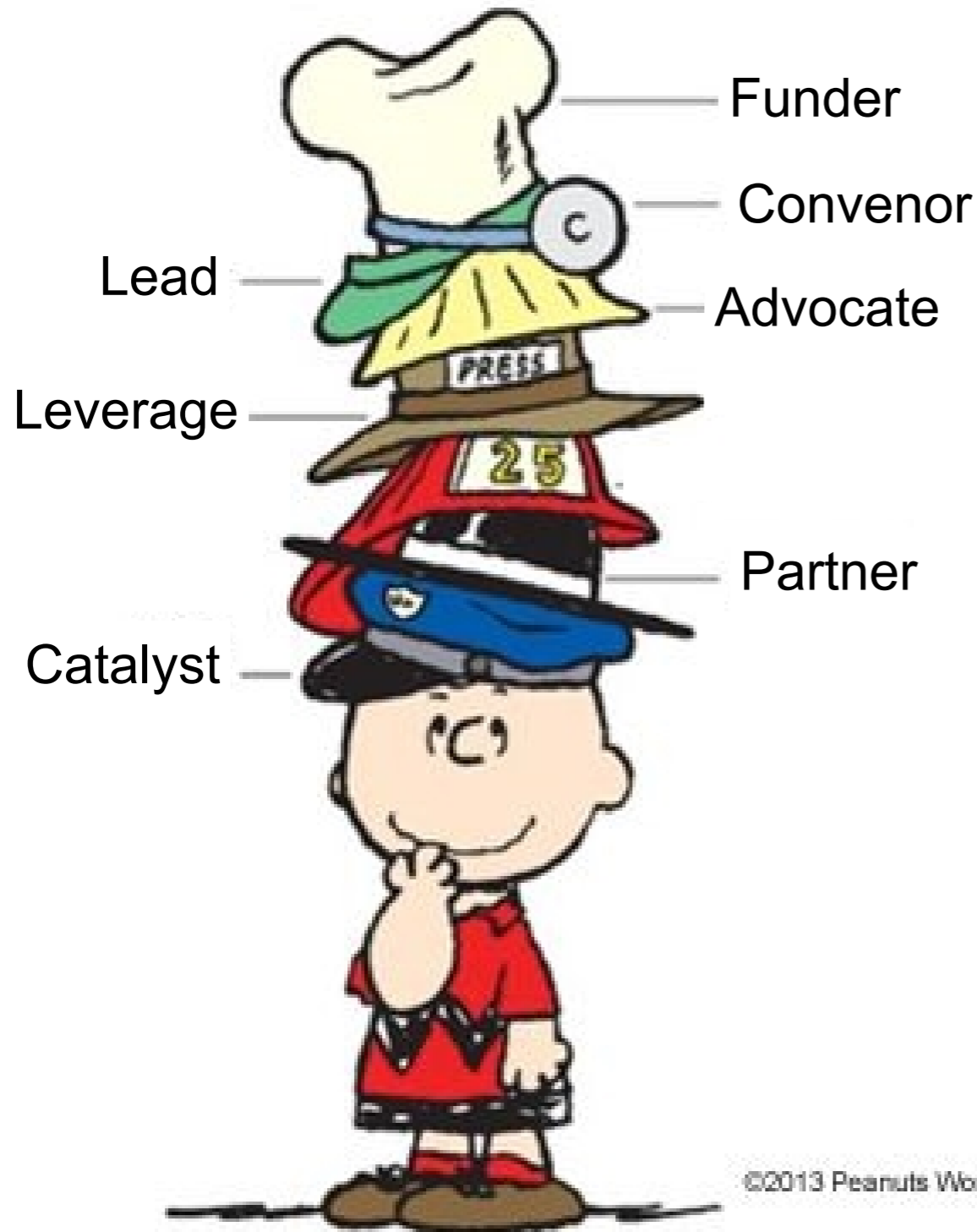


Engaging Partners at Earliest Stage



What Are We Learning?

Roles



Considerations:

- Resources
(staff, budget, focus)
- Timing
- Opportunity
- Landscape

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What Are We Learning?

Systems & Policy Change

QRIS



**Focus on
Stakeholders &
Funding Sources**



**Planning &
Collaboration**



**Focus on
Maximizing
Resources and
Strengthening
Outcomes**

What Are We Learning?

Systems & Policy Change

Office of Child Protection



Focus on Crisis Intervention



Planning & Collaboration



Focus on Family Strengthening & Support in Communities

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What Are We Learning?

Systems & Policy Change

State ECE Policy Coalition



Focus on
Individual
Agendas

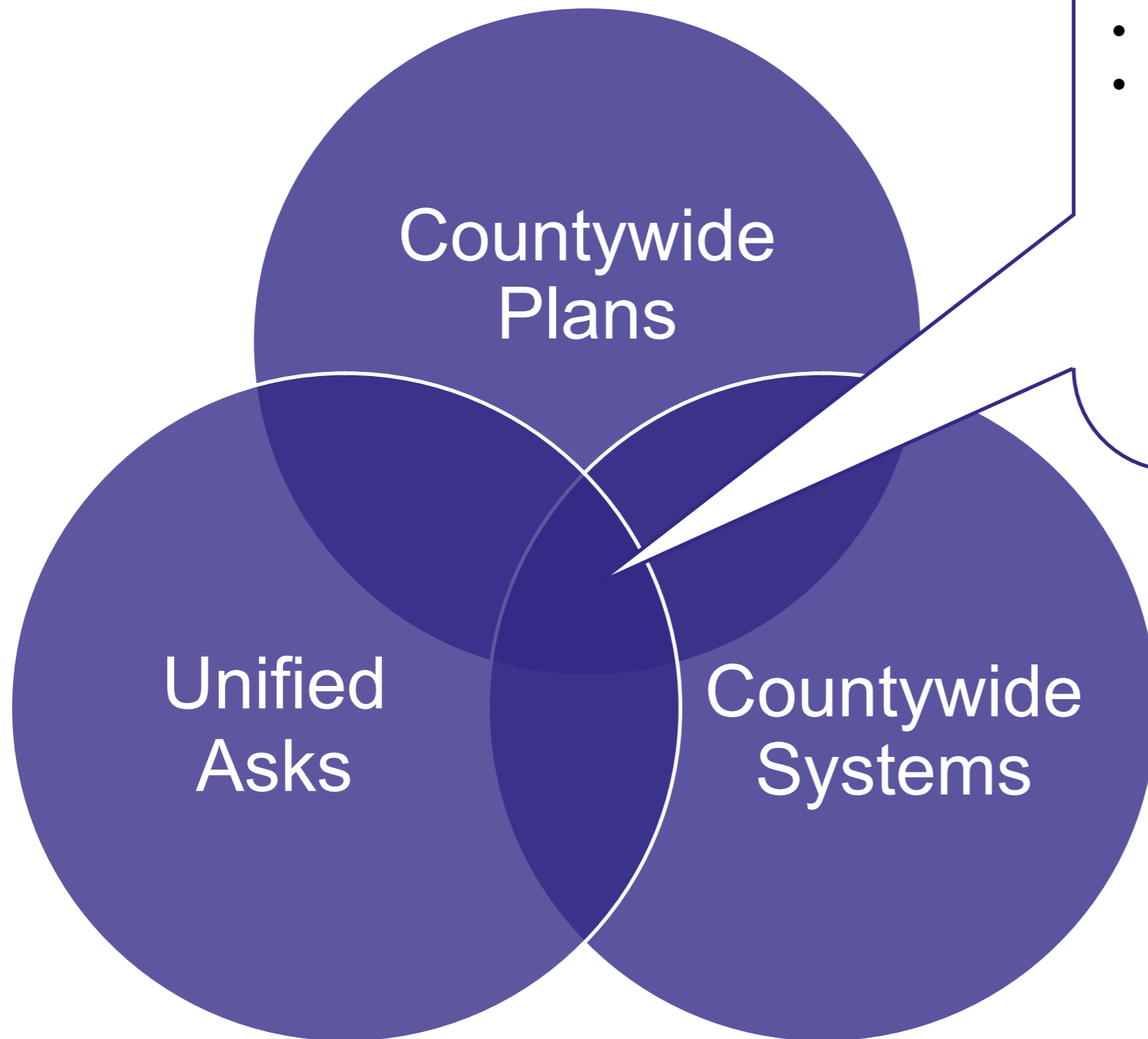


Planning &
Collaboration



Focus on
Outcomes

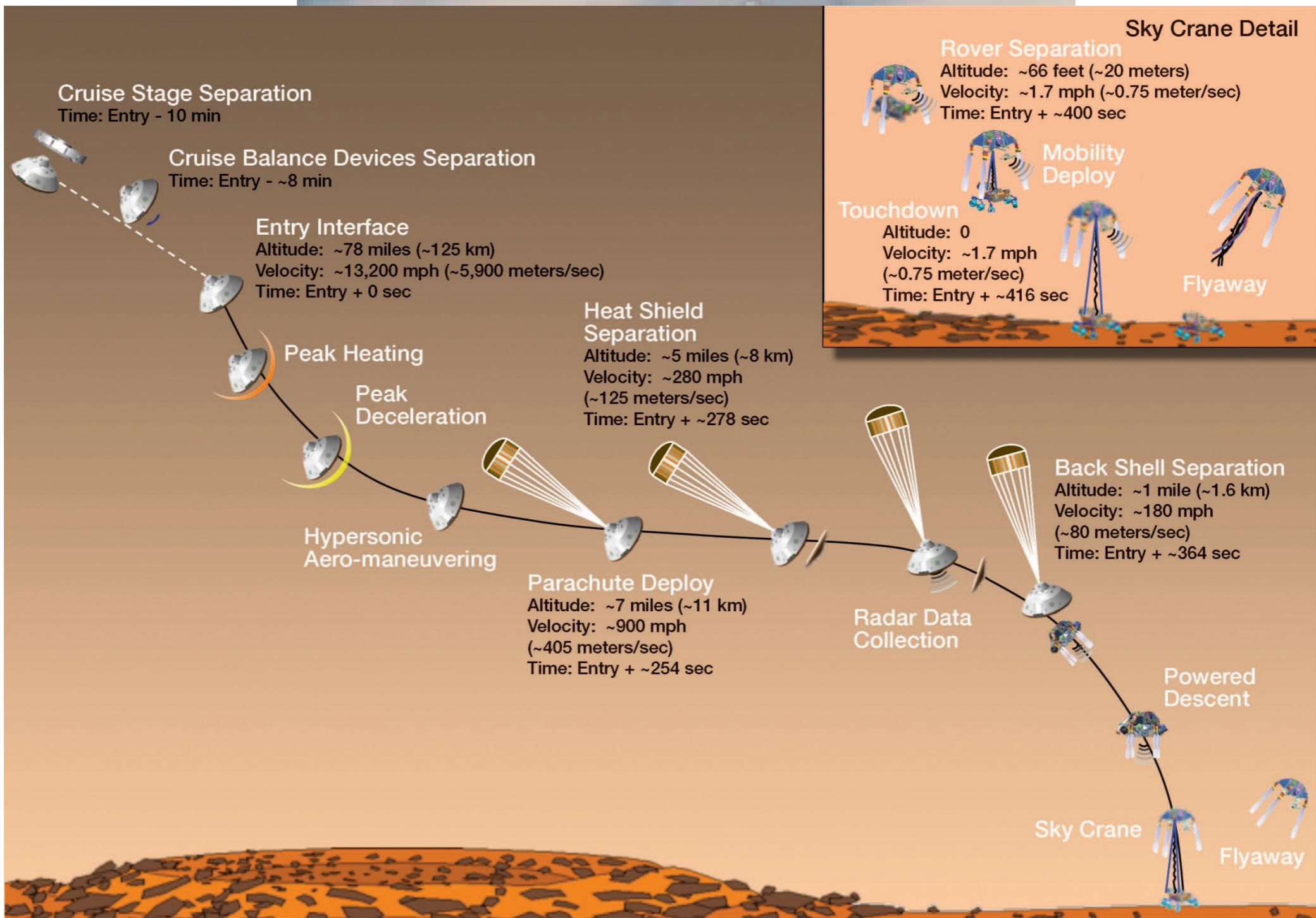
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- Streamlined experience for families
- Effective resource use
- Improved coordination & learning for providers, agencies and policymakers

**--Ultimately--
Improved Outcomes
for Children**

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What Are We Learning?

Organization Alignment to Strategy

Multiple internal improvement and staff support processes in place:

- Internal Process Improvements
- Organization Structure and Staffing
- Management of Legacy Investments
- MEL – Learning Organization
 - Culture Change
 - Board and Staff information sessions, training
 - Leveraging external training, conferences and webinars

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Key Takeaways

- Anchor investments in Home Visiting and Community Capacity Building provide a strong foundation
- New Work – providing new insights
- Ongoing assessment and alignment of investments
- Organization alignment to strategy and our evolution as a learning organization are key components to successful execution of the Strategic Plan

In Conclusion



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Thank You



FIRST 5 LA

SUBJECT:
First 5 CA IMPACT Update

BACKGROUND:

In September 2015, First 5 LA staff and VIVA Strategy + Communication presented to the First 5 LA Board of Commissioners Program and Planning Committee both on Quality Rating and Improvement Systems (QRIS) and First 5 CA's new funding initiative entitled Improve and Maximize Programs so All Children Thrive (IMPACT). First 5 LA staff briefed Commissioners on the purpose of QRIS and provided a national, state, and local overview of QRIS efforts. During this meeting, First 5 LA staff shared some details regarding IMPACT target and match requirements and outlined the fragmented nature of QRIS in LA County, including the fact that Los Angeles County had been implementing two separate QRIS through the Office of Child Care and LAUP. Prompted by the stated IMPACT goals of systems building and First 5 LA's Strategic Plan which emphasizes the importance of systems building, First 5 LA staff convened a group of key stakeholders currently implementing QRIS and related services in LA County to discuss the Los Angeles County IMPACT application. This group of individuals, entitled the QRIS Architects, includes the Office of Child Care, the Los Angeles County Office of Education, Child Care Alliance of Los Angeles, and LAUP. In addition, staff have also engaged the Child Care Planning Committee – which serves as Los Angeles County's Local Planning Council – in the IMPACT process. The Coordinator of the Child Care Planning Committee has attended the past two QRIS Architects meetings and First 5 LA staff presented the proposed approach to IMPACT to the Child Care Planning Committee on November 4, 2015. It is the intent of First 5 LA staff to continue to engage the Los Angeles County Local Planning Council as IMPACT progresses and to establish a mechanism through which the QRIS Architects and the Local Planning Council can maintain the vital flow of information with one another.

Under the Early Care and Education Priority Outcome set by First 5 LA's new Strategic Plan, QRIS is focused on systems and policy change. Through taking steps toward a uniform countywide QRIS, First 5 LA has the potential to positively impact large swaths of the early care and education (ECE) community, including both ECE professionals and their children and families. By engaging with partners around the IMPACT funding in the earliest stages of the application process, we've been able to learn about the strengths and challenges in our county and work together to utilize IMPACT funding to develop a QRIS that is purposeful, leverages strengths in the county and builds upon lessons learned over the past decade.

In order to meet the site target requirement for IMPACT, as well as the First 5 LA match requirement of \$8.3M, staff propose to use a portion of the remaining LAUP Fund Balance (pending Board approval on November 12) to serve the required number of sites. This approach has numerous benefits, including:

- Eliminates need for the Board of Commissioners to commit new monies into QRIS before the Architects have settled on details for a uniform approach to QRIS in Los Angeles County
- Allows continuity of service for many providers currently receiving QRIS supports by LAUP
- Aligns with First 5 LA and LAUP's respective strategic plans
- Maintains flexibility relative to the longer-term model for LA County's QRIS, informed by the QRIS Architects' efforts

In addition to utilizing a portion of the LAUP Fund Balance to meet IMPACT site targets, the QRIS Architects have collectively agreed that it is important to maintain engagement of providers currently involved in QRIS activities. To that end, First 5 LA has informed the QRIS Architects that staff will seek a funding source to maintain continuity of services to a portion of providers currently being served through the Office of Child Care's Race to the Top – Early Learning Challenge (RTT-ELC) Consortium. One source of these funds might be a portion of the Fund Balance from the ECE Workforce

Consortium. Staff will be presenting a possible approach to the Program and Planning Committee on November 19. Not only would continuity of service of OCC-RTT sites allow providers to remain engaged in important quality improvement activities, this approach would also facilitate the transition of these providers into the LA County QRIS once the Architects are ready to scale QRIS in the County. Once RTT-ELC ends in June 2016, those providers who do not have other sources of quality improvement funding would otherwise disengage in QRIS. This would represent a significant loss of quality ECE infrastructure in LA County. In addition, IMPACT has an “Incentive Layer” provision which allows counties to access approximately \$9M if they exceed service target requirements.

To date, the QRIS Architects have met five times as a group to discuss the Los Angeles County approach to applying for IMPACT funding. Currently, First 5 LA staff – in conjunction with VIVA and the QRIS Architects – are developing a high quality action plan for IMPACT which will be submitted to the state on or before December 11, 2015. It is the intent of staff to resume facilitated conversations upon award of IMPACT funds from First 5 CA in January 2016. In addition, First 5 LA staff and the QRIS Architects wish to retain VIVA Strategy + Communications as a neutral facilitator following the award of IMPACT funding to maintain the continuity of foundational work involving key partners moving forward. In addition to being intimately familiar with QRIS both statewide and nationally, VIVA has a wealth of experience working with First 5 County Commissions. More importantly, however, VIVA has been well-received by partners who verbally expressed their desire to continue working with VIVA beyond the application phase of IMPACT. In their role as neutral facilitator, VIVA has been able to build the trust of the QRIS Architect agencies and lead productive conversations pertaining to the future of QRIS in Los Angeles County. It is the intent of First 5 LA staff to return to the Board in January 2016 to request a new strategic partnership with VIVA Strategy + Communications to continue their critical role in this effort after the award of IMPACT funding.

It is the desire of the QRIS Architects and of First 5 LA staff that the Commission continues to play the role of convener among the partnering agencies. While this represents a new role for First 5 LA in relation to QRIS, it has become clear through the QRIS Architect meetings that each agency is supportive of First 5 LA in this role and believes this will best serve Los Angeles County in developing and advancing a countywide QRIS.

DISCUSSION:

After much discussion, the QRIS Architects have agreed that it is important to use IMPACT funds from First 5 CA primarily for systems building and, eventually, to scale the Architects approach to QRIS throughout LA County. As such, we are proposing to submit an IMPACT application that utilizes previously allocated funds through the LAUP Fund Balance as the First 5 LA match requirement to maintain continuity of services for a portion of providers currently being provided with QRIS activities through RTT-ELC. In addition, Staff has committed to the Architects to explore the possibility of funding to maintain continuity of services for a portion of providers currently being served through OCC-RTT through the ECE Workforce Consortium Fund Balance. These sites will not be written into the IMPACT application, but could potentially be used to receive First 5 CA incentive funds by serving more sites than the targets required under IMPACT. On November 19, First 5 LA staff will present to the Board a proposal to use a portion the Fund Balance from the ECE Workforce Consortium for those activities. In addition, on November 19, First 5 LA staff will request the Board of Commissioners to authorize First 5 LA staff to submit the IMPACT application to First 5 CA and commit necessary staff time to serve as convener of QRIS Architects to implement IMPACT.

First 5 CA IMPACT Update

*Meeting of the Board
of Commissioners*

November 2015

Kevin Dieterle



Presentation Goals

- Update the Board of Commissioners on activities and timeline pertaining to First 5 CA's IMPACT initiative
- Highlight the contribution of QRIS to positive child and family outcomes
- Understand the role of First 5 LA and the QRIS Architects under IMPACT
- Provide as overview an overview of the First 5 LA IMPACT application to First 5 CA

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QRIS in Context of F5LA Strategic Plan

2015 – 2020 Strategic Plan

- Systems and policy change
- Broad impact
- Engage partners at the earliest possible stage
- Support implementation of a uniform QRIS within LA County

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What is QRIS? Why QRIS?

Quality Rating and Improvement System

Systematic way to assess, improve, & communicate the quality of ECE programs so that:

- parents can make informed choices for their children,
- programs are encouraged and supported to continually improve quality,²²⁴ and
- legislators, investors, and taxpayers feel confident in investing in quality.

- High-quality early learning programs can improve child outcomes
- Provides usable resources to understand the elements of quality early learning environments
- Supports families as children's first teachers by providing them with information and support needed to optimize their child's development
- Provides pathway to continuous quality improvement for providers

What is IMPACT?

- New First 5 CA funding initiative
- Goal: Helping children ages 0 to 5 and their families thrive by increasing the number of high-quality early learning settings
- \$120M for county allocations
 - \$13.296M for First 5 LA
 - \$8.296M match requirement from First 5 LA

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What IMPACT Means for Families

- Increased quality of early learning programs for children ages 0-5
- Increased understanding of the role of the family in early learning
- Increased knowledge of the characteristics of quality early learning programs
- Increased information about site-specific tiered ratings

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IMPACT Process to Date

Convening of QRIS Architects

- Los Angeles County Office of Education
- Office of Child Care
- LAUP
- Child Care Alliance of Los Angeles
- Child Care Planning Committee (Local Planning Council)

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Five facilitated meetings regarding IMPACT

- One-on-one conversations between Architect agency and VIVA
- Group conversation without F5LA presence

What We've Heard from Architects

- Willingness and eagerness to participate
- Building trust between previously competing agencies is imperative
- Support for F5LA as neutral convener
- Support to retain VIVA as neutral facilitator
- Maintaining support for sites currently involved in QRIS is critical
- Countywide vision & approach is needed
- Staff capacity and development to support this work needs to be strengthened

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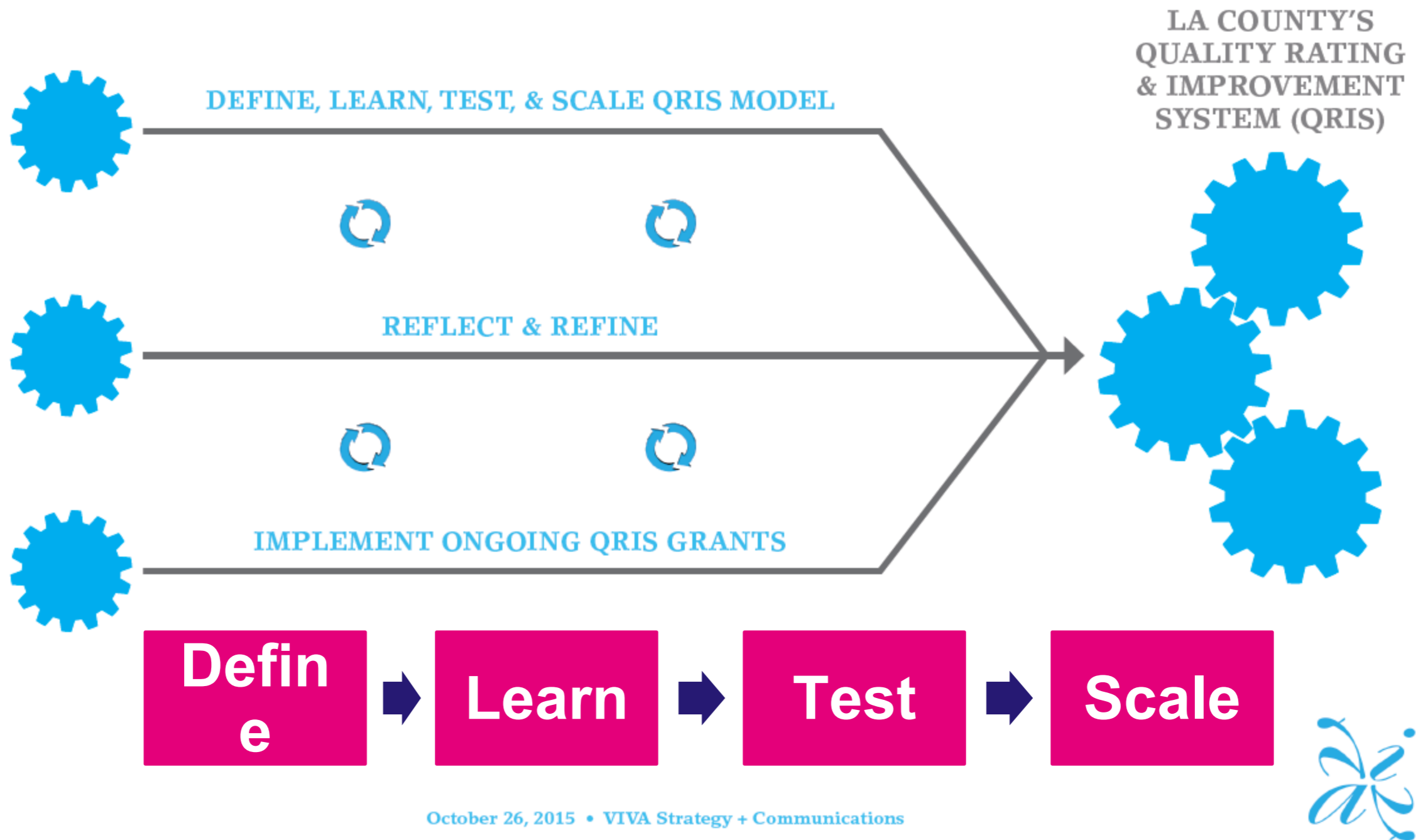
Continued Engagement in QRIS

- Portion of LAUP Fund Balance used as First 5 LA match requirement
- Maintain engagement of providers currently served by OCC-RTT
 - Potential use of portion of Workforce Consortium Fund Balance to maintain provider engagement
 - Level of effort may be quality improvement services without full rating
 - Additional sites served may allow First 5 LA to access Incentive Funds from First 5 CA by serving beyond IMPACT site target requirements
- Maintain flexibility as QRIS Architects establish QRIS approach
- Eliminates need to commit new monies into QRIS before Architects have agreed upon a uniform approach to QRIS

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Suggested Approach for IMPACT

"All of these grants have had such a quick turnaround—we have been so stressed. There has never been time to stop, think, and plan."



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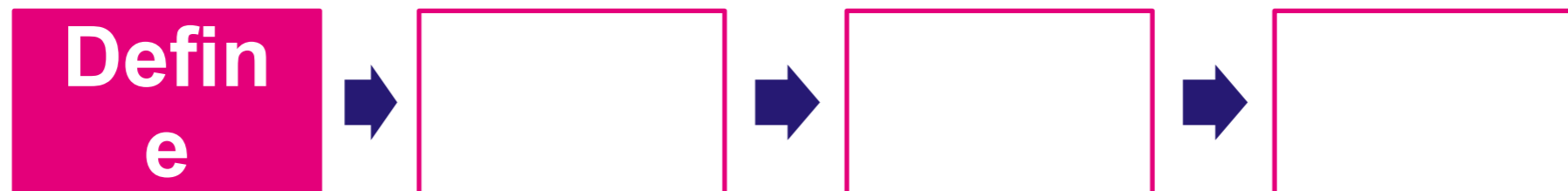
October 26, 2015 • VIVA Strategy + Communications

IMPACT Process

1. Define

- Architects shift towards a collective impact framework for QRIS. This time is dedicated to defining a countywide QRIS vision, roles, and decision-making structure.

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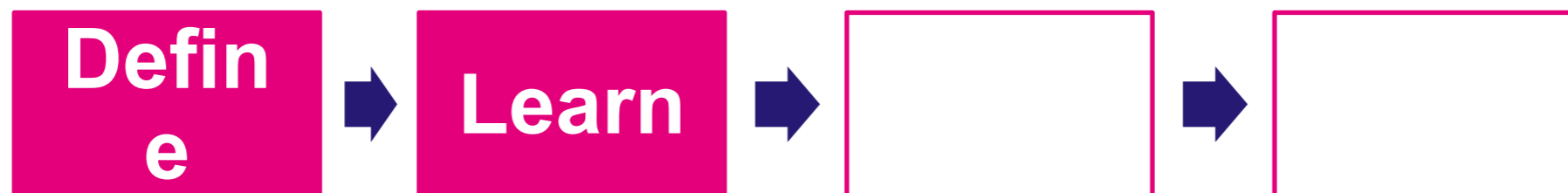


IMPACT Process (cont.)

2. Learn

- After MOUs are in place, Architects spend time understanding relevant local, state, and national QRIS research and best practices, as well as lessons learned from previous and current efforts

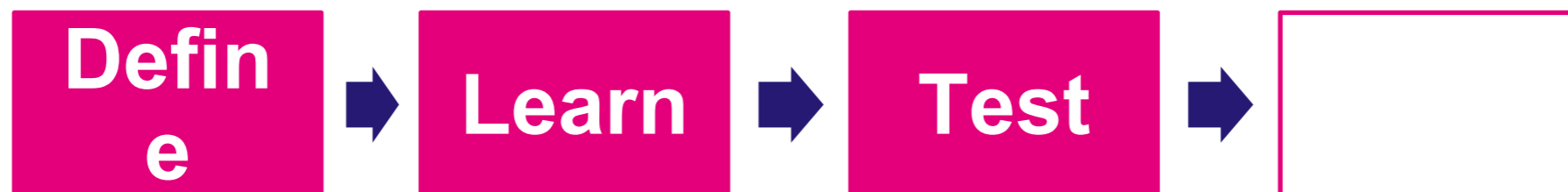
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IMPACT Process (cont.)

3. Test

- Once leadership consortium entities have a deep understanding of relevant local, state, and national QRIS research and best practices, the consortium will engage in the following activities:
 - Utilize reflections and new learnings to refine QRIS approach and implementation
 - Revisit and reconfirm countywide QRIS governance structure
 - Develop local implementation guide
 - Pilot detailed cost model for LA QRIS at different scales/saturation rates
 - Engage with local policymakers regarding QRIS development and needs

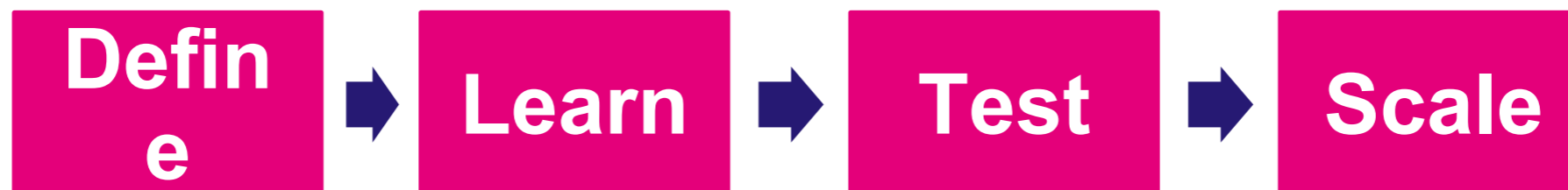


IMPACT Process (cont.)

4. Scale

- First 5 LA's funds released to support activities such as:
 - Procurement process
 - Engaging with provider community about refined matrix, including local indicators
 - Convening QRIS Learning Communities for participating grantees
 - Convening QRIS School Leadership Sessions
 - Parent education campaign on quality
 - Increasing engagement with Board of Supervisors, legislative advocacy, and other elected officials

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Potential Roles in IMPACT

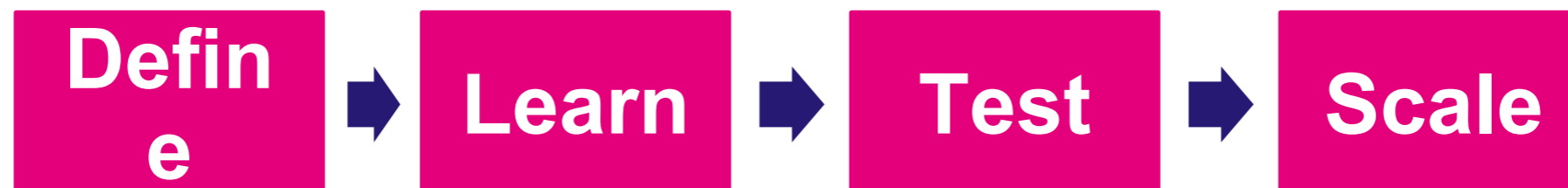
1. Define

- **First 5 LA** - Convene the Architects meetings and the development of the system's shared vision and agreements
- **Architects** - Determine information and agreements included in countywide MOUs; sign MOU.

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2. Learn

- **First 5 LA** – Run QRIS validation study using a representative sample of program types and ratings in LA County
- **Architects** - Share data and lessons learned from previous and current LA County QRIS efforts



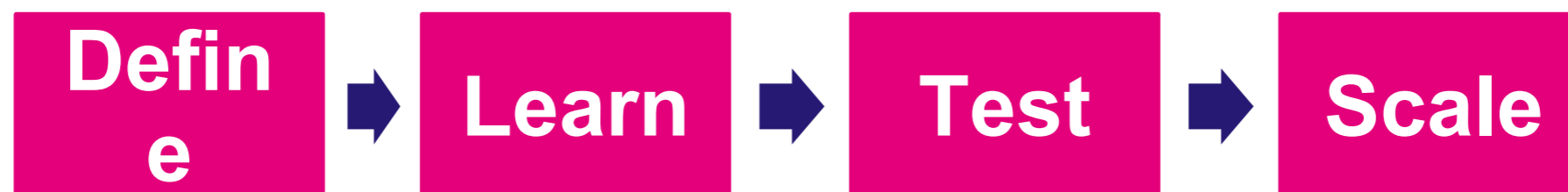
Potential Roles in IMPACT (cont.)

3. Test

- **First 5 LA** - Fund modifications to QRIS database & refinement/expansion of registry
- **Architects** - Contribute to the refinement of QRIS implementation, including potential development of local indicators; Contribute to the development and implementation of local QRIS operations guide

4. Scale

- **First 5 LA** - Support procurements, pilot programs, etc.
- **Architects** - To be determined following procurement process.



Next Steps

- Board votes on use of a portion of LAUP fund balance to meet IMPACT site targets on November 12
- Board votes on approving staff to submit application for IMPACT funding to First 5 CA on November 19
- First 5 LA submits IMPACT application to First 5 CA on December 11
- First 5 CA posts final funding list to website January 2016 (estimated)
- First 5 LA staff returns to Board with information on new Strategic Partnership with VIVA Strategy + Consulting to continue role of neutral facilitator January 2016

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Questions?

- Do you have any further questions about the work of the QRIS Architects or IMPACT?
- What are your thoughts on First 5 LA taking on the role of convener for QRIS work moving forward?

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Thank You!



FIRST 5 LA

SUBJECT:

Monitoring, Evaluation and Learning (MEL) Update – Learning Organizations

BACKGROUND:

First 5 LA's next strategic plan brings greater focus and clarity to the organization's role and impact on the lives of LA County's children 0-5 and their families. On November 13, 2014, the Commission adopted the FY 2015-2020 Strategic Plan which prioritizes outcomes, strategies and investment areas involving families, early childhood education, communities, and health systems involving health, mental health and substance abuse. Additionally, the plan outlines approach to monitoring, evaluation and learning which reflects our commitment to using data to advance strategies that change policies and systems affecting children, families and their communities.

First 5 LA is transforming to a more intentional organizational learning culture through strengthened systematic, data driven, formal and informal knowledge building practices. To support this transformation, a new, comprehensive Monitoring, Evaluation and Learning (MEL) framework for First 5 LA's research and evaluation work was developed. Staff presented the MEL framework and approach to the Board in June 2015 and received directional endorsement.

The MEL framework and approach presented to the Board in June focuses primarily on formal methods of learning such as monitoring, evaluation and data development that have traditionally been embedded in the Research and Evaluation Department. However, First 5 LA's transformation into a learning organization will require agency-wide engagement and will utilize both formal and informal methods of learning. The purpose of today's presentation is to review the characteristics and benefits of learning organizations, provide examples of ways staff are already engaging in behaviors characteristic of learning organizations, and outline the next steps that staff will take to advance work in this area. The presentation will also highlight the role of the Board in First 5 LA's transformation to a learning organization. There will be an opportunity for discussion and feedback so that the Board's input can inform the work of staff.

First 5 LA As a Learning Organization

November 19, 2015

1ST  LA
first 5 la
Giving kids the best start

Guiding Questions

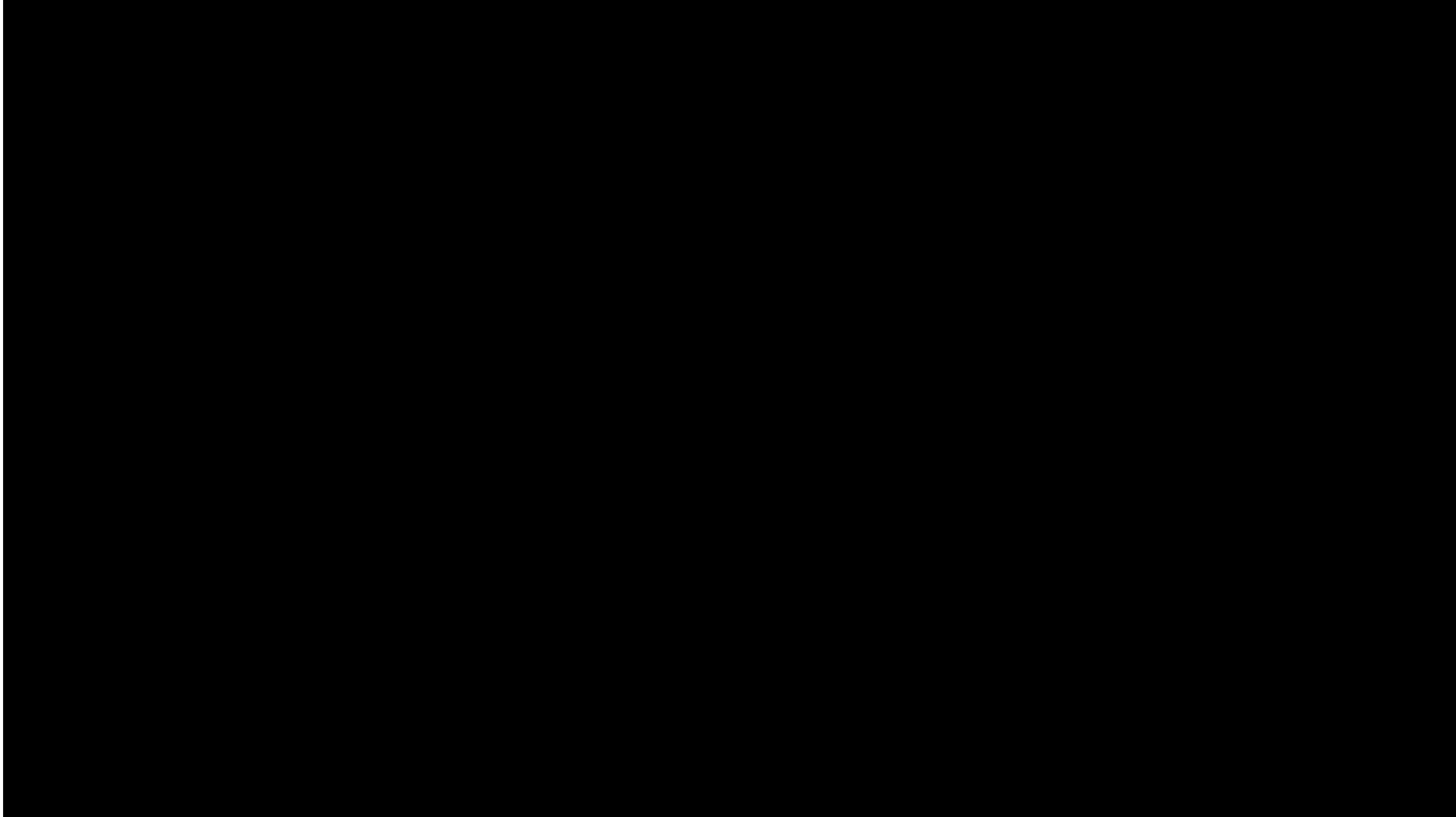
- What is a learning organization?
- What is First 5 LA's approach to learning?
- What are examples of learning at First 5 LA?
- How does First 5 LA further evolve as a learning organization?
- What role does the Commission play?

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What is a Learning Organization?

What is a Learning Organization?



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Elements of a Learning Organization

**Supportive
Leaders**

**Culture of
Continuous
Improvement**

**Intuitive
Knowledge
Processes**


**Defined
Learning
Structure**

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Learning Organization Benefits



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**What is
First 5 LA's
Approach to
Learning?**

Approach to Learning


Past

- **Goal: Accountability**

Future

- **Goal: Improved effectiveness**
- Projects are designed with partners and with external factors in mind
- Ongoing learning from formal and informal sources to inform projects and strategies
- Selective evaluation using novel approaches

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**What Are
Examples of
Learning at
First 5 LA?**

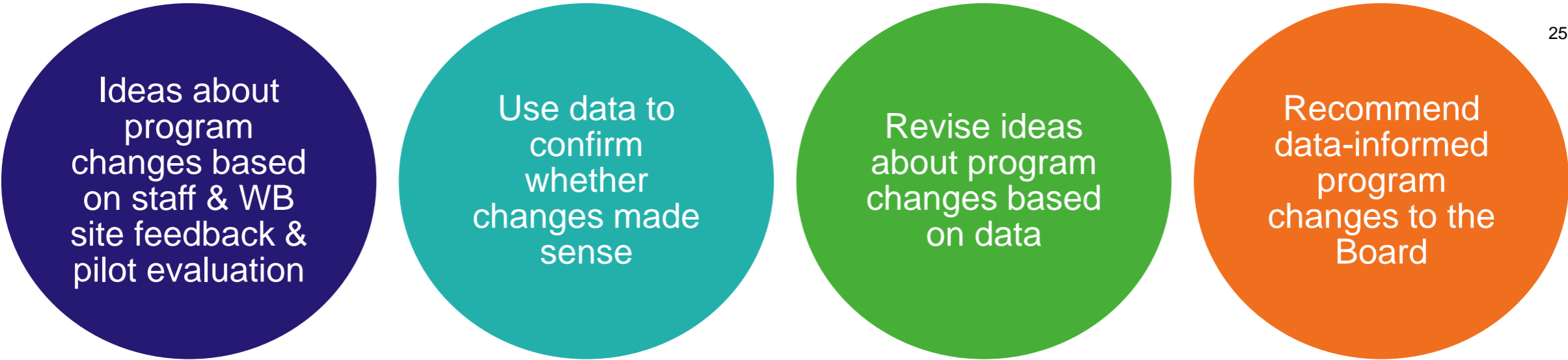
Learning is Already Happening!



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Learning Through our Experience at First 5 LA:

Welcome Baby



Learning in Partnership: First 5 LA & LA Care

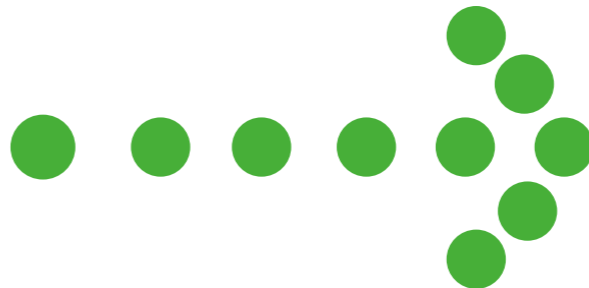
Learning about
Help Me Grow



Gap analysis of
developmental
screening



Identifying alignment
across agency goals




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Learning as a Convener: QRIS



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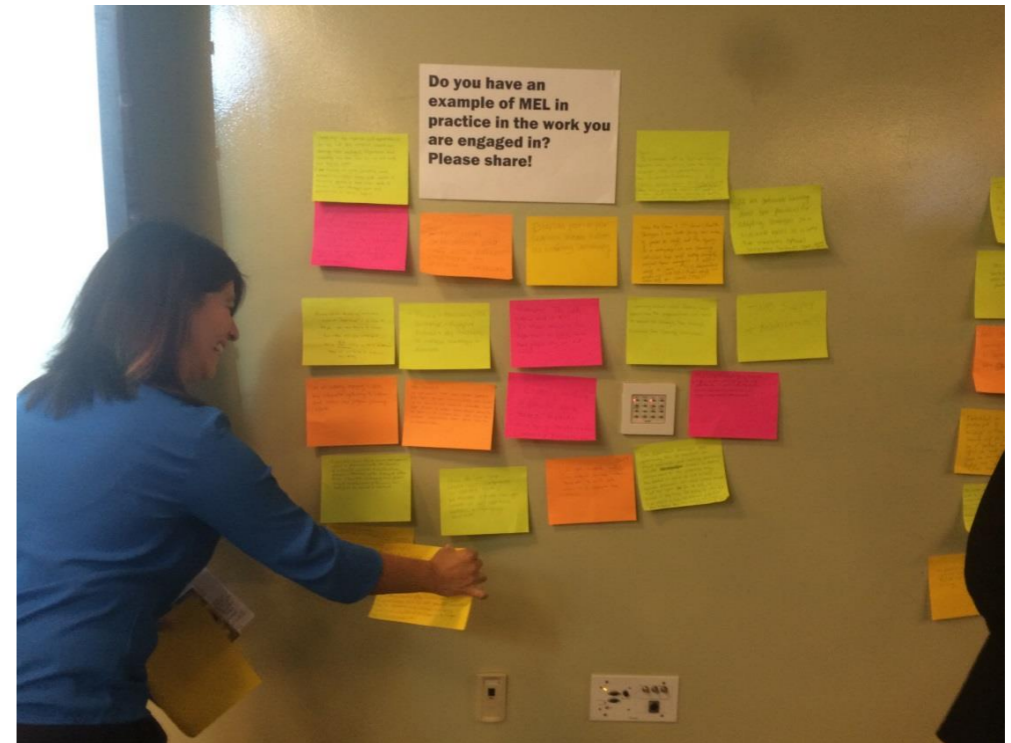


**How Does
First 5 LA
Further Evolve
as a Learning
Organization?**

How Do we Evolve Into a Learning Organization?

Initial Step: Information gathering

- Reviewing literature
- Learning Assessment
- Discussions



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How Do We Evolve Into a Learning Organization?

Next steps:

Purpose and process

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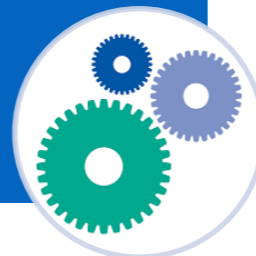
- Develop clear purpose for our efforts and learning goals

Purpose



- Establish guidelines and expectations
- Develop tools, resources and training

Process



- Solicit feedback
- Revise processes based on learning

Sharing





What Role Does the Commission Play?

What role does the Commission play?



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Summary and Discussion Questions

Summary

- Goal is to further embed a culture of learning into the agency because it will improve outcomes for children and families
- Board plays an important role in supporting this organizational change
- Staff will return to the Board on an ongoing basis as the elements of our learning organization (e.g., R&E agenda, staff training) evolve

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Discussion Questions

- Is there anything more that you would like to know about our goal to become a learning organization and our approach to achieving this goal?
- How can staff continue to support the role of the Board in organizational learning?

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Thank You

