



Annual Report and School Readiness

Appendices

Fiscal Year 09/10

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Family Functioning – Result Area and Service Definitions

Family functioning

Result Area – provide parents, families and communities with relevant, timely and culturally appropriate information, education, services and support.

Behavioral, substance abuse, and mental health services

Service – behavioral and mental health services, substance abuse services, treatment, and counseling and/or therapy for children or adult family members, including play, parent-child interaction approaches, child-abuse counseling and family therapy.

Adult education and literacy for parents

Service – education, training, ESL classes, literacy, and/or a General Equivalence Diploma (GED).

Note: Adult Education parenting classes should be reported in Targeted Intensive Parent Support Services or General Parenting Education Programs.

Community resource and referral

Service – programs that provide referrals or service information about various community resources, such as medical facilities, counseling programs, family resource centers, and other supports for families, for instance, 211 services or community resource reporting. This category should reflect services that are designed as a broad strategy for linking families with community services.

Note: If the major emphasis is resource and referral to a specific service(s), the cost and services should be linked to the specific service.

Distribution of Kit for New Parents

Service – provide and/or augment the First 5 California *Kit for New Parents* to new and expectant parents (e.g. a hospital visitation programs to new mothers).

Note: If distribution of the Kit is a component of a broader effort, the cost and services should be linked to the broader effort (e.g., a home visitation program for newborns).

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Family Functioning – Result Area and Service Definitions, Continued

Family literacy programs

Service – programs designed to increase the amount of reading that parents do with their children. Programs may include educating parents about the benefits of reading or looking through books (e.g., Even Start, Reach Out and Read, Raising a Reader).

Provision of basic family needs (food, clothes, housing)

Service – meals, groceries or clothing provided through programs such as food pantries and store certificates; emergency funding or household goods acquisition assistance; temporary or permanent housing acquisition assistance, and related case management.

Targeted intensive parent support services

Service – intensive and issue specific support services to families at risk including home visitation, long-term classes or groups, or other intensive support for parents or expectant parents to increase knowledge and skills related to parenting and improved family functioning.

Note: Parent education programs on a specific topic related to Early Childhood Development of Health should be included within that service, as appropriate.

General parenting education programs

Service – short-term, non-intensive instruction on general positive parenting topics.

Other family functioning support services

Service – other family functioning support services that do not fall under one of the services listed in this section.

Child Development – Result Area and Service Definitions

Child development

Result Area – increase the quality of and access to early learning and education for young children.

Preschool for 3 and 4 year-olds

Service – preschool for three and four year-olds distinct from a comprehensive school readiness program. Includes funding pre-existing spaces, or spaces in programs with the intensity and quality similar to Power of Preschool criteria.

State school readiness and local match

Service – state and local match-funded services under the State Commission’s School Readiness Initiative, designed to improve children’s readiness for school.

Local school readiness (mirror programs)

Service – county commission-based School Readiness programs funded solely by county commission dollars that are “mirror” programs to the State School Readiness Program.

Comprehensive screening and assessment

Service – screening and diagnostic services including behavioral, mental health, developmental and physical health. This includes screening programs that measure cognitive/intellectual functioning, language and communication skills, social and emotional development, and perceptual/motor functioning to identify children who show developmental delays. These services determine the nature and extent of a problem and recommend a course of treatment and care.

Targeted intensive intervention for identified special needs

Service – programs that identify children with special needs and provide intensive and specific services to those children. Children with disabilities and other special needs refers to those children who are between birth and 5 years of age and meet the definition of “special needs” provided in the General Definitions Appendix.

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Child Development – Result Area and Service Definitions, Continued

Early education programs for children

Service – quality intensive educational activities and experiences for children intended to foster social, emotional, and intellectual growth, and prepare them for further formal learning.

Note: Does not include drop-in or other short-term programs. Do not include School Readiness or Preschool for 3 and 4 year-olds as defined above.

Early education provider programs

Service – training and educational services, supports and funding to improve the quality of care or facilities. This includes CARES, facility grants and supply grants to providers.

Kindergarten transition services

Service – classes, home visits, camps, tours, or other activities designed to help children be more comfortable and accustomed to the learning environment, expectations, activities, and personnel of school when they enter kindergarten. This category also includes individual child learning plans and school-wide transition plans.

Other child development services

Service - child development services that do not fall into any of the categories listed in this section, for example “drop in” or short-term programs.

Health – Result Area and Service Definitions

Improved health

Result Area – promote optimal health and identify, treat and eliminate the risks that threaten children’s health and lead to developmental delays and disabilities in young children.

Breastfeeding assistance

Service – education related to benefits of breastfeeding, including classes to women, families, employers, the community, as well as breastfeeding support services to women.

Nutrition and fitness

Service – information and services about nutrition, fitness and obesity prevention for the 0 to 5 population; this includes programs to teach the basic principles of healthy eating, food handling and preparation, and the prevention of illness.

Other health education

Service – information and services about health, other than nutrition, fitness and obesity prevention (as defined above).

Health access

Service – health insurance enrollment assistance, programs that ensure use of health services, strategies to retain health insurance, and insurance premium payments or subsidies.

Note: This does not include treatment programs.

Home visitation for newborns

Service – home visitation services to promote and monitor development of children ages 0 to 2.

Oral health

Service – dental screenings, checkups, cleanings, preventive and acute treatments, and education on preventive care. May include training for providers as well as for children and families.

Prenatal care

Service – education, treatment, and counseling to promote healthy pregnancies and deliveries.

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Health – Result Area and Service Definitions, Continued

Primary care services (immunizations, well-child check-ups)

Service – medical care services to children 0 to 5 including preventive, diagnostic, and therapeutic care by a licensed healthcare professional.

Comprehensive screening and assessments

Service – screening and diagnostic services including behavioral, mental health, developmental and physical health. Includes screening programs that measure cognitive/intellectual functioning, language and communication skills, social and emotional development, and perceptual/motor functioning to identify children who show developmental delays. These services determine the nature and extent of a problem and recommend a course of treatment and care.

Targeted intensive intervention for identified special needs

Service – programs that identify children with special needs and provide intensive and specific services to those children. Children with disabilities and other special needs refers to those children who are between birth and 5 years of age and meet the definition of “special needs” provided in the General Definitions Appendix.

Safety education and intentional and unintentional injury prevention

Service – programs that disseminate information about child passenger and car safety, fire safety, water safety, home safety (childproofing), and the dangers of shaking babies. Includes education on when and how to dial 911, domestic violence prevention and intentional injury prevention. Referrals to community resources that focus on these issues may also be included.

Specialty medical services

Service – emergency and critical care services for children ages 0 to 5 who require specialty care or have an illness or injury that requires immediate, short-term intervention or other specialty care services including care for chronic childhood illnesses. This category also includes follow-up on medical conditions or concerns identified from health/developmental screenings, such as autism, vision, or asthma.

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Health – Result Area and Service Definitions, Continued

**Tobacco
cessation
education
and
treatment**

Service – education on tobacco-related issues and abstinence support for participants using tobacco products. Includes providing information on reducing young children’s exposure to tobacco smoke.

**Other health
services**

Service – health education and services that do not fall into one of the categories listed in this section.

Systems of Care – Result Area and Service Definitions

Systems of care

Result Area – implement integrated, comprehensive, inclusive and culturally and linguistically appropriate services to achieve improvements in one or more of the other Result Areas.

Service outreach, planning, support and management

Service – general planning and coordination activities, program monitoring, technical assistance and support, support for interagency collaboration, support for services to diverse populations, contract administration, program database management, and program support and oversight activities.

Provider capacity building, training, and support

Service – provider training and support to improve their capacity to participate and deliver services to families with young children. Includes business planning, grant writing workshops, sustainability workshops, large community conferences or forums.

Community strengthening efforts

Service – community awareness and educational events on a specific early childhood topic or promoting broad awareness of the importance of early childhood development.

Population Definitions

Children less than 3 years old

Children ages zero up to their third birthday.

Children from third to sixth birthday

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

Children ages unknown

Any child whose age is not known from age zero up to their sixth birthday.

Parents/guardians/primary caregivers

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

Other family members

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

Providers

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

Bilingual

A person who speaks two languages equally well and uses one or both languages in any number of settings is bilingual.

Note: To report the 'primary language spoken in the home' on the AR-2, pick the language predominantly spoken in the home. If the primary language spoken in the home is unknown, enter the best choice.

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Population Definitions, Continued

Ethnicity

The heritage, nationality, group, lineage, or country of birth of a person or the person's parents or ancestors before their arrival in the United States. The Framework categories are consistent with those in the U.S. Census, with the addition of the ethnic category "Hispanic/Latino."

Note: To report the 'ethnic breakdown of population served' on the AR-2, pick the ethnicity that best describes the program participant. Report Filipinos under the Asian category.

General Definitions

Program A specific service with a common objective funded and/or provided by a commission and/or public or private agency funded with Proposition 10 dollars. Programs are mapped to one or more of the results and services.

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

Compelling outcome Outcomes are changes to beliefs, attitudes, knowledge or actions produced by the program and directly linked to the program goals. Compelling outcomes are those that demonstrate the most significant shifts in beliefs, attitudes, knowledge and action. They make the biggest differences for the program’s target population.

**Benchmark/
Baseline
data** Baseline data is basic information gathered before a program begins and used later to provide a comparison for assessing program impact. A benchmark is a point of reference by which something can be measured. Both are directly linked to the program’s goals or objectives.

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

- Who are protected by the Americans with Disabilities Act (ADA)
- Who have, or are at-risk for a developmental disability as defined by the Individuals with Disabilities Education Act (IDEA) Part C (Early Start 0 to 3 years old) or have a specific diagnosis as defined by IDEA part B (3 years and above)
- Who meet the DSM/ZERO TO THREE/California Infant, Preschool, and Family Mental Health Initiative definition or that meet the Federal Maternal and Child Health Bureau at the U.S. Department of Health and Human Services Special Needs definition

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General Definitions, Continued

**Special
needs**
(continued)

In addition, children with special needs includes those without identified conditions, but requiring specialized services, supports, or monitoring. These children may not have a specific diagnosis but are children whose behavior, development and/or health affect their family's ability to find and maintain services.

Primary Provider Definitions

Elementary schools (P-6, K-6 or K-8) /elementary school districts

Public or private schools that serve students from preschool through eighth grade or a subset of those grades. These schools should be recognized as a State Department of Education accredited P-6, K-6 or K-8 school (or a subset of those grades).

County or State educational institutions

Any county or State entity that provides educational services at any level, exclusive of elementary schools. Examples include County Offices of Education, California Department of Education, California Community Colleges, California State Universities or the University of California.

Community based agencies

An Internal Revenue Service (IRS) recognized not for profit agency (including private non-profit entities) or collaborative of several agencies that are providers of health, educational or human services. Examples include community based agencies, family resource centers, a Regional Center, or other non-profit organizations.

County government agency

An authorized county department or agency operating under the county governing structure (board of supervisors). Examples include county health, social services or mental health agencies

Note: County Offices of Education should be reported under county or State educational institutions rather than this category.

Other government agency

An authorized local (i.e., city), state or federal agency. Examples include city community or social services agencies, local city branch library, city recreation program, federal office, etc.

Private entities/institutions

Any private or for-profit institution. Examples include private colleges, consultants/consulting firms, for-profit providers or hospitals.

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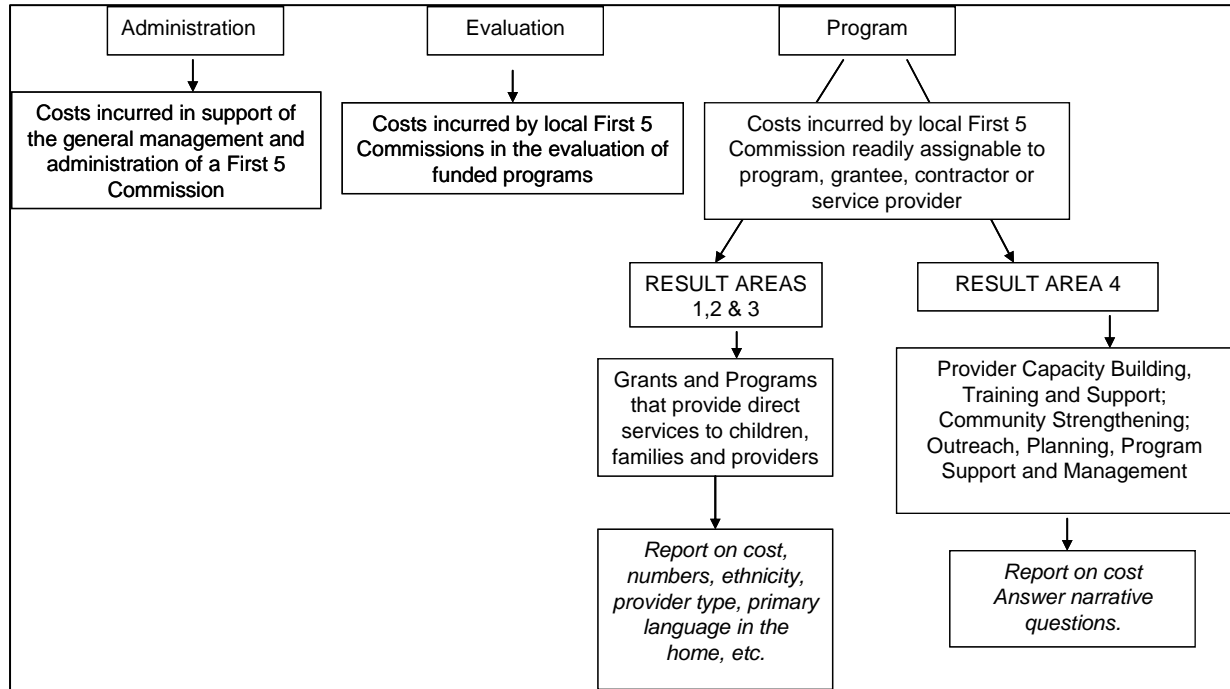
Primary Provider Definitions, Continued

**First 5
county
commission**

County commission is identified as the service provider if the service is directly provided by the county commission to the population served. For example, the county commission directly hires public health nurses to provide health services to young children.

Note: This category may also be used for reporting services under Result 4, Improved Systems of Care.

Reporting Requirements by Cost Component



Reserved and Unreserved Fund Balances

First 5 Financial Management Guide Excerpt on Reserved Fund Balance and Unreserved Fund Balance:

5.3.2.1.1. Reserved Fund Balance

[Reserved fund balance](#) represents the portion of the fund balance restricted by law or legally obligated to outside parties. There are four components to this category—reserved for encumbrances, reserved for obligations, reserved funds not yet obligated, and reserved for First 5 California initiatives. Each of these components is described below.

• *Reserved for encumbrances.* Reserved for encumbrances should be recognized as reserved fund balance. The key defining concept of an encumbrance is that it is a legal obligation of a commission based on an executed contractual agreement. Examples of reserved for encumbrances include, but are not limited to:

- Future payments due to providers of services to children and families
- Future payments due on professional services contracts
- Future payments due under lease arrangements

In all cases, amounts can only be classified as reserved for encumbrances in the CAFR if (a) there is a fully executed written contract or purchase order detailing the obligations, (b) the payment obligation is not due in the current period, and (c) it is probable or expected that future expenditures will be made in accordance with the contract terms. The latter provision means that if it is reasonably likely that a contract will be amended or terminated before all scheduled payments are made, the encumbrance must be limited to the total amount of payments that are expected to actually be incurred (if less than the full contract value). If the commission, or the County within which a commission operates as a County agency, has a policy of recording encumbrances at the time a purchase order is created, the value of all outstanding purchase orders and contracts (where no invoice has been received for payment) for future periods would be included in the reserved for encumbrances component.

• *Reserved for obligations.* This category covers situations in which the commission has explicitly authorized and directed staff to enter into an agreement with a specified agency, but the contract has not actually been executed. For example, if the commission has approved four new grants totaling \$200,000 to specific organizations for specific projects or services but contracts have not been completed and signed, the grants should be shown in the CAFR as reserved fund balance under this item.

In order to be categorized as reserved for obligations, funds must meet the following requirements: (a) formal action to approve the grant(s) and contract(s) must have been taken by the commission and reflected in the public meeting minutes, and (b) the grant(s) and contract(s) must not have been executed yet, thereby avoiding any double-counting with the reserved for encumbrances line.

• *Reserved funds not yet obligated.* Funds that have been received by the commission from sources other than the County pro rate share of tobacco tax revenues and that contain restrictions imposed by the funding source regarding how the money can be used, by definition, are committed to the purpose designated by the funding source. Examples that fall into this category include but are not limited to:

- Money received from the State Commission for specific programs or initiatives, such as school readiness or child care provider retention incentive funds, that must be used exclusively for the purpose designated by the State Commission.
- Grants received from private foundations that contain restrictions in the grant agreement regarding how the funds may be used.

This component should only include restricted funds that have been received but not yet authorized by the commission for release through a contract or purchase order. Care must be taken to avoid any double counting between amounts on this line and amounts included in the previous two components.

Administrative augmentation and minimum allocation funds provided by the State Commission to smaller-budget counties should not be included. These funds do not contain mandated restrictions and are able to be used flexibly by the commission.

• *Reserved for First 5 California initiatives.* Several State Commission initiatives require participating counties to guarantee a matching investment from the County commission. The total future amount that the

County commission must reserve in order to meet its matching guarantee should be treated as committed funds.

Amounts shown on this line item must meet the following criteria: (a) a local cash match is required in order to participate in a program sponsored by the State Commission; (b) a written plan has been approved by the State Commission that describes the program/services to be conducted and contains a budget showing how money is expected to be spent; and (c) specific annual dollar amounts of local cash match coming from the County commission rather than other sources are shown in the written plan. The amount should include all future years that are explicitly covered by the plan and budget approved by the State Commission, but not additional years beyond what has been formally approved.

5.3.2.1.2. Unreserved Fund Balance

Unreserved fund balance represents funds that can be spent at the discretion of the commission. Unreserved fund balance contains two components: designated and unreserved undesignated. Each is described below.

• *Designated for Local Initiatives and Program Sustainability.* Funds are appropriately included in this component if they fall under one of two types:

1. Funds to operate a specific program or project in the current or future fiscal years that have not yet been encumbered or authorized for definite contracts, where all of the following criteria are met:

- A written plan has been developed describing the program or project and the time period covered by the plan.
- The plan contains a detailed budget or expenditure plan showing the amount of funds expected to be expended and the nature of the expenditures for each fiscal year covered by the plan.
- The commission has formally approved the plan and budget in a public meeting, as documented in the meeting minutes.
- The commission certifies that it intends, to the best of its ability, to expend the funds in accordance with the plan and budget.

2. Funds that have been set aside for long-term program sustainability, where all of the following criteria are met:

- A long-range financial plan has been prepared that shows the specific dollar amounts that must be reserved for program sustainability in each of the early years of the plan, the timing for when sustainability funds will start to be drawn down, and the nature of the expenditures that are envisioned in each year covered by the plan.
- The commission has formally approved the long-range financial plan in a public meeting, as documented in the meeting minutes.
- The commission certifies that it intends, to the best of its ability, to manage the sustainability fund in accordance with the provisions of the long-range financial plan.
- The commission has adopted its annual budget consistent with the assumptions and plans in the long-term financial plan.

When these criteria are met, the accumulated balance of the sustainability fund or account may be treated as unreserved designated fund balance.

Funds that do not meet all of the above criteria cannot be listed here as reserved or unreserved designated fund balance. For purposes of the CAFR, such funds would be included in unreserved undesignated fund balance, because there is still significant uncertainty regarding whether, or how, the funds will be expended. [Unreserved Undesignated](#). This category includes the remainder of the fund balance: funds that either have not yet been allocated for a specific purpose or have been identified in only a general manner where the commission has significant flexibility in changing the amount or nature of the designation.

Population Reporting by Result Area

	Children 0-5	Adults/Other Family/Caregivers	Both
Improved Family Functioning			
Behavioral, Substance Abuse, and Mental Health Services			X
Adult Education and Literacy for Parents		X	
Community Resource and Referral		X	
Distribution of Kit for New Parents		X	
Family Literacy Programs			X
Provision of Basic Family Needs (Food, Clothing, Housing)			X
Targeted Intensive Parent Support Services Programs		X	
General Parenting Education Programs		X	
Other Family Functioning Support Services			X
Improved Child Development			
Preschool for 3 and 4 year-olds	X		
State School Readiness & Local Match			X
Local School Readiness (Mirror Programs)			X
Comprehensive Screening and Assessments			X
Targeted Intensive Intervention for Identified Special Needs			X
Early Education Programs for Children (Other than School Readiness and Preschool for 3 and 4 year-olds as defined below)	X		
Early Education Provider Programs		X	
Kindergarten Transition Services			X
Other Child Development Services			X
Improved Health			
Breastfeeding Assistance		X	
Nutrition and Fitness			X
Other Health Education			X
Health Access	X		
Home Visitation for Newborns			X
Oral Health			X
Prenatal Care		X	
Primary Care Services (Immunizations, Well Child Check-ups)	X		
Comprehensive Screening and Assessments			X
Targeted Intensive Intervention for Identified Special Needs			X
Safety Education and Intentional and Unintentional Injury Prevention			X
Specialty Medical Services			X
Tobacco Cessation Education and Treatment		X	
Other Health Services			X