

# AGENDA

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

Budget & Finance Committee Chair: Robert Byrd

Thursday, May 21, 2015  
1:30 PM

**Meeting Location:**

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



# ASPOSE

Your File Format APIs

1. **ACTION**  
Call to Order  
- **Philip Browning**
2. **INFORMATION** 3  
Review Executive Committee Meeting Notes - October 2, 2014  
- **Philip Browning, Chair**
3. **INFORMATION** 9  
Standing Items
  - A. Review of Annual Operating Budget  
- **Raoul Ortega, Finance Director**  
- **Faustino Genio, Staff Accountant**
  - B. Annual Audit
  - C. Review of Annual Report to the State Commission
  - D. Contract Compliance
  - E. Quality Assurance
  - F. Evaluation
  - G. Policy and Advocacy
  - H. Personnel and Compensation
4. **INFORMATION**  
Policy Update  
- **John Wagner, Chief Operating Officer**

**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 Pleitéz Howell

**EXECUTIVE VICE PRESIDENT**

John A. Wagner

**A PUBLIC ENTITY**

A. Conference and Event Funding	28
B. Travel for Commissioners	39
C. Research	47
5. <b>INFORMATION</b>	
Public Comment	
6. <b>ACTION</b>	
Adjournment	
7. <b>CLOSED SESSION</b>	
PUBLIC EMPLOYEE PERSONNEL EVALUATION	
Government Code Section 54957	
Title: Executive Director	



**FIRST 5 LA  
SUMMARY MEETING NOTES  
Executive Committee Meeting  
October 6, 2014**

**COMMITTEE MEMBERS PRESENT:**

Nancy Au (Chair)  
Duane Dennis  
Neal Kaufman (Vice-Chair)  
Sandra Figueroa-Villa

**STAFF PRESENT:**

Kim Belshé, Executive Director  
Holly Campbell, Research & Analyst  
Research & Evaluation  
Genie Chough, Finance Director  
Faustino Genio, Staff Accountant  
Armando Jimenez, Director  
Research & Evaluation  
Raoul Ortega, Finance Manager  
John Wagner, Chief Operating Officer

**RECORDING SECRETARY:**

Linda Vo, Executive Assistant

**1. Call to Order/Roll Call**

The meeting was called to order by Committee Chair Au at 11:00 am. Committee Chair Au welcomed everyone in attendance. Roll call is completed.

**2. Review of Executive Committee Meeting Notes –August 14, 2014 and September 3, 2014**

Both sets of notes were received and filed with no deletions, additions, and/or changes.

**3. Standing Updates**

1. Review of Annual Operating Budget
2. **Annual Audit**
3. **Review of Annual Report to the State Commission**
4. Fiscal
5. Contract Compliance
6. Quality Assurance
7. Evaluation
8. Policy and Advocacy
9. Personnel and Compensation

**Annual Audit**

Mr. Ortega gives a brief presentation on the Draft of the Comprehensive Annual Financial Report (CAFR), including the Independent Auditor's Report for the Fiscal Year Ending June 30, 2014. He informs the Committee that this report has already been endorsed by the Budget and Finance Committee.

He goes over the following three areas:

1. Independent Auditors Report
2. Achievements
3. FY 2013-14 highlights

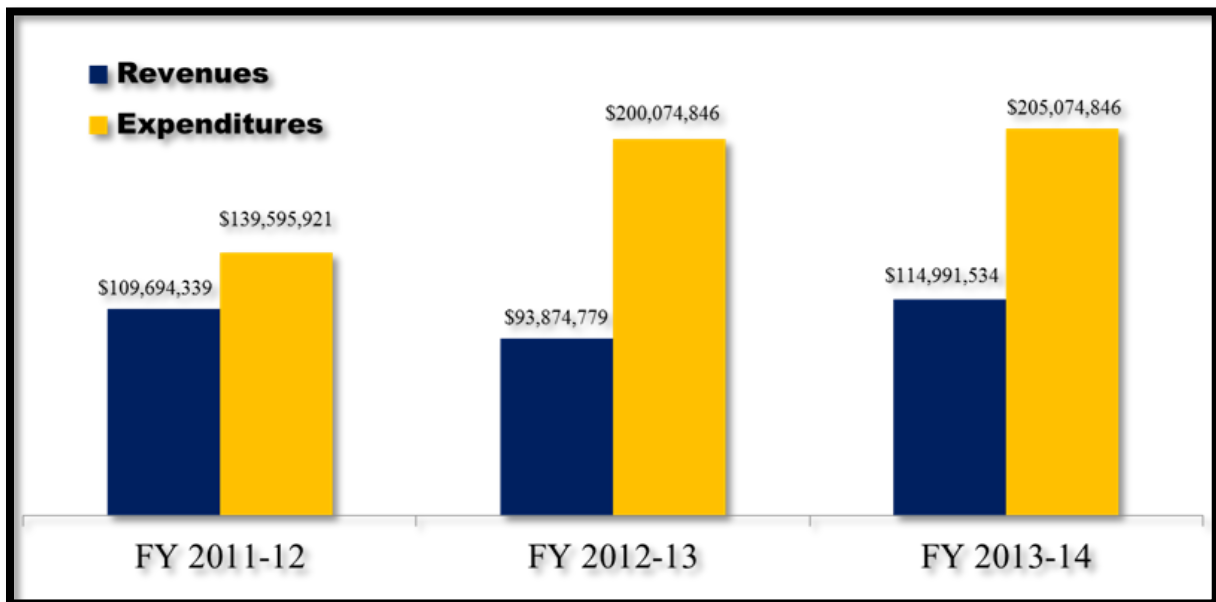
Mr. Ortega informs the Committee that First 5 LA received a fair opinion on the audit and that it was considered a clean audit. There were no material deficiencies in internal control identified. However, he does note that an observation was made by the auditors as indicated in the management support letter that First 5 LA, as it relates to GASB65, could strengthen its year-end closing procedure by changing from modified accrual to full accrual.

He then goes on to First 5 LA's achievements. Mr. Ortega informs the Committee that on May 2014, First 5 LA earned a Certificate of Achievement for Excellence in Financial Reporting for FY 2012-13 from the Government Finance Officers Association (GFOA). He also notes that it is the sixth consecutive year that First 5 LA is receiving this certificate of achievement.

He now goes through some highlights. Back in June 2013, Mr. Ortega reminds the Committee that the Commission approved the FY 2013-14 program budget in the amount of \$194 million. In June 2014, First 5 LA ends the year with a \$213.4 million approved budget and notes that the increase is primarily due to the following:

- Place-Based-Best Start, \$6.6 million
- Countywide Strategies, \$254,000
- Countywide Initiatives, \$11.3 million
- Prior Strategic, \$413,722
- Research & Evaluation, \$515,500

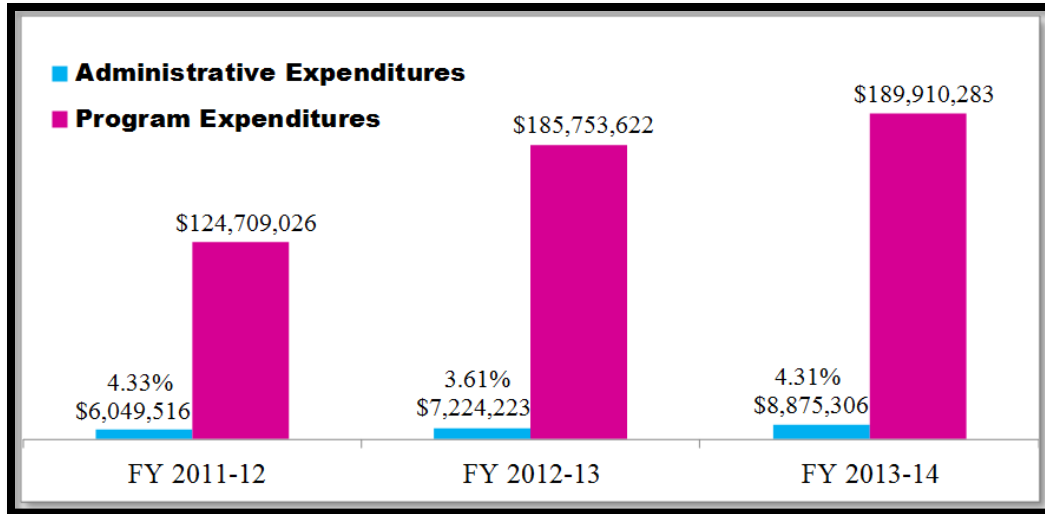
Mr. Ortega then goes over the following chart:



He informs the Committee that total revenue increased from \$93.8 million in FY 2012-13 to \$114.9 million in FY 2013-14. He further explains that the increase is due primarily to First 5 LA receiving reimbursement for FY 2012-13 activities from First 5 CA Children Signature Project and CARES. Mr. Ortega also notes that the charts also reflect unavailable revenue for FY 2013-14 activities.

He also goes into explain that First 5 LA expenditures exceeded FY 2012-13 revenue, thus decreasing First 5 LA's net position by \$90.8 million. Mr. Ortega points out that this can be seen on the Statement of Activities and Governmental Fund Revenues Expenditures and changes in the fund balance. He adds that the increase of 2.8% in expenses was primarily due to provider grants and contracts (program costs).

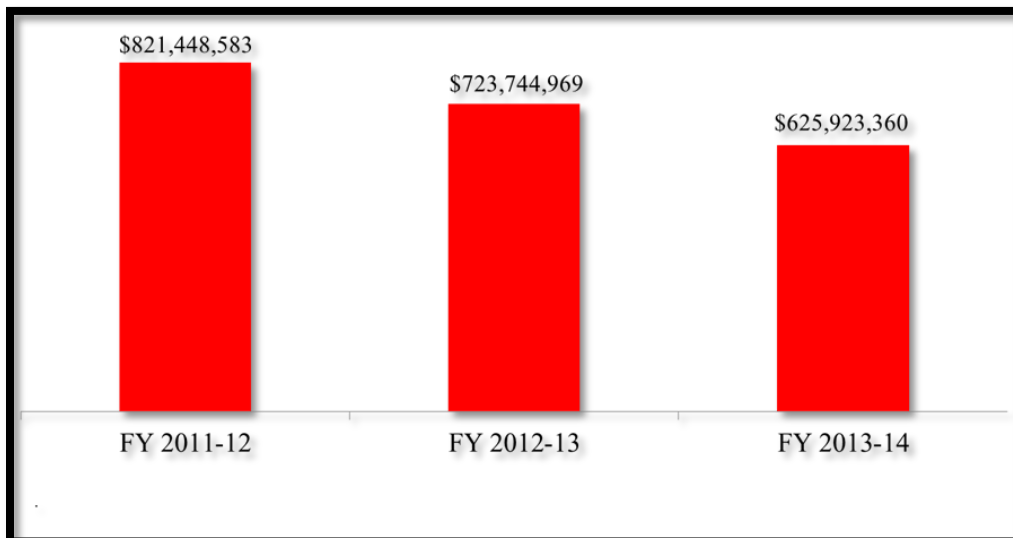
Mr. Ortega now goes on to explain the following chart:



He explains that this graph depicts a cross FY comparison of our program and administrative expenditures. He states that the \$8.8 million in administrative expenditures was within the administrative cap that was set by the board when the board approved the FY 2014-14 budget of \$9.7 million.

On the next chart, Mr. Ortega states to the Committee that this chart reflects a 3 year comparison of our declining fund balance from \$723.7 million in June 30, 2013 to \$625.9 million for June 30, 2014. This decrease is roughly about 14% of the overall fund balance.

He reassures the Committee that short term resources are adequate but that as we continue to

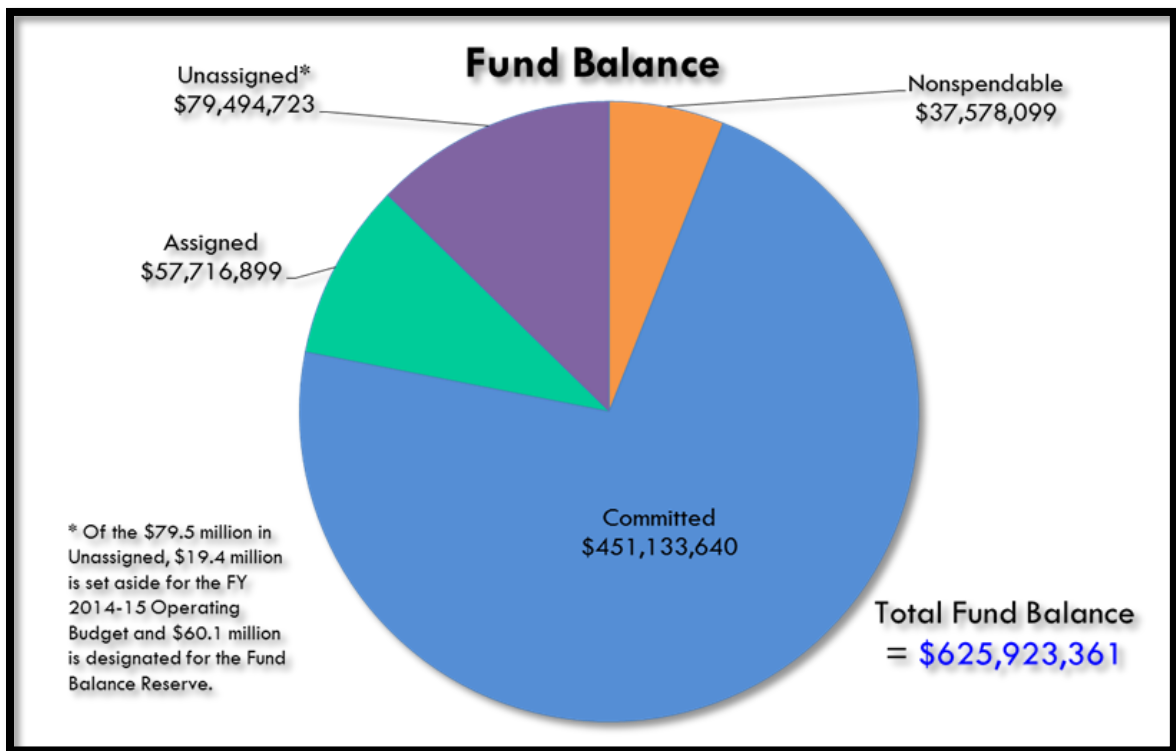


fund existing obligations, we will be drawing from our fund balance, thus depleting it further. Accordingly, he reminds the Committee that First 5 LA would need to make a critical decision of how to transition to a more sustainable spending portfolio.

Committee Chair Au would like to know if there is an amount of funds that is required to be in the fund balance to ensure First 5 LA can sustain itself.

Mr. Ortega says that the Board adopted a reserve policy that requires that First 5 LA set aside 25% as a reserve. In addition, under Craig's leadership, First 5 LA did look at other First 5 LA's to see what amount they were holding as a reserve and 25% seemed to be consistent with what they were doing.

Finally, Mr. Ortega goes through the following pie chart:



He explains to the Committee that this graph depicts the distribution of our fund balance and briefly explains what each category is.

- **Nonspendable** – These are funds that First 5 LA has already transferred out of its account as advances to its contractors and or grantees. He underscores that these funds are still considered assets of F5
- **Committed** – Funds that have been put aside for a specific initiative and or program by the Commission via Resolution
- **Assigned** – Funds Commission has designated to be available through 2015 to be used for the purpose of the Strategic Plan

- **Unassigned** – FY 2013-14 Operating Budget of \$17.7 and a Reserve of \$53.1 which are amounts per Commission policy already in place.

Commissioner Dennis says that at the last meeting there was a discussion on the difference between committed and unspent funds and how these funds would be dealt with regards to whether or not they would be repurposed or assigned to help support the new strategic plan.

Committee Vice Chair Kaufman says that he is still not clear on the difference between committed, assigned and unspent funds.

Mr. Ortega reminds the Committee that assigned funds are those funds that the Commission has taken a specific action to assign funds to an organization such as those funds to LAUP.

Commissioner Dennis would like to know if we have any policies with our vendors and/or contractors that indicate whether or not we would have the authority to take the unspent funds and allocate them elsewhere. He would also like to know if there is a time period that the contractor has to spend the funds that have been assigned to that contractor and if it is not spent, then would First 5 LA have the authority to repurpose those funds.

Ms. Chough clarifies that committed funds not only includes multiyear allocations for the future year period but also includes the FY 14-15 budget and also funds for the fund balance reserve.

Committee Chair Au would like to know if the Commission could change their policy of how unspent funds would be handled at the end of a contract.

Mr. Steele says that the Commission does have the authority to do this.

Commissioner Dennis reminds the Committee that he would like to see some solid policies that would guide Commissioners on how to deal with our funds since he feels that the Commission has made decisions in the past that were very haphazard.

Executive Director Belshé reminds the Committee that First 5 LA's declining revenues is exactly why staff will place a focus on making any program recommendations that would be consistent with living within our means.

There is no further discussion on this item.

#### **Review of Annual Report to the State Commission**

Ms. Campbell now gives a brief update on the draft annual report to the State Commission. She informs the Committee that staff plan to bring this item as information at the September Special Commission/ Program and Planning Committee meeting and then for action at the October 9 Commission meeting.

There is no further discussion on this item.

#### **ADJOURNMENT:**

The regular session of the meeting was adjourned at 11:35 am.

#### **NEXT MEETING:**

The next scheduled meeting will take place as follows:

Thursday, January 22, 2015  
12:00 pm – 1:30 pm

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

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

# FY 2015-16 Operating Costs Overview

Executive Committee Meeting

May 21, 2015



# Budget Journey

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- May 1, 2015 – Budget & Finance Committee
- May 14, 2015 – Commission
  - Informational Item: Presented for Discussion
- ➔ • May 21, 2015 – Executive Committee
  - Discussion of FY 2015-16 proposed operating costs
- May 28, 2015 – Program & Planning Committee
  - Discussion of FY 2015-16 proposed programmatic costs, focusing on resources for the 2015-2020 Strategic Plan
- June 1, 2015 – Budget & Finance Committee
  - Review changes to the FY 2015-16 Proposed Budget based on:
    - Commission Feedback
    - Updated information/direction
- June 11, 2015 – Commission
  - Action Item: Presented for Commission Approval

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# Agenda

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- Overall Budget Summary
- Operating Cost Summary
- Key Observations
- Operating Categories and Costs Factors
- Administrative Cost Limit

# FY 2015-16 Budget Summary

BUDGET CATEGORY	FY 2014-15				Proposed FY 2015-16	
	Original		Revised			
<b>Program</b>						
<i>2015-2020 Strategic Plan: Focusing for the Future</i>						
a. Investments/Approaches Reaffirmed by the Board and Aligned with SP	\$ 48,801,000		\$ 44,698,000		\$ 61,301,000	
b. Existing Investments Potentially Aligned with SP	7,305,000		6,652,000		3,610,000	
c. New Investments Under Development (Strategic Plan Implementation Fund)	-		250,000		3,136,000	
<i>Total 2015-2020 Strategic Plan</i>	\$ 56,106,000	23%	\$ 51,600,000	23%	\$ 68,047,000	30%
<i>Legacy Investments</i>	151,454,000	63%	143,153,000	63%	131,556,000	58%
<i>Research &amp; Evaluation</i>	13,643,000	6%	11,360,000	5%	7,914,000	3%
<b>Total Program</b>	\$ 221,203,000	92%	\$ 206,113,000	91%	\$ 207,517,000	91%
<b>Operating</b>	19,355,179	8%	19,355,179	9%	20,684,362	9%
<b>TOTAL BUDGET</b>	<b>\$ 240,558,179</b>	<b>100%</b>	<b>\$ 225,468,179</b>	<b>100%</b>	<b>\$ 228,201,362</b>	<b>100%</b>

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# Budget Highlights & Context

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- Estimated FY 2015-16 revenue = \$85.6 million
- Demand on fund balance = \$142.6 million
- Administrative limit = 4.94%

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# Operating Costs Summary

OPERATING COST CATEGORY	FY 2014-15				Proposed FY 2015-16	
	Original		Revised			
Personnel Services	\$ 15,238,672	79%	\$ 14,757,141	76%	\$ 16,367,981	79%
General Operating Expenses	1,509,250	8%	\$ 1,395,100	7%	1,398,990	7%
Professional Services	722,846	4%	\$ 718,246	4%	714,900	3%
Consultant Services	1,394,900	7%	\$ 1,865,900	10%	1,623,500	8%
Travel & Meeting Expenses	329,511	2%	\$ 458,793	2%	458,991	2%
Capital Improvements	160,000	1%	\$ 160,000	1%	120,000	1%
<b>Total Operating Costs</b>	<b>\$ 19,355,179</b>	<b>100%</b>	<b>\$ 19,355,180</b>	<b>100%</b>	<b>\$ 20,684,362</b>	<b>100%</b>

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# Key Observations

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## 1. Workload demands – multi-faceted

- 25 ongoing Legacy Investments require continued dedication of staff time to support
- Continued implementation of Welcome Baby/Select Home Visiting and Community Capacity Building in the 14 Best Start Communities
- New work
  - Policy & Advocacy
  - Strategic Communications & Marketing

## 2. Implementation of compensation study recommendations, which are on track and on budget

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# Personnel Services

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Total = \$16.4 million (79%)

Increase of \$1.6 million or 11% from revised FY 2014-15 budget (\$1.1 million or 7% from original FY 2014-15 budget)

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Cost factors include:

## 1. Implementation of Board-approved compensation recommendations

- Second phase of salary adjustments effective July 1, 2015 = \$211,000
- Changes to retirement benefits = \$379,000
- 3% reward for performance pool = \$292,000

# Personnel Services, Cont'd

## Compensation Study Fiscal Impact

Compensation Study Recommendation*	Implementation Considerations*	FY 2014-15 Cost*	Projected Additional Cost for FY 2015-16*	Proposed Impact to FY 2015-16 Budget
Addressing internal pay disparities	Given fiscal realities, costs were spread out over 2 fiscal years	\$ 225,000	\$ 225,000	\$ 211,000
Better alignment of retirement to market	Rolled out in January 2015	175,000	350,000	379,000
Adoption of reward for performance	Due to the need to implement an improved performance evaluation system, will begin in FY 2015-16	-	350,000	292,000
<b>Total Cost:</b>		<b>\$ 400,000</b>	<b>\$ 925,000</b>	<b>\$ 882,000</b>

\* Information was presented at the October 2014 Commission Meeting

# Personnel Services, Cont'd

## Cost factors, cont'd:

### 2. Additional positions included to advance the work of the 2015-2020 Strategic Plan

FY 2015-16 BUDGET: NEW POSITIONS*		
Department	Position	Estimated Fiscal Impact
Policy & Intergovernmental Affairs	Policy Analyst II	\$ 77,000
	Program Officer II	77,000
	Senior Policy Analyst	85,000
	Senior Policy Program Officer	85,000
Communications & Marketing	Communications Officer II	70,000
	Social Media Coordinator	63,500
Contract Compliance	Contract Compliance Officer III	85,500
Human Resources	Human Resources Generalist	77,000
<b>Total Estimated Fiscal Impact of New Positions</b>		<b>\$ 620,000</b>

\* Note that the net effect to overall headcount is 6 FTE, as the Best Start Communities Department reduced their staffing level by 2 FTE.

# Personnel: Changes to Budget Methodology

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- Estimated 3% attrition rate was incorporated into the total budget for salaries and benefits
- Budgeted new positions at 10 months and all vacancies at 92.5% of the median salary range
- Utilized the median cost for health benefits for vacant positions

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# General Operating Expenses

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Total = \$1.4 million (7%)

Includes costs such as:

- Utilities
- Corporate insurance
- Hardware and Software Maintenance
- Building Repairs and Maintenance
- Contingency

Increase of \$3,890 from revised FY 2014-15 budget

# Professional Services

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Total = \$715,000 (3%)

Includes costs such as:

- Audit services
- Legal services
- Professional Development

Decrease of \$3,346 from revised FY 2014-15 budget

# Consultant Services

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Total = \$1.6 million (8%)

Includes costs related to:

- General consulting needs
- Management fees for First 5 LA building

Decrease of \$242,400 from revised FY 2014  
-15 budget

# Travel and Meeting Expenses

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Total = \$459,000 (2%)

Includes costs such as:

- Airfare, lodging and per diem
- Conference registration
- Local meeting costs

Nominal increase from revised FY 2014-15  
budget

# Capital Improvements

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Total = \$120,000 (1%)

- Provides funds for the purchase of workstation replacements, enterprise servers, enterprise storage devices, network appliances and other hardware upgrades

Decrease of \$40,000 from revised FY 2014-15 budget

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# Administrative Cost Limit

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- Administrative Cost = \$11.3 million
- 4.94% of total FY 2015-16 Proposed Budget
  - Health and Safety Code and current internal policy require that the Commission approve an administrative cost limit each fiscal year
  - Neither sets a specific limit; the Commission has historically approved a limit under 5%

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# Board Engagement

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- May 1, 2015 – Budget & Finance Committee
- May 14, 2015 – Commission
  - Informational Item: Presented for Discussion
- ➔ • May 21, 2015 – Executive Committee
  - Discussion of FY 2015-16 proposed operating costs
- May 28, 2015 – Program & Planning Committee
  - Discussion of FY 2015-16 proposed programmatic costs, focusing on resources for the 2015-2020 Strategic Plan
- June 1, 2015 – Budget & Finance Committee
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    - Updated information/direction
- June 11, 2015 – Commission
  - Action Item: Presented for Commission Approval

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Questions?



1<sup>ST</sup>  LA  
**first 5 la**  
Giving kids the best start

# Los Angeles County Children and Families First Proposition 10 Commission

SUBJECT: Conference and Event Funding	Policy Number: <b>P-3500x</b>
	Effective Date:
	Supersedes: 02/13/14
Initiating Authority: Communications and Marketing Department	Page <b>1</b> Of <b>6</b>

## I. PURPOSE

This policy establishes a uniform policy and procedure for funding conferences/events through the Communications and Marketing budget for conference funding. First 5 LA reserves the right to sponsor other types of events/conferences (i.e. marketing and policy conferences/events) outside of this policy.

**Comment [JW1]:** The purpose updates name of Department; clarifies that events are included in this policy (e.g., Policy Day in Sacramento).

## II. APPLICATION

This policy applies to all agencies, organizations or collaborative groups that request First 5 LA conference/event support through Communication and Marketing budget funding.

## III. POLICY

The Commission's goals for funding conferences/events are to support knowledge sharing activities that advance the field of early child development through:

- Increasing community and/or professional capacity
- Disseminating best and promising practices
- Sharing new research findings

**Comment [JW2]:** This section updates the policy to:  
 1. reflect our new Strategic Plan and our four relevant outcome areas;  
 2. decreases maximum sponsorship amount from \$25,000 to \$15,000 to manage external entities' expectations;  
 3. adds language to incentivize diversification of funding for conference

In November 2014, the First 5 LA Board of Commissioners adopted a new [Strategic Plan](#) to guide its investments from July 2015 through June 2020. The plan, [Focusing for the Future](#), lays out a clear path for First 5 LA to maximize its impact to strengthen families and improve outcomes for the greatest number of children prenatal to age 5 in L.A. County. The plan approved the following four priority outcomes to guide the Commission's investments and efforts, and conferences/events supported by the Commission must relate to one or more of these outcome areas:

1. **Families:** Increased family Protective Factors
  - a. Work with parents and caregivers so that they have the skills, knowledge and access to resources they need to support their child's development.
2. **Communities:** Increased community capacity to support and promote the safety, healthy development, and well-being of children prenatal to age 5 and their families
  - a. Support a community's ability to foster safe, healthy, engaged neighborhoods that help children and their families thrive.

**3. Early Care and Education Systems:** Increased access to high-quality early care and education

- a. Increase access to affordable, quality child care and preschool.

**4. Health-Related Systems:** Improved capacity of health, mental health, and substance abuse services systems to meet the needs of children prenatal to age 5 and their families

- a. Improve how health-related systems coordinate and deliver care to young children and their families in L.A. County.

The funds governed by this policy will not fund the following: annual meetings, fundraising events, or conferences/events that promote religious doctrine or political campaigns.

All proposed conferences/events must be held in Los Angeles County and serve a countywide population or be in a geographic jurisdiction (e.g., Sacramento) that could impact policies and/or resources affecting L.A. County children ages prenatal to 5.

Each fiscal year, monies may be designated via the Commission’s annual budgeting process for Conference/Event Funding. After the budget is established and exhausted, no additional funding will be available until the next fiscal year. If funding is established in the budget, the annual appropriation will be split, with half being put toward conferences/events taking place in the first half of the fiscal year, and half being put toward conferences/events taking place in the second half of the fiscal year. If funds from the first half of the fiscal year are not awarded, they will roll over into the second half of the year.

Applicants may apply for a maximum of \$15,000 or 50 percent of the total of their conference/event budget, whichever is lower. First 5 LA may not be the sole financial supporter of a conference/event being applied for and “in-kind” contributions by the organizer may not exceed more than 25 percent of the budget.

*Please note:* Application amounts awarded are often less than the amount requested. Award amounts are subject to internal staff review and allocation.

IV. PROCEDURES

**Process for Applying for Funding for Conferences/Events**

First 5 LA’s fiscal year is July 1–June 30. There will be two filing periods: April 1–30 will field conferences/events taking place between July 1–December 31. The second application period will be October 1–31 for conferences/events taking place between January 1– June 30.

For a conference/event to be considered for funding, it must meet the following requirements:

1. Conference/event relates to current First 5 LA’s four priority outcome areas as stated above.
2. Applicants must submit the following through the online application system:
  - a. Application.
  - b. Complete conference agenda.
  - c. Short biographies of proposed presenters/speakers at the conference and a statement clarifying if the speakers will receive honorarium and how much it will be (including speaking fees, hotel stays, transportation or meals).

**Comment [JW3]:** This section updates the procedures to  
1. align with the new online process (replacing the requirement of a letter with conference logistics, etc.  
2. adds question re: other funding source(s)  
3. replaces requirement to submit four hard copies of application with the new online application  
4. provides for a hard copy of application for those who don’t have access to online application

- d. Conference budget, including what component First 5 LA's investment will support (if appropriate), and indication of other sources of funding.
- e. Any previous conference programs (if available).

**NOTE:** If the applicant is unable to submit application digitally, a paper application will be made available.

**Process for Awarding Funding for Conferences/Events**

After the close of the application periods, First 5 LA will evaluate all applications for completeness and minimum requirements. Basic requirements include: timely receipt of application, submission of all required attachments, etc. Applications with omissions of any required documentation are subject to disqualification. First 5 LA will also conduct a due diligence review which includes a review of applications that are current and former contractors, grantees and vendors were not out-of-compliance with any existing and past Commission contracts.

If the application is responsive to the application requirements, a review committee made up of inter-disciplinary First 5 LA staff will grade each application according to the following criteria. Each area is scored from 1 to 5, 5 being the highest in each area. The scoring is broken down as follows:

- 1. To what extent does the conference/event support First 5 LA's Strategic Plan outcome areas of Families, Communities, Early Care and Education and/or Health-Related Systems as outlined above?
- 2. To what extent does the conference/event increase community and/or professional capacity?
- 3. To what extent does the conference/event disseminate best and/or promising practices?
- 4. To what extent does the conference/event share new research findings?
- 5. Does the conference or event support existing First 5 LA investments?
- 6. To what extent does the conference/event receive other funding?

The final score will reflect the level of quality and pertinence of the conference/event to First 5 LA's goals and priorities. To be eligible to receive funding, applicants **must** score a minimum of 16 out of the maximum 30 points possible. Review tools are adhered to by the committee members to alleviate the potential for bias. While the committee may make a recommendation of funding, the Executive Department will make the final decision on funding awarded. Committee members are required to sign a Conflict of Interest and Confidentiality Statement.

Final funding amounts will be determined based upon each applicant's score as well as other factors taken into consideration across all applicants, such as the demographics of attendees, subject matter, target audience and location of event.

**General Guidelines**

- 1. Conference funds will be provided at no more than \$15,000 or 50 percent of the total conference budget, whichever is lower, for each individual conference/event. Only up to 50 percent of the total amount funded may be provided to the conference/event organizers **as an advance prior** to the conference/event. To receive the advance, an invoice along with the funding number is required. The remaining 50 percent will be disbursed when the conference/event is completed. (See **Process for Invoicing** below for more details.) First 5 LA may not be the sole financial supporter of the conference/event being applied for, and "in-kind" contributions by the organizer may not

**Comment [JW4]:** This section:  
1.Adds language clarifying process;  
2.Spells out our "due diligence";  
3.Updates language to reflect outcome areas of new strategic plan;  
4.Adds question about other (non-F5LA) funding  
5.Clarifies entities don't need to request the max. amount;  
6.Limits awards to 3 out of 5 years (prior version prioritized those not receiving funding in 3 or more of 5 years)  
7.Adds a requirement that conference must occur within the funding period granted (unless obtain a F5 extension.  
8.Adds language to prevent "double dipping"  
9.Prohibits more than one grant per conference/event.

exceed 25 percent of the total budget. Application amounts awarded are often less than the amount requested.

2. Agencies, organizations or collaborative groups may propose one conference/event per fiscal year and may not be awarded more than three years within each five-year period, beginning with the entity's first year as an awardee.
3. Conference/Event must take place within the funding term period during which applicant applied. Otherwise grantee will forfeit their funding. Grantee may request an extension due to special circumstances and it is solely First 5 LA's decision whether to accept or not.
4. Applicant agencies, organizations or lead agencies (in a collaborative) must be in compliance with any existing and past Commission contract and/or funding agreement terms, if such a relationship exists.
5. All applicant conferences/events must be open to the general public.
6. If awarded a funding, the conference/event organizer agrees to provide First 5 LA with the following assets:
  - a. Five entrance passes. In addition, the conference/event will offer a discount for purchase of additional tickets if additional tickets are needed by First 5 LA.
  - b. If appropriate, the opportunity to provide First 5 LA spokespeople to address conference participants.
  - c. If appropriate, the opportunity for First 5 LA to conduct a conference session/workshop regarding our focus areas, initiatives, research findings or other topics.
  - d. Prominent display of First 5 LA logo on all conference materials such as brochures, programs, websites, advertising and other promotional material with the designation of "Supported by First 5 LA." Use of First 5 LA logo must follow the First 5 LA Style Guide. Prior to printing and/or distribution, First 5 LA requests review of the materials using the First 5 LA logo to ensure proper logo usage. Logos and style guide may be downloaded online at <http://www.first5la.org/index.php?r=site/tag&id=690>.
  - e. If the event hosts an exposition for attendees, First 5 LA requires one (1) information booth/table to disseminate public education materials.
  - f. Logo display and a live link between the conference/event website and First 5 LA's website.
  - g. Co-branding opportunities will be facilitated between First 5 LA and other conference sponsors. For example, if First 5 LA wants to develop a giveaway and another sponsor with similar goals/mission is willing to participate, co-branding opportunities may be explored.
  - h. Contact information for other conference/event sponsors/collaborators and attendees.
7. Current First 5 LA Grantees: In order to ensure that current First 5 LA grantees are not using Conference/Event funding to support work that is already within their First 5 LA grant scope of work, and to give as many organizations a chance to receive Conference/Event funding, a current grantee may apply for Conference/Event funding, but the activity must be outside their current scope of work and budget.

- 8. Grantees Applying for Multiple Grants: The applicant may not apply to more than one First 5 LA source of funding in support of the same conference/event. However, in the event that one application is denied, the applicant may then pursue financial support through another First 5 LA funding source (e.g., marketing or policy grants).

**Process for Invoicing and Payment**

No more than 30 days following the event or conference, the applicant must submit the following to First 5 LA (email submission is preferred):

1. A summary report of the conference, including number of attendees, a program summary, a budget detailing actual expenditures, a media report (if appropriate) along with a short (300 words or less) description of how the conference assisted First 5 LA in achieving its priority goals.
2. An invoice with the MOU reference number for the amount of the award (note: if the applicant received a 50 percent advance, the final invoice will be for the remaining amount of the award).
3. Submission of a W-9 will be required for payment processing.

IV. RESPONSIBILITIES

The Board of Commissioners is responsible for the approval of the Conference and Event Funding through the annual budgeting process.

The Contract Compliance department is responsible for:

- Posting solicitation during two filing periods
- Receiving the applications
- Conducting Level 1 review
- Developing a summary report of the review process, declination and award letters
- Emailing award and declination letters
- Executing MOUs

The Grants Management department is responsible for:

- Conducting a meeting with the internal review committee where all applications will be reviewed.
- Making funding recommendations to the Executive Department for the proposed sponsorships
- Receiving and processing invoices and filing final event report.

The Communications and Marketing department is responsible for:

- Promoting conference funding application periods via social media and First 5 LA website
- Working with various grantees to secure First 5 LA marketing/onsite benefits and all event activation including securing speakers
- Informing all staff of events being sponsored and coordinating staff attendance
- Promoting First 5 LA's participation in events on social media and First 5 LA website
- The overall management of this program, including budgeting the appropriate amount

**Comment [JW5]:** This reflects internal responsibilities and adds roles for Contract Compliance and Grants Management in addition to Communications/Marketing.

into First 5 LA's annual budget.

The Executive Department is responsible for making final decisions on funding. All applicants will receive a notice of "application received" within 10 days of submission. Final funding notices will be sent within two months of the application closing date.

V. REFERENCES/LEGAL AUTHORITY

VI. APPROVALS

\_\_\_\_\_  
Gabriel Sanchez, Director of Communications and Marketing, Date  
Initiating Authority

\_\_\_\_\_  
John Wagner, Chief Operating Officer Date

\_\_\_\_\_  
Kim Belshé, Executive Director Date

DRAFT

# Los Angeles County Children and Families First Proposition 10 Commission

<b>SUBJECT:</b>  Conference Sponsorship	<b>Policy Number:</b> <b>P-3500</b>
	<b>Effective Date:</b> <b>02/13/14</b>
	<b>Supersedes:</b>
<b>Initiating Authority:</b> Public Affairs Department	<b>Page           1           Of           5</b>

## I. PURPOSE

This policy establishes a uniform policy and procedure for funding conferences/events.

## II. APPLICATION

This policy applies to all agencies, organizations or collaborative groups that request First 5 LA conference/event sponsorship funding.

## III. POLICY

On July 11, 2002, the Commission approved a protocol for funding conferences/events. The Commission’s primary goal for funding conferences/events is to support knowledge sharing activities that advance the field of early child development through:

- Increasing community and/or professional capacity
- Disseminating best and promising practices
- Sharing new research findings

To this end, conferences/events supported by the Commission will relate to its current priority goal of building stronger families and healthier communities through focus in:

- health
- early care and education
- fitness and nutrition
- child safety

Conferences or events may also relate to existing First 5 LA investments, current research partnerships, current Public Affairs Public Education Plan priorities and/or issues that relate to knowledge that will improve outcomes for families with children age 0-5. The Commission will not fund the following: annual meetings, fundraising events, or conferences/events that promote religious doctrine or political campaigns.

All proposed conferences/events must be held in Los Angeles County and serve a countywide population or be in a geographic jurisdiction (e.g., Sacramento) that could impact policies and/or resources affecting Los Angeles County children ages 0-5.

Each fiscal year, monies may be designated via the Commission's annual budgeting process for Conference/Event Funding. Once that budget is established and exhausted, no additional funding is available until the next fiscal year (July 1 – June 30). If funding is established in the budget, the allocation will be split in half, so that half will be put toward conferences/events that take place between July 1 – December 31 and half for conferences/events that take place between January 1 – June 30. If the funds from the first half of the year are not awarded, they will roll over to the second half of the year.

A maximum of \$25,000 or 50 percent total conference budget, whichever is lower, can be awarded to support an individual conference.

#### IV. PROCEDURES

##### **Process for Applying for Funding for Conferences/Events**

Applications must be filed at a minimum of three months prior to the conference/event. First 5 LA's fiscal year is July 1 – June 30. There will be two filing periods: April 1-30 will field all conference/events taking place between July 1 – December 31. The second application period will be October 1-31 for all conferences/events that take place between January 1 – June 30.

In order for a conference/event to be considered for funding, it must meet the following requirements:

1. Conference/event relates to current First 5 LA priority goals as stated above.
2. Applicants must submit the following through the online application form:
  - a. Letter outlining the conference/event including time, place, goal of conference, audience served (including geographic or ethnic communities), estimated number of attendees, entrance fee (if applicable) and description of how the conference will assist First 5 LA in achieving its priority goals of health, safety, nutrition/fitness, and early care and education.
  - b. Complete conference agenda.
  - c. Short biographies of all proposed presenters/speakers at the conference and a statement clarifying if the speakers will receive honorarium and how much it will be (including speaking fees, hotel stays, transportation or meals).
  - d. Conference budget, including what component First 5 LA's investment will support (if appropriate).
  - e. Any previous conference programs (if available).

*NOTE:* If the applicant has documents, samples or other materials that cannot be submitted digitally, the applicant must deliver four (4) hard copies of the materials to First 5 LA at 750 N. Alameda Ave., Los Angeles, CA 90012, attn: Conference Funding, within the application timeframe.

##### **Process for Awarding Funding for Conferences/Events**

After the close of the application periods, a review committee made up of First 5 LA staff will conduct a preliminary review of each application to determine if it is responsive to the initial application parameters from #2 above. Committee members are required to sign a Conflict of Interest and Confidentiality Statement.

If the application is responsive to the application requirements, the committee will grade each application according to the following criteria. Each area is scored from 1 to 5, 5 being the highest in each area. The cumulative lowest score is 6, the highest 30:

1. Does the applicant support First 5 LA's current priority goal of building stronger families and healthier communities?
2. What is the level of relevance of the applicant to one or more of First 5 LA goal areas?
  - a. health
  - b. early care and education
  - c. fitness and nutrition
  - d. child safety
3. Does the applicant increase community and/or professional capacity?
4. Does the conference or event disseminate best and/or promising practices?
5. Does the conference or event share new research findings?
6. Does the applicant tie into any current First 5 LA investments or research partnerships?

The score will reflect the level of quality and pertinence of the conference/event to First 5LA's goals and priorities. To be eligible to receive a grant, applicants **must** score a minimum of 16 out of the maximum 30 points possible. Review tools are adhered to by the committee members to alleviate the potential for bias. While the committee may make a recommendation of funding, the Executive Department will make the final decision.

In the event that the cumulative sum requested by the applicants within each filing period exceeds the funding allocation per application cycle, final grant amounts will be determined based upon each applicant's score as well as other factors taken into consideration across all applicants, such as the appropriate mix of demographics, subject matter, business vs. consumer and geography of event.

### **General Guidelines**

1. Conference funds will be provided at no more than 50 percent of the net conference budget. Only up to 50 percent of the total amount granted may be provided to the conference/event organizers prior to the conference/event. To receive the advance, an invoice along with a W9 form and a copy of the original award letter is required. The remaining 50 percent will be disbursed when the conference/event is completed. (See **Process for Invoicing** below for more details.)
2. Agencies, organizations or collaborative groups may propose one conference per fiscal year. Priority will be given to applicants that have been awarded a grant for three years or less within each five-year period, beginning with the entity's first year as an applicant.
3. Applicant agencies, organizations or lead agencies (in a collaborative) must be in compliance with any existing and past Commission contract and/or grant agreement terms, if such a relationship exists.
4. All applicant conferences/events must be open to the general public; however, non-membership fees to membership-sponsored conferences/events may apply.

5. If awarded a grant, the conference/event organizer agrees to provide First 5 LA with the following assets:
  - a. Five entrance passes. In addition, the conference/event will offer a discount on additional tickets if additional tickets are needed by First 5 LA.
  - b. If appropriate, the opportunity to provide First 5 LA spokespeople to address conference participants.
  - c. If appropriate, the opportunity for First 5 LA to conduct a conference session/workshop regarding our focus areas, initiatives, research findings or other topics.
  - d. Prominent display of First 5 LA logo on all conference materials such as brochures, programs, websites, advertising and other promotional material. Use of First 5 LA logo must follow the First 5 LA Style Guide. Prior to printing and/or distribution, First 5 LA requests review of the materials using the First 5 LA logo to ensure proper logo usage. Logos may be downloaded online at <http://www.first5la.org/About-Us/Press-Room>.
  - e. One (1) information booth/table in event exposition area with the opportunity to disseminate First 5 LA collateral materials.
  - f. Logo display and a live link between the conference/event website and First 5 LA's website.
  - g. Co-branding opportunities will be facilitated between First 5 LA and other conference sponsors. For example, if First 5 LA wants to develop a giveaway and another sponsor with similar goals/mission is willing to participate, co-branding opportunities may be explored.
  - h. Contact information for other conference/event sponsors/collaborators.

### **Process for Invoicing and Payment**

No more than 30 days following the event or conference, the applicant must submit the following to First 5 LA (email submission is preferred):

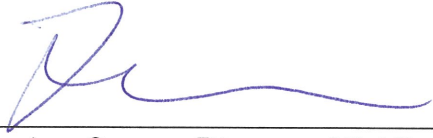
1. A summary report of the conference, including number of attendees, a program run down, a budget detailing actual expenditures, a media report (if appropriate) along with a short (300 words or less) description of how the conference assisted First 5 LA in achieving its priority goals.
2. An invoice for the amount of the award (note: if the applicant received an advance, the final invoice will be for the remaining amount of the award).

### **V. RESPONSIBILITIES**

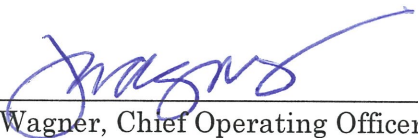
The Public Affairs Department is responsible to market and publicize this opportunity for funding, receiving the applications for conference/event sponsorship, convening the review committee and making recommendations to the Executive Department of sponsorships. The Executive Department is responsible for making final decisions. All applicants will receive a notice of "application received" within 10 days of submission.

VI. REFERENCES/LEGAL AUTHORITY

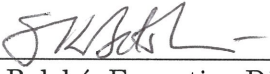
VII. APPROVALS

  
\_\_\_\_\_  
Francisco Oaxaca, Director of Public Affairs,  
Initiating Authority

2/14/14  
\_\_\_\_\_  
Date

  
\_\_\_\_\_  
John Wagner, Chief Operating Officer

2/14/14  
\_\_\_\_\_  
Date

  
\_\_\_\_\_  
Kim Belshé, Executive Director

2/18/14  
\_\_\_\_\_  
Date

*Approved by Board of Commissioners February 13, 2014*

# Los Angeles County Children and Families First Proposition 10 Commission

SUBJECT: Policy for Travel Approval and Reimbursement for Commissioners	Policy Number: <b>E-1002x</b>
	Effective Date:
	Supersedes: 12/07/11
Initiating Authority: Executive Department	Page <b>1</b> Of <b>4</b>

**Comment [JW1]:** This updates the 12/7/11 Finance Department Policy, reflecting updates of the staff travel reimbursement policy applicable for Commissioner travel (mirrors staff policy except where delineated below).

## I. PURPOSE

This policy establishes standard guidelines and procedures for approval and reimbursement of Commissioners **business travel over 100 miles**.

**Comment [JW2]:** For staff and Commissioners, this governs process for travel over 100 miles. Travel can be reimbursed separately under 100 miles outside of this policy (e.g., not requiring prior approval, etc.)

## II. APPLICATION

These guidelines and procedures apply to all Commissioners.

## III. POLICY

This policy establishes guidelines for approval and reimbursement of travel expenses incurred by Commissioners through service to First 5 LA. **Any expense submitted which does not comply with the guidelines of this policy will not be reimbursed.**

## IV. PROCEDURES

### 1. TRAVEL AUTHORIZATION & APPROVAL

When a Commissioner is planning to attend a conference, workshop, meeting, or other business-related event that is 100 miles or more roundtrip from First 5 LA or the Commissioner's home, whichever is farthest, is outside of Los Angeles County and he/she is requesting reimbursement beyond mileage, a Travel Authorization Form (TAF) with the estimated costs of the travel must be completed by the Board Secretary or designee to be approved by the Executive Director and brought to the attention of the Board Chair or his/her Designee. All international travel requires approval of the Executive Director or Chief Operating Officer. A copy of the event agenda, invitation/letter or email confirmation must accompany the TAF.

**Comment [JW3]:** This addresses the role of the Board Secretary in assisting with proper completion of forms and documentation. This role is not in the staff policy. In addition, there is a new Release Form, suggested by Legal Counsel. This is in our staff policy for travel by non-First 5 LA personnel.

All travel arrangements must be coordinated through the Board Secretary or designee and should not be made until the TAF is approved by the appropriate entities. Any travel arrangements made prior to TAF approval must have the option of being fully refundable without any costs incurred.

**All Commissioners must sign a Release Form (release of liability).**

**Comment [JW4]:** This section provides the following additions/updates:

1. encourages advance purchase/discount;
2. requires two quotes for airfare over \$500;
3. clarifies how to handle personal travel in conjunction with work-related travel;
4. updates reimbursement expenses given more recent airline and hotel fees;
5. reflects staff policy for allowable additional hotel costs due to meetings held before 9am and up to/after 5:00pm;
6. Links hotel reimbursement to GSA rate (exceptions required to be approved by ED);
7. Removes requirement that Commission Chair approve Commissioner's vehicle rentals;
8. Updates language on Per Diem to reflect GSA approved rates (versus IRS);
9. Clarifies non-reimbursable expenses (consistent with staff policy) as well as business meals.

### 2. TRAVEL GUIDELINES

#### Air Travel

**Air travel should be restricted to coach class. Discount and advance purchase arrangements (e.g., 14-day or 21-day advance purchase) should be utilized whenever possible.**

When the total price of airfare is \$500 or more, two quotes should be obtained and attached to the expense report to verify the expense is accurate not just a preference.

Travelers must identify and pay for all personal flights, even if such flights are incorporated into a flight schedule that serves business purposes. A copy of a quote of the flight without the personal leg or additional days to verify the difference. Additionally:

- Airline baggage fees for one (1) checked bag will be reimbursed. If there is a fee for one (1) carry-on bag, this will also be reimbursed.
- Any upgrades are considered personal options and will be paid by the Commissioner.
- Seat selection is not reimbursable unless there is a fee for selecting standard seats.
- Travel insurance may be reimbursed. A reason for the expense must be included on the TAF for approval.
- Fees for in-flight Wi-Fi may be reimbursed.

#### Hotel

Maximum lodging rates are determined based on localities and seasons listed in the U.S. General Services Administration website at [www.gsa.gov/perdiem](http://www.gsa.gov/perdiem). Accommodations should be made at the event location (or designated hotels), if available, to ensure negotiated event discounted rates. Any exception to the event hotel or hotel rates greater than the GSA rate must be approved by the Executive Director.

#### Additionally:

- Commissioners should stay in standard rooms.
- Hotel receipts must be itemized showing all charges by date (i.e., room rate, taxes, phone, etc.).
- Prior day hotel accommodations to conference, workshop or meeting are acceptable when the meeting start time is 9:00 am or earlier AND transportation time is more than 3 hours or flights are not available.
- Commissioners are eligible for an additional day of hotel accommodations if the meeting end time is 5:00 pm or later AND transportation time is more than 3 hours or flights are not available.
- Daily hotel internet usage fee will be reimbursed.
- Fees connected with recreational/gym facilities are not reimbursable.
- When submitting the TAF for approval, a copy of the GSA page showing the maximum lodging rate for that locale should be attached.

#### Car Rental

Rental cars may be used for extended stays or where the destination makes renting a car more economical than other ground transportation, provided that car rental is approved on the TAF. When utilizing rental cars, a compact or midsize car should be selected. If the Commissioner chooses to upgrade, he/she must pay the difference between the compact/midsize car and the selected car.

- First 5 LA's insurance policy provides liability coverage only. When renting a vehicle, the Commissioner must purchase comprehensive and collision insurance coverage. The cost of this coverage will be reimbursed.
- The Commissioner must justify why renting a car is the most economical/practical means of transportation and obtain approval from the Executive Director before renting a car. Commissioners must choose the most economical suitable vehicle available.
- The lowest parking option at the hotel and/or event site is reimbursable. The lowest parking may not be the best option if arriving at a late hour or during extreme weather.

#### Ground Travel

Commissioners must exercise reasonable judgment when selecting transportation. For travel to and from airports, transportation should be selected by comparing available commercial transportation (e.g., taxi or shuttle) to the sum of mileage plus airport parking. However, the most economical means of transportation may not be the best option if traveling during late hours or in extreme weather.

If a Commissioner uses his/her car in lieu of airfare, mileage will be paid at the current First 5 LA mileage reimbursement rate, only up to the air coach fare. When driving in lieu of airfare, the Commissioner must provide an air fare quote along with the Mileage Reimbursement Form to support mileage reimbursement requests. Gasoline and routine auto expenses are not reimbursable. Also, the lowest parking at the hotel and event site is reimbursable. The lowest parking may not be the best option if arriving at a late hour or during extreme weather.

#### Per Diem

The per diem allowance is available for all Commissioners during the time he/she is traveling out of town for business purposes, including weekends and First 5 LA approved holidays, to cover expenses for meals and tips. A business related trip must last a minimum of 12 hours including travel in order to be eligible for a per diem.

- For meal and incidental expenses, the per diem stipend amount is determined based on localities listed in the U.S. General Services Administration website at [www.gsa.gov/perdiem](http://www.gsa.gov/perdiem).
- Each day, including travel days, are calculated at full per diem rate.
- When submitting the TAF for approval, a copy of the GSA page showing the per diem rate for that locale should be attached.

#### Other Travel Expenses Eligible For Reimbursement

- Expense reports should explain all long-distance telephone charges and cell phone charges.

#### Non-Reimbursable Travel Expenses

Examples of non-reimbursable expenses are:

- Mobile hot spots are available to Commissioners during travel from the Information Technology Department. If the Commissioner borrows a mobile hot spot, then internet usage fees are not reimbursable.
- Any personal related expenses, including extended or diverted travel, toiletries, clothing, entertainment, credit card and ATM fees.
- Loss or theft of cash, credit cards, travel documents or other personal property (i.e., baggage, auto, clothing).
- Home maintenance/baby-sitting expenses/pet boarding.
- Personal gifts, meals or entertainment provided to hosts in lieu of lodging or meals.
- Expenses incurred by a third party, such as family member mileage incurred.
- Companion travel, including for Commissioner's spouse or partner.

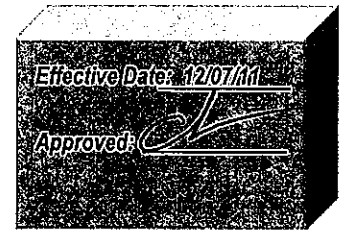
#### Business Meals

Meals expenses incurred by Commissioners in conducting First 5 LA business will be reimbursed within set guidelines. Commissioners seeking to incur such expenses for reimbursement must obtain approval from the Executive Director and brought to the attention of the Board Chair or his/her designee. A description of the business purpose of the event and the names of those present and their business affiliation to First 5 LA is required. First 5 LA will not reimburse a Commissioner for the per diem meal in addition to



# ***Los Angeles County Children and Families First Proposition 10 Commission***

## **Finance Department Policy and Guidelines for Travel Expenses/Per Diem Stipend Check For Commissioners**



### **1 POLICY STATEMENT**

The Travel Expenses/Per diem stipend check policy for Commissioners establishes internal controls for reimbursement of travel expenses incurred by Commissioners through service to the Los Angeles County Families and Children First-Proposition 10 Commission (“Commission”). Business travel out of the country is not permitted.

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### **2 PURPOSE**

This policy establishes standard guidelines and procedures for Commissioners travel expenses and issuance of per diem stipend checks.

### **3 APPLICATION**

These guidelines and procedures apply to all Commissioners.

### **4 RESPONSIBILITIES**

The Commission Chair, Chief Executive Officer, Director of Finance and the Finance Department are responsible for determining the Commissioners travel expenses and issuance of per diem stipend checks guidelines and procedures.

The Commission Chair is responsible for approving all travel requests by Commissioners to represent First 5 LA.

The Director of Finance and the Finance Department are responsible for the accounting and reporting of incurred Commissioners travel expenses and the reimbursement of such expenses.

## 5 PROCEDURE

The Commission, Director of Finance and the Finance Department will validate travel expenses as follows:

- A. Overnight travel is required to qualify for a per diem stipend check.
- B. When a Commissioner is planning to attend a conference, workshop or meeting that is *both* 100 miles or more roundtrip from First 5 LA or the Commissioner's home whichever is farthest, *and* is outside Los Angeles County, a purchase requisition form needs to be completed for the issuance of a per diem stipend check.
- C. If the conference, workshop or meeting is held outside Los Angeles County, hotel accommodations should be made at the event location, if available, to ensure negotiated event discounted rates. If hotel accommodations are not available at the event location, reservations should then be made where comparable rates can be secured and near the location of the event.
  - Prior day hotel accommodations to conference, workshop or meeting are acceptable when: 44
    1. The meeting location is at least 100 miles (roundtrip) from First 5 LA or the Commissioner's home, whichever is farthest.
    2. The meeting start time is 9:00 am or earlier.
  - Employees are eligible for the payout of an additional day per diem of prior day hotel accommodations are necessary based on criteria above.
- D. Commissioners are to use their own personal credit cards for travel expenses, such as airfare and hotels. Reimbursement will be made by the Finance Department upon submission of expenses and related invoices and receipts using the attached expense report form. The expense report and related invoices and receipts must be submitted to the Executive Department for its use in preparing the payment request form.
- E. The purchase requisition form for per diem stipend should be submitted to the Finance Department by the Executive Department at least 10 working days before the planned trip. Supporting documentation should be attached, such as the map-quest identifying the mileage from home and First 5 LA when mileage is a determining factor, a copy of the event registration and agenda. If the event registration is not required, acceptable supporting documentation includes event invitation/letter,

agenda or email confirmation. Per diem stipends will not be paid for travel that is less than 100 miles roundtrip except as noted below.

- Travel is for a regional meeting hosted by a Southern California First 5 County Commission: Kern, Imperial, Orange, Riverside, San Diego, and Santa Barbara.
- Regional meetings are defined as those meetings where the Commission is represented by the Chief Executive Officer (or designee) and/or members of senior staff (Department Directors):
  1. First 5 Association of California
  2. Executive Committee of the First 5 Association of California
  3. First 5 California (State Commission)
  4. Annual State-Wide Conference (hosted by First 5 California)
  5. Annual Staff Summit (hosted by First 5 Association of California)
- For meal and incidental expenses, the per diem stipend amount is determined based on localities listed in the IRS Publication 1542 Per Diem Rates (for travel within the Continental United States) Table 4 Maximum Federal Per Diem Rates (effective October 1, 2011 –45 September 30, 2012).
  1. For example, if a Commissioner is attending a meeting in Sacramento, the Commissioner will receive a per diem stipend of \$61 per day for meals and incidental expenses.
  2. Definition of incidental expenses per the IRS: “means fees and tips given to porters, baggage carriers, bellhops, hotel maids, stewards or stewardesses; transportation between places of lodging or business and places where meals are taken, if suitable meals can be obtained at the temporary duty site” .
  3. For hotel, airfare, taxi cabs, shuttles and vehicle rentals, upon completion of the trip, the actual invoices and receipts can be submitted for reimbursement using the purchase requisition and the expense reimbursement form. *Please note that costs to change flight reservations are the personal responsibility of the individual Commissioner and not the Commission.*
    - When renting a vehicle, the Commissioner must purchase comprehensive and collision insurance coverage. Our insurance policy provides liability coverage only.

- The Commissioner must justify why renting a vehicle is the most economical/practical means of transportation and obtain approval from The Commission Chair before renting a vehicle. Commissioners must choose the most economical suitable vehicle available.
4. For mileage reimbursement, the rate is set at 55.5 cents per mile effective December 7, 2011. The mileage with beginning/ending odometer readings should be included as supporting documentation with the purchase requisition form. Gasoline expenses are not eligible for reimbursement when a Commissioner is driving their own vehicle since the mileage reimbursement rate covers it.
  5. All receipts must be taped on a standard white sheet of paper (8.5 x 11 inches; use one side only) as supporting documentation, and included with the purchase requisition form.
- F. In case of emergency travel, please contact the Chief Executive Officer and/or the Finance Director for waiver of procedures, based on the circumstances.

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Attachment

# Los Angeles County Children and Families First Proposition 10 Commission

## Board of Commissioners

### Policy and Guidelines for the Development and Approval of Research & Evaluation Projects

#### 1. POLICY STATEMENT

All new research and evaluation projects must be approved by the Board of Commissioners. Commissioners will have the opportunity to provide feedback on all research and evaluation project proposals prior to approval by the entire Board of Commissioners.

#### 2. PURPOSE

This policy ensures that there is a standardized procedural approach to the development and approval of all new research and evaluation projects and that Commissioners have the opportunity to provide feedback in the development of these projects prior to formal approval by the entire Board of Commissioners.

#### 3. APPLICATION

This policy applies to all First 5 LA research and evaluation projects developed after the effective date of this policy.

#### 4. RESPONSIBILITIES

The Board of Commissioners is responsible for approving all new research and evaluation projects. The Chief Programs Officer, in coordination with the Director of Research and Evaluation, is responsible for assuring that all new research and evaluation project proposals are brought to the Board of Commissioners for approval and that Commissioners are given the opportunity to provide feedback in the development of research and evaluation projects prior to formal approval by the entire Board of Commissioners.

#### 5. PROCEDURE

- A. For each research and evaluation project the Chief Programs Officer, in coordination with the Director of Research and Evaluation, will bring a proposal to the Board of Commissioners for approval.
- B. The proposals will include:
  - a. A statement of purpose
  - b. A list of expected learning outcomes
  - c. A timeline and list of activities
  - d. Proposed cost

- C. All Commissioners will be given the opportunity to provide feedback on research and evaluation project proposals prior to approval by the full Board of Commissioners according to the following guidelines:
- a. Contracts that are below \$100,000 will be approved as part of the consent calendar process and will not require prior review from the Programs and Planning Committee;
  - b. Contracts between \$100,000 and \$500,000 will be presented to the Programs and Planning Committee prior to approval as part of the consent calendar process. The Programs and Planning Committee will decide if the contract should be included in the consent calendar for approval or needs to be an action item on the Commission agenda;
  - c. Contracts over \$500,000 will be presented to the Programs and Planning Committee for review prior to going to the full Board of Commissioners for approval as an action item.

# Los Angeles County Children and Families First Proposition 10 Commission

## Board of Commissioners

### Policy and Guidelines for Outcomes-Driven Planning and Evaluation

#### 1. POLICY STATEMENT

All programmatic investments will include clearly defined outcomes and measurable outcome objectives. These outcomes and objectives will be approved by the Board of Commissioners in conjunction with the approval of the investment. All grantees, contractors and strategic partners funded as a result of these decisions will be held accountable to measurable performance objectives that align with the approved outcomes.

#### 2. PURPOSE

This policy ensures that the Commission's programmatic investments are outcomes-driven and that progress and performance can be measured against meaningful and agreed-upon objectives. This will inform decision making and ongoing improvement, ensure accountability by demonstrating progress and assist the Commission in identifying those investments that have been successful in achieving the changes they were designed to make.

#### 3. APPLICATION

This policy applies to all new and existing programmatic investments and the grantees, contractors and strategic partners funded as a part of those investments.

#### 4. RESPONSIBILITIES

The Board of Commissioners is responsible for approving specific and measurable outcomes and outcome objectives as a part of all programmatic funding decisions. The Board of Commissioners is also responsible for approving grantee/contractor performance objectives as part of the consent calendar contract approval process.

The Chief Program Officer or his/her designee is responsible for assuring that all programmatic funding decisions that are brought to the Board of Commissioners for approval include appropriate and measurable outcomes and outcome objectives.

The Chief Program Officer or his/her designee is responsible for ensuring that all grantee/contractor/strategic partner scopes of work include measurable performance objectives that align with the approved outcomes and outcome objectives.

The Chief Program Officer or his/her designee is responsible for evaluating and reporting the progress in achieving the approved outcomes and outcome objectives.

The Chief Program Officer or his/her designee in coordination with the Department Director who is managing the grants/contracts is responsible for monitoring, documenting and reporting grantee/contractor performance toward achieving performance objectives.

## **5. PROCEDURE**

- A. Outcomes and outcome objectives for all existing programmatic investments will be brought to the Commission for approval when the grants/contracts are brought to the Commission for renewal.
- B. When a new programmatic funding decision is brought to the Commission for approval, the documentation must include a section that identifies the measurable and specific outcomes and outcome objectives to be approved.
- C. When a new program grant/contract is brought to the Commission for approval, the documentation must include the measurable performance objectives for each grantee or contractor for that year.
- D. When a program grant/contract is renewed, the documentation must include the measurable performance objectives for each grantee or contractor for that year.
- E. The Chief Programs Officer or his/her designee will report to the Commission on progress the project made toward achieving its outcome objectives.
- F. The Department Director who is managing the grant/contract or his/her designee will report to the Commission on grantee/contractor progress toward achieving performance objectives.

## **6. DEFINITIONS**

- A. Outcome – Changes in health/mental health status, developmental status, attitudes, behaviors, knowledge, skills, practices or policies.
- B. Outcome Objectives - Measurable, attainable milestones to be achieved by a specific point in time on the way to accomplishing an outcome.
- C. Output - The direct result of project activities and usually described in terms of the number or scope of services and/or products that are delivered or produced.
- D. Performance Objectives – Measureable, attainable milestones to be achieved by a specific point in time on the way to accomplishing a desired output or outcome.

**LEGEND:**

- ✓ - Bylaws
- ✓ - Strategic Plan
- ✓ - Board Policy
- ✓ - Internal Policy

# First 5 LA Governance Guidelines

As approved March 13, 2014

**Statement of Purpose**

- The First 5 LA Board of Commissioners will make its decisions guided by the principles of transparency, financial responsibility and accountability, and adherence to the Commission’s Strategic Plan.

**Objectives**

- Update and conform First 5 LA decision-making guidelines to reflect current organizational practice and best practices.
- ✓ • Promote transparency and consistency in decision-making.
- ✓ ✓ • Promote coordination, coherence and integration of First 5 LA investments.
- ✓ ✓ • Ensure accountability for First 5 LA’s declining revenues.
- ✓ ✓ • Establish Commission expectations for contractors and grantees that they not expect First 5 LA to be a permanent source of funding for programs and services.
- ✓ • Maintain Commission flexibility to respond to significantly changed circumstances and emergencies by authorizing exceptions to the Governance Guidelines via a vote of 7 of 9 of the voting members of the Commission.

**Governance categories**

**Process**

- ✓ 1. Sequencing of action items. Agenda items requiring Commission action will first be introduced as information at a full Commission meeting prior to action at a subsequent meeting. Staff presentations will be provided and public comment received in one meeting, with referral to appropriate Committee(s) for further discussion. Non-substantive issues will return to the full Commission on the Consent calendar; substantive issues will be agendaized for further Commission discussion pre action. Public comment will be incorporated for both Consent and non-Consent action items.
- ✓ 2. Staff presentations. Staff presentations on Commission agenda items will precede public comment.

## Fiscal Accountability

- ✓ 3. Long-term financial projection. At least annually, the Board will review and adopt the next five-year financial projection that represents estimated 5-year trends of First 5 LA expenditures, revenues, and, if applicable, staff recommendations regarding the re-classification of unexpended funds.
- ✓ ✓ 4. “Paygo”\*. Board decisions that have a fiscal impact will require identification of the funding source: e.g., “assigned” funding (per the current Strategic Plan), “committed” (per previous Board-approved allocations) or “unassigned” funds (operations and Reserve). Staff will present to the Board a 5-year spending projection for all service-related investments with a fiscal impact, prior to Board action. Committed funds from an approved allocation cannot be redirected to a different, unintended purpose.
- ✓ ✓ 5. Sustainability\*. It is the Commission’s expectation that successful applicants for First 5 LA grant support will be able to sustain project efforts beyond the contract period and First 5 LA funds. As a condition of funding, applicants must provide a Sustainability Plan, including sustainability goals, other (anticipated) sources of funding, and action steps. To inform Plan development, First 5 LA will provide specific program outcomes and objectives expected to be sustained and examples that reflect a continuum of possible approaches and recognize the diversity of potential applicants (i.e., size of investment, type of program, capacity of applicant). Sustainability provisions will be included in First 5 LA solicitations, scoring tool, and performance evaluation, unless the Executive Director finds such provisions not practical or consistent with a particular grant program and reports that finding and its bases to the Commission prior to the time the solicitation is issued.
- ✓ ✓ 6. Leveraging\*. It is the Commission’s expectation that successful applicants for First 5 LA grant support will identify opportunities to leverage First 5 LA funding to support the scope, quality and sustainability of program activity. As a condition of funding, applicants will report other financial resources they have secured for use in the project other than the First 5 LA funds requested. In addition, for multi-year funding, applicants will provide a detailed description demonstrating incremental increases in leveraging consistent with First 5 LA determined benchmarks. Applicants not able to secure leveraged resources at the time of submission will provide a plan to acquire these funds during the project term. Where appropriate, First 5 LA may establish milestone-based funding based upon progress in meeting financial and/or programmatic benchmarks. Leveraging provisions will be included in First 5 LA solicitations, scoring tool, and performance evaluation, unless the Executive Director finds such provisions not practical or consistent with a particular grant program and reports that finding and its bases to the Commission prior to the time the solicitation is issued.

✓ ✓ ✓

7. Expiration of contracts/grants. Each First 5 LA contract/grant will have an expiration date. Multi-year First 5 LA services-related investments will end pursuant to the time stated in the original allocation or grant award. The Commission is under no obligation to continue funding beyond the initial contract term. Should future requests be forthcoming after the contract term is over, these requests will be evaluated based on the 2015-20 Strategic Plan criteria (see below). Staff will provide an annual Board update each spring on expiring grants and contracts.

**Strategic Planning (2015-20)**

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8. Decision-making document. The Strategic Plan will represent a decision-making document that focuses First 5 LA’s strategic direction, aligns the organization’s efforts and activities, and clarifies its intended impact.

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9. Alignment of “legacy” investments (from previous Strategic Plans) with 2015-20 Strategic Plan. Prior Strategic Plan initiatives must expire pursuant to their terms or be clearly aligned with the 2015-20 Strategic Plan criteria (see below).

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✓

10. Criteria for new initiatives/programs. To be included in the new Strategic Plan, initiatives/programs must include an analysis of each of the following criteria:

- Alignment with Strategic Plan outcomes, objectives, and strategy.
- Clearly defined and measureable outcomes and performance metrics.
- Evidence of or potential for effectiveness relative to outcomes and metrics identified.
- A budget and fiscal impact analysis, including a spending projection for at least 5 years.
- Realistic implementation timeline.
- Evidence of or potential for sustainability of results.
- Evidence of or potential for scalability, if scalability is an intended outcome.

The appropriate Board Committee will review such requests, make findings and provide a recommendation to the full Commission.

✓ ✓ ✓

**\* Definitions:**

Guideline #4: “Pay Go”

- Assigned: Funds available for use within the parameters set by the current Strategic Plan. For example, under the 2009-15 Strategic Plan, funds would be available for use within the guidelines of 30-45% for Countywide Activities, 45-60% for Place-Based Activities, 5% for Research and Evaluation, and 5% for Administration.

- Committed: Funds have been set aside by the Commission for a specific purpose via Resolution. This can include either annual appropriations or multi-year allocations approved by the Board. For example, in FY 2010-11 the Board approved a \$7.5 million multi-year investment in the Healthy Food Access initiative. These funds remain in Committed unless the Commission takes action to redirect the funds for other purposes via Resolution. In contrast, for a zero-based investment, such as Public Education, only the annual FY 2013-14 appropriation approved by the Commission of \$2.3 million is shown as Committed because this investment does not have an approved multi-year allocation; any spending in future fiscal years would come from Assigned assuming sufficient funds were available.
- Unassigned: Funds have been designated for First 5 LA operations (via the annually approved fiscal year Operating Budget) and the Fund Balance Reserve, which is calculated annually as 25% of the total fiscal year budget approved by the Board in June.

Guideline #5: Sustainability

- The ability to maintain programming and its impact on the well-being of children and families after the expiration of First 5 LA funds.

Guideline #6: Leveraging

- Additional funding that is awarded and/or accessed as a result of First 5 LA funding (distinct from existing funding).