ACTION:

INFORMATION:

EXECUTIVE COMMITTEE MEETING NOTICE/AGENDA

Posted on www.scdd.ca.gov

THE PUBLIC MAY LISTEN IN BY CALLING:	**1-800-839-9416**
PARTICIPANT CODE:	**2982825**

DATE: August 15, 2017

TIME: 9:00 a.m. to 5:00 p.m.

LOCATION: DoubleTree by Hilton
California Salon 1
2001 Point West Way
Sacramento, CA 95815

Pursuant to Government code Sections 11123.1 and 11125(f), individuals with disabilities who require accessible alternative formats of the agenda and related meeting materials and/or auxiliary aids/services to participate in this meeting should contact Rihana Ahmad at (916) 322-9575 or email rihana.ahmad@scdd.ca.gov. Requests must be received by 5:00 pm, August 11, 2017.

Page

1. **CALL TO ORDER** N. Yang

2. **ESTABLISH QUORUM** N. Yang

3. **WELCOME/INTRODUCTIONS** N. Yang

4. **PUBLIC COMMENTS**
   *This item is for members of the public only to provide comments and/or present information to the Council on matters **not** on the agenda. Each person will be afforded up to three minutes to speak. Written requests, if any, will be considered first.*

For additional information regarding this agenda, please contact Rihana Ahmad, 1507 21st Street, Ste. 210, Sacramento, CA 95811, (916) 322-9575. Documents for an agenda item should be turned into SCDD no later than 12:00 p.m. the day before the meeting to give members time to review the material. The fax number is (916) 443-4957.

Page

5. **CLOSED SESSION – PERSONNEL** Lopez/Villados
Pursuant to Government Code 11126 (a)(1), the Council will have a closed session to consider the evaluation of performance of a public employee

6. **RECONVENE OPEN SESSION** Lopez/Villados
Pursuant to Government Code Section 11126.3 (f), there will be an announcement of any action(s) taken during closed session.

7. **APPROVAL OF JUNE 2017 MINUTES** N. Yang 3

8. **SPONSORSHIP REQUEST** G. Rogin 9
   a. Resources for Independence Central Valley (RICV)
   b. Cal APSE (Association for People Supporting Employment First)

9. **CONFLICT OF INTEREST WAIVER REQUEST** N. Bocanegra 29
   a. Far Northern Regional Center – Board Member William Battles
   b. Far Northern Regional Center – Board Member Adam Beals
   c. Far Northern Regional Center – Board Member Leslie Corletto
   d. Far Northern Regional Center – Board Member Ronda Dever
   e. Far Northern Regional Center – Board Member Roger Hatton
   f. Far Northern Regional Center – Board Member Susan Hess
   g. Far Northern Regional Center – Board Member Michelle Phillips
   h. Far Northern Regional Center – Board Member Colleen Ryberg
   i. Far Northern Regional Center – Board Member Rod Zikan
   j. Harbor Regional Center – Executive Director Patricia Del Monico E.D.

10. **ADJOURN** N. Yang

APPROVAL OF MINUTES

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DRAFT

Executive Committee Meeting Minutes
June 15, 2017

Attending Members	Members Absent	Others Attending
April Lopez (FA)	Charles Nutt (SA)	Gabriel Rogin
David Forderer (SA)		Aaron Carruthers
Janelle Lewis (FA)		Natalie Bocanegra
Jenny Yang (SA)		Robin Maitino
Michele Villados		Wayne Glusker
Sandra Smith (FA)		Janet Butts
		Michelle Jordan
		Marilyn Alexander

1. **CALL TO ORDER**
   Chairperson Jenny Yang (SA) called the meeting to order at 10:26 a.m.

2. **ESTABLISH QUORUM**
   A quorum was established.

3. **WELCOME/INTRODUCTIONS**
   Members and others introduced themselves as indicated.

4. **PUBLIC COMMENTS**
   There were no public comments.

5. **APPROVAL OF THE APRIL 2017 MEETING MINUTES**
   It was moved/seconded (Lewis [FA]/Forderer [SA]) and carried to adopt the April 20, 2017 meeting minutes as presented. (Unanimous: Lopez, Forderer, Lewis, Yang, Smith; and Villados)

6. **FEDERAL PARTNER SPONSORSHIP AND GRANT FUNDING POLICY**
Executive Director Aaron Carruthers presented the Federal Partner Sponsorship and Grant Funding Policy that was adopted on April 4, 2014 to the Committee in response to the April 20th Executive Committee conversation relating to potential legal and/or policy issues involved with Federal Partners receiving Sponsorship and/or Program Development Grant funds.

Committee members engaged in an in-depth conversation on whether the April 2014 policy addresses all of the concerns discussed at the April 20th meeting.

It was moved/seconded (Forderer [SA]/Smith [FA]) and carried to make technical and conforming changes to the April 4, 2014 Conflict of Interest Policy for Community Program Development Grants and Sponsorships, to bring the policy up to date with current state law (e.g., changes resulting from AB 1595). (Unanimous: Lopez, Forderer, Lewis, Yang, Smith; and Villados)

7. **SPONSORSHIP REQUEST**
Chief Deputy Director Gabriel Rogin presented the University Center for Excellence in Developmental Disabilities at the MIND Institute's request for $999.00 in sponsorship funds for their MIND Summer Institute on Neuro-developmental Disabilities. This event is scheduled to take place on July 28, 2017 at the UC Davis Conference Center in Davis, CA. Council funds would be used towards offsetting facility and audio-visual costs.

It was moved/seconded (Lewis [FA]/Smith [FA]) and carried to fund the July 28, 2017 MIND Summer Institute on Neuro-developmental Disabilities event in the amount of $999.00. (Unanimous: Lopez, Forderer, Lewis, Yang, Smith; and Villados)

8. **CONFLICT OF INTEREST (COI) WAIVER REQUESTS**
   a. Sheila Stark, Inland Regional Center
   Legal Counsel Natalie Bocanegra presented Ms. Sheila Stark's COI waiver request to the Committee for consideration. Ms. Stark's adult sister works for In-Roads Creative Home Programs, Inc., an IRC vendor. Her sister is the preferred provider for their brother who is a regional center client.

The Committee recognized that it is appropriate to approve a waiver where the person working for a vendor provides services only to their own relatives.

It was moved/seconded (Forderer [SA]/Smith [FA]) and carried to approve Ms. Stark's waiver request provided she implements the submitted mitigation plan. (Unanimous: Lopez, Forderer, Lewis, Yang, Smith; and Villados)

9. **EXECUTIVE DIRECTOR EVALUATION**

SCDD Contractors Michelle Jordan and Marilyn Alexander from Jordan LLC participated by phone in order to introduce themselves to the Committee and provide a brief overview of their qualifications and background. Ms. Jordan briefly went over the survey process and encouraged members to reach out with any feedback or questions. Following Jordan LCC introductions, the Committee directed staff to find an offsite location to hold the August 15, 2017, Executive Committee meeting in order to ensure confidentiality during the evaluation process.

Legal Counsel Bocanegra went over the 2018 Executive Director Evaluation Draft Project Timeline with staff. Committee members will begin reviewing the 2017 Executive Director Evaluation process at the October 10, 2017, committee meeting to evaluate whether to use the same process in 2018.

10. **ADJOURNMENT**

Meeting adjourned at 12:20 p.m.

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SPONSORSHIP REQUESTS

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EXECUTIVE COMMITTEE AGENDA ITEM DETAIL SHEET

ISSUE: Resources for Independence Central Valley (RICV)

AMOUNT REQUESTED: $999.00

BACKGROUND: The California State Council on Developmental Disabilities (Council) supports events that promote self-advocacy, leadership and education, thereby enabling people with developmental disabilities and their family members to expand their knowledge and skills.

ANALYSIS/DISCUSSION: Resources for Independence Central Valley is hosting the " 8th Annual Self-Advocacy Conference: Celebrate Me!" The conference targets youth and adults with disabilities as well as their parents and/or guardians, family members and professionals to attend.

This conference continues to provide the opportunity for its attendees with disabilities, parents, teachers, other professionals and community members to gain awareness through exposure to resources through a vendor fair and specific learning topics through interactive workshops. Some past workshop topics include career readiness, voting rights, nutrition, soft skills, emergency preparedness and self-advocacy. This year there will be a total of 7 professional workshop presenters and a youth with a disability will be the keynote speaker.

RICV and its BRIDGES Youth transition Program focus on providing services and opportunities to people with disabilities where they are getting exposure to real life and hands-on experiences in the community. In addition to creating awareness and improving and gaining skills for youth and adults with disabilities, these are the principal objectives of the 8th Annual Self-Advocacy Conference.

In the past, attendance has ranged from 300-400 people and they anticipate at least 350 consumers and/or family members and 50 professionals to attend.

SCDD's funds would be utilized to purchase supplies needed to make this conference a success.

COUNCIL STRATEGIC PLAN GOAL/OBJECTIVE: Individuals with developmental disabilities, their families and their support and/or professional staff will increase their knowledge and skills so as to effectively access needed educational and/or community-based services through at least 225 trainings, conferences, workshops, webinars, and/or resource materials developed by the Council on topics such as rights under IDEA, rights under California's Lanterman Act etc. on an annual basis.

PRIOR COUNCIL ACTIVITY: Since the beginning of FY 2017-18, the Council has awarded $1,998 in funds for sponsorship requests. The Council allocates $25,000 per fiscal year for sponsorships. The fiscal year began July 1, 2017.

STAFF RECOMMENDATION: Approve Resources for Independence Central Valley's for sponsorship.

ATTACHMENTS(S): Resources for Independence Central Valley for sponsorship.

PREPARED: Kristie Allensworth, July 19, 2017

Resources for Independence Central Valley

June 28, 2017

State Council on Developmental Disabilities
Attn: Executive Committee
1507 21st Street, Suite 210
Sacramento, CA 95811

Dear Executive Committee,

1. **Resources for Independence Central Valley (RICV)** serves people with disabilities in the, Fresno, Tulare, Kings, Madera and Merced counties. RICV offers many programs that encourage people with disabilities to be in control of their lives and to live more independently through a diverse range of choices and opportunities.

2. RICV will be hosting its **8th Annual Self-Advocacy Conference: Celebrate Me!** this year.

3. This year the conference will take place on **September 14, 2017**.

4. Contact person for this event and this request is **Suzanna Gámez**, Director of Youth and Adult Services.

5. Suzanna Gámez can be reached at **sgamez@ricv.org**, **Office: (559) 221-2330 and Cell: (559) 269-0995.**

6. RICV is asking for **$999.00** to sponsor this event that has demonstrated being a benefit to all who attend. The full amount would be utilized to purchase supplies needed to make this conference a success. These supplies include badges holders, lanyards and pens that will be provided to everyone who attends the conference.

7. The total approximate cost of this event is **$8713.00**.

8. Through empowerment, RICV has been very successful in assisting people with disabilities. The Self-Advocacy Conference will focus on youth and adults with disabilities celebrating who they are, which includes learning about topics like fitness, health in the workplace, self-advocacy, Zumba, How to Interact with Law Enforcement, and nutrition. This awareness will give consumers an opportunity to gain knowledge and skills and options as to how to stay physically, mentally and socially

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Darion Armstrong-Huggins

healthy as well as connect with organizations that can provide support in these areas. Self-discovery will happen and ultimately informed choices can be made.

9. RICV and it's BRIDGES Youth transition Program focus on providing services to people with disabilities and has seen the value for its consumers, in providing opportunities where they are getting exposure to real life and hands-on opportunities in the community. In addition to creating awareness and improving and gaining skills for youth and adults with disabilities, these are the principal objectives of the 8th Annual Self-Advocacy Conference.

10. The 8th Annual Self-Advocacy Conference targets youth and adults with disabilities, as well as their parents and/or guardians, family members and professional to attend. In the past attendance has ranged from 300-400 people and we anticipate for at least 350 consumers and/or family members and 50 professionals to attend.

11. This conference continues to provide the opportunity for its attendees with disabilities, parents, teachers, other professionals and community members to gain awareness through exposure to resources through a vendor fair and specific learning topics through interactive workshops. Exposure, is a critical part of learning to have your own voice and becoming a strong self-advocate. Some past workshop topics include career readiness, voting rights, nutrition, soft skills, emergency preparedness and self-advocacy. This year there will be a total of 7 professional workshops presenters and a youth with a disability will be the keynote speaker.

12. Other sponsors of this event include Exceptional Parents Unlimited and Central Valley Regional Center.

13. Our outreach efforts that consist of reaching out to consumers, families and professionals through other partnering disability related agencies within the five counties that we serve like Exceptional Parents Unlimited, Central Valley Regional Center and Turning Point Transitional Age Youth Program, as well as connecting with colleges, high schools and adult transition programs. This also includes outreaching to those who we personally connect with and serve within RICV programs and services. Lastly, outreach will also be executed through use of technology, through social media like Facebook, RICV's website, email blasts, etc.

14. **Budget**

	Expense Categories	Description	Funds Requested	Other Funding	Other Funding Sources	Total Cost
1.	Facility	Clovis memorial Building		$3608.00	EPU	$3608.00
2.	Food	Boxed Lunches for Attendees		$3150.00	CVRC	$3150.00
	Fee	Food service Charge		$630.00	EPU	$630.00
4.	Tableware Rental			$175.00	EPU	$175.00
5.	Supplies:	Folders, Lanyards, Badge Holders, Pens	$999.00	$51.00	EPU	$1050.00
6.	Printing	Print agendas, evaluation forms and badges		$100.00	EPU	$100.00
	Total		**$999.00**	**$7714.00**		**$8713.00**

15. Resource for Independence Central Valley has received a grant in FY13-14 for the SAY Grant. It was Agreement number C35AB81213 for $19,277 dollars. We have also applied for sponsorship for our Transportation for Inspiration Walk event that was not granted in 2016.

16. Letter of Recommendation from a consumer is attached .

Thank you for the opportunity to be able to apply for this sponsorship; community support is what makes this event possible each year. Please do not hesitate to contact

us directly with any questions in regards to our application request. Please contact Suzanna Gámez, Director of Youth and Adult Services at 3008 N. Fresno St., Fresno, CA 93703, Phone:(559)221-2330 and/or Email: sgamez@ricv.org.

Sincerely,

Suzanna Gámez
Director of Youth and Adult Services
Resources for Independence, Central Valley
(559)269-0995

March 9, 2017

As a consumer since June of 2010 I would really recommend Resources for Independence Central Valley (RICV) as an agency that has helped gain independency. I first heard about the BRIDGES summer program through my high school and receiving a letter in the mail about the summer program. I decided to be a part of the summer program. From the summer program I learned about self-advocacy, being independent, how to use public transportation and volunteer opportunity. After the summer program one of the BRIDGES counselor asked if I would like to continue as a volunteer doing office work. I agreed and since then I've been an RICV volunteer. The most important thing that RICV has helped me with is to gain independency. I was able to go along with the BRIDGES counselors to ATP and high schools to do presentations and this was important to me because it took away my fear of public speaking. I am now most confident when I speak in front of a group. Through the summer program I also learned how to cook and learned that eating healthy helps a person get through the day a lot easier. I am a part of the leadership group with RICV and with this group we do fundraisers to fund for trips that we would take as a group and it has help me build new friendships. I also help volunteer at the Self-Advocacy conference every year. I learn something learn new every year during this conference. I am so proud and appreciate everything that RICV has done and helped me with as consumer. I am going to continue as a volunteer and hope that someday I can become and employee for this great agency. I would recommend RICV as a successful agency who is passionate about helping their consumers gain independency. I could never thank them enough for all the help that they have offered to me.

Sincerely,

Nick Rosas

Sponsorship Request Application Checklist

The checklist below will help you identify the information needed to complete the sponsorship request application. We suggest you print this page to use while you gather information for the sponsorship application.

To allow sufficient time for processing and review, we recommend that sponsorship requests be submitted at least 3 months before an event. Please submit this checklist with the sponsorship request.

Information Checklist

- ✓ Name of your Company/Organization
- ✓ Name of Project/Event/Program
- ✓ Project/Event Date
- ✓ Contact Name
- ✓ Contact Email, Address and Phone Number
- ✓ Amount of Funding Requested
- ✓ Approximate Total Cost of Project/Event
- ✓ The answer to this question: How this event/conference will increase the ability of consumers and family members to exercise control, choice and flexibility in the services and supports they receive, including a description of the specific way SCDD's funding would be utilized
- ✓ Event/Program Objectives
- ✓ Target Audience The number and type of expected attendees (i.e. teachers, providers, administrators, etc.), including how many of those attendees are expected to be consumers and family members
- ✓ The answer to this question: How many presenters or panelists will participate in the event and what number of the presenters or panelists will be consumers ? A list of other sponsors/major contributors
- ✓ The answer to this question: How you will conduct outreach to increase consumer and family involvement in the conference
- ✓ Have you included a complete and total budget, including the amount you are requesting ($999 limit), details on the amount and sources of other funds solicited or obtained

- ✓ Have you included a list of other SCDD sponsorships and grants you have previously requested and/or received
- ✓ Have you included a letter of recommendation from a consumer and/or family organization that supports your efforts to improve consumer and family self-advocacy

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EXECUTIVE COMMITTEE AGENDA ITEM DETAIL SHEET

ISSUE: Cal APSE (Association for People Supporting Employment First)

AMOUNT REQUESTED: $999.00

BACKGROUND: The California State Council on Developmental Disabilities (Council) supports events that promote self-advocacy, leadership and education, thereby enabling people with developmental disabilities and their family members to expand their knowledge and skills.

ANALYSIS/DISCUSSION: Cal APSE is hosting, “Moving Beyond Conversion and Compliance: Supporting a rich life- from vision to practice.” This event is a pre-day session to the Supported Life Conference. Cal APSE has not provided an event of this magnitude before, and are doing so to respond to requests from providers for the content. The training will include practical hands on training for service providers, self-advocates and families on how to create services and supports that move beyond walls and preset programs to services which support the full inclusion and participation in employment. The session will include an overview of the HCBS settings rule and the intent of the legislation, sharing of successes from around California, organizational strategic planning, how to partner with self-advocates and families, the nuts and bolts of daily support strategies and staff training, and how to aligning budgets to your values.

Presenters will include Cal APSE board members and subject matter experts of which at least 2 will be self-advocates.

Program Objectives:

1. Participants will be aware of resources available for conversion of services.
2. Self-advocates and families will be aware of service options which meet the HCBS settings rule.
3. Participants will have an understanding of strategies they can use for engaging individuals and their families, increasing staff competence, strategic planning and budget alignment.

Target audience:

Self- advocates and families - 25%
Service providers - 40%
Regional center staff - 25%
Other- teachers, state employees, community members - 10%

The event is scheduled for October 4, 2017 at the Sacramento Crown Plaza Hotel.

SCDD's funding will be used to offset the overall costs of providing this training including meeting room costs, event promotion costs, and speaker fees making the workshop more affordable to all. No portion of the funds will be used for sponsorship, travel, registration, lobbying, campaign, fundraising or non-event related activities or overhead.

COUNCIL STRATEGIC PLAN GOAL/OBJECTIVE: Individuals with developmental disabilities, their families and their support and/or professional staff will increase their knowledge and skills so as to effectively access needed educational and/or community-based services through at least 225 trainings, conferences, workshops, webinars, and/or resource materials developed by the Council on topics such as rights under IDEA, rights under California's Lanterman Act etc. on an annual basis.

PRIOR COUNCIL ACTIVITY: Since the beginning of FY 2017-18, the Council has awarded $1,998 in funds for sponsorship requests. The Council allocates $25,000 per fiscal year for sponsorships. The fiscal year began July 1, 2017.

STAFF RECOMMENDATION: Approve Cal APSE's for sponsorship.

ATTACHMENTS(S): Cal APSE for sponsorship.

PREPARED: Kristie Allensworth, July 19, 2017

July 2, 2017

Name of Organization: Cal APSE (Association for People Supporting EmploymentFirst)
Contact information: Sherry Beamer- Chapter President
401 South Ivy Street Escondido, Ca 92025
818-5215698
beamer.sherry@gmail.com

Event Name/date/location/Description:
Moving Beyond Conversion and Compliance: Supporting a rich life- from vision to practice.
October 4, 2017- Sacramento Crown Plaza Hotel

Cal APSE will host this event as a pre-day session to the Supported Life Conference. CalAPSE has not provided an event of this magnitude before, and are doing so to respond to requests from providers for the content. Most of the Cal APSE Board Members represent agencies that have transformed to competitive integrated employment from a variety of segregated services. The training will include practical hands on training for service providers, self advocates and families on how to create services and supports that move beyond walls and preset programs to services which support the full inclusion and participation in employment. The session will include an overview of the HCBS settings rule and the intent of the legislation, sharing of successes from around California, organizational strategic planning, how to partner with self advocates and families, the nuts and bolts of daily support strategies and staff training, and how to aligning budgets to your values.

SCDD's funding will be used to offset the overall costs of providing this training including meeting room costs, event promotion costs, and speaker fees making the workshop more affordable to all. No portion of the funds will be used for sponsorship, travel, registration, lobbying, campaign, fundraising or non event related activities or overhead.

This event is designed to educate providers on how to structure services and supports in ways which meet people's needs. It is also designed to educate self advocates and their families on options and the ways services can be structured to meet their needs thereby empowering individuals to see the possibilities and advocate for what they want.

Presenters will include Cal APSE board members and subject matter experts of which at least 2 will be self advocates.

Program Objectives:

1. Participants will be aware of resources available for conversion of services.
2. Self advocates and families will be aware of service options which meet the HCBS settings rule.
3. Participants will have an understanding of strategies they can use for engaging individuals and their families, increasing staff competence, strategic planning and budget alignment.

Target audience: Self-advocates and families- 25%
Service providers -40%
Regional center staff- 25%
Other- teachers, state employees, community members- 10%

This workshop will be publicized with the Supported Life Conference materials to their networks both through direct mailings and online, through Cal APSE's membership database as well as through regional centers, local Family Resource Centers, People First chapters and local ASAN chapters.

Budget:

Income	**7399**
Registrations 75x$75	5600
Sponsorship: Easterseals Southern California	500
SCDD Sponsorship Request	999
In Kind donation- APSE	300
Expenses	**7400**
Meeting Room	1000
Event Promotions	700
Event Expenses	3125
Speaker Expenses	1000
Print materials	200
Scholarships	375
Accessibility supports	1000

Cal APSE has not requested any other sponsorships or grants from SCDD.

Attached find two support letters from Yolo People First and the Warmline Family Resource Center.

Respectfully Submitted,

Sherry Beamer

Sherry Beamer- President

Yolo People First®
"We are PEOPLE FIRST; our disabilities are second."
c/o 105 E Steet #2F, Davis, CA 95616

RE: Cal APSE Sponsorship

June 14, 2017

To Whom It May Concern:

Our Self-Advocacy Group, Yolo People First (YPF), wants to support Cal APSE's proposal for a sponsorship from the California State Council on Developmental Disabilities (SCDD) to benefit their training and provide scholarships to self-advocates and family members to attend.

We know the importance of support to help us and our friends get good jobs in the community and to be involved in all parts of community life.

We know that members of Cal APSE have shown the way in moving toward better and better supports and services for real jobs and to create true community inclusion.

We hope that this "Moving Beyond Conversion and Compliance: Supporting a Rich Life – From Vision to Practice" training can teach more professionals how to make these things happen.

Plus self-advocates can learn what is possible in their lives as attendees – and we like that people with disabilities will also join in as presenters.

Yolo People First is a long-time self-advocacy group, started in 1989 in Yolo County. We are a group of people with disabilities focusing on our strengths and our abilities. We learn to lead our group to take action on issues, put on meaningful events, address issues like Health, Employment, and Community Involvement. We do Leadership training and come together to learn to advocate for ourselves and others.

We are pleased to support this request for SCDD to help this training effort.

Yours Truly,

Tyler Sierras

Tyler Sierras, President
Yolo People First

WarmLine Family Resource Center
2791 24th Street, Sacramento, CA 95818
916-455-9500/877-561-7523
www.warmlinefrc.org / email: Kelly@warmlinefrc.org

RE: Cal APSE Sponsorship

June 7, 2017

To Whom It May Concern:

WarmLine Family Resource Center (WLFRC) supports the efforts of the Cal APSE to secure a scholarship from the California State Council on Developmental Disabilities (SCDD).

We believe that parents and self-advocates need to have access to high quality information that will allow them to exercise control, choice and flexibility in the services and supports they receive and, ultimately, to enhance the service system for individuals with disabilities.

WLFRC has had a long and collaborative relationship with members of Cal APSE and believe that parents and self-advocates will benefit greatly from attendance at the workshop "Moving Beyond Conversion and Compliance: Supporting a Rich Life – From Vison to Practice by providing them with relevant information.

WarmLine Family Resource Center supports families with children birth to 26 years old in 26 counties in Northern California. As a US Department of Education, Office of Special Education Programs and California Department of Developmental Services contractor, we offer parents an array of services including peer parent support, education, individual consultation, information and referral to community resources to assist them with increasing their knowledge about early intervention, special education and the systems that support their child with a disability.

Please contact me if you have any questions.

Sincerely,

Kelly Young
Executive Director

Sponsorship Request Application Checklist

The checklist below will help you identify the information needed to complete the sponsorship request application. We suggest you print this page to use while you gather information for the sponsorship application.
To allow sufficient time for processing and review, we recommend that sponsorship requests be submitted at least 3 months before an event. Please submit this checklist with the sponsorship request.

Information Checklist-
CalAPSE

- ☒ Name of your Company/Organization
- ☒ Name of Project/Event/Program
- ☒ Project/Event Date
- ☒ Contact Name
- ☒ Contact Email, Address and Phone Number
- ☒ Amount of Funding Requested
- ☒ Approximate Total Cost of Project/Event
- ☒ The answer to this question: How this event/conference will increase the ability of consumers and family members to exercise control, choice and flexibility in the services and supports they receive, including a description of the specific way SCDD's funding would be utilized
- ☒ Event/Program Objectives
- ☒ Target Audience The number and type of expected attendees (i.e. teachers, providers, administrators, etc.), including how many of those attendees are expected to be consumers and family members
- ☒ The answer to this question: How many presenters or panelists will participate in the event and what number of the presenters or panelists will be consumers ? A list of other sponsors/major contributors
- ☒ The answer to this question: How you will conduct outreach to increase consumer and family involvement in the conference
- ☒ Have you included a complete and total budget, including the amount you are requesting ($999 limit), details on the amount and sources of other funds solicited or obtained
- ☒ Have you included a list of other SCDD sponsorships and grants you have previously requested and/or received
- ☒ Have you included a letter of recommendation from a consumer and/or family organization that supports your efforts to improve consumer and family self-advocacy

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CONFLICT OF INTEREST WAIVER REQUESTS

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EXECUTIVE COMMITTEE AGENDA ITEM DETAIL SHEET

ISSUE: Regional Center Conflict of Interest (COI)

SUMMARY: Amendments to the Lanterman Act made by AB 1595 resulted in redefining the Area Boards into Regional Advisory Committees, changing their appointment authority and scope. Under its current process, the State Council on Developmental Disabilities (Council) is presented with a recommendation on the below conflict of interest resolution plan.

BACKGROUND: The Lanterman Act requires regional centers to submit conflict of interest statements and proposed resolution plans to the Department of Developmental Services (DDS) and the Council. (W&I Code 4626(l).) Under the Act, as amended by AB 1595, the Director of DDS may waive conflict of interest requirements of a contracting agency (i.e., a regional center) with approval of the State Council. (See W&I Code 4628.)

The Council is being presented with information reviewed under the existing SCDD criteria and process approved by the Council. This approach provides for staff analysis of regional center conflict of interest issues.

FACTS: The catchment area of FNRC is predominantly rural, and it is difficult to recruit qualified members for the board. FNRC has a public member recruitment and appointment process which is subject to public review and engagement. FNRC recruits prospective board members by advertising their recruitment efforts within the agency, with their community partners, and using public forums, websites, and e-blast notifications. In addition, to ensure that the regional center has the necessary number of people with developmental disabilities required by law, the regional center developed a number of “member at large” board positions which are announced through the regional self-advocacy groups and interested persons apply to the board.

Depending on the county, County Coordinating Councils and/or other community partners may assist with recruitment.

See attached pages for facts on each of the following FNRC Board Members:

- **William Battles**
- **Adam Beals**
- **Leslie Corletto**
- **Ronda Dever**
- **Roger Hatton**
- **Susan Hess**
- **Michelle Phillips**
- **Colleen Ryberg**
- **Rod Zikan**

LAW: DDS Regulation 54520 provides, in part, that a conflict of interest exists when the board member, or a family member of a regional center board member, holds any of the below positions for a provider:

> (1) a governing board member;
> (2) a board committee member;
> (3) a director;
> (4) an officer;
> (5) an owner;
> (6) a partner;
> (7) a shareholder;
> (8) a trustee;
> (9) an agent;
> (10) an employee;
> (11) a contractor;
> (12) a consultant;
> (13) a person who holds any position of management; or
> (14) a person who has decision or policy making authority.
> (See 17 Cal. Code § 54520(a).)

<u>Consumer Employment Services</u>
However, Welfare and Institutions Code Section 4626(c) contains an exception for certain consumers who work for an employment services provides. This section provides:

> A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a

regional center based solely upon receipt of these employment services.
(W&I Code Section 4626(c).)

Regional Center Provider Advisory Committee
Welfare and Institutions Code Section 4622(i) requires a regional center board to appoint an advisory committee made up of various categories of regional center providers. Under this section, one advisory committee member is required to serve on the regional center board.

Additional Restrictions on Provider Employees
In addition to the requirements of Regulation 54520, Welfare and Institutions Code Section 4622(k) says that member of a board who is also an employee of a regional center provider shall not:

(1) Serve as an officer of the board;
(2) Vote on any fiscal matter affecting the purchase of services from any regional center provider;
(3) Vote on any issue in which the member has a financial interest under Government Code Section 87103 and determined by the regional center board.

STAFF RECOMMENDATION(S): See attached pages for recommendations on each FNRC Board Member.

COUNCIL STRATEGIC PLAN OBJECTIVE: None

PRIOR COUNCIL ACTIVITY: The Council approved a waiver request submitted by Corletto in May 2016. In September 2016, the Council approved waiver requests submitted by: Battles, Beals, Dever, Hatton, Hess, Phillips, and Ryberg. Zikan has not previously been granted a waiver.

ATTACHMENT: COI reporting statements and resolution plans submitted by: William Battles, Adam Beals, Leslie Corletto, Ronda Dever, Roger Hatton, Susan Hess, Michelle Phillips, Colleen Ryberg and Rod Zikan.

PREPARED BY: Legal Counsel Natalie Bocanegra, August 2, 2017.

FNRC Board Member
William Battles

FACTS (Battles): William Battles is a member of the governing board of the Far Northern Regional Center (FNRC) as a consumer representative of People First. Mr. Battles is a regional center consumer who works 15 hours per week as a Peer Instructor for We Care A Lot, a regional center provider of employment services. Mr. Battles' employment is part of his employment services received through the regional center.

Mr. Battles was previously granted a conflict of interest waiver in 2016.

DISCUSSION (Battles): With regard to his employment with We Care A Lot, Mr. Battles identifies a conflict of interest under Regulation 54520(a)(10). Therefore, he submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

Since Mr. Battles is an employee of an FNRC provider, his conflict resolution plan must follow the rules of W&I Section 4622(k).

After reviewing the submitted proposal and assuming that Mr. Battles does not serve as an officer of the FNRC board, the staff recommendation is to approve Mr. Battles' waiver request since Section 4626(c) permits him to serve, FNRC engages in the public board member recruitment process, and his proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Battles): The staff recommendation is to approve Mr. Battles' mitigation plan provided he does not participate in any board decision that impacts his employer and also complies with Section 4622(k) requirements.

FNRC Board Member
Adam Beals

FACTS (Beals): Adam Beals serves as the consumer representative on the governing board of the Far Northern Regional Center (FNRC). Mr. Beals works approximately 18 hours per week for Siskiyou County Opportunity Center (SCOC), a regional center provider of employment services. Mr. Beals' employment is part of his employment services received through the regional center.

Mr. Beals was previously been granted a conflict of interest waiver in 2016.

DISCUSSION (Beals): With regard to his employment with SCOC, Mr. Beals identifies a conflict of interest under Regulation 54520(a)(10). Therefore, he submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

Since Mr. Beals is an employee of an FNRC provider, his conflict resolution plan must follow the rules of W&I Section 4622(k).

After reviewing the submitted proposal and assuming that Mr. Beals does not serve as an officer of the FNRC board, the staff recommendation is to approve Mr. Beals' waiver request since Section 4626(c) permits him to serve, FNRC engages in the public board member recruitment process, and his proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Beals): The staff recommendation is to approve Mr. Beals' mitigation plan provided he does not participate in any board decision that impacts his employer and also complies with Section 4622(k) requirements.

FNRC Board Member
Leslie Corletto

FACTS (Hess): Leslie Corletto, a member of the governing board of the Far Northern Regional Center (FNRC) works approximately 15 hours per week as receptionist for Rowell Family Empowerment Center, a regional center provider. Ms. Corletto's employment is part of her employment services received through the regional center.

Ms. Hess was previously granted conflict of interest waivers by the Council in 2016.

DISCUSSION (Hess): With regard to her employment, Ms. Corletto identifies a conflict of interest under Regulation 54520(a)(10). Therefore, she submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

Since Ms. Corletto is an employee of an FNRC provider, her conflict resolution plan must follow the rules of W&I Section 4622(k).

After reviewing the submitted proposal and assuming that Ms. Corletto does not serve as an officer of the FNRC board, the staff recommendation is to approve Ms. Corletto's waiver request since FNRC engages in the public board member recruitment process, and her proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Hess): The staff recommendation is to approve Ms. Corletto's mitigation plan provided she does not participate in any board decision that impacts her employer and also complies with Section 4622(k) requirements.

FNRC Board Member
Ronda Dever

FACTS (Dever): Ronda Dever is a member of the governing board of the Far Northern Regional Center (FNRC). Ms. Dever's mother is a respite worker for Ms. Dever's autistic son and works for ARC of Butte County (ARC). Ms. Dever's mother does not live with Ms. Dever nor does Ms. Dever receive any financial benefit from her mother. She does not provide respite services for any other persons.

Ms. Dever was previously been granted a conflict of interest waiver in 2016.

DISCUSSION (Dever): With regard to her mother's employment with ARC, Ms. Dever identifies a conflict of interest under Regulation 54520(a)(10). Therefore, she submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

After reviewing the submitted proposal, the staff recommendation is to approve Ms. Dever's waiver request since she receives no financial benefit from her mother, FNRC engages in the public board member recruitment process, described above, and the proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Dever): The staff recommendation is to approve Ms. Dever's waiver request.

FNRC Board Member
Roger Hatton

FACTS (Hatton): Roger Hatton serves on the governing board of the Far Northern Regional Center (FNRC) as a consumer representative. Mr. Hatton works part-time for CPE Food Pantry and GCD Gym. He works approximately 29 hours per week driving delivery vehicles for these businesses. Mr. Hatton's employment is part of his employment services received through the regional center.

Mr. Hatton was previously granted a conflict of interest waiver in 2016.

DISCUSSION (Hatton): With regard to his employment with these two businesses, Mr. Hatton identifies a conflict of interest under Regulation 54520(a)(10). Therefore, he submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

Since Mr. Hatton is an employee of an FNRC provider, his conflict resolution plan must follow the rules of W&I Section 4622(k).

After reviewing the submitted proposal and assuming that Mr. Hatton does not serve as an officer of the FNRC board, the staff recommendation is to approve Mr. Hatton's waiver request since Section 4626(c) permits him to serve, FNRC engages in the public board member recruitment process, and his proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Hatton): The staff recommendation is to approve Mr. Hatton's mitigation plan provided he does not participate in any board decision that impacts his employer and also complies with Section 4622(k) requirements.

FNRC Board Member
Susan Hess

FACTS (Hess): Susan Hess serves on the governing board of the Far Northern Regional Center (FNRC) as a consumer representative. Ms. Hess works approximately 4 hours per week at Little Red Hen, a regional center provider. Her husband also works about 4 hours per week at Little Red Hen. Ms. Hess' employment is part of her employment services received through the regional center.

Ms. Hess was previously granted conflict of interest waivers by the Council in 2013, 2014, and 2016.

DISCUSSION (Hess): With regard to her and her husband's employment with Little Red Hen, Ms. Hess identifies a conflict of interest under Regulation 54520(a)(10). Therefore, she submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

Since Ms. Hess is an employee of an FNRC provider, her conflict resolution plan must follow the rules of W&I Section 4622(k).

After reviewing the submitted proposal and assuming that Ms. Hess does not serve as an officer of the FNRC board, the staff recommendation is to approve Ms. Hess' waiver request since Section 4626(c) permits her to serve (and it is also reasonable to apply this rationale to her husband's employment), FNRC engages in the public board member recruitment process, and her proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Hess): The staff recommendation is to approve Ms. Hess' mitigation plan provided she does not participate in any board decision that impacts her employer and also complies with Section 4622(k) requirements.

FNRC Board Member
Michelle Phillips

FACTS (Phillips): Michelle Phillips serves on the governing board of the Far Northern Regional Center (FNRC) as a consumer representative. Ms. Phillips works as a Life Guide and Peer Instructor approximately 15 hours per week for We Care A Lot, a regional center provider. Ms. Phillips' employment is part of her employment services received through the regional center.

In addition, her sister works as a Program Manager for Parent Infant Program, also a regional center provider.

Ms. Phillips was previously granted a conflict of interest waiver by the Council in 2012, 2013, 2014, 2015, and 2016.

DISCUSSION (Phillips): With regard to her employment with We Care A Lot, Ms. Phillips identifies a conflict of interest under Regulation 54520(a)(10). In addition, she has a conflict of interest due to her sister's employment with the Parent Infant Program. Therefore, Ms. Phillips submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

Since Ms. Phillips is an employee of an FNRC provider, her conflict resolution plan must follow the rules of W&I Section 4622(k).

After reviewing the submitted proposal and assuming that Ms. Phillips does not serve as an officer of the FNRC board, the staff recommendation is to approve Ms. Phillips' waiver request since Section 4626(c) permits her to serve even though she works for a provider, FNRC engages in the public board member recruitment process, and the proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Phillips): The staff recommendation is to approve Ms. Phillips' mitigation plan provided she does not participate in any board decision that impacts her employer and also complies with Section 4622(k) requirements.

FNRC Board Member
Colleen Ryberg

FACTS (Ryberg): Colleen Ryberg is a member of the governing board of the Far Northern Regional Center (FNRC). Ms. Ryberg's daughter-in-law is a provider of occupational therapy services to regional center consumers. Her daughter-in-law does not live with Ms. Ryberg, and Ms. Ryberg does not receive any financial benefit from her daughter-in-law's employment.

Ms. Ryberg was previously granted conflict of interest waivers by the Council in 2013, 2014, 2015, and 2016.

DISCUSSION (Ryberg): With regard to her daughter-in-law's work as service provider, Ms. Ryberg identifies a conflict of interest. Specifically, depending on the daughter-in-law's business and her position with the business, a conflict of interest may be identified under one of a number of regulatory sections. (See Regulations 54520 (a)(5), (a)(10), (a)(11), and/or (a)(13).) Therefore, Ms. Ryberg submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

After reviewing the submitted proposal, the staff recommendation is to approve Ms. Ryberg's waiver request since she receives no financial benefit from her daughter-in-law, FNRC engages in the public board member recruitment process, and the proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Ryberg): The staff recommendation is to approve Ms. Ryberg's waiver request.

FNRC Board Member
Rod Zikan

FACTS (Zikan): Rod Zikan is a member of the governing board of the Far Northern Regional Center (FNRC). He was appointed to the board under W&I Code Section 4622(i) as the representative of the board's advisory committee made up of providers. Mr. Zikan is employed by regional center providers BRAVO Program, Oasis Residential, and Don Ostendorf Center for Counseling. BRAVO Program provides adult day care services. Oasis Residential provides residential care services, and Don Ostendorf Center for Counseling provides counseling services.

Mr. Zikan has not previously been granted a conflict of interest waiver.

DISCUSSION (Zikan): With regard to his employment with BRAVO, Oasis, and the Ostendorf Center, Mr. Zikan identifies a conflict of interest under Regulation 54520(a)(10). Therefore, he submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

Since Mr. Zikan is an employee of an FNRC provider, his conflict resolution plan must follow the rules of W&I Section 4622(k).

After reviewing the submitted proposal and assuming that Mr. Zikan does not serve as an officer of the FNRC board, the staff recommendation is to approve Mr. Zikan's waiver request since he was appointed under W&I Code Section 4622(i) to represent the regional center provider advisory committee, FNRC engages in the public board member recruitment process, and the proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Zikan): The staff recommendation is to approve Mr. Zikan's mitigation plan provided he does not participate in any board decision that impacts any of his employers and also complies with Section 4622(k) requirements.

FNRC BOARDMEMBER	FACTS SUMMARY
William Battles	• Consumer representative • Works 15 hours per week as a Peer Instructor for provider We Care A Lot • Previously granted a conflict of interest waiver in 2016
Adam Beals	• Consumer representative • Works 18 hours per week for provider Siskiyou County Opportunity Center • Previously granted a conflict of interest waiver in 2016
Leslie Corletto	• Parent • Works 15 hours per week for provider Rowell Family Empowerment Center • Previously granted a conflict of interest waiver in 2016
Ronda Dever	• Parent • Ms. Dever's mother is a respite worker for Ms. Dever's autistic son and works for ARC of Butte County (ARC); she does not provide respite services to any other persons • Mother does not live with Ms. Dever nor does Ms. Dever receive any financial benefit from her mother. • Dever previously granted a conflict of interest waiver in 2016
Roger Hatton	• Consumer representative • Works part-time for providers CPE and GCD as delivery driver • Previously been granted a conflict of interest waiver in 2016
Susan Hess	• Consumer representative • Works 4 hours per week at provider Little Red Hen • Ms. Hess' husband also works about 4 hours per week at Little Red Hen. • Previously granted waivers in 2013, 2014, and 2016
Michelle Phillips	• Consumer representative • Works as a Life Guide/Peer Instructor 15 hours per week for provider We Care A Lot • Ms. Phillips' sister works as a Program Manager for provider Parent Infant Program • Previously granted a waivers in 2012, 2013, 2014, and 2016
Colleen Ryberg	• Member of the public • Ms. Ryberg's daughter-in-law is a provider of occupational therapy services to regional center consumers • Daughter-in-law does not live with Ms. Ryberg, and Ms. Ryberg does not receive any financial benefit from her daughter-in-law's employment. • Previously granted conflict of interest waivers by the Council in 2013, 2014, 2015, and 2016
Rod Zikan	• Provider; appointed to the board under W&I Code Section 4622(i) to represent providers • Employed by providers BRAVO, Oasis Residential, and Don Ostendorf Center for Counseling • Not previously granted a conflict of interest waiver.

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

RECEIVED
JUL 05 2017
STATE COUNCIL ON DEVELOPMENTAL DISABILITIES

June 1, 2017

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Executive Director

Re: Conflict of Interest, FNCC Board Member, William Battles

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, William Battles:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,

Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
William Battles

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 1, 2017

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest –
FNCC Board Member **William Battles**

Dear Mr. Smith:

FNCC Board member William Battles has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* He is requesting a conflict waiver.

Mr. Battles serves on the Board of Directors as a consumer representative for People First. In his annual Conflict of Interest Reporting Statement for 2016-17, he disclosed that he works approximately fifteen (15) hours per week as a Peer Instructor for We Care A Lot Foundation. We Care A Lot Foundation is a regional center provider of employment services.

Under Welfare and Institutions Code section 4626(c): "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services." Side from his employment with We Care A Lot, Mr. Battles has not disclosed any other potential conflict.

As a FNCC Board member, Mr. Battles has not had the opportunity or authority to approve any contract with We Care A Lot. However, in light of the potential conflict of interest raised by his employment, Mr. Battles has prepared a plan to avoid or mitigate an actual conflict of interest. (See proposed conflict resolution plan, attached).

The Board Chairperson, with support from the remaining Board members, will be responsible for ensuring that the conditions stated in the plan are applied.

This letter, with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

Please contact Executive Director Laura Larson if you have any questions concerning this matter.

Thank you for your assistance.

Sincerely,

LAURA L. LARSON
Executive Director

MARGARET SHIPP
Chairperson, FNCC Board of Directors

Encls: Conflict of Interest Reporting Statement – William Battles
Proposed Conflict of Interest Resolution Plan – William Battles

cc: State Council on Developmental Disabilities
FNCC Executive Committee
William Battles

May 19, 2017

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member **William Battles**

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a consumer representative for People First.

I have completed my annual Conflict of Interest Reporting Statement for 2017-18 disclosing a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to ask for approval of a conflict waiver.

I work for We Care A Lot Foundation approximately 15 hours per week as a Peer Instructor. We Care A Lot is a regional center provider of employment services..

Welfare and Institutions Code section 4626(c) provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."

Aside from my employment with We Care A Foundation, I do not have any other involvement that would present a possible conflict. I do not have any other involvement that would present a possible conflict.

However, under the circumstances, there may be situations when a conflict of interest could come up. As a result, I have prepared a plan to avoid any actual conflict:

1. As a member of FNRC's Board of Directors I will not make any recommendation, participate in any discussion or vote on any contract regarding We Care A Lot Foundation;
2. Should these issues arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;

3. I will not access any files kept by FNRC relating to We Care A Lot Foundation;
4. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of plans, policies, analyses, or recommendations pertaining to We Care A Lot Foundation.

I believe that this plan will resolve or mitigate any potential conflict of interest.

Thank you for your assistance,

WILLIAM BATTLES
Member, FNRC Board of Directors

Reset Form

CONFLICT OF INTEREST REPORTING STATEMENT
DS 6016 (Rev. 08/2013)

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

A. INFORMATION OF REPORTING INDIVIDUAL

Name: William Battles Regional Center: Far Northern

Regional Center Position/Title:
- ■ Governing Board Member
- ❑ Vendor Advisory Committee sitting on Board
- ❑ Contractor
- ❑ Agent
- ❑ Executive Director
- ❑ Employee
- ❑ Consultant

Reporting Status:
- ■ Annual
- ❑ New Appointment (date): _____
- ❑ Change of Status[1]

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.

[1] Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

2. Do you or a family member[2] work for any entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.

This Board member is a consumer who is employed by a provider of employment services and falls within Welfare & Institutions Code section 4626(c), which provides: "A person with a developmental disabilities who receives employment services through a regional center provider shall not be precluded from serving on the governing board oa regional center based solely upon receipt of these employment services." - Continue to #3 below -

3. Do you or a family member own or hold a position[3] in an entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.

I work approximately 15 hours per week for We care a Lot as a Peer Instructor.

4. Are you a regional center advisory committee board member? ☐ yes ☑ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ☐ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.

5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ☐ yes ☐ no -- If yes, please explain.

N/A

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[2] Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter–in-laws. See California Code of Regulations, title 17, sections 54505(f).

[3] For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member[4]? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].
☐ yes ☑ no -- If yes, please explain.

7. Are you responsible for negotiating, making,[5] executing or approving contracts on behalf of the regional center? ☑ yes ☐ no -- If yes, please explain.

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

8. Do you have a financial interest in any contract[6] with the regional center? ☐ yes ☑ no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☐ yes ☑ no
If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no
If yes, please explain.

[4] Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.
[5] California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.
[6] For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?
☐ yes ☑ no -- If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ☐ yes ☑ no -- If yes, please explain.

B. ATTESTATION

I William Battles (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars ($50,000) pursuant to Welfare and Institutions Code section 4626.

Signature William Battles Date 5/19/17

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual ☑ does ☐ does not have a ☐ present ☐ potential conflict of interest

Signature of Designated Reviewer	Date Review Completed
Laura Larson Director FNRC	May 19, 2017
Margaret Arrigo by Cynthia Rhoads	6-14-17

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

RECEIVED
JUL 05 2017
STATE COUNCIL ON DEVELOPMENTAL DISABILITIES

June 1, 2017

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Executive Director

Re: Conflict of Interest, FNCC Board Member, Adam Beals

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Adam Beals:

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- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,

Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Adam Beals

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 1, 2017

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest – FNCC Board Member **Adam Beals**

Dear Mr. Smith:

FNCC Board member Adam Beals has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* He is requesting a conflict waiver.

Mr. Beals serves on the Board of Directors as a consumer representative from Siskiyou County. In his annual Conflict of Interest Reporting Statement for 2016-17, he disclosed that he works in the mail center of the Siskiyou County Opportunity Center approximately 18 hours per week.

Under Welfare and Institutions Code section 4626(c): "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services." Aside from his employment with Siskiyou County Opportunity Center, Mr. Beals has not disclosed any other potential conflict.

As a FNCC Board member, Adam Beals has not had the opportunity or authority to approve any contract with Siskiyou County Opportunity Center. However, in light of the potential conflict of interest raised by his employment, Mr. Beals has prepared a plan to avoid or mitigate an actual conflict of interest. (See proposed conflict resolution plan, attached).

The Board Chairperson, with support from the remaining Board members, will be responsible for ensuring that the conditions stated in the plan are applied.

This letter, with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

Please contact Executive Director Laura Larson if you have any questions concerning this matter.

Thank you for your assistance.

Sincerely,

LAURA L. LARSON
Executive Director

MARGARET SHIPP
Chairperson, FNCC Board of Directors

Encls: Conflict of Interest Reporting Statement – Adam Beals
Proposed Conflict of Interest Resolution Plan – Adam Beals

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Adam Beals

May 19, 2017

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member **Adam Beals**

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a consumer representative for Siskiyou County.

I have completed my annual Conflict of Interest Reporting Statement for 207-18, disclosing a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to ask for approval of a conflict waiver.

I work in the mail center of the Siskiyou County Opportunity Center approximately 18 hours per week..

Welfare and Institutions Code section 4626(c) provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."

Aside from my employment with Siskiyou County Opportunity Center, I do not have any other involvement that would present a possible conflict.

However, under the circumstances, there may be situations when a conflict of interest could come up. As a result, I have prepared a plan to avoid any actual conflict:

1. As a member of FNRC's Board of Directors I will not make any recommendation, participate in any discussion or vote on any contract regarding Siskiyou County Opportunity Center;
2. Should these issues arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;

3. I will not access any files kept by FNRC relating to Siskiyou County Opportunity Center;
4. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of plans, policies, analyses, or recommendations pertaining to Siskiyou County Opportunity Center.

I believe that this plan will resolve or mitigate any potential conflict of interest.

Thank you for your assistance,

ADAM BEALS
Member, FNRC Board of Directors

Reset Form

CONFLICT OF INTEREST REPORTING STATEMENT
DS 6016 (Rev. 08/2013)

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

A. INFORMATION OF REPORTING INDIVIDUAL

Name: Adam Beals Regional Center: Far Northern

Regional Center Position/Title:
- ■ Governing Board Member
- ❑ Executive Director
- ❑ Vendor Advisory Committee sitting on Board
- ❑ Employee
- ❑ Contractor
- ❑ Agent
- ❑ Consultant

Reporting Status:
- ■ Annual
- ❑ New Appointment (date): _____
- ❑ Change of Status[1]

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.

[1] Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

2. Do you or a family member[2] work for any entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.

This Board member is a consumer who is employed by a provider of employment services and falls within Welfare & Institutions Code section 4626(c), which provides: "A person with a developmental disabiliti who receives employment services through a regional center provider shall not be precluded from serving on the governing board oa regional center based solely upon receipt of these employment services." - Continue to #3 below -

3. Do you or a family member own or hold a position[3] in an entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.

I work approximately 18 hours per week for Siskiyou County Opportunity Center.

4. Are you a regional center advisory committee board member? ☐ yes ☑ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ☐ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.

5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ☐ yes ☐ no -- If yes, please explain.

N/A

[2] Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter-in-laws. See California Code of Regulations, title 17, sections 54505(f).

[3] For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member[4]? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].
☐ yes ☑ no -- If yes, please explain.

7. Are you responsible for negotiating, making,[5] executing or approving contracts on behalf of the regional center? ☑ yes ☐ no -- If yes, please explain.

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

8. Do you have a financial interest in any contract[6] with the regional center? ☐ yes ☑ no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☐ yes ☑ no
If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no
If yes, please explain.

[4] Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

[5] California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

[6] For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?
☐ yes ☑ no -- If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ☐ yes ☑ no -- If yes, please explain.

B. ATTESTATION

I Adam Beals (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars ($50,000) pursuant to Welfare and Institutions Code section 4626.

Signature Adam Beals Date 5/19/2017

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual ☑ does ☐ does not have a ☐ present ☐ potential conflict of interest

Signature of Designated Reviewer	Date Review Completed
Laura Larson Director	

Margaret Shipp by Cynthia Rhodes 6-14-17

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

RECEIVED
JUL 05 2017
STATE COUNCIL ON DEVELOPMENTAL DISABILITIES

June 1, 2017

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Executive Director

Re: Conflict of Interest, FNCC Board Member, Leslie Corletto

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Leslie Corletto:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,

Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Leslie Corletto

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 1, 2017

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest –
FNCC Board Member **Leslie Corletto**

Dear Mr. Smith:

FNCC Board member Leslie Corletto has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* She is requesting a conflict waiver.

Mrs. Corletto is employed by Rowell Family Empowerment Center as a receptionist. She works approximately 15 hours per week. Rowell is an Early Start family resource center that serves families of infants and toddlers who have or are at risk of developing a disability.

As a FNCC Board member, Mrs. Corletto has not had an opportunity or authority to approve any contract with Rowell. However, in light of the potential conflict of interest raised by her involvement, she has prepared a plan to avoid or mitigate any actual conflict of interest. (See proposed conflict resolution plan, enclosed)

The Board Chairperson, with support from the remaining Board members, shall be responsible for ensuring that the conditions stated in the plan are applied. This letter with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title7, section 54533.

Please contact Executive Director, Laura Larson, if you have any questions concerning this matter.

Thank you for your assistance,

Sincerely,

LAURA L. LARSON
Executive Director

MARGARET SHIPP
Chairperson, FNCC Board of Directors

Enclosures
Conflict of Interest Report Statement – Leslie Corletto, May 19, 2017
Proposed Conflict of Interest Resolution Plan – Leslie Corletto

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Leslie Corletto

May 19, 2017

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member **Leslie Corletto**

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I was appointed to Far Northern Regional Center's Board of Directors on August 13, 2014, as a representative from Shasta County.

On May 19, 2017, I completed a Conflict of Interest Report Statement that disclosed a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to seek approval of a conflict waiver.

I currently am employed by Rowell Family Empowerment Center as a receptionist, working approximately 15 hours per week. This issue appears to be a potential conflict of interest. However, in my capacity as a FNRC Board Member, I do not have opportunity or authority to approve contracts with Rowell, or with any other provider of family resource services. Also in my employment with Rowell, I do not have any business decision-making authority, no do I have authority to approve or enter into a contract on behalf of Rowell. As a result, I propose the following plan to avoid and/or mitigate any conflict:

1. I do not currently, nor will I in the future, make any recommendation, participate in any discussion or vote on any vendor contract with FNRC regarding family resource services provided to consumers;
2. Should the issue of Early Start or family resource services arise during the course of a FRNC Board of Directors' meeting, I will excuse myself from the room;
3. I will not promote the Rowell Family Empowerment Center, to FNRC staff or consumers;
4. I will not discuss FNRC business, activities, or consumers with anyone at Rowell Family Empowerment Center;
5. I will not access any files kept by FNRC relating to my Rowell's vendorization, nor will I access any files relating to other providers of family resource services;

6. I will not participate individually, or as part of a group, in the preparation, presentation, formulation, or approval of reports, plans, policies, analyses, opinions or recommendations pertaining to my Rowell any other FNRC vendor of family resource services.

I believe that this plan will resolve or mitigate any perceived or potential conflict of interest.

Thank you for your assistance.

Leslie Corletto
Member, FNRC Board of Directors

Reset Form

CONFLICT OF INTEREST REPORTING STATEMENT
DS 6016 (Rev. 08/2013)

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

A. INFORMATION OF REPORTING INDIVIDUAL

Name: Leslie Corletto Regional Center: Far Northern

Regional Center Position/Title:
- ■ Governing Board Member
- ❑ Executive Director
- ❑ Vendor Advisory Committee sitting on Board
- ❑ Employee
- ❑ Contractor
- ❑ Agent
- ❑ Consultant

Reporting Status:
- ■ Annual
- ❑ New Appointment (date): _____
- ❑ Change of Status[1]

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.

[1] Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

2. Do you or a family member[2] work for any entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.

   I am currently employed as a receptionist with Rowell Family Empowerment, a regional center provider, approximately 15 hours per week. Rowell is an Early Start Family Resource Center, service families of infants and toddlers who have a diagnosed disability or who are at risk of developing a isability due to certain risk factors.

3. Do you or a family member own or hold a position[3] in an entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.

   See #2, above

4. Are you a regional center advisory committee board member? ☐ yes ☑ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ☐ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.

5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ☐ yes ☐ no -- If yes, please explain.

   N/A

[2] Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter–in-laws. See California Code of Regulations, title 17, sections 54505(f).

[3] For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member[4]? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].
☐ yes ☑ no -- If yes, please explain.

7. Are you responsible for negotiating, making,[5] executing or approving contracts on behalf of the regional center? ☑ yes ☐ no -- If yes, please explain.

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

8. Do you have a financial interest in any contract[6] with the regional center? ☐ yes ☑ no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☐ yes ☑ no
If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no
If yes, please explain.

---

[4] Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

[5] California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

[6] For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?
☐ yes ☑ no -- If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ☐ yes ☑ no -- If yes, please explain.

B. ATTESTATION

I Leslie Corletto (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars ($50,000) pursuant to Welfare and Institutions Code section 4626.

Signature Leslie Corletto Date 5/19/2017

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual ☑ does ☐ does not have a ☐ present ☐ potential conflict of interest

Signature of Designated Reviewer	Date Review Completed
✍ Margaret Shipp by Cynthia Rhea	6-19-17

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

RECEIVED
MAY 19 2017
STATE COUNCIL ON DEVELOPMENTAL DISABILITIES

May 16, 2017

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Executive Director

Re: Conflict of Interest, FNCC Board Member, Ronda Dever

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Ronda Dever:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,

Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Ronda Dever

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 21, 2017

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest – FNCC Board Member **Ronda Dever**

Dear Mr. Smith:

FNCC Board member Ronda Dever has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* She is requesting a conflict waiver.

Mrs. Dever's mother is a respite worker for her autistic son, through ARC of Butte County. She does not live in Mrs. Dever's home (different town), nor does Mrs. Dever gain any financial benefit from her. This fall within the exception provided in Title 17 of the California Code o Regulations, section 54505(b).

As a FNCC Board member, Mrs. Dever has not had an opportunity or authority to approve any contract with ARC of Butte County. However, in light of the potential conflict of interest raised by her involvement, she has prepared a plan to avoid or mitigate any actual conflict of interest. (See proposed conflict resolution plan, enclosed)

The Board Chairperson, with support from the remaining Board members, shall be responsible for ensuring that the conditions stated in the plan are applied. This letter with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title7, section 54533.

Please contact Executive Director, Laura Larson, if you have any questions concerning this matter.

Thank you for your assistance,

Sincerely,

LAURA L. LARSON
Executive Director

Margaret Shipp
Chairperson, FNCC Board of Directors

Enclosures
Conflict of Interest Report Statement – Ronda Dever, June 24, 2016
Proposed Conflict of Interest Resolution Plan – Ronda Dever

cc: State Council on Developmental Disabilities
FNCC Executive Committee

May 19, 2017

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member **Ronda Dever**

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a representative as a Member-at-Large.

My mother is a respite worker for my autistic son. She works for ARC of Butte County. She does not live with us nor do we gain any financial benefit from her. She lives in a different town than we do.

This falls within the exception provided in Title 17 of the California Code of Regulations, section 54505(b).

Since ARC of Butte County is FNRC provider, I understand that my involvement raises potential for a conflict of interest. Under the circumstances, I have prepared a plan to avoid or mitigate my actual conflict with ARC of Butte County, and request assistance from the Board in obtaining a DDS waiver.

In my capacity as a FNRC Board Member, I do not have opportunity or authority to approve any contract with ARC of Butte County, or with any pother provider of family resource services.

In my involvement with ARC OF Butte County, I do not have any business decision-making authority, nor do I have authority to approve or enter into a contract on behalf of ARC of Butte County.

The purpose of this letter is to ask the Board to approve my avoidance/mitigation plan, and to submit a request for conflict waiver to DDS on my behalf. My plan is:

1. I do not currently, not will I in the future, make any recommendation, participate in any discussion or vote on any vendor contract with FNRC regarding ARC of Butte County or any other vendor providing respite to families of consumers who have diagnosed disability or who are at risk of developing a disability;
2. Should the issue of ARC of Butte County or any other vendor providing respite arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;
3. I will not promote ARC of Butte County to FNRC staff or consumers;
4. I will not discuss FNRC business or activities, or consumers with any principals or employees of ARC of Butte County;
5. I will not access any files kept by FNRC RELATING TO arc of Butte County's vendorization, nor will I access any files relating to other respite, should there by one.
6. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of reports, plans, policies, analyses, opinions or recommendations pertaining to ARC of Butte County.

Executive Director Laura Larson and Chairperson of FNRC's Board of Directors have agreed to oversee the plan and ensure that its safeguards are applied.

Thank for your assistance,

Very truly yours,

Ronda Dever

RONDA DEVER
Member, FNRC, Board of Directors.

Reset Form

CONFLICT OF INTEREST REPORTING STATEMENT
DS 6016 (Rev. 08/2013)

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

A. INFORMATION OF REPORTING INDIVIDUAL

Name: Ronda D. Dever Regional Center: Far Northern

Regional Center Position/Title:
- ■ Governing Board Member
- ❑ Vendor Advisory Committee sitting on Board
- ❑ Contractor
- ❑ Agent
- ❑ Executive Director
- ❑ Employee
- ❑ Consultant

Reporting Status:
- ■ Annual
- ❑ New Appointment (date): _____
- ❑ Change of Status[1]

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.

[1] Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

2. Do you or a family member[2] work for any entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.

My mother is a respite worker for my autistic son. She works for ARC of Butte County. She does not live with us nor do we gain any financial benefit from her. She lives ina different town than we do.

This falls within the exception provided in Title 17 of the California Code of Regulations, section 54505(b)

3. Do you or a family member own or hold a position[3] in an entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.

See #2 above.

4. Are you a regional center advisory committee board member? ☐ yes ☑ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ☐ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.

5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ☐ yes ☐ no -- If yes, please explain.

N/A

[2] Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter-in-laws. See California Code of Regulations, title 17, sections 54505(f).

[3] For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member[4]? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].
☐ yes ☑ no -- If yes, please explain.

7. Are you responsible for negotiating, making,[5] executing or approving contracts on behalf of the regional center? ☑ yes ☐ no -- If yes, please explain.

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

8. Do you have a financial interest in any contract[6] with the regional center? ☐ yes ☑ no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☐ yes ☑ no
If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no
If yes, please explain.

[4] Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.
[5] California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.
[6] For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?
☐ yes ☑ no -- If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ☐ yes ☑ no -- If yes, please explain.

B. ATTESTATION

I Ronda D. Dever (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars ($50,000) pursuant to Welfare and Institutions Code section 4626.

Signature Ronda D. Dever Date 5/19/17

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual ☐ does ☑ does not have a ☐ present ☐ potential conflict of interest

Signature of Designated Reviewer	Date Review Completed
Laura Larson Director FNRC Cynthia Rhoads for Margaret Shipp	May 19, 2017

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives.

Laura Larson
Executive Director

June 1, 2017

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Executive Director

Re: Conflict of Interest, FNCC Board Member, Roger Hatton

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Roger Hatton:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,

Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Roger Hatton

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 1, 2017

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest – FNCC Board Member **Roger Hatton**

Dear Mr. Smith:

FNCC Board member Roger Hatton has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* He is requesting a conflict waiver.

Mr. Hatton serves on the Board of Directors as a consumer representative for Shasta County. In his annual Conflict of Interest Reporting Statement for 2017-18, He disclosed that he works approximately 29 hours per week driving delivery vehicles for both CPE Food Pantry and GCD Gym.

Under Welfare and Institutions Code section 4626(c): "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services." Aside from his employment with CPE Food Pantry and GCD Gym, Mr. Hatton has not disclosed any other potential conflict.

As a FNCC Board member, Roger Hatton has not had the opportunity or authority to approve any contract with CPE Food Pantry or GCD Gym. However, in light of the potential conflict of interest raised by his employment, Mr. Hatton has prepared a plan to avoid or mitigate an actual conflict of interest. (See proposed conflict resolution plan, attached).

The Board Chairperson, with support from the remaining Board members, will be responsible for ensuring that the conditions stated in the plan are applied.

This letter, with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

Please contact Executive Director Laura Larson if you have any questions concerning this matter.

Thank you for your assistance.

Sincerely,

LAURA L. LARSON
Executive Director

MARGARET SHIPP
Chairperson, FNCC Board of Directors
by Cynthia Rheault

Encls: Conflict of Interest Reporting Statement – Roger Hatton
Proposed Conflict of Interest Resolution Plan – Roger Hatton

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Roger Hatton

May 19, 2017

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member **Roger Hatton**

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a consumer representative for Butte County.

I have completed my annual Conflict of Interest Reporting Statement for 207-18, disclosing a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to ask for approval of a conflict waiver.

I work approximately 29 hours per week driving delivery vehicles for CPE Food Pantry and GCD Gym.

Welfare and Institutions Code section 4626(c) provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."

Aside from my employment with CPE Food Pantry and GCD Gym, I do not have any other involvement that would present a possible conflict.

However, under the circumstances, there may be situations when a conflict of interest could come up. As a result, I have prepared a plan to avoid any actual conflict:

1. As a member of FNRC's Board of Directors I will not make any recommendation, participate in any discussion or vote on any contract regarding CPE Food Pantry or GCD Gym
2. Should these issues arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;

3. I will not access any files kept by FNRC relating to CPE Food Pantry or GCD Gym;
4. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of plans, policies, analyses, or recommendations pertaining to CPE Food Pantry or GCD Gym.

I believe that this plan will resolve or mitigate any potential conflict of interest.

Thank you for your assistance,

ROGER HATTON
Member, FNRC Board of Directors

Reset Form

CONFLICT OF INTEREST REPORTING STATEMENT
DS 6016 (Rev. 08/2013)

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

A. INFORMATION OF REPORTING INDIVIDUAL

Name: Roger Hatton Regional Center: Far Northern

Regional Center Position/Title:
- ■ Governing Board Member
- ❑ Vendor Advisory Committee sitting on Board
- ❑ Contractor
- ❑ Agent
- ❑ Executive Director
- ❑ Employee
- ❑ Consultant

Reporting Status:
- ■ Annual
- ❑ New Appointment (date): _____
- ❑ Change of Status[1]

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.

[1] Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

2. Do you or a family member[2] work for any entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.

I am currently employed by both CPE Food Pantry and GCD Gym. I work approximately 29 hours per week driving delivery vehicles for these businesses.

3. Do you or a family member own or hold a position[3] in an entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.

See #2, above

4. Are you a regional center advisory committee board member? ☐ yes ☑ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ☐ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.

5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ☐ yes ☐ no -- If yes, please explain.

N/A

[2] Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter–in-laws. See California Code of Regulations, title 17, sections 54505(f).

[3] For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member[4]? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].
☐ yes ☑ no -- If yes, please explain.

7. Are you responsible for negotiating, making,[5] executing or approving contracts on behalf of the regional center? ☑ yes ☐ no -- If yes, please explain.

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

8. Do you have a financial interest in any contract[6] with the regional center? ☐ yes ☑ no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☐ yes ☑ no
If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no
If yes, please explain.

---

[4] Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

[5] California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

[6] For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?
☐ yes ☑ no -- If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ☐ yes ☑ no -- If yes, please explain.

B. ATTESTATION

I Roger Hatton (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars ($50,000) pursuant to Welfare and Institutions Code section 4626.

Signature Roger D Hatton Date 6-7-19

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual ☐ does ☐ does not have a ☐ present ☐ potential conflict of interest

Signature of Designated Reviewer	Date Review Completed
✍	

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 1, 2017

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Executive Director

Re: Conflict of Interest, FNCC Board Member, Susan Hess

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Susan Hess:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,

Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Susan Hess

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 1, 2017

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest – FNCC Board Member **Susan Hess**

Dear Mr. Smith:

FNCC Board member Susan Hess has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* She is requesting a conflict waiver.

Mrs. Hess serves on the Board of Directors as a consumer representative for Butte County. In her annual Conflict of Interest Reporting Statement for 2016-17, she disclosed that she works approximately four (4) hours per week at Little Red Hen. Her husband, Ted Hess, also works approximately four (4) hours per week at Little Red Hen. Little Red Hen is a regional center provider of employment services.

Under Welfare and Institutions Code section 4626(c): "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services." Aside from her and her husband's employment with Little Red Hen, Mrs. Hess has not disclosed any other potential conflict.

As a FNCC Board member, Susan Hess has not had the opportunity or authority to approve any contract with Little Red Hen. However, in light of the potential conflict of interest raised by her employment and the employment of her husband, Mrs. Hess has prepared a plan to avoid or mitigate an actual conflict of interest. (See proposed conflict resolution plan, attached).

The Board Chairperson, with support from the remaining Board members, will be responsible for ensuring that the conditions stated in the plan are applied.

This letter, with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

Please contact Executive Director Laura Larson if you have any questions concerning this matter.

Thank you for your assistance.

Sincerely,

LAURA L. LARSON
Executive Director

MARGARET SHIPP
Chairperson, FNCC Board of Directors

Encls: Conflict of Interest Reporting Statement – Susan Hess
Proposed Conflict of Interest Resolution Plan – Susan Hess

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Susan Hess

May 19, 2017

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member **Susan Hess**

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a consumer representative for Butte County.

I have completed my annual Conflict of Interest Reporting Statement for 207-18, disclosing a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to ask for approval of a conflict waiver.

I work at Little Red Hen approximately four (4) hours per week. My husband, Ted Hess, also works at Little Red approximately four (4) hours per week.

Welfare and Institutions Code section 4626(c) provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."

Aside from my employment with Little Red Hen, I do not have any other involvement that would present a possible conflict.

However, under the circumstances, there may be situations when a conflict of interest could come up. As a result, I have prepared a plan to avoid any actual conflict:

1. As a member of FNRC's Board of Directors I will not make any recommendation, participate in any discussion or vote on any contract regarding Little Red Hen;
2. Should these issues arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;

3. I will not access any files kept by FNRC relating to Little Red Hen;
4. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of plans, policies, analyses, or recommendations pertaining to Little Red Hen.

I believe that this plan will resolve or mitigate any potential conflict of interest.

Thank you for your assistance,

SUSAN HESS
Member, FNRC Board of Directors

Reset Form

CONFLICT OF INTEREST REPORTING STATEMENT
DS 6016 (Rev. 08/2013)

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

A. INFORMATION OF REPORTING INDIVIDUAL

Name: Susan Hess Regional Center: Far Northern

Regional Center Position/Title:
- ■ Governing Board Member
- ❑ Executive Director
- ❑ Vendor Advisory Committee sitting on Board
- ❑ Employee
- ❑ Contractor
- ❑ Agent
- ❑ Consultant

Reporting Status:
- ■ Annual
- ❑ New Appointment (date): _____
- ❑ Change of Status[1]

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.

[1] Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

2. Do you or a family member[2] work for any entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.

I am currently employed at Little Red Hen, a regional center provider, approximately four (4) hours per week. My husband, Ted Hess, is also employed four (4) hours per week at Little Red Hen.

3. Do you or a family member own or hold a position[3] in an entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.

See #2, above

4. Are you a regional center advisory committee board member? ☐ yes ☑ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ☐ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.

5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ☐ yes ☐ no -- If yes, please explain.

N/A

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[2] Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter–in-laws. See California Code of Regulations, title 17, sections 54505(f).

[3] For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member[4]? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].
☐ yes ☑ no -- If yes, please explain.

7. Are you responsible for negotiating, making,[5] executing or approving contracts on behalf of the regional center? ☑ yes ☐ no -- If yes, please explain.

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

8. Do you have a financial interest in any contract[6] with the regional center? ☐ yes ☑ no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☐ yes ☑ no
If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no
If yes, please explain.

---

[4] Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

[5] California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

[6] For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?
☐ yes ☑ no -- If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ☐ yes ☑ no -- If yes, please explain.

B. ATTESTATION

I Susan Hess (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars ($50,000) pursuant to Welfare and Institutions Code section 4626.

Signature Susan Hess Date May 19, 2017

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual ☑ does ☐ does not have a ☐ present ☐ potential conflict of interest

Signature of Designated Reviewer	Date Review Completed
Laura Larson	May 19, 2017

Margaret Shipley by Cynthia Russell 6-14-17

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

RECEIVED
JUL 05 2017
STATE COUNCIL ON DEVELOPMENTAL DISABILITIES

May 16, 2017

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Executive Director

Re: Conflict of Interest, FNCC Board Member, Michelle Phillips

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Michelle Phillips:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,

Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Michelle Phillips

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 1, 2017

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest – FNCC Board Member **Michelle Phillips**

Dear Mr. Smith:

FNCC Board member Michelle Phillips has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* She is requesting a conflict waiver.

Ms. Phillips serves on the Board of Directors as a Member-at-large consumer representative. In her annual Conflict of Interest Reporting Statement for 2016-17, she disclosed that she works as a Life Guide and Peer Instructor 15 – 17 hours per week at We Care A Lot Foundation. Also, her sis is a Program Manager for Parent Infant Program.

Under Welfare and Institutions Code section 4626(c): "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services." Aside from her employment with We Care A Lot Foundation, and her sister's employment with Parent Infant Program, Ms. Phillips has not disclosed any other potential conflict.

As a FNCC Board member, Michelle Phillips has not had the opportunity or authority to approve any contract with We Care A Lot Foundation or Parent Infant Program. However, in light of the potential conflict of interest raised by her employment and the employment of her sister, Ms. Phillips has prepared a plan to avoid or mitigate an actual conflict of interest. (See proposed conflict resolution plan, attached).

The Board Chairperson, with support from the remaining Board members, will be responsible for ensuring that the conditions stated in the plan are applied.

This letter, with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

Please contact Executive Director Laura Larson if you have any questions concerning this matter.

Thank you for your assistance.

Sincerely,

LAURA L. LARSON
Executive Director

MARGARET SHIPP
Chairperson, FNCC Board of Directors

Encls: Conflict of Interest Reporting Statement – Michelle Phillips
Proposed Conflict of Interest Resolution Plan – Michelle Phillips

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Michelle Phillips

May 19, 2017

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member **Michelle Phillips**

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a Member-at-Large consumer representative.

I have completed my annual Conflict of Interest Reporting Statement for 2017-18 disclosing a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to ask for approval of a conflict waiver.

I work for We Care A Lot Foundation as a Life Guide & Peer Instructor, approximately 15 hours per week. In addition, my sister is a Program Manager at Parent Infant Program.

Welfare and Institutions Code section 4626(c) provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."

Aside from my employment with We Care A Foundation and my sister's employment with Parent Infant Program, I do not have any other involvement that would present a possible conflict. I do not have any other involvement that would present a possible conflict.

However, under the circumstances, there may be situations when a conflict of interest could come up. As a result, I have prepared a plan to avoid any actual conflict:

1. As a member of FNRC's Board of Directors I will not make any recommendation, participate in any discussion or vote on any contract regarding We Care A Lot Foundation or Parent Infant Program;
2. Should these issues arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;

3. I will not access any files kept by FNRC relating to We Care A Lot Foundation or Parent Infant Program;
4. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of plans, policies, analyses, or recommendations pertaining to We Care A Lot Foundation or Parent Infant Program.

I believe that this plan will resolve or mitigate any potential conflict of interest.

Thank you for your assistance,

MICHELLE PHILLIPS
Member, FNRC Board of Directors

Reset Form

CONFLICT OF INTEREST REPORTING STATEMENT
DS 6016 (Rev. 08/2013)

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

A. INFORMATION OF REPORTING INDIVIDUAL

Name: Michelle Phillips Regional Center: Far Northern

Regional Center Position/Title:
- ■ Governing Board Member
- ❑ Executive Director
- ❑ Vendor Advisory Committee sitting on Board
- ❑ Employee
- ❑ Contractor
- ❑ Agent
- ❑ Consultant

Reporting Status:
- ■ Annual
- ❑ New Appointment (date): _____
- ❑ Change of Status[1]

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.

[1] Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

2. Do you or a family member[2] work for any entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.

   I am currently employed at We Care A Lot Foundation, a regional center provider, approximately fifteen hours per week.

   My sister is the program manager for Parent Infant Program, a regional center provider.

3. Do you or a family member own or hold a position[3] in an entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.

   See #2, above

4. Are you a regional center advisory committee board member? ☐ yes ☑ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ☐ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.

5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ☐ yes ☐ no -- If yes, please explain.

   N/A

[2] Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter–in-laws. See California Code of Regulations, title 17, sections 54505(f).

[3] For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member[4]? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].
☐ yes ☑ no -- If yes, please explain.

7. Are you responsible for negotiating, making,[5] executing or approving contracts on behalf of the regional center? ☑ yes ☐ no -- If yes, please explain.

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

8. Do you have a financial interest in any contract[6] with the regional center? ☐ yes ☑ no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☐ yes ☑ no
If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no
If yes, please explain.

[4] Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

[5] California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

[6] For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?
☐ yes ☑ no -- If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ☐ yes ☑ no -- If yes, please explain.

B. ATTESTATION

I Michelle Phillips (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars ($50,000) pursuant to Welfare and Institutions Code section 4626.

Signature [signature] Date 5/19/17

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual ☑ does ☐ does not have a ☐ present ☐ potential conflict of interest

Signature of Designated Reviewer	Date Review Completed
[signature] Margaret Shipp by Cynthia Presnell	5/19/17

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

RECEIVED
JUL 05 2017
STATE COUNCIL ON DEVELOPMENTAL DISABILITIES

May 16, 2017

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Executive Director

Re: Conflict of Interest, FNCC Board Member, Colleen Ryberg

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Colleen Ryberg:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,

Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Colleen Ryberg

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 1, 2017

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest – FNCC Board Member **Colleen Ryberg**

Dear Mr. Smith:

FNCC Board member Colleen Ryberg has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* She is requesting a conflict waiver.

Mrs. Ryberg's daughter-in-law, Stacy Neil-Wiseman, is a provider of occupational therapy services to regional center consumers. Stacy is an independent adult. She does not live with Mrs. Ryberg, and Mrs. Ryberg does not receive any financial benefit as a result of Ms. Neill-Wiseman's employment as an occupational therapist.

As a FNCC Board member, Mrs. Ryberg has not had an opportunity or authority to approve any contract with Stacy Neil-Wiseman. However, in light of the potential conflict of interest raised by her involvement, she has prepared a plan to avoid or mitigate any actual conflict of interest. (See proposed conflict resolution plan, enclosed)

The Board Chairperson, with support from the remaining Board members, shall be responsible for ensuring that the conditions stated in the plan are applied. This letter with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title7, section 54533.

Please contact Executive Director, Laura Larson, if you have any questions concerning this matter.

Thank you for your assistance,

Sincerely,

LAURA L. LARSON
Executive Director

MARGARET SHIPP
Chairperson, FNCC Board of Directors

Enclosures
Conflict of Interest Report Statement – Colleen Ryberg, May 19, 2017
Proposed Conflict of Interest Resolution Plan – Colleen Ryberg

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Colleen Ryberg

May 19, 2017

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member **Colleen Ryberg**

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I was appointed to Far Northern Regional Center's Board of Directors on January 1, 2013, as the representative from Trinity County.

On May 19, 2017, I completed a Conflict of Interest Report Statement that disclosed a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to seek approval of a conflict waiver.

My daughter-in-law, Stacy Neill-Wiseman, is a provider of occupational therapy services to regional center consumers. Stacy is an independent adult. She does not live with me, and I do not receive any financial benefit as a result of her employment as an occupational therapist. This issue appears to be a potential conflict of interest. As a result, I propose the following plan to avoid and/or mitigate any conflict:

1. I do not currently, nor will I in the future, make any recommendation, participate in any discussion or vote on any vendor contract with FNRC regarding occupational therapy services provided to consumers;
2. Should the issue of occupational therapy services arise during the course of a FRNC Board of Directors' meeting, I will excuse myself from the room;
3. I will not promote my daughter-in-law, to FNRC staff or consumers;
4. I will not discuss FNRC business, activities, or consumers with my daughter-in-law;
5. I will not access any files kept by FNRC relating to my daughter-in-law's vendorization, nor will I access any files relating to other providers of occupational therapy services;
6. I will not participate individually, or as part of a group, in the preparation, presentation, formulation, or approval of reports, plans, policies, analyses, opinions or recommendations pertaining to my daughter-in-law any other FNRC vendor of occupational therapy services.

I believe that this plan will resolve or mitigate any perceived or potential conflict of interest.

Thank you for your assistance.

Colleen Ryberg
Member, FNRC Board of Directors

Reset Form

CONFLICT OF INTEREST REPORTING STATEMENT
DS 6016 (Rev. 08/2013)

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

A. INFORMATION OF REPORTING INDIVIDUAL

Name: Colleen Sue Ryberg Regional Center: Far Northern

Regional Center Position/Title:
- ■ Governing Board Member
- ❑ Vendor Advisory Committee sitting on Board
- ❑ Contractor
- ❑ Agent
- ❑ Executive Director
- ❑ Employee
- ❑ Consultant

Reporting Status:
- ■ Annual
- ❑ New Appointment (date): _____
- ❑ Change of Status[1]

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.

Board Member – Chairman of Finance Committee

[1] Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

2. Do you or a family member[2] work for any entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.

My daughter-in-law, Stacy Neil-Wiseman, is a provider of occupational therapy services to regional center consumers.

3. Do you or a family member own or hold a position[3] in an entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.

See #2, above

4. Are you a regional center advisory committee board member? ☐ yes ☑ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ☐ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.

5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ☐ yes ☐ no -- If yes, please explain.

N/A

[2] Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter–in-laws. See California Code of Regulations, title 17, sections 54505(f).

[3] For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member[4]? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].
☐ yes ☑ no -- If yes, please explain.

7. Are you responsible for negotiating, making,[5] executing or approving contracts on behalf of the regional center? ☑ yes ☐ no -- If yes, please explain.

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

8. Do you have a financial interest in any contract[6] with the regional center? ☐ yes ☑ no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☐ yes ☑ no
If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no
If yes, please explain.

[4] Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

[5] California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

[6] For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

- ☑ Governing Board Member
- ☐ Vendor Advisory on Board
- ☐ Executive Director
- ☐ Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?
☐ yes ☑ no -- If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ☐ yes ☑ no -- If yes, please explain.

B. ATTESTATION

I Colleen Sue Ryberg (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars ($50,000) pursuant to Welfare and Institutions Code section 4626.

Signature Colleen Sue Ryberg Date 5-19-17

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual ☑ does ☐ does not have a ☐ present ☐ potential conflict of interest

Signature of Designated Reviewer	Date Review Completed
Laura L Larson Director FNRC	5-19-17

Margaret Shipp by Cynthia R Prescher 6-14-17

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

July 1, 2017

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Executive Director

Re: Conflict of Interest, FNCC Board Member, Rod Zikan

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Rod Zikan:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,

Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Rod Zikan

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 1, 2017

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest –
FNCC Board Member **Rod Zikan**

Dear Mr. Smith:

FNCC Board member Rod Zikan has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* He is requesting a conflict waiver.

Mr. Zikan is employed by BRAVO Program and Oasis Residential. BRAVO Program provides adult day care services and Oasis Residential provides residential care services

As a FNCC Board member, Mr. Zikan has not had an opportunity or authority to approve any contracts with BRAVO Program or Oasis Residential. However, in light of the potential conflict of interest raised by his involvement, he has prepared a plan to avoid or mitigate any actual conflict of interest. (See proposed conflict resolution plan, enclosed)

The Board Chairperson, with support from the remaining Board members, shall be responsible for ensuring that the conditions stated in the plan are applied. This letter with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title7, section 54533.

Please contact Executive Director, Laura Larson, if you have any questions concerning this matter.

Thank you for your assistance,

Sincerely,

LAURA L. LARSON
Executive Director

MARGARET SHIPP
Chairperson, FNCC Board of Directors

Enclosures
Conflict of Interest Report Statement – Rod Zikan, May 19, 2017
Proposed Conflict of Interest Resolution Plan – Rod Zikan

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Rod Zikan

June 28, 2017

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member **Rod Zikan**

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I was appointed to Far Northern Regional Center's Board of Directors as the representative from the Service Providers Advisory Committee.

I work for BRAVO Program, Oasis Residential and Don Ostendorf Center for Counseling. BRAVO Program provides adult day care services, Oasis Residential provides residential care services and Don Ostendorf Center for Counseling provides counseling services.

This falls within the exception provided in Title 17 of the California Code of Regulations, section 54505(b).

Since BRAVO Program and Oasis Residential are FNRC providers, I understand that my employment raises potential for a conflict of interest. Under the circumstances, I have prepared a plan to avoid or mitigate my actual conflict with BRAVO Program, Oasis Residential, and Don Ostendorf Center for Counseling and request assistance from the Board in obtaining a DDS wavier

In my capacity as a FNRC Board Member, I do not have the opportunity or authority to approve any contract with BRAVO Program, Oasis Residential, or Don Ostendorf Center for Counseling or with any other provider of adult day care services, residential care services or counseling services.

The purpose of this letter is to ask the Board to approve my avoidance/mitigation plan, and to submit a request for conflict waiver to DDS on my behalf. My plan is:

1. I do not currently, nor will I in the future, make any recommendation, participate in any discussion or vote on any vendor contract with FNRC regarding BRAVO Program or any other vendor providing adult day care services to consumers or families of consumers who have a diagnosed disability or who are at risk of developing a disability;

2. I do not currently, nor will I in the future, make any recommendation, participate in any discussion or vote on any vendor contract with FNRC regarding Oasis Residential or any other vendor providing residential care services to consumers or families of consumers who have a diagnosed disability or who are at risk of developing a disability;
3. I don not currently, nor will I in the future, make any recommendation, participate in any discussion or vote on any vendor contract with FNRC regarding Don Ostendorf Center for Counseling or any other vendor providing counseling services to consumers or families of consumer who have a diagnosed disability or who are at risk of developing a disability;
4. Should the issue of BRAVO Program or any other vendor providing adult day care services arise during the course of a FRNC Board of Directors' meeting, I will excuse myself from the room;
5. Should the issue of Oasis Residential or any other vendor providing residential care services arise during the course of a FNRC Board of Director's meeting, I will excuse myself from the room;
6. Should the issue of Don Ostendorf Center for Counseling or any other vendor providing counseling services arise during the course of a FNRC Board of Director's meeting, I will excuse myself from the room;
7. I will not promote my BRAVO Program to FNRC staff or consumers;
8. I will not promote Oasis Residential to FNRC staff or consumers;
9. I will not promote Don Ostendorf Center for Counseling to FNRC staff or consumers;
10. I will not discuss FNRC business, activities, or consumers with any principals or employees of BRAVO Program;
11. I will not discuss FNRC business, activities, or consumers with any principals or employees of Oasis Residential;
12. I will not discuss FNRC business, activities, or consumers with any principals or employees of Don Ostendorf Center for Counseling;
13. I will not access any files kept by FNRC relating to BRAVO Program's vendorization, nor will I access any files relating to other providers of adult day care services;
14. I will not access any files kept by FNRC relating to Oasis Residential's vendorization, nor will I access any files relating to other providers of residential care services;
15. I will not access any files kept by FNRC relating to Don Ostendorf Center for Counseling's vendorzation, nor will I access any files relating to other providers of residential care services;
16. I will not participate individually, or as part of a group, in the preparation, presentation, formulation, or approval of reports, plans, policies, analyses, opinions or recommendations pertaining to BRAVO Program or any other FNRC vendor of adult day care services'

17. I will not participate individually, or as part of a group, in the preparation, presentation, formulation, or approval of reports, plans, policies, analyses, opinions, or recommendations pertaining to Oasis Residential or any other FNRC vendor of residential care services.
18. I will not participate individually, or as part of a group, in the preparation, presentation, formulation, or approval of reports, plans, policies, analyses, opinions, or recommendations pertaining to Don Ostendorf Center for Counseling or any other FNRC vendor of counseling services.

I believe that this plan will resolve or mitigate any perceived or potential conflict of interest.

Thank you for your assistance.

Rod Zikan
Member, FNRC Board of Directors

Reset Form

CONFLICT OF INTEREST REPORTING STATEMENT
DS 6016 (Rev. 08/2013)

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

A. INFORMATION OF REPORTING INDIVIDUAL

Name: Rod Zikan Regional Center: Far Northern

Regional Center Position/Title:
- ■ Governing Board Member
- ❑ Executive Director
- ❑ Vendor Advisory Committee sitting on Board
- ❑ Employee
- ❑ Contractor
- ❑ Agent
- ❑ Consultant

Reporting Status:
- ■ Annual
- ❑ New Appointment (date): _____
- ❑ Change of Status[1]

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.

N/A

[1] Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

2. Do you or a family member[2] work for any entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.

I work for BRAVO Program and Oasis Residential. BRAVO provides adult day care services while Oasis provides residential care services.

I also work for Don Ostendorf center for counseling, which provides counseling services for Regional Center clients

3. Do you or a family member own or hold a position[3] in an entity or organization that is a regional center provider or contractor? ☑ yes ☐ no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.

See #2, above

4. Are you a regional center advisory committee board member? ☑ yes ☐ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ☑ yes ☐ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.

BRAVO provides adult day care services. Oasis provides adult residential services

Don Ostendorf Center provides counseling for FNRC clients

5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ☐ yes ☑ no -- If yes, please explain.

As the SPAC rep to the Board of Directors, I cannot hold an office or vote on Purchase of Service issues.

---

[2] Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter–in-laws. See California Code of Regulations, title 17, sections 54505(f).

[3] For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

☑ Governing Board Member
☐ Vendor Advisory on Board
☐ Executive Director
☐ Employee/Other

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member[4]? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].
☐ yes ☑ no -- If yes, please explain.

7. Are you responsible for negotiating, making,[5] executing or approving contracts on behalf of the regional center? ☑ yes ☐ no -- If yes, please explain.

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions. However, I do not participate in discussions, recommendatons, negotiating, making executing or approving contracts between the Regional Center and any provider.

8. Do you have a financial interest in any contract[6] with the regional center? ☐ yes ☑ no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☐ yes ☑ no
If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ☐ yes ☐ no
If yes, please explain.

---

[4] Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

[5] California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

[6] For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

- ☑ Governing Board Member
- ☐ Vendor Advisory on Board
- ☐ Executive Director
- ☐ Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?
☐ yes ☑ no -- If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ☐ yes ☑ no -- If yes, please explain.

B. ATTESTATION

I Rod Zikan (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars ($50,000) pursuant to Welfare and Institutions Code section 4626.

Signature Rod W Zikan Date 6.16.17

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual ☑ does ☐ does not have a ☐ present ☐ potential conflict of interest

Signature of Designated Reviewer	Date Review Completed
Margaret Shipp by Cynthia Presle	6-29-17

HARBOR REGIONAL CENTER

July 24, 2017

Brian Winfield, Assistant Deputy Director
Department of Developmental Services
1600 Ninth Street
Room 340, MS 3-8
Sacramento, CA 95814

Re: Conflict of Interest

Dear Mr. Winfield:

Attached is a Conflict of Interest Resolution Plan for Harbor Regional Center Executive Director, Patricia Del Monico. We look forward to hearing from you in response to this plan.

Sincerely,

Tammy Carter
Director of Human Resources

c: Mariano Sanz
Patricia Del Monico

MEMORANDUM

to: **Brian Winfield, Assistant Deputy Director, Department of Developmental Services**
from: **Tammy Carter, Harbor Regional Center Director of Human Resources**
date: **July 24, 2017**
subject: **Conflict of Interest Resolution Plan**

Nature of the Conflict:
Patricia Del Monico is the Executive Director of the Harbor Regional Center. Patricia Del Monico's sister, Barbara del Monico, is employed by California Mentor as a manager. California Mentor provides services and supports for Harbor Regional Center clients.

Proposed Actions to Eliminate the Conflict:

- All negotiations with California Mentor for the development or provision of services for Harbor Regional Center clients will be conducted by the HRC Director of Community Services working in collaboration with the HRC Chief Financial Officer. Patricia Del Monico shall not be involved in any way in any such negotiations nor in the execution of any contracts between Harbor Regional Center and California Mentor.
- All decisions to refer individual clients to services provided by California Mentor shall be made as part of the individual program planning process and approved by an HRC Client Services Manager and/or the HRC Director of Early Childhood Services or the HRC Director of Children's Services or the HRC Director of Adult Services. No such decision shall be reviewed by or approved by Patricia Del Monico.
- Patricia Del Monico shall not participate in the preparation, presentation, formulation or approval of reports, plans, policies, analyses or recommendations regarding California Mentor.
- The HRC Director of Human Resources and the HRC Board President shall ensure that this plan is implemented and monitored.

Signed by:

July 25, 2017
Patricia Del Monico, ~~HRC Executive Director~~ date

July 25, 2017
Tammy Carter, HRC Director of Human Resources date

July 25, 2017
Mariano Sanz, HRC Board President date

[redacted]

CONFLICT OF INTEREST REPORTING STATEMENT
DS 6016 (Rev. 08/2013)

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

A. INFORMATION OF REPORTING INDIVIDUAL

Name: Patricia Del Monico Regional Center: Harbor Regional Center

Regional Center Position/Title:
- ☐ Governing Board Member
- ☐ Vendor Advisory Committee sitting on Board
- ☐ Contractor
- ☐ Agent
- ☑ Executive Director
- ☐ Employee
- ☐ Consultant

Reporting Status:
- ■ Annual
- ☐ New Appointment (date): _____
- ☐ Change of Status[1]

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.
   Executive Director - manage all aspects of the regional center operations.

[1] Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

- ❑ Governing Board Member
- ❑ Vendor Advisory on Board
- ☑ Executive Director
- ❑ Employee/Other

2. Do you or a family member[2] work for any entity or organization that is a regional center provider or contractor? ☑ yes ❑ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.

   The MENTOR Network provides a wide range of services and supports for people with developmental disabilities nationwide including regional center clients in California. My sister is an employee of The MENTOR Network. For HRC, The MENTOR Network provides FHA services, licensed residential services, day program services, assistive technology services and family support services.

3. Do you or a family member own or hold a position[3] in an entity or organization that is a regional center provider or contractor? ☑ yes ❑ no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.

   The MENTOR Network provides a wide range of services and supports for people with developmental disabilities nationwide including regional center clients in California. My sister is an employee of The MENTOR Network working in Assistive Technology and Family Support Services.

4. Are you a regional center advisory committee board member? ❑ yes ☑ no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? ❑ yes ❑ no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.

5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? ❑ yes ❑ no -- If yes, please explain.

[2] Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter–in-laws. See California Code of Regulations, title 17, sections 54505(f).

[3] For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

❑ Governing Board Member
❑ Vendor Advisory on Board
☑ Executive Director
❑ Employee/Other

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member[4]? [Note: Governing board members do not have to answer "yes" to this question if the financial benefit would be available to regional center consumers or their families generally].
❑ yes ☑ no -- If yes, please explain.

7. Are you responsible for negotiating, making,[5] executing or approving contracts on behalf of the regional center? ☑ yes ❑ no -- If yes, please explain.

The HRC Executive Director, the Chief Financial Officer and the Director of Community Services all negotiate, make, execute or approve contracts on behalf of HRC. Accordingly, I negotiate, make, execute or approve some of the contracts HRC enters with various entities and other HRC senior management staff negotiate, make, execute or approve others.

8. Do you have a financial interest in any contract[6] with the regional center? ❑ yes ☑ no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ❑ yes ❑ no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? ☑ yes ❑ no
If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? ❑ yes ☑ no
If yes, please explain.

My sister is an employee of the MENTOR Network which contracts with HRC to provide various services and supports for HRC clients. The HRC Chief Financial Officer and Director of Community Services negotiate, make, execute and approve contracts between HRC and the MENTOR Network.

---

[4] Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

[5] California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

[6] For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.

❑ Governing Board Member
❑ Vendor Advisory on Board
☑ Executive Director
❑ Employee/Other

10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?
❑ yes ☑ no -- If yes, please explain.

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? ❑ yes ☑ no -- If yes, please explain.

B. ATTESTATION

I Patricia Del Monico (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars ($50,000) pursuant to Welfare and Institutions Code section 4626.

Signature Date 07/05/2017

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual ❑ does ❑ does not have a ❑ present ❑ potential conflict of interest

Signature of Designated Reviewer	Date Review Completed
✍	

CALIFORNIA SCDD State Council on Developmental Disabilities

STATE OF CALIFORNIA
Edmund G. Brown Jr.
Governor

• website • www.scdd.ca.gov • email • council@scdd.ca.gov

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May 17, 2013

Mr. Eric Gelber, Assistant Director
Office of Legislation and Regulations
Department of Developmental Services
1600 Ninth Street, Room 322
MS 3-10
Sacramento, CA 95814

RE: Conflict of Interest Standards for Regional Center Board Members, Employees, and Others Acting on Behalf of the Regional Center

Dear Mr. Gelber,

The State Council on Developmental Disabilities (SCDD) is established by state and federal law as an independent state agency to ensure that people with developmental disabilities and their families receive the services and supports they need. To that end, the SCDD delegated the review of the conflict of interest regulations to Executive Committee of the SCDD to meet the comment period deadline.

Previously, the proposed regulations were reviewed by the Executive Committee on February 12, 2013 and comments were submitted. The Executive Committee met again on April 9, 2013 and wanted to comment further on the proposed emergency regulations since there is a strong impression that the regulations expand the responsibilities of the SCDD and local area boards without a statutory basis.

Welfare and Institutions Code Section 4626(l) requires that when a "present and potential conflict of interest is identified for a ***regional center director*** or a ***board member*** that cannot be eliminated, the regional center governing board shall, within 30 days of receipt of the statement, submit to the department and the state council a copy of the conflict of interest statement and a plan that proposes mitigation measures, including timeframes and actions the regional center governing board or the individual, or both, will take to mitigate the conflict of interest" (emphasis added.)

Welfare and Institutions Code Section 4628 provides that "if, for good reason, a contracting agency is unable to meet all the criteria for a ***governing board*** established in this chapter, the director may waive such criteria for a period of time, not to exceed one year, ***with the approval of the area board in the area and with the approval of the state council***"(emphasis added.)

Currently, the welfare and institutions code does not require the area board and state council to review conflict of interest plans for the purpose of approving or denying a waiver request for regional center executive directors. WIC 4628 provides for the approval of regional center board member waiver requests only.

The SCDD continues to believe that the Department of Developmental Services (DDS), as the contracting agency of regional centers, has the authority for the approval or denial of conflict of interest waiver requests. The regulations, as written today, do not allow DDS to approve waiver requests for regional center staff without approval from the SCDD and the Area Board which could result in unintended consequences. This needs to be remedied as soon as possible to allow DDS to approve or deny regional center staff waiver requests with or without input from the SCDD and area board.

The Council will continue to review regional center board member conflict of interest waiver requests as required by WIC 4628; however, as we previously expressed, our role in this process must be significantly clarified in terms of staff/board members waiver requests or, in the alternative, we request that the SCDD and area boards be removed from the entire conflict of interest review process to avoid any unintended consequences.

To that end, we respectfully request that the regulations that were put into effect as they apply to regional center staff are revised because they do not reflect what is currently in the Welfare and Institutions Code. Our recommendation is to revise the regulations to either: 1) allow DDS to approve or deny waiver requests with or without input from the SCDD and area boards or, 2) remove both the SCDD and the area boards from reviewing Conflict Resolution Plans so that the SCDD does not have any active role that could be inconsistent with our functions or create unintended consequences for regional center board members or staff.

Thank you for your consideration of our input. If you have any questions, please do not hesitate to contact us.

Sincerely,

JORGE AGUILAR
Chairperson