First 5
HUMBOLDT
Tomorrow Starts Today

First 5 Humboldt Policy Manual

Adopted 6/18/2026

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Administrative Costs Policy

Amended: May 6, 2026

Effective: June 8, 2006

Section 1: Purpose

The intention of Proposition 10, the California Children and Families Act, is to provide funding for programs and services that improve early childhood development. To this end, the majority of Proposition 10 funds are intended for services that affect the well-being of pregnant people, children birth to five, their families, and communities. First 5 Humboldt also recognizes that there must be administrative oversight of Proposition 10 funds in order to optimize a positive impact on children's well-being. The purpose of this policy is to set a cap on administrative costs to ensure that the bulk of Proposition 10 dollars are directed to services.

Section 2: Background

First 5 Humboldt's first Strategic Plan, approved in June 2000, limited administrative and start-up costs to no more than one third of all allocations, with unbudgeted administrative funds directed to Core Programs. By the governor's signature AB 109 was codified in Chapter 284, statutes of 2005 effective January 1, 2006. This law requires several changes in Section 130140 of the Health and Safety Code. Among these changes is a requirement that county First 5 Commissions adopt, in a public hearing, a limit on the percentage of the county Commission's operating budget that may be spent on administrative functions, pursuant to guidelines issued by the state Commission. This Policy for Administrative Costs is adopted in concurrence with the State Commission Guidelines Defining Administrative Functions Pursuant to Chapter 284, Statutes of 2005 (AB 109). Administrative Costs are to be limited to no more than one quarter of all annual expenditures.

Section 3: Policy

3.1 This policy shall apply to First 5 Humboldt's operating budget.

3.2 First 5 Humboldt will allocate, in a responsible manner, funds necessary to the proper control and administration of all funds under the Commission's jurisdiction.

3.3 Administrative costs are defined as costs incurred in support of the general management and administration of, for a common or joint purpose that benefits more than one First 5 Humboldt cost objective (other than evaluation activities), and/or those costs not readily assignable to a specifically benefited cost objective. Administrative costs support First 5 Humboldt's basic mission rather than specific program goals, and do not include evaluation costs for funded programs.

3.4 Staff costs, verified by time study, may be assigned to program costs, as long as that time is limited to actual time spent on program-specific activities.

3.5 Administrative costs include, but are not limited to, financial planning, management and reporting; strategic planning; human resources management; facilities costs; and legal services. The Cost Category Delineation provides a detailed breakdown of administrative costs.

3.6 First 5 Humboldt's administrative costs will not exceed 25% of all expenditures per fiscal year. Prior year actual administrative cost/percentage to be confirmed at a Commission meeting when the Annual Report is presented, and to be reviewed at a Commission meeting during the annual budget adoption.

Cost Category Delineation

Administrative Cost:	**Program Cost:**	**Evaluation Cost:**
Costs incurred in support of the general management and administration of FIRST 5 HUMBOLDT, for a common or joint purpose that benefits more than one cost objective (other than evaluation activities), and/or those costs not readily assignable to a specifically benefited cost objective.	Costs incurred by FIRST 5 HUMBOLDT readily assignable to a program, its coordination and operation; to a grantee, contractor, or service provider (other than evaluation activities), and/or in the execution of direct service provision.	Costs incurred by FIRST 5 HUMBOLDT in the evaluation of funded programs based upon their accountability framework and data collection and evaluation for required reporting to state and local stakeholders.
General accounting/ Financial reporting	Direct services	Evaluation
Financial planning	Program outreach and education	Evaluation technical assistance/training
Commission/Association meetings/travel	Program planning and coordination	Evaluation database
Payroll/Benefits	Program Grants and Contracts	Annual report data collection
Human resources services	Program/Provider technical assistance and support	Data analysis
Legal services/consulting	Program database management	

Contract Systems, Planning & Compliance		
Audit		
Strategic planning		
Procurement		
Rent		
Maintenance		
Utilities		
Insurance		
Cleaning/Janitorial		

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

5.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.

5.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.

Advisory Committee Policy

Amended:
Amended:
Amended:
Effective: October 16, 2025

Section 1: Purpose

This policy provides guidance for the statutorily required community advisory committee(s), how they shall be established, members appointed, terms of service, and how members may be removed. This policy applies to all standing Advisory Committees with a specified scope of focus established by the Commission. This policy does not preclude or impact the establishment of ad hoc committees as deemed necessary to accomplish the business of the Commission.

Section 2: Background

According to Title V, Division 7, Chapter 1, Local Children and Families Program, of Humboldt County Code, the Humboldt County Children and Families Commission shall establish one or more advisory committees to provide technical and professional expertise and support for any purposes that will be beneficial in accomplishing the purposes of the Act. Each advisory committee shall meet and shall make recommendations and reports as deemed necessary or appropriate. (Ord. 2185, § 1, 12/15/1998)

Section 3: Policy

3.1 This policy applies to all standing Advisory Committees with a specified scope of focus established by the Commission. This policy does not preclude or impact the establishment of ad hoc committees as deemed necessary to accomplish the business of the Commission.

3.2 Advisory Committee Establishment. Committees shall be established by action of the Commission. Advisory committee members serve at the pleasure of the Commission co-chairs. Advisory Committees and their rosters are confirmed annually at a meeting of the Commission.

- 3.2.1 Advisory Committee Chair. It is the intent of the Commission that Advisory Committee(s) have at least one current Commissioner participating in each Advisory Committee. The participating Commissioner(s) shall serve as chair of the Committee.
- 3.2.2 Application. Applications to serve on Advisory Committee(s) shall be available upon request to the Commission and/or Commission staff.
- 3.2.3 Appointment. Submitted applications will be reviewed at least once per year by the Committee chair and Commission staff. The Advisory Committee chair shall recommend selected applicants to the Commission co-chairs.

3.2.4 Composition. Advisory Committees shall consist of at least two and no more than eight members. Priority shall be given to community members based on the expertise and experiences prioritized by the Advisory Committee members in formulation of the application.

3.2.5 Policies. Advisory Committee members shall adhere to all applicable Commission policies.

3.3 Conflicts of Interest. It is the responsibility of Advisory Committee members, based on their expertise and lived experience, to represent the best interests of the purpose and vision of the Commission when serving as a Committee member. If employment, other interests, or responsibilities present a conflict of interest in the course of the Committee's deliberations, the member is expected to announce the conflict of interest at the beginning of the meeting and recuse themselves from discussion and action related to the conflicted item.

3.4 Terms of Service. Commission co-chairs appoint Advisory Committee members for up to a one-year term, by fiscal year. Advisory Committee members may be reappointed. There is no limit on the number of terms that may be served. Rosters of appointed Advisory Committee members are approved by the Commission annually. Advisory Committee members may be eligible for a volunteer stipend and reimbursement of mileage expenses. See the Volunteer Stipend Program Policy for more details.

3.5 Removal of Committee Members. Advisory Committee members may be removed from an Advisory Committee by the Commission co-chairs.

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

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Audit and Monitoring Policy for Grantees

Amended:
Effective: July 28, 2005

Section 1: Purpose

For the purpose of requiring accountability for Prop 10 funds, periodic audits of selected grantees will provide an additional level of assurance that grant funds are being properly expended and reported to the Commission.

Section 2: Background

The California Children and Families Act statute (Proposition 10) established county commissions for the purpose of promoting, supporting, and improving the early development of children from the prenatal stage to five years of age through the establishment, institution, and coordination of appropriate standards, resources and integrated and comprehensive programs, pursuant to Health and Safety Code Section 130100-130155.

Section 3: Policy

This policy shall apply to any grantee that enters into agreement with First 5 Humboldt to receive funds for a project that is consistent with the goals and objectives of the Commission. Agreements with First 5 Humboldt set forth terms and conditions to ensure a public purpose is served and funds are used appropriately.

3.1 The Commission requires grant recipients (grantees) to:

- 3.1.1 Provide documentation supporting expenditures and use of grant funds.
- 3.1.2 Report on the effectiveness of the applicable grant.
- 3.1.3 Submit interim and final reports of expenditures.

3.2 The Commission may conduct site visits to:

- 3.2.1 Validate implementation of the project.
- 3.2.2 Review documentation supporting expenditures and use of grant funds.
- 3.2.3 Assess internal financial controls.

3.3 Grantees will be selected for audit by one of the following criteria: suspected of having a significant fiscal problem with a First 5 Humboldt funded project, recommendation of the Executive Director and approval of the Commission, or through selection of a sample of grantees for periodic assessment of adequate financial controls.

3.4 At the request of the Commission, audits of grantees shall be conducted by a Certified Public Accountant.

3.4.1 Grantees selected for audit will make records available for inspection during normal business hours upon five working days notice.

3.4.2 Grantees will be audited for the purpose of verifying compliance with the terms and conditions of the agreement with First 5 Humboldt.

3.4.3 The Commission will pay costs associated with the audit, except as indicated in this paragraph. In the event of an audit exception or exceptions, grantees found to be responsible for not meeting the project requirements or fiscal requirements shall be responsible for the deficiency and for the cost of the audit.

3.4.4 Audits of grantees will include review of internal financial controls over First 5 Humboldt grant funds received and disbursed. Audits will include, but may not be limited to:

- 3.4.4.1 Review of procedures and systems in place for authorizing disbursements.
- 3.4.4.2 Review of policies and systems in place for tracking grant expenditures.
- 3.4.4.3 Review of policies and systems in place for reporting grant revenue and expenditures.
- 3.4.4.4 Review of First 5 Humboldt funded program activities, as allowable and consistent with reported and/or anticipated expenditures.
- 3.4.4.5 Grantees must maintain records locally and be available for audit during normal business hours upon five working days notice.

3.5 Per executed agreements with First 5 Humboldt, rights and obligations related to books of record and audit provisions continue after termination of agreements. Agreements with First 5 Humboldt require grantees to maintain records for a specified number of years beyond the term of the agreement and include original entry books with a general ledger.

Section 4: Procedures, Guidelines, and Forms

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Section 5: Review and Compliance

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Cal-Card Program Policy

Amended:
Amended:
Amended:
Effective: June 9, 2022

Section 1: Purpose

The purpose of this policy is to provide guidelines for using CAL-Card, the State of California's Purchasing Card Program.

Section 2: Background

First 5 Humboldt is engaged in diverse activities within the community to further the Commission's strategic plan goals. To complete this work, it is occasionally necessary to use a credit card to complete necessary purchases.

Section 3: Policy

3.1 Cal-card program structure, responsibilities, and definitions.

- 3.1.1 Each CAL-Card (Card) is issued to a specific individual, bearing the individual's name and First 5 Humboldt's name. Authorization to use the Card is limited to the specific Cardholder and may not be delegated. No other employee, family member, supervisor, staff or anyone else may use the Card. A Cardholder who allows an employee, family member, supervisor, staff or anyone else to use their Card may be subject to disciplinary action.
- 3.1.2 The card is to be used only for official First 5 Humboldt business and may not be used for personal purchases. Intentional use of the Card for any reason other than official First 5 Humboldt purposes may result in immediate cancellation of the Cardholder's Card and possible disciplinary action The CAL-Card program is overseen by U.S. Bank.

3.2 Program Administrator (PA)

- 3.2.1 The First 5 Humboldt Fiscal staff member will act as the Program Administrator. The PA oversees the entire CAL-Card Program, including:
  Administration of new accounts,
  Reporting,
  Compliance processes,
  Ordering all cards,
  Submitting new account data,
  Updating account information as necessary,
  Changing credit limits and cancelling cards as needed (with proper documentation),
  Providing Cardholder and Approving Official training,
  Enforcing compliance with First 5 Humboldt's policies and procedure,

Storing Cardholder form revisions,
Reviewing Excel Record of Charges Forms and approved packets,
Auditing records for compliance with applicable policies and accounting standards,
Following up on late or missing Record of Charges Forms and Cardholder packets,
Reconciling Cardholder's packets to the U.S. Bank corporate account summary.

3.2.2 The PA, at its discretion, may cancel a Card at any time.
3.2.3 The PA shall follow this policy and the guidelines in the State of California's Purchasing Card - Program Administrator Guide and Purchasing Card - Billing Official Guide.

3.3 Approving Official (AO)

3.3.1 The Executive Director shall designate or act as an Approving Official for First 5 Humboldt. In order to act as an AO, the Executive Director and/or designee must complete the Designated Approving Official form, which is signed by the Executive Director, acknowledged by the designated AO and approved by the PA. The PA and the Department are responsible for maintaining the appropriate AO and Cardholder form records.
3.3.2 AOs may also be Cardholders but may not approve their own monthly statements.
3.3.3 The AO is responsible for:
Reviewing, reconciling and approving Cardholder packets for each Cardholder,
Verifying that the completed, signed Cardholder packet and Excel Record of Charges Forms are submitted to the PA. (The Cardholder packets are due by the twenty-fifth (25th) day of each month),
Having a working knowledge of First 5 Humboldt purchasing methods, policies and procedures,
Having a working knowledge of the job responsibilities of their assigned cardholders as well as knowledge of their program budget.
3.3.4 AOs shall follow this policy and the guidelines in the Billing Guide, as revised or updated.

3.4 Cardholders

3.4.1 Current full-time employees who have passed their probationary period are eligible to be Cardholders. A Request for Credit Card Form shall be completed for each Cardholder.
3.4.2 Upon receipt of the CAL-Card, each Cardholder shall read and sign a Cardholder Acknowledgment Form and forward to the PA. The PA is responsible for maintaining the appropriate Cardholder form records.
3.4.3 Cardholders are responsible for:
Keeping records of each transaction (such as receipts or electronic payment acknowledgments) to support their individual Statement at the end of each billing cycle,
Retaining historical records of monthly transactions to assist with possible audits, grant requests, or other purposes,

Completing their monthly reconciliation within the appropriate time frame,

3.4.4 Cardholders shall follow the guidelines and instructions provided by U. S. Bank, Government Services State of California's Purchasing Card – Cardholder Guide and this policy.

3.5 Access Online. A U.S. Bank secure website for program management of the CAL-Card Program is available. Cardholders may view their accounts using the U.S. Bank secure website. This information is provided to CAL-Card Program participants.

3.6 Cardholder Statement. The monthly statement showing all purchases made against a single Card during the month is reconciled to the receipts for purchases by the Cardholder and forwarded with the receipts to the AO for verification and payment approval.

3.7 Dispute: In the event there is a disagreement between a Cardholder and a merchant regarding items appearing on the Cardholder Statement, the Cardholder should make every effort to resolve a dispute with the merchant. If this is unsuccessful, Cardholder should initiate a dispute with U.S. Bank within 60 days of Cardholder Statement date. It is the Cardholder's responsibility to ensure a dispute is resolved.

3.8 Corporate Account Summary

3.8.1 The official monthly Corporate Account Summary is sent from U.S. Bank to the PA, billing First 5 Humboldt for purchases made during a given billing period. The completed Cardholder packets are matched to the Corporate Account Summary and reviewed and approved for payment.

3.8.2 Payment will be automatically withdrawn by U.S. Bank monthly on a date agreed to by First 5 Humboldt and U.S. Bank.

3.9 U.S. Bank is the contractor who maintains all CAL-Card accounts; issues cards, monthly statements and invoices for payment; pays merchants in a timely manner; and receives payment from First 5 Humboldt.

3.10 The State of California is a program management and training resource that does not exert any level of control over First 5 Humboldt's CAL-Card program.

3.11 Purchasing Limits: Cardholders may make individual purchases up to their single transaction limit. The default limit for each Cardholder is $1,000 maximum per transaction. The Executive Director shall establish the maximum allowable spend total per billing cycle for each Cardholder in increments of $1,000 up to $10,000. Requests for limit changes for individual Cardholders shall be made by the Executive Director and submitted to the PA.

3.11.1 Each purchase may be comprised of multiple items, but the total including tax cannot exceed the Cardholder's single transaction dollar limit. For example, this means an individual can purchase 10 items in a single transaction provided the total purchase amount does not exceed their limit.

3.11.2 If a single purchase will exceed the Cardholder's single transaction limit, normal purchasing procedures must be followed unless a prior exception is requested and granted by the PA.

3.11.3 Cardholders who will use their CAL-Card for travel expenses are encouraged to request a single transaction limit up to $2,000 that will adequately cover their expenses including, but not limited to, registration, training, fees, etc.

3.12 General guidelines

3.12.1 The CAL-Card Program is a supplement to First 5 Humboldt's procurement process and is not intended to replace the current Purchasing Policy. In addition to other parts of this policy, the following conditions apply to use of the credit card:

3.12.1.1 Purchases may not be split to circumvent any purchase threshold or competitive solicitation requirement.

3.12.1.2 If a purchase made by a Cardholder is questioned, the Cardholder must be able to explain the nature of the purchase. If a Cardholder cannot substantiate that the purchase was necessary and for official use, the situation will be addressed in accordance with this and other applicable First 5 Humboldt policies.

3.13 Cardholder guidelines

3.13.1 Neither First 5 Humboldt nor U.S. Bank will conduct a personal credit or background investigation of past credit history of those individuals selected as Cardholders.

3.13.2 The Cards are issued to authorized individual First 5 Humboldt employees. Cardholders are responsible for the physical security of their card, the card number and all charges appearing on their monthly statement. Although no other individual may use the card, the cardholder may choose to have merchandise delivered to or picked up by another person.

3.13.3 After receipt of a CAL-Card, the Cardholder is required to acknowledge receipt of their Card by completing the Cardholder Acknowledgement Form.

3.13.4 Before Cardholder signs an itemized receipt, they shall verify that the amount is correct, and that sales tax has been added. Cardholder must receive one copy of the itemized receipt. Cardholder attaches original receipt(s) to their monthly Record of Charges Form.

3.13.5 If receipts are lost or misplaced, Cardholders should request a duplicate copy from the vendor. When a duplicate copy cannot be obtained, a Missing Receipt Form is required in lieu of a receipt.

3.13.6 When placing a telephone, internet, or mail order card purchase, the Cardholder will be asked to provide his/her name, card number, the expiration date on the card, and the shipping address. Often the vendor will ask for the three-digit code on the back of the card as well as the billing address. The default billing address is the one provided on the Cardholder's Request for Credit Card form.

3.13.7 Cardholders should have the vendor email an itemized receipt which is required for your monthly CAL-Card reconciliation.

3.14 Procedures after Purchase

3.14.1 At the close of each billing cycle, Cardholders are emailed a Record of Changes Form. Cardholders download or print their monthly statement, available online after the 16th of each month. The statement will itemize each transaction that was charged to a Cardholder's account. Cardholders shall complete the steps below:

Review the statement for accuracy

Provide the appropriate and complete budget number for each charge (multiple budgets may be charged with definition of the split)

Update description to with specific purchase detail on the Record of Charges Form

Attach and number sales receipts in the order they are shown on the statement

Sign (electronic signature is acceptable) and date the Record of Charges Form and send to the AO for review and approval

3.14.2 If a credit appears on a statement, provide the complete budget number the credit applies to along with a brief explanation of the credit. Tie-back to the original purchase is preferred with a credit receipt

3.14.3 AO reviews and signs packet. Cardholder forwards complete signed packet to PA;

3.14.4 PA reviews packets and reconciles payment.

3.14.5 If an incorrect item appears on a statement, the Cardholder shall provide a complete explanation of the error in their statement packet. It is the responsibility of the Cardholder and/or AO to contact the merchant to resolve the questioned transaction or notify U.S. Bank for adjustment and or dispute.

3.14.6 If a Cardholder is unable to review their statement within the appropriate timeframe, Cardholder shall forward all paperwork, including receipts, to their AO to process in Cardholder's absence.

3.15 Misuse of Cards

3.15.1 Cardholder privileges may be suspended or revoked for any violation of this policy. This includes repeat offenses such as personal purchases, failure to process statements in a timely manner, missing or incomplete receipts, non-report of lost or stolen card in a timely manner, ordering merchandise without sufficient available funds, etc.

3.15.2 Disciplinary action will be treated as confidential, unless otherwise required by state and/or federal law.

3.16 Lost or stolen cards

3.16.1 If a card is lost, stolen, or missing, the Cardholder shall:

Immediately notify the police (if stolen), their AO, the PA and U.S. Bank's Government Services department at 1-800-344-5696. The Cardholder must provide the following information:

Cardholder's complete name

Card number

Date reported to police, if stolen
Any purchase(s) made on the day the card was lost or stolen.

3.16.2 A new card will be mailed to Cardholder within two business days from the time the loss or theft is reported to U.S. Bank; request expedite shipping as needed. A new card account number will be assigned with the new card. Cardholder must complete a Cardholder Acknowledgement form for the replacement card and forward to the PA.

3.17 Prohibited purchases: The following high-risk or cash-related transactions are excluded and prohibited by account set up through U.S. Bank:
Air phone
Alcoholic beverages
Ammunition
Bail and bond payments
Betting, casino gaming chips, off-track betting, lotto
Capital project miscellaneous purchases
Convenience checks
Court costs, alimony, child support
Dating and escort services
Direct marketing insurance services
Family expenses when family members accompany staff on official First 5 Humboldt business
Financial institutions: annual cash advance, automatic cash advance
Good that qualifies as a fixed asset
Goods included in specific negotiated contracts
Government loan payments
Guns
Hotel/motel in-room movies
Leases
Massage parlors
Non-financial institutions: foreign currency, money orders, traveler's checks and other security brokers/dealers
Overpayments
Over-the-counter medications such as Tylenol, aspirin, etc.
Political organizations
Religious organizations
Savings bonds
Services (restricted by 1099 reporting requirements)
Tax payments
Timeshares
Wire transfer, money order

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

5.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.

5.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.

Code of Conduct for Commissioners and Advisory Committee Members

Amended:
Effective: October 16, 2025

Section 1: Purpose

This policy sets expectations to guide Commissioners and Advisory Committee members in their actions both during and outside of formal meetings.

Section 2: Background

Shared understanding of expectations fosters effective and respectful communication, coordination, and governance among the First 5 Humboldt Commission, Advisory Committees, the public, and staff.

Section 3: Policy

3.1 During Commission and Advisory Committee meetings, members are expected to:

- 3.1.1 Communicate in a respectful and professional manner, being aware of how your word choice, tone, volume, body language, and timing all contribute to how your comments are received.
- 3.1.2 Respect the time and commitment of staff and fellow Committee/Commission members by being on time and informing staff as soon as possible if you are going to be late or unable to attend a meeting.
- 3.1.3 Assume others are acting with good intention even if you disagree with them.
- 3.1.4 Be open to constructive feedback about your communication styles and behavior.
- 3.1.5 Respect physical and verbal boundaries.
- 3.1.6 Build positive relationships.
- 3.1.7 Act in the best interest of First 5 Humboldt.
- 3.1.8 Avoid personal comments that are intended to, or could reasonably be construed to, offend others.
- 3.1.9 Create opportunities for everyone to speak.
- 3.1.10 Exercise tolerance of the perspectives and opinions of others.
- 3.1.11 Refrain from making inappropriate comments.
- 3.1.12 Respect and follow the Brown Act laws governing public meetings.

3.2 Outside of Commission and Advisory Committee meetings, members are expected to:

- 3.2.1 Be aware that your actions reflect on First 5 Humboldt.
- 3.2.2 Communicate in a respectful manner.

3.2.3 Adhere to Brown Act legal requirements by not discussing First 5 Humboldt business with a quorum (majority) of your fellow Commission or Committee members outside of public meetings. This includes all forms of communication, e.g. in person, telephone, text, email, social media.

3.2.4 Be aware that your written notes, calendars, voicemail messages, texts, and e-mails related to First 5 Humboldt's work are public records and proceed accordingly.

3.2.5 Do not present yourself as speaking or acting on behalf of First 5 Humboldt unless you were specifically tasked to do so by the Commission. For example: if you are offering comment at a public meeting, to a journalist, or to a member of the public, you may introduce yourself as a First 5 Humboldt Commissioner or Committee member, but you **must** clarify that you are speaking as an individual, not for the Commission as a whole. Please confer with the Executive Director if you are unclear on this distinction.

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Conflict of Interest Policy

Amended:
Amended: May 12, 2016
Amended: June 14, 2007
Effective: June 8, 2006

Section 1: Purpose

This policy provides guidance on First 5 Humboldt Commissioners' and Committee members' inclusion in decision making when a direct conflict of interest, an indirect conflict of interest, and/or the appearance of a conflict of interest maybe be present.

Section 2: Background

2.1 By the governor's signature AB 109 was codified in Chapter 284, statutes of 2005 effective January 1, 2006. This law requires several changes in Section 130140 of the Health and Safety Code. Among these changes is a requirement that county First 5 Commissions adopt, in a public hearing, a policy consistent with state and local law on conflict of interest of commission members.

County First 5 Commissions are public bodies. As public bodies, Commissions must be very sensitive to the issue of conflict of interest. Government Code section 18700 states that "no public official at any level of state or local government may make, participate in making or in any way use or attempt to use his/her official position to influence a governmental decision in which he/she knows or has reason to know he/she has a disqualifying conflict of interest." The Fair Political Practices Commission further notes that "stripped of legal jargon, you have a conflict of interest with regard to a particular government decision if it is sufficiently likely that the outcome of the decision will have an important impact on your economic interests, and if the important impact on your economic interests is not also felt by a significant segment of the jurisdiction."

Because the California Children and Families Act of 1998 requires that Commission members be, in part, from agencies that may receive public funds, the Commission seeks to ensure that its purposes are not compromised by even the appearance of a conflict of interest by its Commissioners, Committee members, consultants and staff.

2.2 Regarding conflict of interest of Commissioners, Committee members, Commission staff, and outside reviewers, the county commission's policies shall be consistent with the following state laws:

- Article 4 (commencing with Section 1090) of Chapter 1 of Division 4 of Title 1 of the Government Code. A commission is prohibited from entering into a contract if:

The contract or grant directly relates to services to be provided by a Commissioner or an entity the Commissioner represents, or the contract or grant financially benefits a Commissioner or the entity he or she represents, and

- The Commissioner fails to recuse himself or herself from making, participating in making, or attempting to influence a decision on the grant or grants.

2.3 Article 4.7 (commencing with Section 1125) of Chapter 1 of Division 4 of Title 1 of the Government Code. Commissioners and staff are prohibited from engaging in employment of other compensated activities that are inconsistent, incompatible, or in conflict with their duties as commissioners or staff persons for the commission.

2.4 Chapter 7 (commencing with Section 87100) of Title 9 of the Government Code. Commissioners are prohibited from making, participating in making, or in any way attempting to use their official position to influence a governmental decision in which they have a financial interest. Commissioners are required to file disclosure statements upon becoming a commissioner and annually thereafter.

Section 3: Policy

3.1 This policy shall apply to FIRST 5 HUMBOLDT Commissioners, Committee members and employees, and may also be applicable to some Consultants who provide services to the Commission.

3.2 It is the policy of FIRST 5 HUMBOLDT to avoid even the appearance of impropriety where conflict of interest issues are concerned. When a Commissioner, Committee member, executive staff member, or staff, contractor or agent in a position to influence a decision, or has decision making power, identifies a conflict of interest, or identifies the appearance of a conflict, that person must not participate in or give consideration to the matter from that point forward.

3.3 Conflicts of interest within proposals are likely to occur in the review process. The Commission will address conflicts of interest by requiring Commissioner, Committee members, Commission staff or reviewers to review the agenda at the beginning of each meeting and indicate those instances for which they have a direct, indirect or appearance of conflict of interest.

3.4 Definitions

3.4.1 Conflict of Interest. A person is deemed to have a conflict of interest if he or she, or his or her spouse or dependent child, has an "economic interest" in or relationship with a potential party to a contract with FIRST 5 Humboldt, or if he or she has other involvement with an individual or organization that could be perceived to impair his or her objectivity. A conflict of interest exists when:

3.4.1.1 The person involved makes, participates in, or uses his or her official position to influence a FIRST 5 decision;

3.4.1.2 It is foreseeable that the decision will have a material effect on the person's "economic interest" (defined below); and,

3.4.1.3 The effect of the decision on the person's economic interest will be distinguishable from its effect on the public generally. Consult legal counsel if there is any question as to the application of these elements.

3.5 Types of Conflicts of Interest.

3.5.1 Direct Conflicts are defined as having a current or previous relationship with the agency (e.g. employment, current/past board membership, child or an immediate family member receives services from the agency).

3.5.2 Indirect Conflicts are defined as any family members or spouse/partner having a current or previous relationship with the agency (e.g. employment, current/past board membership).

3.5.3 Appearance of Conflict of Interest is defined as any situation that could be perceived that a conflict exists (e.g. a strong bias exists for or against the agency or a personal relationship exists between the Committee member and the proposer).

3.6 Decision Making Position. A person is in a decision making position or has the ability to influence a decision when he or she discusses, advises, or makes recommendations to the decision maker (e.g., a Commissioner, the Commission, Committee member or the Executive Director) either directly or indirectly, that is, without significant intervening substantive review. Such discussion or advice may include conducting research or investigating, preparing or presenting any report, analysis or opinion, providing information orally or in writing which may be perceived as influencing the decision. This includes participating in a decision or using his or her official position to influence a decision if he or she contacts a Commissioner, Committee member or an employee of FIRST 5 regarding the issue.

3.7 Economic Interest. An "economic interest" is defined as any fee, monetary or financial gain, or benefit directly or indirectly from or by reason of, any dealings with or service for FIRST 5. An "economic interest" includes, but is not limited to, specific types of investments, business positions, interests in real property, and reportable sources of income of the person, his or her spouse or dependent child.

3.8 A Commissioner or Committee member must recuse him or herself from making, participating in making, or in any way attempting to use his or her official position to influence any decision involving grants, grant applications, funding opportunities, policy actions, and/or contracts which financially benefits the Commissioner or Committee member or the entity the Commissioner or Committee member's employer. Even when a Commissioner or Committee member might not have an economic interest as defined, the appearance of a conflict of interest must be avoided.

3.9 Government salaries, per diem expenses and reimbursement for travel from a non-profit entity, are all specifically excluded from the definition of income under the Fair

Political Practices Act. Salaries from a non-profit agency are considered an "economic interest".

3.10 The following applies to the members of the Commission: A Government salary also does not constitute an interest in a contract (under Government Code section 1090) unless the contract directly involves the department of the entity that employs a Commissioner, in which case the Commissioner discloses the interest on the record and does not participate in the decision. The member of the Board of Supervisors does not have an economic interest in a contract with the County based upon the Government salary received.

Section 4: Reporting a Conflict of Interest

4.1 When a Commissioner or Committee member first becomes aware of a conflict of interest, or potential conflict of interest, regarding a matter before the Commission or Committee, he or she must notify the Chairperson of the Commission or Committee. This notification shall include a description of the material facts relating to the conflict of interest. The chairperson and/or legal counsel will determine if a conflict of interest or potential conflict of interest exists and the appropriate action to take.

4.2 When a Commissioner or Committee member has a conflict with a matter before the Commission or Committee, as the issue is called, the Commissioner must state on the record that he or she has or may have an interest in the matter that he or she has not participated in any discussions, and he or she will not be participating in the matter. The Commissioner should then leave the dais while the matter is considered.

4.3 The facts of the conflict of interest and the Commissioner's or Committee member's abstention from the matter will be recorded in the minutes of the Commission or Committee meeting.

4.4 Each Commissioner or Committee member is personally responsible for his or her conduct and can be prosecuted civilly and criminally for violations under the California Political Reform Act of 1974.

4.4.1 Commissioners or Committee members may contact the Fair Political Practices Commission, the State enforcement agency, directly to discuss their individual issues. Resources available from the Fair Political Practices Commission include www.fppc.ca.gov and 1-866 ASK-FPPC.

Employees, contractors, consultants, or agents who identify a conflict of interest or potential conflict of interest, must notify the Executive Director immediately.

Section 5: Reporting Requirements

All Commissioners must file a Form 700 in accordance with the California Political Reform Act of 1976. Other persons may be required to file a Form 700 if the individual's involvement with FIRST 5 fits the definition of a person with decision-making power as defined by this policy or as determined by the Executive Director.

Section 6: Grant Eligibility Requirements

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

6.1.1 A Commissioner is required to recuse him or herself from any participation or consideration of the grant or contract before the Commission; and the Commissioner may not participate in any way in the presentation of the matter, in discussing the issue with other Commissioners or employees of FIRST 5, or participate in the vote on the grant. The recusal requirement applies to Committee meetings, as well as Commission meetings.

6.1.2 This provision also applies if the Commissioner or an organization the Commissioner is affiliated with has a subcontract with a FIRST 5 grantee. In such a case, the Commissioner is required to recuse him or herself when the major grant is considered by the Commission since there is a financial benefit that may result from the grant award.

Section 7: Policy Review

The Executive Director shall review this policy on an annual basis to ensure compliance with legal requirements and consistency with changing circumstances.

Section 8: Procedures, Guidelines, and Forms

The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 9: Review and Compliance

9.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.

9.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.

Policy for Contracting and Procurement

Amended: April 18, 2024
Amended: May 12, 2016
Amended: June 14, 2007
Effective: June 8, 2006

Section 1: Purpose

This policy serves to ensure that the First 5 Humboldt Commission's contracting and procurement systems are compliant with state law and the Commission's Strategic Plan.

Section 2: Background

By the governor's signature AB 109 was codified in Chapter 284, statutes of 2005 effective January 1, 2006. This law required several changes in Section 130140 of the Health and Safety Code. Among these changes is a requirement that county First 5 Commissions adopt, in a public hearing, policies and processes establishing the county commission's contracting and procurement systems that are consistent with state law and with the Commission's Strategic Plan.

Section 3: Policy

3.1 This policy shall apply to the contracting and procurement activities of FIRST 5 HUMBOLDT. Contract and procurement provisions are limited to goods and professional services received by the Commission for their own purposes, and <u>do not apply to FIRST 5 HUMBOLDT grant awards and initiatives.</u>

3.2 FIRST 5 HUMBOLDT will enter into contracts and procure goods and services in a manner that is consistent with its Strategic Plan.

3.3 FIRST 5 HUMBOLDT will comply with the following applicable state laws governing contracting and procurement:

- <u>Article 7 (commencing with Section 54201) of Chapter 5 of Part 1 of Division 2 of Title 5 of the Government Code</u>: Requirement that policies and procedures governing purchase of supplies and equipment by written rule or regulations.
- <u>Chapter 2 (commencing with Section 2000) of Part 1 of Division 2 of the Public Contract Code</u>: Commissions are permitted to award contracts that meet goals regarding minority-owned businesses, women-owned businesses, disabled veteran-owned businesses, and small businesses, but must do so according to the rules set out in this chapter.
- <u>Section 3410 of the Public Contract Code</u>: Commissions are required to give preference to United States-grown produce and United States-processed foods when there is a choice and it is economically feasible to do so. The public entity must make the determination of what is "economically feasible," considering the total cost, quantity, and quality of the food and the budget and policies of the entity.

- Chapter 3.5 (commencing with Section 22150) of Part 3 of Division 2 of the Public Contract Code: Commissions are required to purchase recycled products, instead of non-recycled products, whenever recycled products are available at the same or lesser total cost than non-recycled items. Commissions may give preference to suppliers of recycled products and may define the amount of this preference.

3.4 All purchase of goods and professional services for FIRST 5 HUMBOLDT shall be within funding allocations approved by the Commission.

3.5 All purchases of goods or professional services which exceed $5,000 per unit, but are less than the CPI adjusted County of Humboldt threshold (adjusted annually, $70,336.00 as of July 1, 2023) shall be purchased through an informal competitive bid process, and will be reviewed by the Fiscal Subcommittee. Purchase for goods or professional services in an amount less than $5,000 per unit may be purchased without competition.

3.6 Informal Competitive Bid Process: A minimum of three bids shall be obtained prior to selection. Written or documented oral quotations and statements of capacity must be obtained and presented to the Executive Director prior to contracting for these goods or services. Selection of the vendor shall be made with consideration of the bid price, the capacity of the bidder to fulfill the scope of work, and the extent to which the bid meets the Commission's Strategic Plan goals.

3.7 A formal bid process shall be used for purchases in excess of the CPI adjusted County of Humboldt purchasing threshold, regardless of unit price.

3.7.1 Formal Competitive Bid Process: Competition must be secured by quotations from three or more vendors who normally deal in goods or services to be obtained.

3.7.2 The written quotations must include budgets detailed by line item and include specific information as to the capacity of the vendor.

3.7.3 Written scoring criteria must be provided in a published request for bids. The request for bids shall be published a minimum of three times in at least two local newspapers.

3.7.4 Selection of the vendor shall be made with consideration of the bid price and the capacity of the bidder to fulfill the scope of work and will be reviewed by the Fiscal Subcommittee for recommendation to the Commission.

3.7.5 The selected bid must be approved by the Commission.

3.8 For the purchase of goods or professional services in special situations when it is determined that it is impractical to secure competition, and the unit price exceeds $5,000 per unit, a "Waiver of Competition Determination" must be made in writing with a specific justification for the determination and approved by the Commission prior to the purchase. No "Waiver of Competition Determination" may be approved for purchases of goods or services that exceed one-half of the CPI adjusted County of Humboldt purchasing threshold.

3.9 Special Procedures for Funding County Programs. To address concerns about any decisions to fund county programs given statutory requirements concerning the composition of local commissions, the commission will require all decisions relating to county program funding be reviewed by the Fiscal Subcommittee, with county employees or elected officials serving on the Fiscal Subcommittee recusing themselves. The Commission will provide ample notice and opportunity to have input at the meeting(s) during which the Fiscal Subcommittee considers its recommendations relating to the merits of using First 5 monies for county programs should be provided. The Fiscal Subcommittee's recommendations (and reasoning underlying the recommendations) will be included in the Fiscal Subcommittee meeting minutes to the First 5 Commission. County employees or elected officials of the First 5 Commission will not participate in the decision on funding county programs.

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

5.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.

5.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.

Evaluation Policy for Funded Programs

Amended:
Amended: September 13, 2016
Amended: March 21, 2012
Amended: March 12, 2009
Effective: December 14, 2006

Section 1: Purpose

This policy provides guidance on the evaluation of programs funded at least in part by First 5 Humboldt. The purpose of evaluation has multiple components, including identifying directions for program improvement and determining effectiveness over time.

Section 2: Background

2.1 First 5 Humboldt invests in young children and their families to promote human dignity, human relationships, and engaged communities. Its work is based on community building. Community building is a process that takes place over time. First 5 Humboldt recognizes the programs it funds will also take time to achieve desired results. To ensure that funded programs are making real progress towards achieving desired results, program evaluation will be an integral and necessary component of all funding.

2.2 Program evaluation serves multiple important functions for First 5 Humboldt:

- 2.2.1 Ensuring the most effective use of limited resources.
- 2.2.2 Identifying opportunities to modify projects to improve effectiveness, as well as identifying projects that should be discontinued.
- 2.2.3 Identify needed changes in indicators or outcome measures and identifying better methods to assess program outcomes.
- 2.2.4 Provide accountability and transparency to the public, community shareholders, and other funders.
- 2.2.5 Ensure projects are aligned with and contributing towards implementation of our Strategic Plan.

2.3 According to California Health and Safety Code Section 130140(C)iv, First 5 Humboldt shall, on at least an annual basis, measure outcomes of funded programs through the use of applicable, reliable indicators and review that information on a periodic basis as part of the public review of its county strategic plan.

Section 3: Policy

3.6 This policy applies to all grants and programs funded by First 5 Humboldt in part or in whole, excluding those grants made through the Collaboration Linkages Integration and Flexible Response (CLIF) grants.

3.7 First 5 Humboldt will establish measurable indicators for each funded program based on the First 5 Humboldt Strategic Plan. First 5 Humboldt will additionally establish benchmarks of expected results where appropriate.
3.8 Each legal agreement for funding will include a scope of work that clearly identifies indicators and benchmarks and the schedule and composition of regular reports. Programs being considered for continuation or future funding shall be reviewed for progress in meeting their scope of work, as well as achieving the benchmarks and indicators therein.
3.9 Funded programs will be required to generate regular reports that summarize work completed, funds expended, indicator results, survey results, and lessons learned. Evaluation efforts will assess achievement of benchmarks and progress towards achieving desired results through an analysis of available data including interim and final reports as well as input from: survey, focus group and interview results; service contacts; participant numbers; site visits; state or local data; and other data as determined by First 5 Humboldt Benchmark indicators will be established based on bottom-line practices for playgroups and other best practice standards as relevant to each program. Programs which meet benchmarks will be considered for continued funding.
3.10 Achieving benchmarks does not represent an assurance of continued funding, only a minimum standard for consideration for continued funding though deeper evaluation analysis.
3.11 Evaluation analysis will be guided by the scope of work for each program, First 5 Humboldt's Strategic Plan, and current best practices.
3.12 Feedback will be provided to programs on interim reports, identifying strength and areas of concern.
3.13 Evaluation results and the underlying data it is based on will be shared with the public through our annual Community Report and Local Evaluation Report.

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

5.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.

5.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.

Fiscal Policy

Amended: December 21, 2023
Amended: June 9, 2022
Effective: December 13, 2007

Section 1: Purpose

The purpose of the policy is to facilitate the responsible management and oversight of Proposition 10 funds and other funds received by First 5 Humboldt.

Section 2: Background

In 1998, California voters approved Proposition 10, the California Children and Families Act, creating the California Children and Families Trust Fund within the State Treasury to hold funds collected pursuant to taxes imposed by Section 30131.2 of the Revenue and Taxation Code. The specifics of disbursement and management are detailed in California Health and Safety Code Section 130100-130155.

Section 3: Policy

3.1 The Fiscal Subcommittee of FIRST 5 HUMBOLDT is charged with the oversight of the Commission's fiscal affairs and shall advise the Commission and staff on financial matters, including:

- 3.1.1 Review and approval of the annual budget,
- 3.1.2 Receive reports on the status of the investment plan,
- 3.1.3 Make recommendations to the Commission in regard to the investment plan,
- 3.1.4 Seek to leverage funds based on Commission or community related inquiries,
- 3.1.5 Identify strategies to reduce costs on projects the Commission initiates,
- 3.1.6 Strive to maximize funds for programs consistent with the Commission's vision, mission, and strategic plan,
- 3.1.7 Review all purchases of goods or professional services which exceed $5,000 per unit,
- 3.1.8 Review and recommend to the Commission plans for allocating money from the First 5 Humboldt Fund at Humboldt Area Foundation,
- 3.1.9 Review and recommend to the Commission all new proposals/initiatives that are not already in the current year budget,
- 3.1.10 Receive and review Program Evaluation Team Recommendations as they relate to increases and decreases in funding from previous year's spending,
- 3.1.11 Review Executive Committee minutes as their work relates to fiscal decisions that need a timely response,
- 3.1.12 Legal Counsel will assist the Commission in carrying out its fiscal responsibilities by providing advice and consultation, upon request, concerning laws and legal issues which affect or impact financial decisions of the Commission,
- 3.1.13 The Subcommittee will keep minutes of its proceedings, and they will be filed with the Commission's records.

3.2 Sustainability Fund: The purpose of the Sustainability Fund is to provide long-term funding for primary prevention programs for children aged 0-5 and their families. All money and earnings placed in the Sustainability Fund will be retained in the Fund for as long as possible to maximize the Fund, and to maintain a stable funding stream for Commission programs.

- 3.2.1 Per the California Children and Families Act of 1998 and Ordinance 2185 of the Humboldt County Code, no other governmental entity may withdraw or borrow from First 5 revenues nor from the Sustainability Fund, nor supplant funds for existing programs outside of the Commission, including funds set aside in the sustainability fund.
- 3.2.2 The Commission will annually determine, with the development of the annual budget, the amount of revenue to be placed in or withdrawn from the Sustainability Fund for the next fiscal year.
- 3.2.3 The Commission will annually determine, with the development of the annual budget, and/or the revised budget (occurs after the annual audit is completed), the amount of any previous-year unexpended funds from the Commission budgets to be placed in the Sustainability Fund.
- 3.2.4 If appropriate, the Commission will seek funding opportunities to leverage funds for programs and services before making withdrawals from the Sustainability Fund.
- 3.2.5 The Sustainability Fund will be placed with the State of California Local Agency Investment Fund (LAIF) and managed by the Treasurer for the State of California.
- 3.2.6 First 5 Humboldt staff will provide regular updates on the investment of Commission funds and will provide an annual update of the status of the Sustainability Fund and General Fund to the Commission.
- 3.2.7 When, in order to achieve Commission goals, withdrawals from the Sustainability Fund are needed to offset a drop in Prop 10 revenue, the Commission will first utilize interest earned, rather than principal. When the interest is insufficient, the Commission will decide if the principal can be expended and to what extent.
- 3.2.8 The Commission has adopted the California State Treasurer's Office Investment Policy.
- 3.2.9 The minimum Sustainability Fund balance target will be equivalent to three times the previous year's Prop 10 revenue. Each year during the annual budget approval the Commission will identify an amount, if any, to be transferred to the operating fund in accordance with the annual budget and long-range fiscal plan. After this potential withdrawal for operating costs is accounted for the remaining funds will be allocated to the following categories:
  - 3.2.9.1 Cash Flow (10%): Fund to cover payments should Prop 10 or grant funding be delayed.

3.2.9.2 Leveraging (25%): Funds available to allow the Commission to maximally leverage grant or other funding.

3.2.9.3 Emergency Funds (20%): Funds available to address disaster relief or other emergencies.

3.2.9.4 Opportunities (10%): Funds for time sensitive, unique opportunities that have the potential to advance the long-term goals of the Commission.

3.2.9.5 Funding Reserve (35%): Funds allocated to sustaining operations if Prop 10 funding becomes permanently unavailable.

3.2.10 Funds exceeding the three-year fund balance target shall be referred to as unassigned. During the annual budget process the Commission may make these unassigned funds available for community investment. For any potential investments staff will prepare a proposal for review by the Fiscal Subcommittee and recommendation to the Commission.

3.3 First 5 Humboldt Fund at Humboldt Area Foundation

3.3.1 A First 5 Humboldt Fund at Humboldt Area Foundation was established in 2007 in order to support the mission and ongoing operations of the Commission. Community members are encouraged to make donations to the First 5 Humboldt Fund to support First 5 programs and services.

3.3.2 The Commission will determine, with recommendations from the Fiscal Subcommittee, when and how to allocate funds from the First 5 Humboldt Fund. Funds will be used to match, leverage, or supplement the revenues received from tobacco tax dollars; or to continue the work of First 5 Humboldt when Proposition 10 dollars cease to exist.

3.3.3 Goal amount for the fund is $2 million.

3.3.4 No other entity, than First 5 Humboldt, may borrow or withdraw from the Fund.

3.3.5 Like the Proposition 10 funds, the First 5 Humboldt Fund monies cannot be granted or used to supplant funds for existing programs outside of the Commission. Existing program funding is defined as a service or level of service that is in effect or operation at the time a request for funding is acted upon by the Commission, or at any time within the 12-month period preceding the Commission's action.

3.3.6 Use of the First 5 Humboldt Fund will not be used for administrative costs, other than the Humboldt Area Foundation administrative cost incurred to maintain and administer the fund.

3.4 Commission Funded Programs: Commission funded programs and evaluation will be supported by Proposition 10 prior year revenue received in the Commission's General Fund, which is placed and managed by the Treasurer of the County of Humboldt. The purpose of the General Fund is to support the Commission's Strategic Goal programs on an annual basis. Proposition 10 revenues are placed in the General Funds during the year and the revenue is used for program and evaluation expenditures the following year.

3.5 Investment Guidelines: First 5 Humboldt has adopted the California State Treasurer's Office Investment Policy.

3.6 Fiscal Services

3.6.1 FIRST 5 HUMBOLDT and the County of Humboldt have a Memorandum of Understanding in place for the partial provision of fiscal services to the Commission. Fiscal services provided by the County of Humboldt include:

3.6.1.1 Maintenance of a computerized accounting system with capacity for fiscal reporting to the Commission.

3.6.1.2 Receipt of Proposition 10 Tobacco Tax allocations sent to the Commission.

3.6.1.3 Processing and payment of payroll for the Commission.

3.6.1.4 Provision of reports as required by the annual outside audit.

3.6.2 First 5 Humboldt Staff will provide the following fiscal services to the commission:

3.6.2.1 Maintenance of a computerized accounting system with capacity for fiscal reporting to the Commission.

3.6.2.2 Processing and payment of purchases and invoices for the Commission.

3.6.2.3 Processing and payment of travel claims and employee reimbursements for the Commission.

3.6.2.4 Provision of reports as required by the annual outside audit.

3.7 Cash Flow Requirements: The annual budget is based upon the total amount of monthly Tobacco Tax revenue received in the prior fiscal year. Tobacco Tax accumulates in the County Treasury for one year prior to expenditure. Funds are committed to Strategic Plan core programs, evaluation, and administration.

3.8 Reporting and Monitoring Requirements. To implement the provisions of the "California Children and Families Act of 1998" (Division 108, commencing with Section 130100, of the Health and Safety Code) duties of the Commission include:

3.8.1 The Commission is required to receive a report of financial statements from an independent auditor for each fiscal year. The statements must include reports of revenue, expenditures, and changes in fund balances. Compliance and internal control over financial reporting in accordance with government auditing standards must be addressed. A public hearing must be held for each annual audit report. The audit report must be submitted to First 5 California by November 1st of each year.

3.8.2 The Commission is required to submit a report annually to First 5 California that includes three sections: A narrative describing local Commission programs, an evaluation section addressing outcomes, and a fiscal section showing how funds have been spent and are committed. A public hearing must be held for each annual report. The report must be submitted to First 5 California by November 1st of each year.

3.8.3 First 5 California submits an annual report to the California Legislature. All counties, including First 5 Humboldt, are typically represented in the report. Local Commission funding priorities and programs are described. Fiscal assets, revenues, and expenses are reported. A public hearing is required to be held following the release of the report each fiscal year.

3.8.4 The Commission has a multi-year, long-range financial plan in place, as required, to guide the use of Proposition 10 Tobacco Tax allocations over time.

3.8.5 Any public or private organization raising funds for the First 5 Humboldt Fund will regularly report on activities to the Fiscal Committee of the Commission.

3.8.6 The Fiscal Committee will recommend actions to the Commission, as needed, related to the activities of First 5 Humboldt Fund fund-raising organizations.

3.8.7 A Commissioner designated by the Commission will monitor the fundraising activities of any organization(s) fundraising on behalf of the First 5 Humboldt Fund.

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

5.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.

5.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.

Health Information Security and Privacy Policy

Amended:
Effective: December 8, 2022

Section 1: Purpose

This policy provides guidance on provides guidance on management of protected health information (PHI) in accordance with the Health Insurance Portability and Accountability Act (HIPAA) Security and Privacy Rule, other applicable laws, and agreements to which the Humboldt County Children and Families Commission (also known as First 5 Humboldt) is party in order to appropriately protect such protected information and other personal information.

Section 2: Background

First 5 Humboldt is engaged in diverse interactions with members of the public. In the course of services provided to children and families, it is necessary to ensure the confidentiality, integrity and availability of all protected health information that is created, received, maintained or transmitted.

Section 3: Policy

3.1. First 5 Humboldt shall designate a person who shall have the responsibility to ensure that appropriate policies and procedures are developed, implemented, and maintained.

3.2 First 5 Humboldt will identify a person or persons as the First 5 Humboldt Privacy/Security Officer(s) who is/are responsible for the development and implementation of HIPAA privacy/security Policies and procedures. Such policies and procedures shall be designed to:

- 3.2.1 Ensure the confidentiality, integrity, and availability of all personal health information (PHI) that First 5 Humboldt creates, receives, maintains, or transmits.
- 3.2.2 Protect against any reasonably anticipated threats or hazards to the security or integrity of PHI.
- 3.2.3 Protect against any reasonably anticipated Uses or disclosures of PHI that are not permitted or required under HIPAA, other applicable law, and agreements to which First 5 Humboldt is a party.
- 3.2.4 Ensure compliance with HIPAA by First 5 Humboldt personnel.

3.3 The First 5 Humboldt Privacy/Security Officer(s) shall employ reasonable methods to assure that use of the First 5 Humboldt System by First 5 Humboldt employees is in compliance with HIPAA, all other applicable law, and agreements (including but not limited to Business Associate Agreements) to which First 5 Humboldt is a party. Use of the System by First 5 Humboldt employees includes any Use or Disclosure of PHI.

3.4 The First 5 Humboldt Privacy/Security Officer(s) is/are responsible for taking reasonable actions to help ensure that use of the First 5 Humboldt System by all Users is in compliance with HIPAA and all other applicable law.

3.5 The First 5 Humboldt Privacy/Security Officer(s) shall ensure that First 5 Humboldt has policies and procedures in place that require disposal of PHI be in compliance with all applicable law.

3.6 The First 5 Humboldt Privacy/Security Officer(s) shall ensure reasonable measures are established to protect the First 5 Humboldt facilities from unwanted intrusions.

3.7 The First 5 Humboldt Privacy/Security Officer(s) shall work with the First 5 Humboldt staff responsible for implementing First 5 Humboldt System access by Participant Users, proper User identification methods and other security safeguards to assure secure access by First 5 Humboldt Users.

3.8 The First 5 Humboldt Privacy/Security Officer(s), in conjunction with the appropriate First 5 Humboldt committee, Executive Director, First 5 Humboldt support staff, and external consultants as deemed appropriate, shall identify, address and respond to any other security and privacy incidents, issues, or complaints which may arise.

3.9 Disaster Recovery/Data Backup/Contingency Plans

3.9.1 First 5 Humboldt shall maintain plans for disaster recovery, data backup, contingency operations and other related plans, in compliance with the HIPAA Security Rule and applicable laws.

3.9.2 First 5 Humboldt shall maintain a Disaster Recovery Plan to restore any loss of data, and records, a Data Backup Plan to create and maintain retrievable copies of electronic records and all other contingency plans to continue critical business activities in the event of a disaster. These plans shall provide for the resumption of First 5 Humboldt 's operations within a reasonable time following a disaster or data loss.

3.9.3 First 5 Humboldt shall periodically review and test the Disaster Recovery Plan, Data Backup Plan and Contingency Plan. Such plans will also be reviewed in response to material changes to the First 5 Humboldt System or changes effecting the security of Records maintained by First 5 Humboldt.

3.9.4 To support decision making regarding First 5 Humboldt's Disaster Recovery Plan, Data Backup Plan and Contingency Plans, First 5 Humboldt shall perform and appropriately update any applications and Data Criticality Analysis.

3.9.5 First 5 Humboldt will require its contractors, vendors, subcontractors, or other service providers that store or host Records for use as part of the First 5 Humboldt System to have or cooperate in the establishment of Disaster Recovery Pan, Data Back Up plans and Contingency Plans as necessary to comply with this Policy.

3.10 Facility Access and Security Controls

3.10.1 Access to First 5 Humboldt offices will be secured in compliance with HIPAA and other applicable laws.

3.10.2 All visitors at a First 5 Humboldt facility shall register upon entry or shall be accompanied by a First 5 Humboldt staff member during the visit.

3.10.3 All facilities under First 5 Humboldt 's control and any vendor facility at which PHI or electronic PHI can be accessed or which houses equipment that controls access to PHI or stores electronic PHI, on behalf of First 5 Humboldt, shall be locked and secured outside of normal business hours.

3.10.4 Any rooms or offices where First 5 Humboldt System hardware, computer servers, or other equipment is located shall be locked and secured at all times and access shall be appropriately restricted to authorized persons whose job functions necessitate access. Access to such data rooms or offices by persons, including vendors, who do not have regular authorized access rights shall be logged.

3.10.5 Appropriate maintenance records will be kept of material repairs or modifications related to the physical security components of the facility (e.g. locks, keys, hardware, walls, and doors).

3.11 Workstation Security/Encryption

3.11.1 First 5 Humboldt employees shall follow First 5 Humboldt's security procedures to minimize unauthorized access to records or other confidential information and to limit risk to First 5 Humboldt's information networks and the First 5 Humboldt System.

3.11.2 Employee workstations (including desktop and laptop computers or other computer devices) shall be secured in accordance with First 5 Humboldt security procedures. All servers or other computer devices containing or storing electronic PHI shall be encrypted at rest in accordance with HIPAA and applicable regulatory guidance. Employees are strongly discouraged from storing PHI on their desktop or laptop computers.

3.11.3 Employees shall not store any Records, even if it is encrypted, on any smart phone, or similar device.

3.11.4 First 5 Humboldt employees and contractors shall take appropriate measures to protect the privacy of Records in any work area.

3.11.5 Portable devices used by First 5 Humboldt employees or contractors shall be protected by appropriate security controls and technology, as determined by First 5 Humboldt and in accordance with applicable security regulations and other specific Procedures adopted by First 5 Humboldt.

3.11.6 Unless approved by the Executive Director or Executive Director designee, no Records, regardless of whether it is encrypted, will be stored locally on any removable media, including, but not limited to, portable hard drives or USB Flash Memory drives.

3.11.7 First 5 Humboldt shall ensure that third parties are not given access to or use of First 5 Humboldt office equipment containing Records or other confidential information, unless an appropriate written confidentiality agreement is in place.

3.12 Use of Technology and Workstation Use

3.12.1 Every First 5 Humboldt employee shall follow First 5 Humboldt procedures for use of technology to minimize unauthorized access to Records or other confidential information and to limit risk to First 5 Humboldt's information networks and the First 5 Humboldt System.

3.12.2 First 5 Humboldt workstation use, including laptop use, is generally restricted to appropriate job-related activity, except as permitted or required by applicable laws.

3.13 Transmission of Protected Health Information (PHI)

3.13.1 Transmission of PHI under the control of First 5 Humboldt is secured in accordance with HIPAA, other applicable laws, and generally accepted security standards.

3.14 Equipment Repair and Disposal Tracking

3.14.1 First 5 Humboldt Equipment containing Records, or other sensitive information will be tracked, repaired and disposed of in compliance with HIPAA and all other applicable laws.

3.14.2 Service or repair of First 5 Humboldt equipment containing Records or other sensitive data will be conducted in accordance with HIPAA security requirements, including, but not limited to, removal of all Records prior to shipping. Additional related requirements and detail are provided in the First 5 Humboldt Employee Handbook, which is incorporated here by reference.

3.14.3 First 5 Humboldt shall log and track any and all computer hardware, servers, or other computing equipment or devices which store or are used to maintain electronic Records. The First 5 Humboldt Privacy/Security Officer or the Officer's designee is responsible for maintaining logs and records regarding the location of such equipment or devices and any movement or relocation shall be documented, regardless of whether such equipment or devices are under the direct control of First 5 Humboldt or under the direct control of a contractor, vendor, subcontractor, or other service provider.

3.14.4 Any computer hardware or computing equipment containing or storing Records shall be appropriately destroyed and electronic PHI must be completely removed when such equipment is no longer used or is disposed of.

3.14.5 First 5 Humboldt will require its contractors, vendors, subcontractors, or other service providers that maintain Records to cooperate with First 5 Humboldt for purposes of complying with this Policy.

3.15 System Security Evaluation, Audits, and Risk Analysis

3.15.1 First 5 Humboldt shall ensure that security evaluations, audits, and risk analysis (collectively "Reviews") are conducted of the First 5 Humboldt

System. The security Reviews will be conducted in compliance with the requirements of HIPAA.

3.15.2 First 5 Humboldt's security management process shall require implementation of Procedures designed to prevent, detect, contain, and correct security incidents and violations, and to assess and reduce potential risks and vulnerabilities to the confidentiality, availability and integrity of PHI.

3.15.3 Reviews required by this Policy shall be conducted periodically, in response to material operational or environmental changes, or as directed by the First 5 Humboldt Executive Director, and shall include the following:

3.15.3.1 Evaluation of the likelihood and impact of potential security risks to PHI.

3.15.3.2 Developing plans to implement or modify security measures to reasonably and appropriately address and reduce the risks identified in the Review; and

3.15.3.3 Documenting the Review and chosen security measures and, where required, the rationale for adopting those measures.

3.16 Employee Clearance and Training

3.16.1 First 5 Humboldt shall conduct a background check for all employees hired by First 5 Humboldt. Employee access to the First 5 Humboldt System, Records, and other confidential information will be determined and limited in accordance with job duties and roles.

3.16.2 Prospective employees are required to submit to First 5 Humboldt a completed Application for Employment and all other documents required by First 5 Humboldt. The background check may be required prior to beginning employment. First 5 Humboldt may also conduct background checks regarding current employees.

3.16.3 The employee's job function will determine the role-based access they will be granted to the First 5 Humboldt System, Records, or other confidential data. Employees are provided the appropriate "minimum necessary" access for their job functions. Access is reviewed by the First 5 Humboldt Privacy/Security Officer(s).

3.16.4 Changes to System access for First 5 Humboldt employees will be reviewed by the First 5 Humboldt Privacy/Security Officer.

3.17 Employee Training

3.17.1 First 5 Humboldt shall provide HIPAA privacy and security training for all its employees. Such training shall include, but not be limited to, familiarity with HIPAA privacy and security laws as they relate to each employee's job duties. Training may also address and include privacy and security requirements to be followed regarding Records as may be appropriate when considering requirements of E-Commerce Agreements and applicable law.

3.17.2 First 5 Humboldt shall maintain documentation of each employee's HIPAA training.

3.17.3 First 5 Humboldt shall regularly provide employees with security reminders and periodic security updates, and raise awareness regarding security threats, including information related to protection from malicious software and appropriate procedures for guarding against, detecting, and reporting malicious software.

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

5.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.

5.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.

Healthy Beverage Policy

Amended:
Effective: May 19, 2015

Section 1: Purpose

The purpose of this policy is to provide clear guidelines for First 5 Humboldt representatives and partners to support healthy beverage choices while recognizing that 1) many families integrate cultural or traditional beverages into celebrations and gatherings, 2) Some communities experience limited access to affordable healthy beverage options, and 3) a harm-reduction approach can promote health without placing unnecessary restrictions on participation or cultural expression.

Section 2: Background

FIRST 5 HUMBOLDT is committed to promoting the health and wellness of children and families in ways that are respectful, culturally responsive, and grounded in the realities of our diverse communities.

Section 3: Policy

3.1 First 5 Humboldt staff and grantees act as role models for families and are encouraged to offer healthy choices whenever possible. Beverages purchased with FIRST 5 HUMBOLDT funding and served during FIRST 5–supported events, meetings, programs, and activities should strive to follow the guidelines below while allowing for flexibility when culturally relevant or access-related considerations arise.

3.2 Grantees are encouraged to make thoughtful, context-driven decisions that balance health promotion with cultural respect, community access and availability, inclusion and belonging, and relationship-building.

3.3 First 5 Humboldt recommends offering a range of healthy options for children, while also being mindful of cultural practices and community context. According to the American Academy of Pediatrics, recommended options include water, which is the preferred beverage. When possible, serve in pitchers rather than single use containers to reduce environmental impact. Additionally, the following may be served: milk and milk alternatives (ages 2+): cow, goat, soy, rice, almond, oat, etc.; carbonated water with no sweeteners, flavored or unflavored; 100% fruit juice served in alignment with American Academy of Pediatrics guidance (4–6 oz for ages 2–6); and whole fruit slices can be offered as an alternative to juice when feasible.

3.4 For meetings or events attended by adults, FIRST 5 HUMBOLDT recommends offering water with no sweetened additives; coffee, tea, and other non-caloric beverages; carbonated water with no sweeteners, milk and milk alternatives, or 100% fruit juice.

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

5.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.
5.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.

Services Continuity Policy

Amended:
Effective: October 16, 2025

Section 1: Purpose

The purpose of the policy is to facilitate responsible program shut-down related to grant-funded Commission staff. Activities involved in responsible program shutdown may include communication with community partners, program participants, continuity planning for services and case management transition.

Section 2: Background

First 5 Humboldt is engaged in diverse activities within the community to further the Commission's strategic plan goals. Part of the strategy for addressing goals is to secure funding through grants and donations. As grants or philanthropic investments come to an end, this is likely to result in the end of services. While First 5 Humboldt staff are directed to be diligent in pursuit of additional funds, alternate sources may not be available and planning for program shutdown must occur. A clear timeline and plan for ending projects and services would be helpful to ease community and staff disruption.

Section 3: Policy

3.1. Staff will provide the Commission with regular updates on the expected end dates of current funding streams and the implications for projects and programs. The Commission will provide direction on pursuing additional funding consistent with the Strategic Plan and project or program effectiveness.

3.2 If the Commission unexpectedly learns that funding will end within six months, the Commission will be notified by the Executive Director or designee.

3.3 At the Commission meeting following notification, an item will be placed on the Commission agenda, related to continuity of services provided by Commission staff. To facilitate responsible program shutdown, the Commission will allocate a portion of the Sustainability Fund in the Opportunities category to ensure up to 3 months of Commission staff continuity.. This policy applies to grant-funded Commission staff, not to overall grant-program operation. The Opportunities category, as stipulated in the Commission's Fiscal policy, applies to "funds for time sensitive, unique opportunities that have the potential to advance the long-term goals of the Commission."

3.4 If an allocation beyond what is required for a 3-month period is deemed necessary by the Executive Director, an action item will be placed on the Commission agenda for Commission consideration.

3.5 This policy only applies to Commission-paid staff and activities related to responsible program shut down. Activities may include communication with community partners, program participants, continuity planning for services, case management transition, and other activities as deemed necessary by the Executive Director.

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

5.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.

5.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.

Signature Authority Policy

Amended: December 19, 2024
Amended: August 15th, 2024
Amended: June 9th, 2022
Effective: Sept. 21, 2017

Section 1: Purpose

This policy provides guidance on signature authority for documents and transactions necessary in the course of operations of the Humboldt County Children and Families Commission, hereinafter referred to as First 5 Humboldt or Commission, and for which signature authority may be designated and by whom.

Section 2: Background

FIRST 5 HUMBOLDT is engaged in diverse transactions that require prudent control over the authorization to execute documents that obligate First 5 Humboldt, or that otherwise confirm transactions.

Section 3: Policy

3.14 Executive Director Signature Authority. The Executive Director is authorized to sign documents required for operations of First 5 Humboldt, where those documents are aligned with the most recently adopted Strategic Plan and are in accordance with the most recently approved annual budget.

- 3.14.1 The Executive Director will approve disbursements in accordance with the annual budget.
- 3.14.2 The Executive Director will review account reconciliations and financial reports regularly before submitting to the Commission for approval.
- 3.14.3 The Executive Director will sign contracts, memorandums of understanding, leases and other agreements up to the amount delineated in the most recently approved annual budget and coordinating line item.
- 3.14.4 Contracts, memorandums of understanding, leases or other agreements in excess of the coordinating line item of the most recently approved annual budget must be approved by the Commission prior to signature.
- 3.14.5 The Executive Director will sign letters of support and recommendation, as well as make recommendations to legislators and policymakers, in alignment with the most recently approved Strategic Plan.
- 3.14.6 Requests for letters of support or policy recommendations outside the scope of the most recently approved Strategic Plan will be reviewed and approved by the Commission before signature.
- 3.14.7 The Executive Director will prepare and submit external grant applications and requests for funding in alignment with the most recently approved Strategic Plan and report to the Commission if awarded. The Executive Director is

authorized to prepare and sign student work-study and directed field experience agreements with institutes of higher education.

3.14.8 The Executive Director is authorized to allocate, deallocate, and requisition staff positions and transfer positions between budget units in accordance with the approved annual budget total. Any appointments that would require additional funding beyond the most recently approved annual budget will be reviewed and approved by the Commission before requisition.

3.14.9 Executive Director is authorized to prepare and sign personnel forms such as performance reviews and hiring and termination authorizations.

3.14.10 The Executive Director is authorized to designate the above signature authority to an Associate Director when needed. Designation must be made in writing prior to any action being taken.

3.14.11 First 5 Humboldt Administrative Staff Authority. Administrative staff are authorized to submit payment and payroll claims, purchasing orders, make deposits, mail checks, disburse petty cash, initiate transfer of funds, reconcile accounts and prepare financial reports.

3.2. The Co-Chairs and Chair-Elect of the Humboldt County Children and Families Commission may sign any resolution, document, or transaction, including those requiring an officer signature and including resolutions of the Commission. To be signed by a Co-Chair or Chair-Elect, contracts, memorandums of understanding, leases and other agreements must be within the amount delineated in the most recently approved annual budget and coordinating line item.

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

5.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.

5.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.

Social Media Policy

Amended:
Effective: January 16, 2014

Section 1: Purpose

The purpose of this policy is to provide clear guidelines for First 5 Humboldt representatives and partners in using social media responsibly, effectively, and in alignment with the Commission's values, legal obligations, and role as a public entity. Social media accounts may be used to support and promote First 5 Humboldt programs and services, provide public education related to children ages 0–5 and their families, and share community resources, events, and information aligned with the Commission's strategic plan.

Section 2: Background

The Humboldt County Children and Families Commission recognizes that social media is an essential tool for communication, outreach, and community engagement. Social media platforms support the Commission's ability to share information, promote resources, and connect with families and partners throughout Humboldt County. California regulations govern social media use by government agencies and are primarily enforced through the California Public Records Act (CPRA), Government Code Sections 7920 – 7931, and the Brown Act. Sections of the Brown Act amended by AB 992 govern public officials' communications on social media. First 5 Humboldt will adhere to guidelines described in Government Code Section 12236 of CPRA as it relates to social media records retention for local government entities. First 5 Humboldt is also subject to the Fair Political Practices Commission prohibitions, found in Government Code Section 54964, against grassroots lobbying and electioneering.

Section 3: Policy

3.15 This policy applies to all First 5 Humboldt representatives when creating, posting, or sharing content on behalf of the Commission through official social media accounts or other public-facing digital platforms. Representatives include, but are not limited to, Commissioners, staff, contractors, and authorized consultants.

- 3.15.1 Grantees and partner organizations fulfilling obligations through executed agreements with First 5 Humboldt are expected to follow applicable social media guidelines outlined in this policy when representing or referencing FIRST 5 HUMBOLDT-funded programs or activities.

3.16 Definitions.

- 3.16.1 First 5 Humboldt representatives include, but are not limited to, Commissioners, Commission staff, contracted consultants, and any individuals authorized to communicate on behalf of the Commission.
- 3.16.2 A social media account refers to any online platform or digital communication tool used to create, share, or exchange information with the public. This

includes, but is not limited to, platforms such as Facebook, Instagram, YouTube, and other current or emerging technologies.

3.17 Management and oversight. All official First 5 Humboldt social media accounts must be authorized prior to creation. Authorization may be granted by the Executive Director to ensure alignment with organizational goals, capacity, and compliance requirements.

3.17.1 Responsibility for day-to-day management of First 5 Humboldt social media accounts will be assigned by the Executive Director to a social media coordinator. Designated staff are authorized to create and publish routine content in alignment with this policy and established communication guidelines.

3.17.2 The Executive Director will maintain overall oversight of social media activities and may provide guidance or require review for content that is sensitive, high-profile, or outside of routine communications.

3.18 All social media content must comply with applicable federal, state, and local laws, as well as First 5 Humboldt policies and standards.

3.18.1 Posts must not:

3.18.1.1 Violate intellectual property rights, including copyright or trademark laws.

3.18.1.2 Disclose confidential or sensitive information, including information about individuals, families, personnel matters, or ongoing investigations.

3.18.1.3 Circumvent or undermine public records laws, including the improper deletion or alteration of content.

3.18.1.4 Include false, misleading, or unverified information.

3.19 Staff and representatives are will:

3.19.1 Clearly identify FIRST 5 HUMBOLDT when posting on behalf of the Commission,

3.19.2 Use respectful, inclusive, and appropriate language,

3.19.3 Share content that is informative, relevant, and aligned with the Commission's mission and goals,

3.19.4 Protect confidentiality by not publishing or referencing private or non-public information,

3.19.5 Refrain from commenting negatively on community partners,

3.19.6 Avoid sharing information related to pending grant decisions or contract negotiations,

3.19.7 Understand that social media content may be subject to public records laws and legal discovery,

3.19.8 Be mindful that social media content will remain publicly available long-term,

3.19.9 Only direct users to credible and appropriate resources aligned with FIRST 5 HUMBOLDT standards,

3.19.10 Only share local images or videos where children's faces are visible when a signed photo release is on file, 3.19.11 Use discretion when posting images of children and avoid identifying information.

3.20 Comments.

3.20.1 Documentation and Archiving – Comments must be archived and may be used for outreach and reporting purposes.

3.20.2 Positive Engagement – Positive comments should be acknowledged when appropriate.

3.20.3 Addressing Misinformation – Careful consideration should be used in responding to misinformed or inaccurate information in comments. When misinformation is responded to, it should be addressed respectfully with factual information.

3.20.4 Responding to Criticism – Comments should not be removed solely because they express criticism or differing viewpoints. Consultation with a supervisor or Executive Director is recommended when responding to criticism.

3.20.5 Content Moderation – Any moderation or removal of content must comply with applicable laws and County or Commission policies.

3.20.6 Sensitive or Escalated Situations – Staff should use discretion when responding to hate speech, highly sensitive topics, or potential conflict.

3.20.7 Professional Conduct – Responses should remain respectful, neutral, and aligned with First 5 Humboldt's role as a nonpartisan public entity.

3.21 Security and Confidentiality

3.21.1 All official First 5 Humboldt social media accounts are the property of the Humboldt County Children and Families Commission.

3.21.2 Access to account credentials must be maintained in a secure and centralized manner and shared with the Executive Director or designated staff, as appropriate, to ensure continuity and oversight.

3.21.3 First 5 Humboldt representatives are responsible for the appropriate use and management of social media accounts.

3.21.4 Accounts must be monitored regularly, with a minimum expectation of daily review to ensure timely responses, identify potential issues, and maintain account security.

3.21.5 Any suspected or confirmed security breaches, unauthorized access, or misuse of accounts must be reported to the Executive Director or designee within 24 hours of discovery.

3.21.6 First 5 Humboldt representatives and grantees must take reasonable precautions to prevent fraud and unauthorized access, including safeguarding login credentials, using secure passwords, and following established security protocols.

3.22 Grassroots Organizing and Political Activity

3.22.1 As a public entity, First 5 Humboldt will remain nonpartisan in all communications and outreach activities. Official social media platforms and communication channels may not be used to support, oppose, organize, or advocate for political campaigns, ballot measures, lobbying efforts, or grassroots political organizing activities unless expressly authorized and permitted under applicable laws governing public agencies. Additionally, we cannot encourage the public to reach out to policymakers about a bill, government budget item, or proposal. As a public agency, FIRST 5 HUMBOLDT must not use resources to promote partisan positions, influence elections, or incite public action.

3.22.2 First 5 Humboldt may share nonpartisan educational information, public resources, or community engagement opportunities that align with the Commission's mission and legal authority.

3.22.3 First 5 Humboldt cannot change the nature of our communications and outreach in the period leading up to an election. Communications during election periods should be consistent with communications in a non-election period.

3.23 Accessibility, Translation, and Inclusive Communication

3.23.1 First 5 Humboldt is committed to promoting accessibility, equity, and inclusion in public communications whenever possible and appropriate.

3.23.2 Materials shared through social media and public-facing communications should strive to be use clear, respectful, and inclusive language; reflect the diversity of Humboldt County families and communities; include imagery that is culturally responsive, welcoming, and representative of varied identities, abilities, family structures, and lived experiences; and provide translated materials or multilingual content when feasible, applicable, and aligned with community need and organizational capacity.

3.23.3 Staff and representatives are encouraged to consider accessibility and representation when developing content to help ensure all families feel seen, welcomed, and connected to available resources and opportunities.

3.24 Personal Use of Social Media

3.24.1 First 5 Humboldt representatives maintain the right to engage in personal social media activity on their own time and using personal accounts. However, representatives should be mindful that personal online activity may impact public trust and the reputation of the Commission.

3.24.2 Unless expressly authorized, representatives should not imply they are speaking on behalf of First 5 Humboldt when using personal social media accounts. Representatives should avoid sharing confidential information or engaging in conduct that conflicts with Commission policies or professional standards.

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

5.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.

5.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.

Supplantation Policy

Amended:
Effective: April 25, 2002

Section 1: Purpose

The purpose of the policy is to assure compliance with Proposition 10, the California Children and Families Act, adopted by the voters in 1998.

Section 2: Background

Revenue and Taxation Code section 30131.4 provides, in part, that Proposition 10 funds shall be used only to supplement existing levels of service and not to fund existing levels of service. It further provides that no money in the Commission's trust fund shall be used to supplant state or local General Fund money for any purpose.

Section 3: Policy

3.1 No Commission funds shall be used to supplant state or local General Fund money for any purpose. Commission funds shall be used only to supplement existing levels of service and not to fund existing levels of service.

3.2 To that end, no Commission funds shall be granted or used for any existing project or program funded by state or local General Funds unless the proponent demonstrates to the Commission's satisfaction that the Commission's funding will be used to improve the quality or quantity of an existing service, and not to supplant existing funding.

3.3 The prohibition on supplantation was intended to prevent state and local governments from shifting fiscal responsibility for ongoing public programs to the state and local commissions. The prohibition on supplantation does not make reference to privately funded or federally funded programs. Therefore, the prohibition applies only to programs and services currently or previously funded by state or local government General Funds, and which are "existing" as defined below.

3.4 The prohibition on supplantation was not intended to prevent, stifle or discourage state or local government agencies from funding pilot programs, which provide valuable innovations and formation. Therefore, the prohibition should not be interpreted to apply to pilot programs or services, as defined below.

3.5 The prohibition on supplantation was not intended to prevent, stifle, or discourage the continued funding of grant programs whose funding is ending without possibility of renewal, when these programs have been shown to have successful outcomes for the population served.

3.6 Definitions

3.6.1 *Existing* means, with respect to a level of service, a service that is in effect or operation at the time a request for funding is acted upon by the Commission, or at any time within the 12-month period preceding the Commission's action.

3.6.2 *State General Funds* means funds that are received into the treasury of the state and not required by law to be credited to any other fund.[1]

3.6.3 *Local General Funds* means funds that are received into the treasury of the local government and not specially appropriated to any other fund.[2]

3.6.4 *Level of service* includes both the quality and quantity of services.

3.6.5 *Pilot* with respect to programs or services means those that are implemented on a temporary and limited basis in order to test and evaluate the effectiveness of the program, develop new techniques, or gather information.[3]

3.6.6 *Grant funded* with respect to programs or services means those that are implemented on a temporary basis, with funding periods and levels that are set by the organization making the grant award.

3.6.7 *Supplant* shall be given its ordinary meaning, that is, "to take the place of."

3.7 Every applicant must disclose in its application whether the program has received funding from other sources (whether local or state government, private, or federal) within the past three years, and as to any public funding, identify the law or program under which funding was received.

Whenever an application discloses that state or local government funding has been received for the proposed program or service within the last three years, the applicant must also demonstrate to the Commission's satisfaction that 1) the program or service has not received state or local General Funds within the 12 month period preceding the Commission's action, or 2) if received, such funds have not been reduced during the 12 month period preceding the Commission's action, and will not be reduced during the next 12 month period following the Commission's action, or 3) the program or service was a pilot project, or 4) the program or service was a grant-funded project whose funding is ending without the possibility of renewal, when the program has been shown to have successful outcomes for the population served; and 5) that the Commission's funds will be used to augment or improve the existing level of service, either in terms of quantity or quality.

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[1] See Gov. Code section 16300.
[2] See Gov. Code section 29301
[3] See Penal Code section 5058.1

3.8 The Commission may require the applicant to provide additional information regarding sources and uses of funds at any time. Based upon all existing facts and circumstances, the Commission shall determine whether the proposal would violate this policy. The Commission's determination will be made prior to the time a grant agreement is entered into. For multi-year contracts or commitments, the Commission, reserves the right to re-examine its determination that its funds will not be used in violation of this policy.

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

5.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.

5.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.

Volunteer Stipend Policy

Amended:
Effective: August 15, 2024

Section 1: Purpose

The purpose of this policy is to establish guidelines for issuing stipends to members of the Humboldt County Children and Families Commission, also doing business as First 5 Humboldt, and its community advisory committee members. This policy authorizes First 5 Humboldt staff to issue stipends on behalf of the Commission to promote community engagement and participation, within the limits of the Signature Authority Policy adopted by the Commission.

Volunteers assisting the Commission in fulfillment of its Strategic Plan goals by participating in advisory committee and Commission meetings and associated activities may be eligible to receive a stipend. These stipends are intended to defray costs that are reasonably incurred based on donating time and personal resources in order to assist the Commission. Typical costs include but are not limited to vehicle expenses, meals, child care, cell phone charges, and parking.

Section 2: Background

The Executive Director currently issues stipends authorized by the current adopted Commission budget or by language contained in executed contracts between the Commission and other entities. The Commission depends on community members' knowledge and expertise in planning, prioritizing, and shaping the services and delivery methods desired by those using First 5 services. These efforts are not usually engaged through volunteer contributions outside of a contractual relationship.

Section 3: Policy

3.1 This Volunteer Stipend Program Policy authority is to issue stipends to community advisory committee members and Commission members to promote community engagement in fulfillment of Strategic Plan goals. Limits and conditions set by this policy shall not apply to any other stipend authorities.

3.2 Eligibility. Stipends are available to community volunteers participating in community advisory committees and/or serving as Commissioners on the Humboldt County Children and Families Commission and who have completed the Volunteer Stipend Program Packet. Only posted committee and Commission meetings and other activities approved by the First 5 Humboldt Executive Director are eligible for a stipend.

3.2.1 Humboldt County Employees are not eligible.

3.2.2 Individuals participating in stipend activities through the course of their employment are not eligible for the stipend program.

3.3 Stipend Calculation

3.3.1 Stipends will be calculated based on the amount of time being volunteered and rounded to the nearest quarter hour. For example, volunteer time is 35 minutes would be equal to one half hour; volunteer time is 68 minutes would be equal to one and a quarter hour.

3.3.2 Travel time should not be included unless it is part of the intended activity. Mileage to meetings from an eligible member's work or home location to the meeting location may be submitted for reimbursement according to the current federal GSA rate.

3.3.3 Stipend rates shall be according to the following table:

Fiscal Year	**Per Hour**
23/24	$32
24/25	$33
25/26	$34
26/27	$35
27/28	$36

3.3.4 Rates will remain at the above levels until modified by Commission vote.

3.4 Budget

3.4.1 Funds for the Volunteer Stipend Program shall be budgeted in the Parent and Family Support budget and are limited by availability of those funds.

3.4.2 The Volunteer Stipend Program budget shall not exceed $10,000 per fiscal year, not including stipend programs specifically authorized in County code, Commission contracts, committee bylaws, or other approved programs.

3.4.3 The Commission may authorize an increase in the $10,000 spending authority for the current fiscal year at any regular Commission meeting.

3.5 Volunteer Stipend Program Procedure

3.5.1 The Fiscal Analyst or associated Program Coordinator will provide the recipient with a Volunteer Stipend Program Packet.

3.5.2 A Volunteer Stipend Program Packet must be completed, signed, and submitted to First 5 Humboldt Fiscal Analyst.

3.5.3 Volunteers appointed by the Commission to an advisory committee and Commission members must submit a complete Volunteer Stipend Program Packet to receive a stipend. The Executive Director and Fiscal Analyst will review Volunteer Stipend Program Packets for completeness. If incomplete packages are received, they will be returned to the volunteer with directions for completion within 30 days of receipt. Email notification of incompleteness and corrective steps to be taken is acceptable.

3.5.4 Volunteer Stipend Program participants will complete an authorized Stipend Request Form within 30 days of an eligible meeting or activity.

3.5.5 Stipend Request Forms will be reviewed and, upon review, returned for any necessary corrections or disallowed within 30 days of receipt. Corrected Stipend Request Forms must be returned to First 5 Humboldt within 30 days of receipt. All Stipend Request Forms for meetings within a fiscal year must be submitted by July 30 of the following fiscal year.

3.5.6 Stipends received by volunteers may be taxable income. Volunteers are encouraged to contact their tax preparer or the IRS or California Franchise Tax Board for more information.

3.5.7 First 5 Humboldt will maintain records for all volunteer stipend recipient documents.

3.5.8 Volunteer Stipend Program Packets will include:

A copy of this policy
Stipend Payment Request Form
W-9
Travel Reimbursement Claim Form

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

5.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.

5.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.

Zero Tolerance Policy: Client Abuse or Neglect

Amended:
Effective: October 16, 2025

Section 1: Purpose

The purpose of this policy is to provide clear guidelines for First 5 Humboldt representatives and partners in protecting children from any form of child abuse or neglect.

Section 2: Background

First 5 Humboldt believes that the health, safety, and wellbeing of individuals served is of the highest priority and expects that all services and supports provided to families will be offered at all times in a considerate, respectful, and careful manner, with an accompanying focus on the individual's security and dignity.

Section 3: Policy

3.6 Definitions

- 3.6.1 Physical Abuse: Abuse includes neglect, physical abuse or attempt to use force on the person of another; unreasonable physical constraint; prolonged or continual deprivation of food or water; or sexual abuse. It also means the use of isolation, physical or chemical restraint, or psychotropic medication without medical authorization as a form of punishment.
- 3.6.2 Mental Suffering: Defined as fear, agitation, confusion, severe depression or other forms of emotional distress that are brought about by threats, harassment or other forms of intimidating behavior.
- 3.6.3 Financial Abuse: According to California law, financial abuse is "a situation in which a person, including, but not limited to, one who has care or custody of or who stands in a position of trust, of an elder or dependent adult, takes, secretes, or appropriates their money or property, to any wrongful use, or with the intent to defraud." Financial abuse also includes the illegal or improper use of an elder or dependent adult's financial resources.
- 3.6.4 Neglect: Defined as the negligent failure of a person(s) having care or custody of a client to exercise a reasonable degree of care including, but not limited to, a failure to assist in personal hygiene, and the provision of food, clothing, and shelter, or failure to provide medical care or protect the client from health and safety hazards.

3.7 Client abuse committed by, or in the presence of, First 5 Humboldt employees or employees of service providers or long term care facilities will not be tolerated. All such abuse or allegations of such abuse will be referred to, and investigated by, the appropriate authorities. Any First 5 Humboldt employee found to have engaged in abuse against a client will be subject to disciplinary action, up to and including termination of employment. Any abuse alleged or found to have been committed by a contractor or grantee of First 5 Humboldt will be referred to the appropriate authorities and if substantiated, may result in the termination of First 5 Humboldt's contract or grant agreement.

3.8 All First 5 Humboldt employees who are mandated reporters, and all employees of contractors and grantees of First 5 Humboldt who are mandated reporters, shall strictly comply with reporting laws at all times. A mandated reporter must report all client abuse to the applicable governmental authorities immediately or as soon as possible after client abuse has been alleged or his/her discovery or reasonable belief that client abuse has occurred.

3.9 First 5 Humboldt and our contractors and grantees shall ensure their employees are fully informed upon hire and annually thereafter regarding First 5 Humboldt's Zero Tolerance Policy on Client Abuse or Neglect and the mandatory abuse and neglect reporting laws. Each employee must be knowledgeable of their responsibility to protect clients from abuse and neglect, the signs of abuse and neglect, the process for reporting suspected abuse or neglect, and the consequences of failing to follow the law and enforce this policy.

3.10 If First 5 Humboldt personnel or a First 5 Humboldt contractor or grantee becomes aware of client abuse, they shall take immediate action, to the extent permitted by law, to ensure the health and safety of the affected client(s) and all other clients receiving services and supports from First 5 Humboldt. This obligation is in addition to those obligations required of mandated reporters to report client abuse or neglect under the reporting laws.

Section 4: Procedures, Guidelines, and Forms

4.1. The Executive Director is authorized to establish procedures, guidelines and forms consistent with and in implementation of this policy.

Section 5: Review and Compliance

5.1. Executive Director will review this policy on an annual basis to ensure consistency with changing circumstances.

5.2 All First 5 Humboldt personnel, Commissioners and contractors must comply with this policy.