



NOTICE/AGENDA

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EXECUTIVE COMMITTEE MEETING NOTICE/AGENDA

POSTED AT: www.scdd.ca.gov

DATE: October 29, 2019

TIME: 10:00 AM – 4:00 PM

MEETING LOCATION:
SCDD HQ OFFICE
3831 North Freeway Blvd., #125
Sacramento, CA 95834

TELECONFERENCE LOCATION(S):
See last page

COMMITTEE CHAIR: Julie Austin

Item 1. CALL TO ORDER

Item 2. ESTABLISH QUORUM

Item 3. WELCOME AND INTRODUCTIONS

Item 4. PUBLIC COMMENTS

This item is for members of the public only to provide comments and/or present information to the Committee on matters not on the agenda. Each person will be afforded up to three minutes to speak.

Item 5. APPROVAL OF AUGUST 2019 MINUTES



Page 5

Item 6.	EXECUTIVE DIRECTOR REPORT	Page 15
	<ul style="list-style-type: none"> • CYCLE 42 PROCESS REVIEW • SEPTEMBER 2019 COUNCIL MEETING PUBLIC COMMENT FOLLOW UP 	
Item 7.	STATEWIDE SELF-DETERMINATION ADVISORY COMMITTEE UPDATE	Page 17
		
Item 8.	SCDD BUDGET UPDATE	Page 19
Item 9.	SPONSORSHIP REQUESTS	Page 21
	<i>Presented by: D. Sale</i>	
	<ul style="list-style-type: none"> A. Developmental Disabilities Provider Network B. Disability Voices United C. Family Voices of California D. NICU Family Alliance E. Tichenor Clinic for Children 	
Item 10.	CONFLICT OF INTEREST WAIVER REQUESTS	Page 67
	<i>Presented by: A. Lewis</i>	
	Renewal requests:	
	<ul style="list-style-type: none"> A. Far Northern Regional Center <ul style="list-style-type: none"> i. William Battles ii. Adam Beals iii. Roger Hatton iv. Colleen Ryberg B. Tri-Counties Regional Center <ul style="list-style-type: none"> i. Howard Krauss 	
	New requests:	
	<ul style="list-style-type: none"> A. North Los Angeles County Regional Center <ul style="list-style-type: none"> i. Adam Breall B. Redwood Coast Regional Center <ul style="list-style-type: none"> i. Diane Larson 	

Item 11. CLOSED SESSION – PERSONNEL

Pursuant to Government Code Section 11126.3 (f), the Council will have a closed session to determine the evaluation of a public employee.

Item 12. RECONVENE OPEN SESSION

Pursuant to Government Code Section 11126.3 (f), there will be an announcement of any actions taken during closed session.

Item 13. NEXT MEETING DATE & ADJOURNMENT

Accessibility:

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 (916) 263-7919. Requests must be received by 5 business days prior to the meeting.

Materials:

Meeting documents and presentations for an agenda item must be submitted to SCDD no later than 2 business days prior to the meeting.

All times indicated and the order of business are approximate and subject to change.

TELECONFERENCE LOCATIONS:

Disability Rights California
1831 K Street
Sacramento, CA 95814

North Bay Regional Center
2351 Mendocino Avenue
Santa Rosa, CA 95403

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OCTOBER 29, 2019

**AGENDA ITEM 5
ACTION ITEM**

**EXECUTIVE COMMITTEE
STATE COUNCIL ON DEVELOPMENTAL DISABILITIES**

Approval of August 2019 Minutes

Minutes from the August 14, 2019 Executive Committee meeting are included in the packet for review.

Action Recommended

Approve the August 2019 Minutes.

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DRAFT
Executive Committee Meeting Minutes
August 14, 2019

Attending Members

Catherine Blakemore
Julie Austin (FA)
Kilolo Brodie (FA)
Maria Marquez (SA)
Wesley Witherspoon (SA)

Members Absent

N/A

Others Attending

Aaron Carruthers
Adam Lewis
Charlotte Endres
Cindy Smith
Doug Sale
Robin Maitino-Erben
Sandra Aldana (call in)
Sandra Smith (call in)

1. CALL TO ORDER

Chairperson Julie Austin (FA) called the meeting to order at 10:16 A.M.

2. ESTABLISH QUORUM

A quorum was established.

3. WELCOME/INTRODUCTIONS

Members and others in attendance introduced themselves.

4. PUBLIC COMMENTS

During Public Comment, Councilmember Sandra Aldana requested that the following issues be looked into:

- Administrative Committee minutes from June 2019 are not posted online.
- Public comments may not have been included in the June 2019 Executive committee or the June 2019 Administrative Committee minutes.
- Ms. Aldana's name is not listed on the website under the Nominating Committee members.
- Ms. Aldana requested bylaws clarification regarding personnel contracts.

Executive Director Aaron Carruthers and Committee Chair Julie Austin provided answers and clarified these issues. Further discussion regarding the Nominating Committee will be provided under Agenda Item number 8.

Additionally, community member Sandra Smith suggested everyone pay attention to what is happening with the recent public charge rule and policy changes. Councilmember Catherine Blakemore supported this statement and noted that there is information about this issue posted on the Disability Rights California website.

5. APPROVAL OF THE JUNE 2019 MEETING MINUTES

It was moved/seconded (Witherspoon [SA]/Marquez [SA]) and carried to approve the June 2019 meeting minutes with requested corrections if needed. (Unanimous)

6. EXECUTIVE DIRECTOR REPORT

Executive Director Aaron Carruthers provided Committee members with a report on recent priorities for the State Council. His report included details about the following items.

SCDD made an offer for the staff position of Information Officer and it was accepted. The new staff member will begin work soon.

The California Department of Human Resources recently completed a compliance review for SCDD's HR department. There are a few areas for improvement, but our report was good overall and there were no critical areas of concern.

In March of 2018, the Council voted to approve a 5% raise for the Executive Director. However, that raise never went into effect. It was denied by Governor Brown last year, and denied again by Governor Newsom recently. The Executive Director stated that ultimately the position is a state position and governed by state rules. The Executive Director thanked the Council for their support.

In follow up to the last Council meeting with regard to the Cycle 42 grants, there were questions about when the contracts can be made available to Councilmembers and whether there are prohibitions against it or implications with it being made available to members. SCDD Legal Counsel's preliminary findings are that there are no state prohibitions saying that Councilmembers can't have access to these contracts.

However, the California Supreme Court ruled on this, stating that there could be public interest of *not* disclosing these types of documents, that outweighs the public good of making them public. (Public entities may get inferior bids if all competitors can see each other's information and may not want to come forward. The public good of potentially getting superior bids outweighs the public good of having them publicly available.) Therefore, an option was recommended that the contracts could be made available to Councilmembers the night before a Council meeting, or the morning of, so that they can be reviewed by members prior to voting, which would mitigate any risks of revealing the information to the general public. This was stated with the caution that the information would be for individual review only and should not be shared or discussed with anyone, to avoid a Bagley-Keene violation of conducting serial meetings amongst members. Executive Committee members agreed to direct the Executive Director to implement this strategy administratively. The Executive Director will report this information along with the legal research findings back to the full Council at its next meeting in September.

Regarding the State Plan survey, requested changes have been made and data collection is taking place using the new Qualtrics database. SCDD staff is optimistic that the 2022-26 survey will have a greater reflection of I/DD community voices in terms of what community members want to accomplish in the next five years.

Executive Director Carruthers attended a recent training for police officer trainers in the Sacramento area. This was part of the focus on public safety funded by the Cycle 41 grant for Get Safe training programs.

In employment news, AB1019 (Frazier) was signed, which names SCDD to the newly created Interagency Advisory Committee on Apprenticeships.

7. SCDD BUDGET UPDATE

Executive Director Aaron Carruthers introduced budget updates since the last Executive Committee meeting. As of August 14th, SCDD had received information through May of 2019 via the new accounting system, Fi\$Cal. Deputy Director Doug Sale provided a summary of current expenditures, unallocated funds and staff vacancies that are being filled. A detail sheet with specific line item budget amounts was provided in the meeting packet for review. Staff expects to have the year-end expenditure report available by the next Executive Committee meeting in October.

8. ESTABLISH SLATE FOR NOMINATING COMMITTEE

In keeping with the Council bylaws process, the Nominating Committee will meet at the end of September to put forward candidates for Council officer positions of permanent Chair and Vice Chair. Elections will be held during the November 2019 Council meeting. Council Chair Maria Marquez recommended the following Councilmembers to serve on the 2019 Nominating Committee: Andrea Vergne (FA), Sandra Aldana (SA), Diane Ambrose (FA), Robin Hansen and Rosie Ryan (SA). Andrea Vergne was recommended to serve as Chair of the Committee.

It was moved/seconded (Blakemore/Austin [FA]) and carried to approve the recommended slate of Councilmembers to serve on the Nominating Committee. (Unanimous)

9. SPONSORSHIP REQUESTS

Deputy Director of Administration Douglas Sale presented three sponsorship requests. These are the first sponsorship requests for fiscal year 2019-2020.

- Bay Area People First requested \$900.00 to help with the cost of outreach, entertainment and self-advocacy awards for the annual Carlos Quintong Self-Advocacy Celebration.
- Care Parent Network requested \$1,500.00 for assistance with the Annual Going to College with a Disability Conference. SCDD funding would go towards translation of conference materials and Spanish interpreters.
- San Diego Committee on Employment of People with Disabilities requested \$1,500.00 for sponsorship of the annual Jobtoberfest Job Fair. Funds would be used for printing maps, directional signs and promoting outreach with ways to increase participation and provide accessible job applications for people with I/DD.

It was moved/seconded (Blakemore/Austin [FA]) and carried to approve the three sponsorship requests with suggested edits. (Unanimous)

10. CONFLICT OF INTEREST WAIVER REQUEST

SCDD Legal Counsel Adam Lewis presented a Conflict of Interest waiver request renewal for Inland Regional Center board member Sheela Stark. Ms. Stark is a member of the Inland Regional Center (IRC) Board of Directors. Her sister works for In-Roads Creative Home Programs, Inc., a vendor for IRC. To mitigate the potential conflict of interest, Ms. Stark

shall not involve herself with any business dealings, discussion or decision-making involving In-Roads. Ms. Stark previously requested waivers in 2015, 2017 and 2018, all of which were approved.

It was moved/seconded (Austin [FA]/Witherspoon [SA] and carried to approve the Conflict of Interest Waiver request for Sheela Stark.
(Unanimous)

11. **AUTHORIZED REPRESENTATIVE POLICY – WELFARE AND INSTITUTIONS CODE 4541(a)(1)**

Executive Director Aaron Carruthers presented a revised draft of the Authorized Representative policy that addresses the Council’s authority under statute to appoint Authorized Representatives for individuals with I/DD. This policy was reviewed at the June Executive Committee meeting and was conditionally approved with the provision that administrative oversight pieces be added to it. SCDD staff worked to accomplish that goal, and the new draft reflects the changes that were made. Explanation of roles, responsibilities and monitoring activities have been clarified. It was requested that a final adjustment be made to explain that SCDD employees may not be appointed as an Authorized Representative.

It was moved/seconded (Witherspoon [SA]/Marquez [SA]) and carried to approve the draft Authorized Representative Policy as amended.
(Unanimous)

12. **DSA EVALUATION**

In accordance with federal law, SCDD has a Designated State Agency (DSA) to provide support in needed areas. SCDD is required to periodically review the work that the DSA does for the SCDD. SCDD’s DSA is the Department of Health and Human Services, who subcontracts out much of their support work to the Department of Social Services. Generally, DSS has met or exceeded expectations in all rating areas.

It was moved/seconded (Blakemore/Witherspoon [SA]) and carried to approve the 2018-2019 DSA evaluation. In future years, the responsibility for this report shall be delegated to the Executive Director, who will report back to the Executive Committee after submitting the evaluation to its required agencies. (Unanimous)

13. EXECUTIVE DIRECTOR EVALUATION TOOL

Deputy Director of Administration Doug Sale presented updates and recommendations for the 2019 Executive Director (ED) Evaluation tool and timeline. Since the last Executive Committee meeting in June, the former Chair's tenure ended, and staff continued to work on revising the Evaluation tool to incorporate track changes with more plain language that would fall into compliance with state and federal standards.

Councilmember Catherine Blakemore worked with SCDD staff to discuss what changes could be made, and Deputy Director Sale worked with DHHS and ITACC, the SCDD federal technical assistance provider. Committee members engaged in questions and discussion including debate regarding standard state law practices and adding supplementary materials that would allow for input from staff and stakeholders. It was clarified that while this input would be helpful with informing goals for the Council, it would not be part of the formal evaluation.

It was moved/seconded (Blakemore/Witherspoon [SA]) and carried to approve the Executive Director Evaluation tool and timeline with suggested informal input from stakeholders and staff. The Executive Director evaluation should include the following elements: the Executive Director Self-Evaluation, the Evaluation comments and ratings from councilmembers, and in addition, the State Council shall obtain input from stakeholders identified by Council in consultation with the Executive Director, and input from staff either through a survey or through an annual external third party evaluation to help inform the Executive Director goals for the subsequent year. The Executive Committee chair will appoint members to develop the input tool. (For: Austin, Blakemore, Marquez, Witherspoon. Opposed: Brodie)

14. TECHNICAL ASSISTANCE PERSONAL SERVICES CONTRACT

Council Chair Maria Marquez has requested a personal services contract to work with community member Sandra Smith to receive assistance with this year's Executive Director evaluation, Council bylaws and other items where training and advice is needed. This would enable Ms. Smith to act as an advisor to the Council Chair and the Executive Committee.

It was moved/seconded (Blakemore/Witherspoon [SA]) and carried to approve the creation of the technical assistance personal services contract. (Unanimous)

15. **NEXT MEETING DATE & ADJOURNMENT**

The next Executive Committee meeting will be held on October 29, 2019.
Meeting adjourned at 1:08 P.M.

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OCTOBER 29, 2019

**AGENDA ITEM 6
INFORMATION ITEM**

**EXECUTIVE COMMITTEE
STATE COUNCIL ON DEVELOPMENTAL DISABILITIES**

Executive Director Report

Executive Director Aaron Carruthers will provide an oral report. His report will include details about the Cycle 42 process review and a follow up to the public comment offered by Disability Voices United at the September 2019 Council meeting.

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OCTOBER 29, 2019

**AGENDA ITEM 7
INFORMATION ITEM**

**EXECUTIVE COMMITTEE
STATE COUNCIL ON DEVELOPMENTAL DISABILITIES**

***STATEWIDE SELF-DETERMINATION ADVISORY COMMITTEE
UPDATE***

Council Chair Maria Marquez will provide Committee members with an update regarding the recent activities of the Statewide Self-Determination Advisory Committee (SSDAC).

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OCTOBER 29, 2019

**AGENDA ITEM 8
INFORMATION ITEM**

**EXECUTIVE COMMITTEE
STATE COUNCIL ON DEVELOPMENTAL DISABILITIES**

SCDD BUDGET

Deputy Director of Administration Douglas Sale will provide an oral report. Budget documents will be provided at the Executive Committee meeting as handouts for members to review.

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OCTOBER 29, 2019

**AGENDA ITEM 9
ACTION ITEM**

**EXECUTIVE COMMITTEE
STATE COUNCIL ON DEVELOPMENTAL DISABILITIES**

Sponsorship Requests

Deputy Director of Administration Doug Sale will present sponsorship requests from the following organizations:

- A. Developmental Disabilities Provider Network
- B. Disability Voices United
- C. Family Voices of California
- D. NICU Family Alliance
- E. Tichenor Clinic for Children

A chart of year-to-date sponsorship awards has been included in the packet for reference.

Sponsorship application documents are also included in the packet for review.

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COUNCIL AGENDA ITEM DETAIL SHEET

ISSUE: Developmental Disabilities Provider Network (DDPN).

AMOUNT: \$1,500.00

BACKGROUND: The California State Council on Developmental Disabilities (SCDD) 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: Disabilities Provider Network is requesting a sponsorship for their our 6th Annual Leading the Charge - Collaborating for Effective Services One-Day Educational Event.

The purpose of the event is to provide education on new, innovative, and successful service models that can be replicated in San Diego to better meet the needs of individuals with disabilities who have more significant service challenge needs now and in the future. Provide advocacy training to assist people with disabilities to better advocate for their needs

The event will bring together the community and all its stakeholders to educate, advocate and to collaborate for effective services for people with intellectual disabilities in the San Diego and Imperial counties. More than 23,000 children and adults with intellectual disabilities and their families in San Diego and Imperial Counties look to DDPN members and the San Diego Regional Center to provide a wide variety of essential services and supports. They anticipate that having nine (9) speakers of which at least two (2) will be consumers.

DDPN is anticipating having 250 community leaders, clients, families, service providers and community members in attendance at this event! They are seeking 150 consumers and family members in attendance at the event.

SCDD funds would be used for the cost of programs, name tags and lanyards, signs and banners.

DDPN has previously received four (4) sponsorships from SCDD. In 2018, they received funding for programs, name tags and lanyards, signs and banners.

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 2019-20 the Council has awarded \$5,400 in funds for sponsorship requests. The Council allocates \$25,000 per fiscal year for sponsorships. The fiscal year began July 1, 2019.

STAFF RECOMMENDATION: Approve DDPN’s request for sponsorship.

ATTACHMENTS(S): DDPN’s request for sponsorship.

PREPARED: Kristie Allensworth October 8, 2019



September 5, 2019

On behalf of the Developmental Disabilities Provider Network (DDPN), I would like to ask SCDD to become a sponsor for our 6th Annual **Leading the Charge - Collaborating for Effective Services** One-Day Educational Event that will be held on Wednesday December 4, 2019 at the at the DoubleTree Hotel San Diego – Mission Valley San Diego CA. The event will be held from 8:30 AM – 3:30 PM.

Our 6th Annual **Leading the Charge - Collaborating for Effective Services** One-Day Educational Event will bring together the community and all its stakeholders to educate, advocate and to collaborate for effective services for people with intellectual disabilities in the San Diego and Imperial counties. More than 23,000 children and adults with intellectual disabilities and their families in San Diego and Imperial Counties look to DDPN members and the San Diego Regional Center to provide a wide variety of essential services and supports. We are anticipating having 2 speakers of which are individuals with disabilities.

DDPN is looking to have 250 community leaders, clients, families, service providers and community members in attendance at this event! We are seeking 150 consumers and family members in attendance at the event. We will be conducting outreach and marketing of the event through flyers and emails to the following networks: State Council on Developmental Disabilities, San Diego Regional Center, DDPN's 100 members, DDPN social media sites, and various organization newsletters.

Purpose of the event:

1. Provide education on new, innovative, and successful service models that can be replicated in San Diego to better meet the needs of individuals with disabilities who have more significant service challenge needs now and in the future.
2. Provide advocacy training to assist people with disabilities to better advocate for their needs

Expected Outcomes:

1. Service providers can implement new, innovative, and successful service models to better meet individuals with disabilities needs.
2. Individuals with disabilities have steps and/or skills to advocate for their own needs.
3. Collaboration among stakeholders.

We anticipate the event costs to be \$25,000:

- Hotel (4 rooms, av rentals, continental breakfast, 3 course plated lunch, etc.) = \$20,000
- Speaker Costs (travel, hotel, etc.) = \$3,500
- Conference Materials (printing costs for programs, name tags, bags, banner, signage) = \$1,500

Sponsorship & funding to be \$24,500:

- San Diego Regional Center- Lead Sponsor at \$5,000
- Stein Education Center, Community Catalysts of CA, Mountain Shadows Support Group, Noah Homes, Inc., ARCC Center Foundation, Inc., Community Interface Services, TERI, Inc, Arc San Diego, Toward Maximum Independence, Home of Guiding Hands, St. Madeleine Sophie's Center, College Nannies & Tutors = \$15,000
- SCDD = \$1500
- General Admission Tickets sells (\$50 per person) = \$3,500

The purpose of the event is to: 1) Provide education on new, innovative, and successful service models that can be replicated in San Diego to better meet the needs of individuals with disabilities who have more significant service challenge needs now and in the future, and 2) Provide advocacy training to assist people with disabilities, to better advocate for their needs.

We anticipate that we will have 9 speakers of which at least 2 will be consumers.

Other SCDD sponsorships and grants we have previously requested and/or received are \$999.99 that were received in sponsorship of the 1st, 2nd, 4th, and 5th Annual Leading the Charge conference held in winter of 2014, 2015, 2017, and 2018.

We will be reaching out to the SCDD, EFRC's DDPN, and San Diego Regional Center networks as well as sending it out to individuals who have attended previous conferences.

Providing sponsorship of this event you will be able to promote SCDD and be part of a DDPN's voice in making a difference in the lives of over 23,000 people with intellectual and developmental disabilities who live in the San Diego and Imperial counties. We will provide acknowledgement of SCDD's support in the event and is made possible, in part, with funding from SCDD.

We are seeking a \$1500 which will be used for cost of programs, name tags and lanyards, signs and banners.

We thank you in advance for your consideration of this request that will help DDPN further its mission to provide outreach, advocacy and education to ensure the civil rights and quality services for persons with intellectual and developmental disabilities.

If you have questions, please feel free to contact me.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Wendy M Forkas', with a long horizontal flourish extending to the right.

Wendy M Forkas, Committee Chair
Developmental Disabilities Provider Network (DDPN)
CEO, Community Catalysts of California
Wendy.forkas@communitycatalysts.org
(858) 292-2024

COUNCIL AGENDA ITEM DETAIL SHEET

ISSUE: Disability Voices United.

AMOUNT: \$1,500.00

BACKGROUND: The California State Council on Developmental Disabilities (SCDD) 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: Disability Voices United and the Autism Society of Los Angeles are hosting a statewide conference on the Self-Determination Program titled, Taking Charge: Making Self-Determination Work for Us. This is an immersive statewide conference for participants, family members, and professionals to come together to learn, share ideas, and come away prepared to start self-determination.

The Self-Determination Program is completely about the ability of consumers and family members to have control, choice, and flexibility over the supports and services they receive.

There will be approximately 60-70 presenters at the conference of which 25-50% will be self-advocates. Although the program has not been finalized, there will be self-advocates on every panel. The expected number of conference attendees is between 300-450.

SCDD funding would be used to pay for Spanish interpreters and translation of conference materials so that Spanish-speaking consumers and family members can fully participate in the event.

In 2017, Disability Voices United was awarded a sponsorship for a series of town hall meetings in the amount of \$999.00. The funds were used for the translation, interpreters, and event space.

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 2019-20 the Council has awarded \$5,400 in funds for sponsorship requests. The Council allocates \$25,000 per fiscal year for sponsorships. The fiscal year began July 1, 2019.

STAFF RECOMMENDATION: Approve Disability Voices United's request for sponsorship.

ATTACHMENTS(S): Disability Voices United's request for sponsorship.

PREPARED: Kristie Allensworth October 7, 2019



Judy Mark, President
530-JOIN-DVU
judymark@dvunited.org
www.disabilityvoicesunited.org

August 16, 2019

State Council on Developmental Disabilities
3831 North Freeway Blvd. #125
Sacramento, CA 95834

Dear State Council,

Disability Voices United and the Autism Society of Los Angeles are hosting a statewide conference on the Self-Determination Program and are writing to respectfully request support in the amount of \$1,500 from the State Council. Please see our answers to your questions below:

- a. The name, date, location and description of your event/conference
Taking Charge: Making Self-Determination Work for Us
November 15-16, 2019
Culver City
An immersive statewide conference for participants, family members, and professionals to come together to learn, share ideas, and come away prepared to start self-determination.
- b. 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

The Self-Determination Program is completely about the ability of consumers and family members to have control, choice, and flexibility over the supports and services they receive. The SCDD funds would be used to pay for Spanish interpreters and translation of conference materials so that Spanish-speaking consumers and family members can fully participate in the event.
- c. How many presenters or panelists will participate in the event and what number of the presenters or panelists will be consumers?

There will be approximately 60-70 presenters at the conference. While the program has not been finalized yet, we expect 25-50% of them will be self-advocates. This conference will be different than our previous ones as the program will include few keynotes and panels. We will have self-advocates on every panel. The event will be completely immersive as individuals will take part in preparing themselves to enter the Self-Determination Program. We will have self-advocates to work with family members to lead these immersive experiences.
- d. 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

We expect between 300-450 people to attend. These people include consumers who are self-determination participants and people hoping to go into the SDP in the future, family members of current and future participants, service providers, regional center staff, State Council staff and other advocates, DDS officials, and others. We anticipate that more than 50% will be self-advocates and family members.

- e. How will you conduct outreach to increase consumer and family involvement in the conference?

We have a very large mailing list of over 6,000 individuals, who are mostly family members and consumers. We also are promoting the conference through the regional center self-determination local advisory committees and regional center staff. In addition, we are placing announcements about the conference on the SCDD self-determination Facebook group as well as our own and others' Facebook pages and on Twitter.

- f. A complete and total budget, including the amount you are requesting (**\$1,500 limit**), details on the amount and sources of other funds solicited or obtained – **See attached**

- g. A list of other SCDD sponsorships and grants you have previously requested and/or received

2017 - Disability Voices United received support (\$999) for a series of town halls on Medicaid cuts that were co-sponsored by SCDD
2017 and 2019 – DVU applied for program grants from SCDD but didn't receive funding.

- h. A letter of recommendation from a consumer and/or family organization that supports your efforts to improve consumer and family self-advocacy. – **See attached**

- i. During the event, provide acknowledgement that consumer and family participation in the event is made possible, in part, with funding from the California State Council on Developmental Disabilities.

We will list SCDD and your logo on the list of our sponsors. This will include showing the logo on the screen during the conference.

Please let me know if you need any additional information or have any questions. You can reach me at 310-621-2045 or at judy mark@dvunited.org. Thank you for your consideration.

Sincerely,



Judy Mark
President

2019 DVU/ASLA Taking Charge Self-Determination Conference Budget

REVENUE

Registration

Professionals	\$	22,500	
Self-Advocates	\$	10,500	
Family Members/Caregivers	\$	43,875	<u>\$ 76,875</u>

Sponsorships

Foundations/Companies	\$	23,000	
SCDD Funding for Translations	\$	1,500	
Vendors	\$	5,000	
			<u>\$ 29,500</u>

TOTAL REVENUE

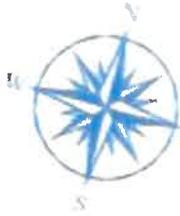
\$ 106,375

EXPENSES

AV & multi-media	\$	8,000	
Hotel	\$	62,500	
Printing & Signage	\$	17,000	
Pay Pal Merchant Fees	\$	2,306	
Supplies	\$	1,000	
Staffing	\$	11,000	
Self-Advocate Speakers Stipend	\$	2,000	
Interpretation - onsite	\$	2,552	
Translation - Key Material	\$	1,000	<u>\$ 107,358</u>

Profit/Loss

\$ (983)



INTEGRATED COMMUNITY COLLABORATIVE
community integrators

INTEGRADOR - INTEGRADORAS

ADDRESSING DISPARITIES WITHIN CALIFORNIA REGIONAL CENTER SYSTEM

September 5, 2019

California State Council on Developmental Disabilities
3831 N. Freeway Boulevard, Suite 125
Sacramento, CA 95834

Dear State Council,

The Integrated Community Collaborative (ICC) is writing to support the request for funding from the State Council on Developmental Disabilities to pay for Spanish language interpretation and translation for Disability Voices United's "Taking Charge" Self-Determination Conference.

The ICC is a community based organization of consumers and parents designed to promote equity, equality and a mission to eradicate purchase of services disparities for individuals with I/DD. We are eager to help make the implementation of the Self-Determination Program successful for all communities and have collaborated in numerous outreach and training efforts to support this important program.

This conference is critical for many participants and families to understand how to make the most out of self-determination. But for many of the families we work with, they would not be able to access the conference if no translations are provided. Since Latinos are already significantly underserved and face major barriers, we need to make sure that they have the same information as English speakers.

Thank you very much for your consideration and please let me know if you have any questions.

Sincerely,

Elizabeth Gomez
Director, ICC

3647 Watseka Avenue, Los Angeles CA 90034
(424) 261-7454

www.integratedcommunitycollaborative.org



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 application.

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 (\$1,500 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?

Attention:

Mail sponsorship applications to:
State Council on Developmental Disabilities
3831 N. Freeway Boulevard, Suite 125
Sacramento, California 95834

Submit via email to: kristie.allensworth@scdd.ca.gov

COUNCIL AGENDA ITEM DETAIL SHEET

ISSUE: Family Voices of California (FVCA).

AMOUNT: \$1,500.00

BACKGROUND: The California State Council on Developmental Disabilities (SCDD) 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: Family Voices of California is requesting a sponsorship for the Project Leadership Training of Trainers workshop. The workshop is designed to provide the skills, tools, and assistance to expand knowledge of the systems serving children and youth with special health care needs (CYSHCN) and intellectual and developmental disabilities (I/DD). They would like to request a sponsorship of \$1,500 for materials reproduction and supplies.

This free training for representatives of organizations and agencies serving families and consumers will provide a comprehensive overview of the FVCA Project Leadership advocacy and leadership program. This will build individual and organizational capacity to educate, inform, and empower consumers and families to lead and advocate for systems level improvements.

The objectives of the workshop are to prepare organizations serving consumers and families to offer free advocacy and leadership training. This will allow families to gain a better understanding of systems navigation and how to effectively advocate for access to services and supports, increasing their ability to exercise control, choice, and flexibility in those services and supports.

The primary presenter will be Elaine Linn, FVCA's Project Leadership manager, who is also the parent of an adolescent with I/DD. Kimber Rice, also the parent of a child with I/DD, will also present. They anticipate 25 attendees, including service providers, family support staff, support group leaders, educators, and representatives of community based organizations serving or representing families and people with I/DD. At least 50% of attendees will be family members of a person with I/DD, and all attendees will be those who serve persons with I/DD and special health care needs.

In 2018, Family Voices of California received a SCDD sponsorship (\$999) for their annual health summit for event materials and meeting room fees.

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.

This conference fits into Goal 1- Californians with I/DD and their families reflecting the diversity of the state will have increased information and supports to advocate for civil and service rights to achieve self-determination, integration, and inclusion in all areas of community life.

PRIOR COUNCIL ACTIVITY: Since the beginning of FY 2019-20 the Council has awarded \$5,400 in funds for sponsorship requests. The Council allocates \$25,000 per fiscal year for sponsorships. The fiscal year began July 1, 2019.

STAFF RECOMMENDATION: Approve Family Voices of California's request for sponsorship.

ATTACHMENTS(S): Family Voices of California's request for sponsorship.

PREPARED: Kristie Allensworth October 16, 2019

October 15, 2019

State Council on Developmental Disabilities
3831 N. Freeway Blvd., Suite 125
Sacramento, CA 95834
Via email: kristie.allensworth@scdd.ca.gov

RE: Sponsorship request for January 2020 Visalia Project Leadership Training

Dear State Council on Developmental Disabilities:

Family Voices of California (FVCA) is planning a Project Leadership Training of Trainers workshop in at the Central Valley Regional Center in Visalia in coordination with the Sequoia Regional Office from January 28-30, 2020 to provide skills, tools, and assistance to expand knowledge of the systems serving children and youth with special health care needs (CYSHCN) and intellectual and developmental disabilities (I/DD). *We would like to request a sponsorship of \$1,500 for materials reproduction and supplies.*

This *free* training for representatives of organizations and agencies serving families and consumers will provide a comprehensive overview of the FVCA Project Leadership advocacy and leadership program. This will build individual and organizational capacity to educate, inform, and empower consumers and families to lead and advocate for systems level improvements.

Our objectives with the workshop are to prepare organizations serving consumers and families to offer free advocacy and leadership training. This will allow families to gain a better understanding of systems navigation and how to effectively advocate for access to services and supports, increasing their ability to exercise control, choice, and flexibility in those services and supports.

The primary presenter will be Elaine Linn, FVCA's Project Leadership manager, who is also the parent of an adolescent with I/DD. Kimber Rice, also the parent of a child with I/DD, will also present. We anticipate 25 attendees, including service providers, family support staff, support group leaders, educators, and representatives of community based organizations serving or representing families and people with I/DD. SCDD Sequoia Regional Manager Yolanda Cruz will also attend. At least 50% of attendees will be family members of a person with I/DD, and all attendees will be those who serve persons with I/DD and special health care needs. We will partner with the SCDD Sequoia office, Down syndrome organizations in Kern, Fresno, and Tulare Counties, family resource centers, and other organizations for outreach to encourage attendance. This will include direct calls and emails, social media posts, and in-person outreach at community meetings and events.

The systems designed to serve CYSHCN and people with I/DD are complicated and difficult to navigate, especially for consumers and families who are already overwhelmed with critical needs. Families and consumer self-advocates are constantly engaged in situational advocacy that, with enough persistence, may help address an immediate need. However, with systems advocacy, consumers and families can lead the way to improving access to community based, family centered services and supports.

Project Leadership is a comprehensive training series that provides the skills, tools, resources, and linkages needed to partner at all levels of decision making, and engage in activities to improve and access systems. More than 100 facilitators from 60 organizations, including four SCDD regional offices, are using Project Leadership to support and empower families. The Visalia training will expand the program to an area of unmet need – the Central Valley – to increase family involvement, leading to more control, choice, and flexibility in services in supports. Attendees from other areas of the state will also be welcome to attend on a space-available basis. After graduating from Project Leadership, FVCA continues to mentor consumer and family self-advocates by identifying and assisting with leadership and advocacy activities.

Project Leadership has proven effective at empowering families to engage in systems level advocacy and leadership. An independent survey of Project Leadership graduates showed that 89% use Project Leadership skills in work with committees, boards, etc., with more than 1/3 of these reporting a policy or systems improvement occurring or under consideration. Twenty six percent more graduates participated in state level systems advocacy in 2018, and approximately 60% of graduates contacted their state legislators. Many more graduates are involved with local and regional groups serving people with I/DD such as regional center and family resource center boards, municipal, school, and professional groups, and service provider groups.

Approximately \$7,000 in LPFCH funds are available for staff/speaker time and travel, and some food and beverage. We are seeking \$5,000 in funding from Eli Lilly and Company to cover additional food and beverage and provide family attendee travel stipends so more family members may participate. We are seeking a \$1,500 SCDD sponsorship to for program materials (i.e., training manuals and meeting supplies). There will be no cost to attend the training. As a sponsor, SCDD's logo will be included on event flyers and other materials, and verbally recognized at the workshop. SCDD may also provide opening and closing remarks.

Following are:

- Sponsorship Request Application Checklist
- Anticipated budget, including funds secured and requested for this training
- Letters of recommendation from Project Leadership graduate and parent Kimber Rice, as well as Project Leadership facilitator and parent Lisa Culley.

We look forward to partnering with the SCDD Sequoia office and Manager Yolanda Cruz , as well as other community partners, to provide meaningful education and advocacy and leadership opportunities for families of people with I/DD and those serving them.

Please contact me with any questions or for more information. Thank you for your consideration.

Sincerely,



Elaine Linn
Project Leadership Manager
elinn@familyvoicesofca.org

916-799-6438

PROJECT LEADERSHIP TRAINING OF TRAINERS WORKSHOP
Visalia, California
1/28/20-1/30/20

TRAINING EXPENSES

ITEM	QUANTITY	COST PER UNIT	TOTAL COST	DESCRIPTION
Training Manuals	25	\$50.00	\$1,250.00	*3" binders *8 chapters of training curriculum (printing) *Introduction section (printing) *Implementation guide (printing) *9-tab set for each binder
Tailored materials	25	\$6.00	\$150.00	*Completion certificates (printing) *Agendas, rosters, worksheets (copies) *Signage
Supplies	25	\$4.00	\$100.00	*Pens *Index cards *Flip charts *Markers *Misc. TBD
Staff/Speaker Travel	1	\$780.00	\$780.00	*Hotel - 3 nights *Mileage - RT to Visalia, training venue *Meals - En route
Attendee Travel Stipends	8	\$450.00	\$3,600.00	*To offset costs of hotel and travel for family members without other resources
Food/Beverage	25	\$112.80	\$2,820.00	3 days breakfast @ \$12 pp: \$900 3 days lunch @ \$14 pp: \$1,050 3 days snacks & water @ \$40 p/day: \$120 1 day dinner @ \$30 pp: \$750
Staff/Speaker Compensation	1	\$4,800.00	\$4,800.00	*5% FTE

TOTAL \$13,500.00

FUNDING

ORGANIZATION	STATUS	ITEM(S)	AMOUNT
Lucile Packard Foundation for Children's Health	Confirmed	Staff, travel, food & beverage	\$7,000.00
Eli Lilly & Company	Pending	Food & beverage, parent travel stipends	\$5,000.00
SCDD (Sequoia)	Pending	Materials, supplies	\$1,500.00

TOTAL \$13,500.00



State Council on Developmental Disabilities
3831 North Freeway Blvd. #125
Sacramento, CA 95834

Dear Sponsorship Selection Committee,

As Executive Director of Family Resource Network (FRN) and Project Leadership Trainer, I am writing to express my support for the application for sponsorship for the Family Voices Project Leadership Training of Trainers that is scheduled for January 2020.

Project Leadership is a series of training for parents and families of children with special health care needs which focuses on advocacy and empowerment. The training prepares family members to advocate for their loved one and encourages involvement in policy and service improvements at local, state and national levels. The Training of Trainers is an important piece to the project, and equips leaders to conduct the training series, gives implementation guidelines & tools and fosters a sense of community and support within the training cohort. Those who become local trainers are then a part of the larger statewide training network.

FRN was fortunate to participate in and host a Training of Trainers in January 2019. Our training cohort was comprised of a number of community partners, who work directly and indirectly with families of children with special health care needs and disabilities. Many of the participants in our cohort are also the parent of a child or adult with a special health care need or disability. In the months since the training, I have witnessed how FRN staff members who participated in the Training of Trainers were affected by the training. There is a heightened level of confidence that was built, and a renewed dedication of the importance of their role in supporting the families we serve. Also since the training, there have been additional ties made between the different service providers and agencies who participated, and several collaborative relationships have happened.

It was important to me personally to bring the Project Leadership Training of Trainers to our area, as we had no graduates or trainers participating in the program. Now we have ten trainers who will begin implementation of the Project Leadership within the next few months, which will grow the network in an area of California that was not represented, and improve the lives and systems of care for those with special health care needs and their families.

I look forward to the network of Project Leadership Trainers and graduates expanding to every corner of California to empower families and increase consumer self-advocacy. Thank you for your consideration of Sponsorship to this very worthy endeavor. If you have any questions or need additional information, please do not hesitate to contact me.

Regards,

Lisa Culley
Executive Director

*Providing support to families raising children with special needs in Amador,
Calaveras, San Joaquin, Stanislaus and Tuolumne Counties.*

Kimber Rice
8232 Bonnie Oak Way
Citrus Heights, CA 95610

kimberrice@gmail.com
916-206-6639

To the State Council on Developmental Disabilities,

Greetings,

I am writing to you today to support Family Voices of California, Project Leadership. I highly recommend SCDD sponsorship to help cover the cost of materials for Project Leadership Training of Trainers in January 2020. Sponsorship to cover materials would ensure that existing funds are used to support travel for family members to become trainers, so they may then provide training in their own communities and organizations.

Project Leadership is incredibly valuable in empowering families of people with Intellectual and Developmental Disabilities for self-advocacy. As a parent, I struggled to navigate systems that support my child. Early on I began attending advisory committee meetings in education and health care, but did not understand how to make public comments, or who committees were advising. I quickly found myself speaking up on behalf my family and families like mine, but without knowledge of the system nor issues important to decision makers. Project Leadership taught me to navigate systems at every level for advocacy.

Through this training, Family Voices taught me key issues in disability rights, public policy, advisory committees, telling our story, communication and most importantly, listening to those at the heart of the issues. These skills brought me success in advocacy through social media, participating in committees and councils, as well as professional pursuits. As a Project Leadership graduate, I have been empowered to advocate for my family, and support other families along the way. I hope to become a trainer for Project Leadership so I may further empower others to create positive change for individuals with disabilities in our communities and the systems that support them.

Thank you for your time and all that you do. Your efforts are greatly appreciated.

Kimber Rice

Parent & Project Leadership Graduate
LEND Trainee, UC Davis MIND Institute

Parent/Family Support Ambassador
Family and Community Engagement Dept.
San Juan Unified School District



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 application.

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 (\$1,500 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?

Attention:

Mail sponsorship applications to:
State Council on Developmental Disabilities
3831 N. Freeway Boulevard, Suite 125
Sacramento, California 95834

Submit via email to: kristie.allensworth@scdd.ca.gov

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COUNCIL AGENDA ITEM DETAIL SHEET

ISSUE: NICU Family Alliance

AMOUNT: \$1,500.00

BACKGROUND: The California State Council on Developmental Disabilities (SCDD) 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: NICU Family Alliance is requesting a sponsorship for the NICU Symposium. The symposium is a collaborative event designed for Neonatal Intensive Care Unit (NICU) families to connect directly with healthcare providers, insurance companies, medical professionals, agencies, organizations and other parent-advocates.

This public and free mutually beneficial event raises awareness about available community- based resources and fosters an educational exchange in the field of neonatal care. It creates a dialogue between families, healthcare providers, agencies and organizations that cultivates a community of care for NICU newborns, infants and families of special needs children.

The NICU Symposium provides the opportunity for parent-advocates and professionals to share their experiences and expertise on improving the care of Neonatal Intensive Care Unit (NICU) babies and children of special needs. It promotes parent-advocates' to advocate for themselves and become peer-advocates to other parents through support groups, parent groups and non-profit organizations.

The NICU Symposium provides a platform for parent-advocates and professionals to connect, collaborate and impact the health and wellness of NICU babies and children of special needs, but the entire family. Therefore, it is essential that parent-advocates take part in the planning of the Symposium. It provides an educational forum to teach parent-advocates about Early Intervention services that can help infants and children meet developmental milestones.

The NICU Symposium lays the groundwork for parent-advocates to learn about eligibility requirements and how to enroll in services, so their children can meet developmental and educational milestones. In addition, a wraparound healthcare plan can be established on the spot to minimize disparities by providing

opportunity for all parent-advocates to choose support services that best fit their needs.

The estimated attendance breakdown is 40% parent-advocates and 60% professional.

The NICU Symposium fits perfectly into Goal 5.1 in terms of increasing knowledge of “developmental milestones and intervention services for families of young children and professionals”. This symposium focuses on educating new NICU parents who have children who may develop I/DD – especially if they don’t learn about early interventions. About 30% of NICU babies end up being diagnosed with I/DD by age 3 or later. Often this cannot be diagnosed any earlier. The goal is to access services that may help reduce this number who are later diagnosed as I/DD. Educating NICU families about the I/DD system, developmental milestones, regional center/early intervention services, social security and Medi-Cal benefits for medically fragile children, and all the other social service agencies that participate in this symposium is vital to the health of these children. This Symposium is for both parents of NICU babies and for professionals – so it meets 2 aspects of Goal 5.1.

NICU Family Alliance has never received a sponsorship from SCDD. They have received a donation in 2017 for a vendor table fee.

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 2019-20 the Council has awarded \$5,400 in funds for sponsorship requests. The Council allocates \$25,000 per fiscal year for sponsorships. The fiscal year began July 1, 2019.

STAFF RECOMMENDATION: Approve NICU Family Alliance’s request for sponsorship.

ATTACHMENTS(S): NICU Family Alliance’s request for sponsorship.

PREPARED: Kristie Allensworth October 7, 2019



SPONSORSHIP REQUEST APPLICATION **State Council on Developmental Disabilities**

A. Name, date, location and description of your event/conference.

Event: 2019 NICU Symposium
Event Date: Saturday, November 16, 2019
Organization: NICU Family Alliance
Contact Name: Lisa Beauchamp
Contact Email: Lisa@nicufamilyalliance.org
Contact Address: 5884 Cavitt Stallman Road, Granite Bay, CA 95746
Amount requested: \$1,500.00

Event Description

The NICU Symposium™ is a collaborative event designed as a “one-stop shop” for Neonatal Intensive Care Unit (NICU) families to connect directly with healthcare providers, insurance companies, medical professionals, agencies, organizations and other parent-advocates.

This public and free mutually beneficial event raises awareness about available community-based resources and fosters an educational exchange in the field of neonatal care. It creates a dialogue between families, healthcare providers, agencies and organizations that cultivates a community of care for NICU newborns, infants and families of special needs children.

The NICU Symposium provides the opportunity for parent-advocates and professionals to share their experiences and expertise on improving the care of Neonatal Intensive Care Unit (NICU) babies and children of special needs. It promotes parent-advocates’ to advocate for themselves and become peer-advocates to other parents through support groups, parent groups and non-profit organizations.

The NICU Symposium pulls back the curtain to unveil the astonishing numbers of parents managing life with a NICU newborn, a child of special needs or both.

The NICU Symposium’s objectives are to increase communication between NICU families, professionals, healthcare providers, and medical personnel; increase knowledge of the unique issues facing NICU families; increase support that service providers offer and increase access and knowledge of community-based support services.

NICU Family Alliance

916.905.0838
nicufamilyalliance.org
info@nicufamilyalliance.org

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B. How will this event/conference 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?

It’s critical to the success of the NICU Symposium to have parent-advocates on the event planning committee. Their experiences and stories bring an authentic and organic representation of life with a NICU baby or child of special needs.

The symposium offers a safe space where parent-advocates can feel empowered to ask detailed and specific questions about services they may need during and after their NICU stay. This atmosphere helps build a team-based approach to the care of NICU families. It’s a mutually beneficial event that raises awareness about community-based resources and fosters an educational exchange of communication in the neonatal field.

The NICU Symposium provides a platform for parent-advocates and professionals to connect, collaborate and impact the health and wellness of NICU babies and children of special needs, but the entire family. Therefore, it is essential that parent-advocates take part in the planning of the Symposium. It provides an educational forum to teach parent-advocates about Early Intervention services that can help infants and children meet developmental milestones.

The NICU Symposium lays the groundwork for parent-advocates to learn about eligibility requirements and how to enroll in services, so their children can meet developmental and educational milestones. In addition, a wraparound healthcare plan can be established on the spot to minimize disparities by providing opportunity for all parent-advocates to choose support services that best fit their needs.

Per the National Coalition for Infant Health, “Preterm infants are 2 times more likely to have developmental delays, 5 times more likely to have learning challenges and 1 in 3 preterm infants will require support services at school.”

When intervention is delayed, it takes 4 times as long to intervene in fourth grade as it does in late kindergarten because of brain development and because of the increase in content for students to learn as they grow older. (National Institute of Child Health & Human Development).

Sponsorship from the State Council on Developmental Disabilities would help allow the NICU Family Alliance to continue its mission to improve the care of NICU infants and children of special needs through education, collaboration and advocacy and the expansion of the NICU Symposium.

NICU Family Alliance

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C. How many presenters or panelists will participate in the event and what number of the presenters or panelists will be consumers;

The 2019 NICU Symposium will include two (2) event hosts, one (1) keynote speaker, one (1) event moderator, four (4) person presentation and a five (5) person panel for a total of thirteen (13) NICU parent-advocates and professionals.

Four of the presenters/panelists are NICU parent-advocates or parents of special needs children and direct consumers of support services.

This all-encompassing group will share their experiences and expertise on best practices about caring for NICU newborns, infants and children of special needs.

Below is an alphabetical list of presenters and panelists with their credentials and qualifications.

- Traci H. Aoki-Tan, BS, CCLS, CTRS, CPSTI (Certified Child Life Specialist)
- Benita Ayala, G.I.F.T.S Foundation Founder, Mother of Special Needs Child and Parent Advocate
- Toni Brabec, Certified Birth & Bereavement Doula, Grief Recovery Method Specialist, NICU Parent & Advocate
- Geoff Brabec, Grief Recovery Method Specialist, Recruiter for Travel Nurse Across America and NICU Parent & Advocate
- Ingrid Cognato, Associate Marriage and Family Therapist #92892 and NICU Parent & Advocate
- Sherry Douden, LMFT, Clinical Supervisor
- Amber Fitzgerald, Autism, Behavior and Educational Consultant
- Susan Hintz, MD, MS
- Alla Ponomar, Sr. Health Navigator, Sacramento Covered
- Rose Tullius, Placer County Public Health Nurse, Health & Human Services and former NICU nurse
- Tammy Woodruff, BS, CCLS, CIMI (Certified Child Life Specialist)

NICU Family Alliance

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D. 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;

Approximately 200 parent-advocates, healthcare providers, medical professionals, educators, stakeholders, community partners and leaders will attend the 2019 NICU Symposium. The estimated attendance breakdown is 40% parent-advocates and 60% professional. A survey is to be sent out to the attendees in advance requesting additional participation information and will be provided to SCDD once calculated.

Over 200 NICU parent-advocates and professionals have already attended prior symposiums.

Over 40 local agencies and organizations have participated and/or provided some level of support and this year Continuing Education Units (CEU's) will be offered to expand community outreach. CEU's offered to: Nurses, SLP's, PT's, MFT's, LCSWs, LPCCs and LEPs.

E. How will you conduct outreach to increase consumer and family involvement in the conference;

The NICU Family Alliance will increase consumer and family involvement by continuing to reach out to a diverse community network through participation at local resource fairs; attend collaborative group meetings, such as Network Café; conduct informational presentations about the NICU Family Alliance for organizations such as Placer County Health & Human Services Home Health Nurses; conduct one-on-one meetings with community partners and leaders such as California Children's Services Placer County (CCS), Lighthouse Family Resource Center, Family Soup Resource Center, the G.I.F.T.S Foundation, attend parent support groups and collaborate with like-minded organizations, such as My EARS to Hear.

In September 2019, the NICU Family Alliance in collaboration with My EARS to Hear, a locally formed non-profit that supports parents of special needs children, will host a smaller scale community outreach event with the goal to build awareness about available support services and increase family involvement in the symposium.

This event will follow the same style format as the symposium by bringing together community-based organizations in a "one-stop shop" environment for parent-advocates to learn about available services. This open to the public event will bring together the following participating organizations: CalABLE, California Children's Services Placer County (CCS) and Happy Baby Sleep Consulting.

NICU Family Alliance

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nicufamilyalliance.org
info@nicufamilyalliance.org

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F. A complete and total budget, including the amount you are requesting (\$1,500 limit), details on the amount and sources of other funds solicited or obtained.

Any awarded monies would be used exclusively for Venue Fee and/or Printing costs (see below).		
Accommodations	One (1) overnight stay for keynote speaker.	250.00
Awards	Volunteer(s) of the Year plaque.	175.00
Food & Beverage	Continental breakfast & lunch to be provided to all attendees.	250.00
Venue Fee	Room rental and utilization fee. (Does not include Venue Security Deposit)	930.00
Venue Security Deposit	Deposit required to secure event date. (Paid in advance)	500.00
Playcare	Offered to families that cannot find respite or daycare in order to attend event.	150.00
Printing	Event programs, posters, fliers and other promotional documents that may need to be printed. Email is utilized when available.	400.00
Equipment Hire	Equipment used by event participants and presenters including sound systems, podium, projector and microphones.	200.00
Salaries	The 2019 NICU Symposium is an all-volunteer staff. No presenter, keynote or panel member will be paid for their participation.	0.00
	TOTAL ANTICIPATED BUDGET:	\$2,855.00

2019 Sponsors (as of 8/15/19)

- Grand Canyon University (\$250) To be received
- Lighthouse Family Resource Center (\$250) To be received

2018 Sponsors

- River City Medical (\$500)
- Beach Hut Deli (Donated Lunch)
- Chick-Fil-A (Discounted Breakfast)
- March of Dimes (In-Kind Gift Bags)

2017 Sponsors

- Aly & Izy Foundation (In-Kind Gift Bags)

NICU Family Alliance

916.905.0838
 nicufamilyalliance.org
 info@nicufamilyalliance.org

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- Lisa Beauchamp (Monetary Donation)

G. List of other SCDD sponsorships and grants you have previously requested and/or received; and

- 2018 NICU Symposium - Vendor Table Fee (\$250)

H. A letter of recommendation from a consumer and/or family organization that supports your efforts to improve consumer and family self-advocacy.

- Lighthouse Family Resource Center

Lisa Beauchamp

_____	8/15/19
Printed Name	
_____	_____
Signature & President	Date

Title	

NICU Family Alliance

916.905.0838
nicufamilyalliance.org
info@nicufamilyalliance.org

Better Care. Better Outcomes.™

COUNCIL AGENDA ITEM DETAIL SHEET

ISSUE: Tichenor Clinic for Children.

AMOUNT: \$1,277.00

BACKGROUND: The California State Council on Developmental Disabilities (SCDD) 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: Tichenor Clinic for Children is requesting a sponsorship for their Teen Life Skills group. The Teen Tiger Life Skills Group is for eight (8) teenagers with disabilities who are 15-18 years old. The group meets twice a week for 2 hours for 12 weeks.

The objective is to teach teens with disabilities skills to advocate for themselves, help them learn about agencies that provide services for people with disabilities in the community, and decrease disparities for low-income families. They provide each teen with a notebook of information about life skills and community resources. Some of the agencies that help teach the group include Access, SCDD, DRC, and Regional Center.

Most of the teens are also clients of Regional Center. They have volunteers who are pre-professional students at CSULB helping with the sessions. All the information sessions with outside agency speakers are open to self-advocates, parent advocates, and teens with disabilities outside of the group.

SCDD's support would provide access to daily living, occupational and interpersonal skills to teens. Topics will include kitchen safety, cooking, house cleaning, self-care, self-advocacy, community skills and telephone skills.

In 2019, Tichenor received a SCDD sponsorship (\$1,500) for the Super Heroes Carnival for event materials, printing, and presentation equipment.

SCDD's funds would be used for translation, materials, printing, binders.

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 2019-20 the Council has awarded \$5,400 in funds for sponsorship requests. The Council allocates \$25,000 per fiscal year for sponsorships. The fiscal year began July 1, 2019.

STAFF RECOMMENDATION: Approve Tichenor’s request for sponsorship.

ATTACHMENTS(S): Tichenor’s request for sponsorship.

PREPARED: Kristie Allensworth October 10, 2019

TICHENOR CLINIC FOR CHILDREN

2019 SCDD GRANT SPONSORSHIP APPLICATION

Organization: Tichenor Clinic for Children

Project Title: Tichenor Teen Life Skills Group

Project/Event Date: October 15 to December 19, 2019 (the following group will be January 14 to March 19, 2020)

Contact: Lori DeLaney, PT, DPT, MHA, Executive Director

Contact address: 1660 Termino Ave., Long Beach, CA 90804

Contact Telephone | Email: 562-597-3696 | lori.delaney@tichenorclinic.org

Requested Amount: \$1,277

Approximate cost of project: \$4,830

Thank you for giving Tichenor Clinic for Children the opportunity to apply for a SCDD Grant. Would you consider providing a grant of \$1,500 in support of our Teen Life Skills group? Your support would provide access to daily living, occupational and interpersonal skills to teens with disabilities. Topics will include kitchen safety, cooking, house cleaning, self-care, self-advocacy, community skills and telephone skills.

Brief Description of the History and Expertise of Tichenor

Founded by Adelaide Tichenor, the clinic is one of the oldest nonprofit community clinics in Long Beach. Adelaide learned from first-hand experience that the best time to correct orthopedic problems is during childhood. Her lifelong dream to help children with chronic orthopedic disabilities, regardless of their ability to pay, was realized with the opening of the clinic in 1926.

Tichenor Clinic's mission is to maximize children's abilities by providing access to rehabilitative and enrichment services. We support children and educate families, building on their strengths so they can advocate for themselves. We collaborate to find resources in the community to help our families. We are compassionate, going to extraordinary lengths to improve the lives of the children and families we serve. We value excellence by hiring exceptional staff.

Tichenor has a long history of helping children with developmental delays as well as other disabilities. Children receive free or low cost services at Tichenor. In 2018, Tichenor helped 781 children (13,012 visits), ranging in age from birth to 18 years old. The children were 75% Hispanic/Latino, 10% Caucasian, 6% African American and 5% Asian. Spanish was the primary language for 50% of the families. Medi-Cal was the health insurance provider for a majority of the families. The vast majority of the families live in the greater Long Beach area (zip codes 90802-90815). Economically, 93% of the families were below 200% of the federal poverty guidelines.

1. **Project Title: Tichenor Teen Life Skills Group**

- a. The Teen Tiger Life Skills Group is for eight teenagers with disabilities who are 15 – 18 years old. Robin Guth, occupational therapist, and Kim Vuong, community liaison, lead the group. Also helping are volunteers (often pre-professional students from CSULB) and graduates of the previous Teen Tiger Life Skills group, who serve as role models

and coaches for the new teens. **The maximum number participants is eight for each group (October group and January group).** We have 8 participants for the October group and 17 teens on our waitlist. Harbor Regional Center just sent out an announcement about the new group sessions so we are anticipating more applicants. The group meets twice a week for 2 hours for 12 weeks at Tichenor Clinic, 1660 Termino Ave., Long Beach, CA 90804. The current group started on October 15 to December 19, 2019. The sessions are free for teens with disabilities and their families. Most have received services at Tichenor but that is not a requirement. Almost all of the families at Tichenor fall below 200% of the Federal Poverty Guidelines.

Why are life skills so important? By teaching life skills to our teens with disabilities, they will be better prepared to live and work in the community. To live independently, they must be able to dress and groom properly, use appropriate table manners, make decisions about money, and use transportation to get to work. The sessions are hands-on so they get to practice the skills they learn. People who cannot care for themselves are more open to abuse and neglect by caregivers. If teens can do things to help themselves, they are empowered and happier. It gives them a chance to choose to do things their way. If they can feed, clean, clothe themselves, they will live a healthier life. They will have more living and work opportunities open to them. When teens care for themselves and perform decision making tasks, they can have a larger say in their lives and work toward achieving their dreams. Learning to manage stress, anxiety, and feelings is an important life skill that will help the teens cope with life. We want out teens with disabilities to thrive.

b. Group Objectives:

- We want to teach teens with disabilities skills to advocate for themselves, help them learn about agencies that provide services for people with disabilities in our community, and decrease disparities for low-income families. Some of the agencies that help teach the group include Access, SCDD, DRC, and Regional Center. The families will get to meet someone from these organizations at the event. They can then inquire about eligibility for programs and choose what resources and services are valuable to them. We provide each teen with a notebook of information about life skills and community resources.
- We invite parents to some of the educational sessions so they can learn about resources for people with disabilities and reinforce the information provided with their teen. Teaching parents about transportation options with Access helps the family access services now so their teen will be comfortable later on using the service on their own. SCDD teaches teens and families advocacy and about bullying prevention. The parents serve as role models for their children with the expectation that the teen will learn to self-advocate.
- Children with disabilities often need more time to learn new skills. By teaching life skills to teens, they will be better prepared when they become adults. Currently, Regional Centers only offer life skills training to adults. We believe that starting early will optimize the teen's abilities to learn and practice essential life skills that will increase their opportunities as adults. We use a pretest and posttest to evaluate if the teens learned new skills.

The SCDD State Plan Goals and Objectives addressed by this program include the following:

SCDD Goal 1: Self-Advocacy. Californians with I/DD and their families reflecting the diversity of the state will have increased information and supports to advocate for civil and service rights to achieve self-determination, integration, and inclusion in all areas of community life.

- The Tichenor Teens Life Skills Group increases knowledge about self-determination and person-centered planning during the session on self-advocating. Someone from SCDD teaches this session.

SCDD Goal 4: Health and Safety. Californians w/ I/DD and their families, reflecting the diversity of the state, will have increased information to access health, public safety, and related services that meet their needs and health care choices.

- The teens and their families receive handouts about public safety-related services and supports after each session.
- Safety support information is given about kitchen safety, pool safety, internet safety, and around taking public transportation.

SCDD Goal 5: Early Intervention, Education, Transition & Post-Secondary Education. Californians with I/DD and their families, reflecting the diversity of the state, will have increased information, in order to obtain inclusive education services throughout the lifespan.

- The teens learn about the systems available to them. They discuss potential careers and options for training for jobs.
- The program increases information and technical assistance to prepare and empower students, families and professionals in developing individualized transition plans that lead to employment, post-secondary education and/or independent living options & opportunities.
- The teens learn to use appliances that increase their independence (microwave, laundry, stove, and toaster)
- They learn the steps to live independently including washing clothes, cleaning a house, preparing/storing food, taking public transportation, shopping and using money.
- All of these skills for independent living set them up to be successful in jobs. They learn how to plan the steps needed to complete their goals.

SCDD Goal 6: Formal & Informal Community Supports. Californians with I/DD and their families, reflecting the diversity of the state, will have increased information and supports to access community-based services available to the general population.

- We provide translation for the teens and more importantly for their families. The handouts for the parents enable them to reinforce these skills at home. Of the families that receive services at Tichenor, 50% are Spanish speaking only and for a majority, Spanish was their first language and is their language of choice.
- With the skills provided, we hope to be proactive so that more of the teens will have the option to live independently instead being in an institution.

- The program provides outreach, training on Regional Center services, transportation, public benefits, and recreation options in our community for people with I/DD and their families. Someone from Regional Center help with the IPP training.

Tichenor Clinic would use the **\$1,500 from a SCDD sponsorship grant** for \$400 for translating event materials and \$998 for translation services at the sessions and of the materials used to support the group. In addition, \$279 for printing costs

Presenters/Panelists: Kim Vuong (consumer) is a perfect role model/teacher for the teens since she has disabilities, works, and lives independently. Robin Guth, occupational therapist, is a seasoned professional with over 10 years of experience. She also has a brother who has Down syndrome and has firsthand experience helping him achieve his highest level of independence. Miguel Flores, MS, BCBA, from Harbor Regional Center, helps the teens learn about their bodies. Deaka McClain (consumer), chair of the Citizens Advisory Commission on Disabilities and person with a disability, shares her experience and advice. Sofia Cervantes, SCDD, covers the topics of advocacy and bullying prevention. Graduates (consumers) from the last life skills group return to practice their community skills and serve as role models with the new teens. DRC will present information on IPPs and person centered planning.

- The Target Audience:** Teens with disabilities. We have **8 teens in the current session and a waitlist forming for the next session.** Most of our teens are also clients of Regional Center. We have volunteers who are pre-professional students at CSULB helping with the sessions. All of the information sessions with outside agency speakers are open to self-advocates, parent advocates, and teens with disabilities outside of the group.
 - How will we conduct outreach to increase consumer and family involvement in the group:**
We will reach out to the Tichenor Support Group on Facebook (700 followers), local Regional Centers, the Long Beach Early Intervention Council, SCDD, and families receiving services at Tichenor.
 - See Attachment A for the complete event budget.
 - Other SCDD sponsorships and grants received:** We have previously received a SCDD sponsorship (\$1,500) for the Super Heroes Carnival on June 1, 2019 at Tichenor.
 - See attachment B for the letter of recommendation from a consumer that supports our efforts to improve consumer and family self-advocacy.
- During the event, we will acknowledge that consumer and family participation in the event was made possible, in part, with funding from the California State Council of Developmental Disabilities.
 - Tichenor will list SCDD as a SUPERHERO SPONSOR and place their logo on all handouts for the sessions.
 - We will highlight SCDD and logo in a Tichenor newsletter.

- c. We will provide promotional shout outs on our social media pages.
- d. We will place your logo and a link to your homepage on Tichenor's website for one year.

Lori DeLaney

Lori DeLaney, PT, MHA, DPT
Executive Director

Attachment A - Budget

Tichenor Teen Life Skills Group Budget Summary

Revenue	SCDD Grant request	Tichenor Clinic	Other Donations	Total
Sponsorships	\$1,500		\$480	\$1,980
Support		\$2,850		\$2,850
Total Revenue	\$1,500	\$2,850	\$480	\$4,830
Expenses				
Expenses	SCDD Grant request	Tichenor Clinic		Total
PERSONNEL				
Wages		\$1,920		\$1,920
Payroll taxes & fringe benefits @ 25%		\$384		\$384
TRANSLATION				
Translation of group session materials	\$350			\$350
Translation (12 sessions x 2hrs. @ \$27/hr.)	\$648			\$648
PRINTING				
Life skills handouts for notebooks, flyers	\$250			\$250
8 binders	\$29			\$29
Supplies/Equipment				
Hospitality	\$223			\$223
Food supplies for cooking			\$480	\$480
Adjustable clothes & shirts folder board		\$17		\$17
2 Quart Nonstick saucepan with lid		\$15		\$15
Blender		\$60		\$60
Toaster oven		\$50		\$50
2 Hot plate stoves		\$80		\$80
Push Cart		\$64		\$64
Laundry soap		\$9		\$9
Dishwasher soap		\$14		\$14
3 Storage Containers		\$237		\$237
TOTAL ALL EXPENSES	\$1,500	\$2,850	\$480	\$4,830

Dear Grant Committee of SCDD,

I am the parent of Keegan Taylor, who is 18 and affected by Autism, and Intellectual Disability. Keegan attends the Tichenor Teen Life Skills Program which he is really enjoying. Keegan has learned how to practice safe food preparation and food handling skills.

Keegan prepares silverware sets at Chili's restaurant each week, so knowing how to properly wash his hands, wash utensils, and keep a clean work area are important for him to understand. The skills he learns through the program are immediately useful allowing Keegan to expand his opportunities to participate in work and home life.

Keegan has learned how to handle utensils safely and items that may be hot so that he can prevent injury to himself or others. Now I can also ask Keegan to help clean around the house. He has practiced washing dishes, cleaning tables and counters, using a stovetop and oven safely, use of knives and small appliances and sweeping the floor. If he continues to work in a restaurant, he will be able to use these skills as well, which means he will increase his ability to work and support himself in a competitive work environment.

Keegan has also increased his independence in preparing his own meals. He has even started a personal cookbook that he uses to collect recipes and instructions for things that he likes to eat and wants to make.

Keegan has also been more willing to try new food items, which has always been a challenge for him. It may seem like a small issue, but it actually has been a factor that has impacted opportunities for him.

During his senior year at high school, we began looking at comprehensive transition programs at schools like the Taft TIL program in Taft, California as well as the Pathways program at UCLA. These programs required the students to maintain a budget and use the school meal program without the added support of having family bail them out by supplying additional financial resources. They would have to either eat from the daily menu in the student dining hall or utilize the small refrigerator and microwave in their dorm room to prepare their meal. Keegan's inability to expand his variety of meals or prepare his own meals safely was a roadblock, as was his inability to maintain his own living space. As Keegan's skills and tolerances grow, he gets closer to being able to have a live away college experience like his typical peers. In addition he would also then have the opportunity to then, take classes that would further his education and employment prospects. So, these seemingly simple skills represent obstacles to much larger aspirations. The Tichenor Teen Life Skills Program chips away at those obstacles and helps to open doors for growth and opportunity.

Another great aspect of the program is the self-advocacy portion of the class. Keegan has always been quiet in nature and often did not speak up and ask for assistance. This is going to become ever more important now that he has reached adulthood and my role as an advocate for Keegan is diminished. This, of course, is an area that is going to need to be further

developed in Keegan through practice. However, this introduction to self advocacy serves as a foundation to build on.

Additional aspects of the Teen Life Skills Program are introductions to using the bus, community navigation tools and navigation apps on cell phones, using a grocery list, navigating a grocery store and paying at a check-out counter. All of these skills are far more complex for individuals with learning challenges. These tasks take practice and guidance. The first time my son tried to shop in a grocery store I realized how complex of an activity that actually was. Just the terminology alone he needed to find the right area in the store to search was daunting. I suddenly became aware that I had not taught him that milk was a dairy product and he would need to understand that the store is organized using these terms that I had not prepared him to use. He knows what a fruit or vegetable looks like, but I hadn't shared that these are referred to as produce items and there is a "produce" section in a store. They don't call it the fruit and vegetable section, they call it produce. It was going to take a long time for him to navigate the store and find the items on his list until he got familiar with the layout and the terminology he needed. When we eventually gathered all of our items it was time for the next hurdle, paying. Paying for a purchase takes many steps, especially now, since most of us carry debit cards. It's a skill that must also be taught and mastered. The Teen Life Skills Program introduces each of these concepts and gives step-by-step instruction through hands on learning which helps our young people get familiar with each process in a supported environment. Keegan looks forward to each class, seeing his new friends and exploring new experiences. He likes showing off his new knowledge and independence and I love seeing him grow.

The Tichenor Teens Life Skills Program is a program you will find worthy of your support. The Tichenor Clinic has a long history of providing programs and services to Long Beach and the surrounding community communities. Tichenor also puts special focus on serving the needs of exceptional individuals and their families as well as low-income families. I hope you will consider supporting this very special program that helps teens develop essential skills and self-reliance. I am grateful that my son was able to have the opportunity to attend such a practical and needs driven program. With your support, Tichenor will be able to continue to provide this valuable resource to young people in our communities.

Sincerely,
Kristy Emory and Keegan Taylor



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 (\$1,500 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

OCTOBER 29, 2019

**AGENDA ITEM 10
ACTION ITEM**

**EXECUTIVE COMMITTEE
STATE COUNCIL ON DEVELOPMENTAL DISABILITIES**

CONFLICT OF INTEREST WAIVER REQUESTS

SCDD Legal Counsel Adam Lewis will present Conflict of Interest waiver requests. Documentation for these requests has been included in the packet for review.

Renewal requests:

- A. Far Northern Regional Center
 - i. William Battles
 - ii. Adam Beals
 - iii. Roger Hatton
 - iv. Colleen Ryberg
- B. Tri-Counties Regional Center
 - i. Howard Krauss

New requests:

- A. North Los Angeles County Regional Center
 - i. Adam Breall
- B. Redwood Coast Regional Center
 - i. Diane Larson

Action Recommended

Approve the Conflict of Interest Waiver requests.

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COUNCIL AGENDA ITEM DETAIL SHEET

ISSUE: Regional Center Conflict of Interest (COI) - **RENEWAL**

BACKGROUND: Codified in Welfare and Institutions (W&I) Code sections 4500 et seq., 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.¹ 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.²

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.

William Battles, Board Member, Far Northern Regional Center:

William Battles is a member of the Board of Directors of the Far Northern Regional Center (FNRC). Mr. Battles is employed on a part time basis as a peer instructor for the We Care A Lot Foundation, a FNRC vendor that provides employment services to FNRC consumers.

The FNRC Board of Directors 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, i.e. community meetings/networks/county coordinating councils, websites and E-Blast notifications. Where there are County Coordinating Councils, the Councils make recommendations to the County Board of Supervisors who make the actual appointment. For Counties without a County Coordinating Council, final appointments are decided by the membership committee of the FNRC Board of Directors which completes the appointment process.

A previous waiver submitted by Mr. Battles was approved by the Council at its Executive Committee meeting on August 15, 2017.

DISCUSSION:

¹ Welf. & Inst. Code § 4626, subd. (f).

² Welf. & Inst. Code § 4628.

Conflict of Interest: Department of Developmental Services (DDS) Regulation³ 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.

Mr. Battles conflict of interest arises because he is employed on a part-time basis for a FNRC employment service provider.⁴ To address the conflict, Mr. Battles submitted the following Conflict of Interest Resolution Plan (Plan):

1. Mr. Battles will not make any recommendation, participate in any decision or vote on any contract regarding We Care A Lot Foundation.
2. Should issues involving FNRC's contract with We Care A Lot Foundation arise during the course of a FNRC Board meeting, Mr. Battles will excuse himself from the meeting room;
3. Mr. Battles will not access any files kept by FNRC relating to We Care A Lot Foundation;
4. Mr. Battles will not participate individually, or as part of a group, in the preparation, presentation, formulation, or approval or reports, plans,

³ DDS' current regulations are published at California Code of Regulations, title 17, § 50201 et seq.

⁴ Cal. Code Regs., title 17, § 54520(a)(10).

policies, analyses, opinions or recommendations pertaining to We Care A Lot Foundation.

W&I Code Section 4622 Requirements: In addition to the requirements of Regulation 54520, Welfare and Institutions Code Section 4622(k) says that a 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.

The proposed Plan appears to mitigate concerns over a conflict of interest that could result based upon Mr. Battles' part-time employment with a FNRC employment service provider. The prior Plan submitted by Mr. Battles that was approved by the Council contained the same provisions to address the potential conflict. Furthermore, Welfare & Institutions Code section 4262(c) provides that a person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the regional center's board based solely on receipt of employment services. Accordingly, the staff recommendation is to approve Mr. Battles' waiver request.

STAFF RECOMMENDATION: Reapprove Mr. Battles' waiver request on the condition that he also comply with the requirements of Welfare & Institutions Code § 4622(k).

ATTACHMENT: Mr. Battles' COI reporting statement and Plan.

PREPARED BY: Legal Counsel Adam Lewis, September 30, 2019.



Far Northern Regional Center

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

Melissa Gruhler
Executive Director

July 31, 2019



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 Reporting 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

www.farnorthernrc.org

REDDING MAIN OFFICE: P. O. Box 492418 Redding, CA 96049-2418 1900 Churn Creek Rd. Suite 114 Redding, CA 96002-0277 (530) 222-4791 Fax (530) 222-8908

CHICO OFFICE: 1377 East Lassen Ave. Chico, CA 95973-7824 (530) 895-8633 FAX (530) 332-1497

REGIONAL OFFICES in: Lake Almanor, Mount Shasta and Yreka



Far Northern Regional Center

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

Melissa Gruhler
Executive Director

July 24, 2019

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 2019-20, he disclosed that he works approximately 26 – 39 hours per week as a Peer Instructor and Advocate 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. Aside 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.

www.farnorthernrc.org

□ REDDING MAIN OFFICE: P. O. Box 492418 Redding, CA 96049-2418 1900 Churn Creek Rd. Suite 114 Redding, CA 96002-0277 (530) 222-4791 Fax (530) 222-8908

□ CHICO OFFICE: 1377 East Lassen Ave. Chico, CA 95973-2324 (530) 895-8633 FAX (530) 332-1497

□ REGIONAL OFFICES in: Lake Almanor, Mount Shasta and Yreka

Allan Smith
July 24, 2019
Page 2

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,



MELISSA GRUHLER
Executive Director



DANIEL STRAUSS
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

July 18, 2019

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.

On July 18, 2019 I have completed my annual Conflict of Interest Reporting Statement for 2019-20 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 26 - 39 hours per week as a Peer Instructor and Advocate. 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.

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;

Proposed Conflict of Interest Resolution Plan – William Battles

July 18, 2019

Page 2

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



**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 Executive Director
 Vendor Advisory Committee sitting on Board Employee
 Contractor Agent Consultant

Reporting Status: Annual New Appointment (date): _____
 Change of Status¹

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).

- | |
|--|
| <input checked="" type="checkbox"/> Governing Board Member |
| <input type="checkbox"/> Vendor Advisory on Board |
| <input type="checkbox"/> Executive Director |
| <input type="checkbox"/> Employee/Other |

2. Do you or a family member² 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 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." - Continue to #3 below -

3. Do you or a family member own or hold a position³ 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 26 - 39 hours per week as a Peer Instructor and Advocate for We Care A Lot Foundation, a FNRC service provider.

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.

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> 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 member⁴? [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 contract⁶ 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  Date 7/23/19

INTERNAL USE ONLY	
Date this Statement was received by Reviewer:	
The reporting individual <input type="checkbox"/> does <input type="checkbox"/> does not have a <input type="checkbox"/> present <input type="checkbox"/> potential conflict of interest	
Signature of Designated Reviewer	Date Review Completed
<u></u>	<u>7/27/2019</u>

COUNCIL AGENDA ITEM DETAIL SHEET

ISSUE: Regional Center Conflict of Interest (COI) - **RENEWAL**

BACKGROUND: Codified in Welfare and Institutions (W&I) Code sections 4500 et seq., 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.¹ 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.²

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.

Adam Beals, Board Member, Far Northern Regional Center:

William Beals is a member of the Board of Directors of the Far Northern Regional Center (FNRC). Mr. Beals is employed on a part time basis in the mail room and Marble Project for the Siskiyou County Opportunity Center, a FNRC vendor that provides employment services to FNRC consumers.

The FNRC Board of Directors 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, i.e. community meetings/networks/county coordinating councils, websites and E-Blast notifications. Where there are County Coordinating Councils, the Councils make recommendations to the County Board of Supervisors who make the actual appointment. For Counties without a County Coordinating Council, final appointments are decided by the membership committee of the FNRC Board of Directors which completes the appointment process.

A previous waiver submitted by Mr. Beals was approved by the Council on July 31, 2018. Waivers were also approved in 2016 and 2017.

DISCUSSION:

¹ Welf. & Inst. Code § 4626, subd. (f).

² Welf. & Inst. Code § 4628.

Conflict of Interest: Department of Developmental Services (DDS) Regulation³ 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.

Mr. Beals' conflict of interest arises because he is employed on a part-time basis for a FNRC employment service provider.⁴ To address the conflict, Mr. Beals resubmitted the following Conflict of Interest Resolution Plan (Plan):

1. Mr. Beals will not make any recommendation, participate in any decision or vote on any contract regarding Siskiyou County Opportunity Center.
2. Should issues involving FNRC's contract with Siskiyou County Opportunity Center arise during the course of a FNRC Board meeting, Mr. Beals will excuse himself from the meeting room;
3. Mr. Beals will not access any files kept by FNRC relating to Siskiyou County Opportunity Center;
4. Mr. Beals will not participate individually, or as part of a group, in the preparation, presentation, formulation, or approval or reports, plans,

³ DDS' current regulations are published at California Code of Regulations, title 17, § 50201 et seq.

⁴ Cal. Code Regs., title 17, § 54520(a)(10).

policies, analyses, opinions or recommendations pertaining to Siskiyou County Opportunity Center.

W&I Code Section 4622 Requirements: In addition to the requirements of Regulation 54520, Welfare and Institutions Code Section 4622(k) says that a 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.

The proposed Plan appears to mitigate concerns over a conflict of interest that could result based upon Mr. Beals' part-time employment with a FNRC employment service provider. The prior Plan submitted by Mr. Beals that was approved by the Council contained the same provisions to address the potential conflict. Furthermore, Welfare & Institutions Code section 4262(c) provides that a person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the regional center's board based solely on receipt of employment services. Mr. Beals has reported no other conflicts of interest. Accordingly, the staff recommendation is to approve Mr. Beals' waiver request.

STAFF RECOMMENDATION: Reapprove Mr. Beals' waiver request on the condition that he also comply with the requirements of Welfare & Institutions Code § 4622(k).

ATTACHMENT: Mr. Beals' COI reporting statement and Plan.

PREPARED BY: Legal Counsel Adam Lewis, September 30, 2019.



Far Northern Regional Center

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

Melissa Gruhler
Executive Director



July 16, 2019

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:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Reporting 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

www.farnorthernrc.org

REDDING MAIN OFFICE: P. O. Box 492418 Redding, CA 96049-2418 1900 Churn Creek Rd. Suite 114 Redding, CA 96002-0277 (530) 222-4791 Fax (530) 222-8908

CHICO OFFICE: 1377 East Lassen Ave. Chico, CA 95973-7824 (530) 895-8633 FAX (530) 332-1497

REGIONAL OFFICES in: Lake Almanor, Mount Shasta and Yreka



Far Northern Regional Center

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

Melissa Gruhler
Executive Director

July 15, 2019

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 2019-20, he disclosed that at the Siskiyou County Opportunity Center approximately 30 - 35 hours per week, 50/50 between the mail room and the marble project.

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.

www.farnorthernrc.org

REDDING MAIN OFFICE: P. O. Box 492418 Redding, CA 96049-2418 1900 Churn Creek Rd. Suite 114 Redding, CA 96002-0277 (530) 222-4791 Fax (530) 222-8908

CHICO OFFICE: 1377 East Lassen Ave. Chico, CA 95973-7824 (530) 895-8633 FAX (530) 332-1497

REGIONAL OFFICES in: Lake Almanor, Mount Shasta and Yreka

Allan Smith
July 15, 2019
Page 2

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

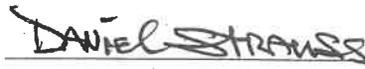
Please contact Executive Director Melissa Gruhler if you have any questions concerning this matter.

Thank you for your assistance.

Sincerely,



MELISSA GRUHLER
Executive Director



DANIEL STRAUSS
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



**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 Status¹

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).

<input checked="" type="checkbox"/>	Governing Board Member
<input type="checkbox"/>	Vendor Advisory on Board
<input type="checkbox"/>	Executive Director
<input type="checkbox"/>	Employee/Other

2. Do you or a family member² 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 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." - Continue to #3 below -

3. Do you or a family member own or hold a position³ 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 30 - 35 hours per month for Siskiyou County Opportunity Center. My time is split 50/50 between the mail room and marble project.

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.

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> 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 member⁴? [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 contract⁶ 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.

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> 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  Date 7/6/19

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



7/2/19

July 6, 2019

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.

On July 6, 2019 I have completed my annual Conflict of Interest Reporting Statement for 2019-20, 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 and with Marble Project of the Siskiyou County Opportunity Center approximately 30 -35 hours per month.

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;

Proposed Conflict of Interest Resolution Plan – Adam Beals

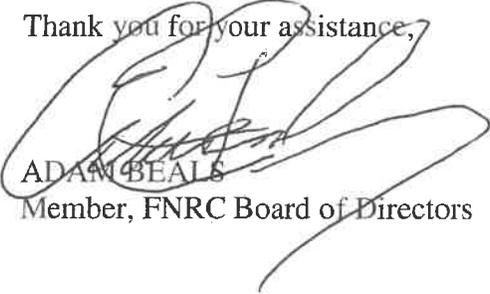
July 6, 2019

Page 2

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

COUNCIL AGENDA ITEM DETAIL SHEET

ISSUE: Regional Center Conflict of Interest (COI) - **RENEWAL**

BACKGROUND: Codified in Welfare and Institutions (W&I) Code sections 4500 et seq., 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.¹ 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.²

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.

Roger Hatton, Board Member, Far Northern Regional Center:

Roger Hatton is a member of the Board of Directors of the Far Northern Regional Center (FNRC). Mr. Hatton is employed on a part-time basis as a delivery driver for CPE Food Pantry, a FNRC vendor that provides employment services to FNRC consumers.

The FNRC Board of Directors 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, i.e. community meetings/networks/county coordinating councils, websites and E-Blast notifications. Where there are County Coordinating Councils, the Councils make recommendations to the County Board of Supervisors who make the actual appointment. For Counties without a County Coordinating Council, final appointments are decided by the membership committee of the FNRC Board of Directors which completes the appointment process.

A previous waiver submitted by Mr. Hatton was approved by the Council on July 31, 2018. Waivers were also approved in 2016 and 2017.

DISCUSSION:

¹ Welf. & Inst. Code § 4626, subd. (f).

² Welf. & Inst. Code § 4628.

Conflict of Interest: Department of Developmental Services (DDS) Regulation³ 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.

Mr. Hatton's conflict of interest arises because he is employed on a part-time basis for a FNRC employment service provider.⁴ To address the conflict, Mr. Hatton resubmitted the following Conflict of Interest Resolution Plan (Plan):

1. Mr. Hatton will not make any recommendation, participate in any decision or vote on any contract regarding CPE Food Pantry.
2. Should issues involving FNRC's contract with CPE Food Pantry arise during the course of a FNRC Board meeting, Mr. Hatton will excuse himself from the meeting room;
3. Mr. Hatton will not access any files kept by FNRC relating to CPE Food Pantry;
4. Mr. Hatton will not participate individually, or as part of a group, in the preparation, presentation, formulation, or approval or reports, plans,

³ DDS' current regulations are published at California Code of Regulations, title 17, § 50201 et seq.

⁴ Cal. Code Regs., title 17, § 54520(a)(10).

policies, analyses, opinions or recommendations pertaining to CPE Food Pantry.

W&I Code Section 4622 Requirements: In addition to the requirements of Regulation 54520, Welfare and Institutions Code Section 4622(k) says that a 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.

The proposed Plan appears to mitigate concerns over a conflict of interest that could result based upon Mr. Hatton's part-time employment with a FNRC employment service provider. The prior Plan submitted by Mr. Hatton that was approved by the Council contained the same provisions to address the potential conflict. Furthermore, Welfare & Institutions Code section 4262(c) provides that a person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the regional center's board based solely on receipt of employment services. Mr. Hatton has reported no other conflicts of interest. Accordingly, the staff recommendation is to approve Mr. Hatton's waiver request.

STAFF RECOMMENDATION: Reapprove Mr. Hatton's waiver request on the condition that he also comply with the requirements of Welfare & Institutions Code § 4622(k).

ATTACHMENT: Mr. Hatton's COI reporting statement and Plan.

PREPARED BY: Legal Counsel Adam Lewis, September 30, 2019.



Far Northern Regional Center

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

Melissa Gruhler
Executive Director

July 16, 2019



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:

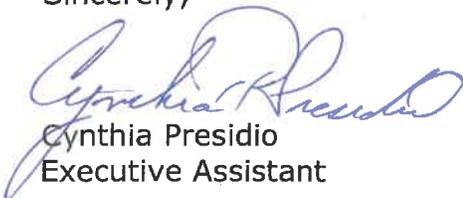
Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Roger Hatton:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Reporting 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

www.farnorthernrc.org

☐ REDDING MAIN OFFICE: P. O. Box 492418 Redding, CA 96049-2418 1900 Churn Creek Rd. Suite 114 Redding, CA 96002-0277 (530) 222-4791 Fax (530) 222-8908

☐ CHICO OFFICE: 1377 East Lassen Ave. Chico, CA 95973-7824 (530) 895-8633 FAX (530) 332-1497

☐ REGIONAL OFFICES in: Lake Almanor, Mount Shasta and Yreka



Far Northern Regional Center

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Melissa Gruhler
Executive Director

July 15, 2019

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 2019-20, He disclosed that he works approximately 15 hours per week driving delivery vehicles for CPE Food Pantry.

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, 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. 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.

www.farnorthernrc.org

REDDING MAIN OFFICE: P. O. Box 492418 Redding, CA 96049-2418 1900 Churn Creek Rd. Suite 114 Redding, CA 96002-0277 (530) 222-4791 Fax (530) 222-8908

CHICO OFFICE: 1377 East Lassen Ave. Chico, CA 95973-7824 (530) 895-8633 FAX (530) 332-1497

REGIONAL OFFICES in: Lake Almanor, Mount Shasta and Yreka

Allan Smith
July 15, 2019
Page 2

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 Melissa Gruhler, if you have any questions concerning this matter.

Thank you for your assistance.

Sincerely,



MELISSA GRUHLER
Executive Director



DANIEL STRAUSS
Chairperson, FNCC Board of Directors

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

July 12, 2019

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 Shasta County.

On July 12, 2019 I have completed my annual Conflict of Interest Reporting Statement for 2019-20, 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 35 hours per week driving delivery vehicles for CPE Food Pantry.

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, 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:

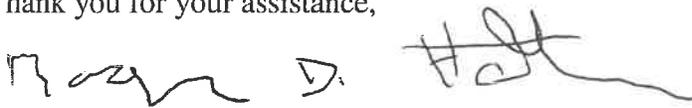
1. As a member of FNRC's Board of Directors I will not make any recommendation, participate in any discussion or vote on any contract regarding CPE Food Pantry.
2. Should these issues arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;

Proposed Conflict of Interest Resolution Plan – Roger Hatton
July 12, 2019
Page 2

3. I will not access any files kept by FNRC relating to CPE Food Pantry;
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.

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

Thank you for your assistance,

Handwritten signature of Roger Hatton in black ink, consisting of a stylized first name and a last name starting with 'H'.

ROGER HATTON
Member, FNRC Board of Directors



**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 Executive Director
 Vendor Advisory Committee sitting on Board Employee
 Contractor Agent Consultant

Reporting Status: Annual New Appointment (date): _____
 Change of Status¹

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).

- | |
|--|
| <input checked="" type="checkbox"/> Governing Board Member |
| <input type="checkbox"/> Vendor Advisory on Board |
| <input type="checkbox"/> Executive Director |
| <input type="checkbox"/> Employee/Other |

2. Do you or a family member² 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 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." - Continue to #3 below -

3. Do you or a family member own or hold a position³ 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 am currently employed by CPE Food Pantry and work as a delivery driver approximately 35 hours per week.

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.

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> 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 member⁴? [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 contract⁶ 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.

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> 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  Date July 12, 2019

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



7/12/19

COUNCIL AGENDA ITEM DETAIL SHEET

ISSUE: Regional Center Conflict of Interest (COI) - **RENEWAL**

BACKGROUND: Codified in Welfare and Institutions (W&I) Code sections 4500 et seq., 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.¹ 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.²

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.

Colleen Ryberg, Board Member, Far Northern Regional Center:

Colleen Ryberg is a member of the Board of Directors of the Far Northern Regional Center (FNRC). Ms. Ryberg's daughter-in-law is a provider of occupational therapy services to FNRC's consumers. Ms. Ryberg's daughter-in-law does not live with her, nor does she receive any financial benefit as a result of her daughter-in-law's employment.

The FNRC Board of Directors 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, i.e. community meetings/networks/county coordinating councils, websites and E-Blast notifications. Where there are County Coordinating Councils, the Councils make recommendations to the County Board of Supervisors who make the actual appointment. For Counties without a County Coordinating Council, final appointments are decided by the membership committee of the FNRC Board of Directors which completes the appointment process.

The Council approved a waiver for Ms. Ryberg at its meeting on July 31, 2018. The Council also approved waivers for Ms. Ryberg on an annual basis from 2013 to 2017.

¹ Welf. & Inst. Code § 4626, subd. (f).

² Welf. & Inst. Code § 4628.

DISCUSSION:

Conflict of Interest: Department of Developmental Services (DDS) Regulation³ 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.

Ms. Ryberg's conflict of interest arises because her daughter-in-law provides occupational therapy services to FNRC consumers.⁴ To address the conflict, Ms. Ryberg resubmitted the following Conflict of Interest Resolution Plan (Plan):

1. Ms. Ryberg shall not make any recommendations, participate in any discussions or vote on any vendor contract with FNRC regarding occupational services provided to consumers;
2. Ms. Ryberg will excuse herself from the room should any issues of occupational services arise during a FNRC Board meeting;
3. Ms. Ryberg shall not promote her daughter-in-law to FNRC staff or consumers;
4. Ms. Ryberg shall not discuss FNRC business, activities or consumers with her daughter-in-law;

³ DDS' current regulations are published at California Code of Regulations, title 17, § 50201 et seq.

⁴ Cal. Code Regs., title 17, § 54520(a)(10).

5. Ms. Ryberg shall not access any files kept by FNRC relating to her daughter-in-law's vendorization, nor shall she access any files kept by FNRC relating to other providers of occupational therapy services;
6. Ms. Ryberg shall 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 her daughter-in-law or any other FNRC vendor of occupational therapy services.

The proposed Plan appears to mitigate concerns over a conflict of interest that could result based upon Ms. Ryberg's daughter-in-law being a provider of occupational therapy services to FNRC consumers. The prior Plan submitted by Ms. Ryberg that was approved by the Council contained the same provisions to address the potential conflict. Ms. Ryberg has reported no other conflicts of interest. Accordingly, the staff recommendation is to approve Ms. Ryberg's waiver request.

STAFF RECOMMENDATION: Reapprove Ms. Ryberg's waiver request.

ATTACHMENT: Ms. Ryberg's COI reporting statement and Plan.

PREPARED BY: Legal Counsel Adam Lewis, October 11, 2019.



Far Northern Regional Center

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

Melissa Gruhler
Executive Director

July 12, 2019



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 Reporting 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

www.farnorthernrc.org

REDDING MAIN OFFICE: P. O. Box 492418 Redding, CA 96049-2418 1900 Churn Creek Rd. Suite 114 Redding, CA 96002-0277 (530) 222-4791 Fax (530) 222-8908

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REGIONAL OFFICES in: Lake Arrowhead, Mount Shasta and Yreka



Far Northern Regional Center

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Melissa Grühler
Executive Director

July 15, 2019

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, Title 7, section 54533.

www.farnorthernrc.org

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CHICO OFFICE: 1377 East Lassen Ave. Chico, CA 95973-7824 (530) 895-8633 FAX (530) 332-1497

REGIONAL OFFICES in: Lake Almanor, Mount Shasta and Yreka

Allan Smith
July 15, 2019
Page 2

Please contact Executive Director, Melissa Gruhler, if you have any questions concerning this matter.

Thank you for your assistance,

Sincerely,



MELISSA GRUHLER
Executive Director



DANIEL STRAUSS
Chairperson, FNCC Board of Directors

Enclosures

Conflict of Interest Report Statement – Colleen Ryberg
Proposed Conflict of Interest Resolution Plan – Colleen Ryberg

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

July 10, 2019

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 July 10, 2019 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.

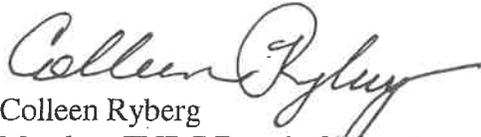
My daughter-in-law, Stacy Neill-Wiseman, is a provider of occupational therapy services to regional center consumers. Stacy is an independent adult. She does not live with me, and I do not receive any financial benefit as a result of her employment as an occupational therapist. This issue appears to 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 FNRC 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.

Proposed Conflict of Interest Plan - Colleen Ryberg
July 10, 2019
Page 2

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

Thank you for your assistance.

A handwritten signature in cursive script that reads "Colleen Ryberg". The signature is written in black ink and is positioned above the printed name and title.

Colleen Ryberg
Member, FNRC Board of Directors



**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 Executive Director
 Vendor Advisory Committee sitting on Board Employee
 Contractor Agent Consultant

Reporting Status: Annual New Appointment (date): _____
 Change of Status¹

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).

- | |
|---|
| <input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> Employee/Other |
|---|

2. Do you or a family member² 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 position³ 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.

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> 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 member⁴? [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 contract⁶ 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.

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> 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 Ryberg Date 7/10/19

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

David Strawn

7/12/19

COUNCIL AGENDA ITEM DETAIL SHEET

ISSUE: Regional Center Conflict of Interest (COI) - **RENEWAL**

BACKGROUND: Codified in Welfare and Institutions (W&I) Code sections 4500 et seq., 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.¹ 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.²

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.

Howard Kraus, Board Member, Tri-Counties Regional Center:

Howard Kraus is a member of the Tri-Counties (TCRC) board and a TCRC consumer. He is employed by Pathpoint, a TCRC vendor, as part of the employment services he receives through the regional center. He works as a Travel Trainer for Pathpoint.

TCRC has a public member recruitment and appointment process which is subject to public review and engagement. Candidates for the board may be recommended by organizations representing individuals with developmental disabilities and/or their family members, service providers, and the general public or by self-referral.

A previous waiver submitted by Mr. Kraus was approved by the Council at its Executive Committee meeting on April 19, 2018. A waiver was also approved in 2017.

DISCUSSION:

Conflict of Interest: Department of Developmental Services (DDS) Regulation³ 54520 provides in part that a conflict of interest exists when the

¹ Welf. & Inst. Code § 4626, subd. (f).

² Welf. & Inst. Code § 4628.

³ DDS' current regulations are published at California Code of Regulations, title 17, § 50201 et seq.

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.

Mr. Kraus' conflict of interest arises because he is employed with a TCRC employment service provider.⁴ To address the conflict, Mr. Krauss resubmitted the following Conflict of Interest Resolution Plan (Plan):

1. Mr. Kraus understands that he is not to involve himself in any business dealings involving Pathpoint;
2. The TCRC board President and Executive Director understand that Mr. Kraus is not be involved in any potential business dealings involving Pathpoint;
3. Mr. Kraus understands he is to recuse himself from voting on any board matters involving any decisions specifically involving Pathpoint including decisions, voting, contract reviews, etc.;
4. Mr. Kraus is not involved in the individual selection of vendors who will work with TCRC;
5. Mr. Kraus understands that he is not to allow any decisions he makes in the course of his duties as a board member to be

⁴ Cal. Code Regs., title 17, § 54520(a)(10).

influenced by the fact that he is employed with a vendor of TCRC;

6. If such an occasion did occur, Mr. Kraus understands he is to remove himself from any decision making involving Pathpoint; and
7. Mr. Kraus will not participate either individually or as part of a group in the presentation, preparation, formulation or approval of reports, plans, policies, analysis, or opinions regarding Pathpoint.

In addition, the TCRC board President and Executive Director will:

8. Ensure that all confidential matters related to the status of Pathpoint are not discussed with Mr. Kraus; and
9. Be responsible for ensuring the plan and its safeguards are applied and monitored.

W&I Code Section 4622 Requirements: In addition to the requirements of Regulation 54520, Welfare and Institutions Code Section 4622(k) says that a 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.

The proposed Plan appears to mitigate concerns over a conflict of interest that could result based upon Mr. Kraus' part-time employment with a TCRC employment service provider. The prior Plan submitted by Mr. Kraus that was approved by the Council contained the same provisions to address the potential conflict. Furthermore, Welfare & Institutions Code section 4262(c) provides that a person with a developmental disability who receives

employment services through a regional center provider shall not be precluded from serving on the regional center's board based solely on receipt of employment services. Mr. Kraus has reported no other conflicts of interest. Accordingly, the staff recommendation is to approve Mr. Kraus's waiver request.

STAFF RECOMMENDATION: Reapprove Mr. Kraus's waiver request on the condition that Mr. Krauss also comply with the requirements of Welfare & Institutions Code § 4622(k).

ATTACHMENT: Mr. Kraus's COI reporting statement and Plan.

PREPARED BY: Legal Counsel Adam Lewis, September 30, 2019.



8/29/2019 WAIVER OF CONFLICT OF INTEREST EVALUATION PROCESS Howard Kraus

I, David Grady, SCDD, Central Coast Office Regional Manager, **support** the Tri-Counties Regional Center Conflict Of Interest (COI) Waiver for **Howard Kraus** for the following reasons:

- a. Tri-Counties Regional Center has a public member recruitment and appointment process which is subject to public review and engagement. Candidates for the Board of Directors may be recommended by organizations representing individuals with developmental disabilities and/or their family members, the SCDD CC, service providers, the general public or self-referral.
- b. This request has been made by **Howard Kraus** by completing a Conflict of Interest Report Statement on June 18, 2019, that disclosed a potential conflict of interest he may have as a member of the Board of Directors. **Mr. Kraus** works for Pathpoint, a vendor organization of TCRC. He is a travel trainer assisting individuals learning use of public transit. He earns a competitive wage at or above minimum. TCRC states **Mr. Kraus** is a recipient of Regional Center Services. Title 17, Section 54520 applies to **Mr. Kraus**. *A conflict of interest exists when a regional center governing board member, executive director, or a family member of such person is any of the following for a business entity, entity, or provider....(1)an employee.*
- c. A mitigation plan has been written and the plan addresses avoidance of the identified conflict of interest. The plan provides assurances that **Mr. Kraus** will not participate in any discussion, participation or vote on any matter involving the Pathpoint Services. He will not be involved in any potential business dealings with Pathpoint. He will not be involved in any decision making, planning, preparing, approval of reports, plans or

policies regarding Pathpoint.. Tri-Counties Executive Director, Omar Noorzad and TCADD Board President are aware of the conflict and have agreed to oversee the plan to ensure that its safeguards are applied.

- d. The mitigation plan did not describe the response of Tri-Counties Regional Center if plan is not approved.
- e. **Mr. Kraus** serves on the Tri-Counties Association for the Developmentally Disabled (TCADD) Board of Directors (the formal name for the directors overseeing Tri-Counties Regional Center.) He states having the responsibility of voting on contracts over \$250,000.

This statement prepared by,
David Grady,
Regional Manager
SCDD CC



**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: HOWARD KIRIAUS Regional Center: TCRC

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 Status¹

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.

TCADD Board member

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

2/2

Do you or a family member² 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.

Howard Kraus works for Pathpoint as a travel trainer assisting individuals in learning public transportation

3. Do you or a family member own or hold a position³ 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.

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, stepiblings, 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 64600(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 64620 and 64626.

<input type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> 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 member⁴? [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.

BOARD MEMBER, APPROVE ALL CONTRACTS \$1 250,000

8. Do you have a financial interest in any contract⁶ 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.

<input type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> 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, HOWARD L. KRAUS (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 4526.

Signature Howard L. Kraus Date 6/18/19

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

Mani Gaur

7/26/2019

Tri-Counties Regional Center

Conflict Resolution Plan

Objective: The proposed Conflict Resolution Plan shall be a written, detailed plan to eliminate, or mitigate and manage, the present or potential conflict of interest, along with any necessary supporting documents.

The following is the Conflict Resolution Plan for a Board member of Tri-Counties Regional Center (TCRC). TCRC's responses to the regulatory components of the conflict resolution plan are in bold below. Any questions regarding this plan are to be directed to Michael Nagel, TCRC Director of Human Resources and Organizational Development, at 805-884-7217.

Date: July 1, 2019

Name of Board member: Howard Kraus

Title: TCADD Board member

Potential conflict as stated by the Board member: Howard currently serves on the TCADD Board and is served by TCRC. Howard also currently works for a vendor of TCRC, Pathpoint, who receives POS funding from TCRC.

The proposed Conflict Resolution Plan shall contain the following:

- (1) Describe the precise nature of the present or potential conflict of interest or activity and give a detailed description of the conflict:**
 - (A) The type of interest creating the present or potential conflict; and**

The potential conflict of interest is created by Howard's position on the TCADD Board and his employment relationship with a vendor of TCRC.

- (B) The identity and relationship between the individual(s) and/or entity(ies) involved; and**

Howard is the employee of a TCRC vendor.

- (C) The roles and duties of each individual and/or entity, that gives rise to the present or potential conflict of interest.**

Howard holds a TCADD Board position and works as a Travel Trainer for Pathpoint. In this position, Howard teaches people served how to take public transportation independently. As a Board member, Howard votes on Board matters including contracts over \$250k.

(2) State the action(s) that the regional center governing board, regional center and/or the individual(s) will take, including the necessary timeframes, to eliminate or mitigate and manage the present or potential conflict of interest. Actions to eliminate, or mitigate and manage, the present or potential conflict of interest, may include, but are not limited to, one or more of the following:

- (A) Resignation of the individual(s) from the position or activity creating the conflict of interest
- (B) Refraining from participation, or limiting the individual's ability to act, in a particular matter or category of matters
- (C) Change of assignment, duties, or position
- (D) Divestiture of financial interests that give rise to the conflict of interest
- (E) Terminating or refraining from relationships that give rise to conflicts of interest

Howard understands and TCRC has made it clear, that he is not to involve himself in any business dealings involving Pathpoint. Also, it is understood by the TCADD Board President, Robyn Adkins, and the TCRC Executive Director, Omar Noorzad, that Howard is not to be involved in any potential business dealings involving Pathpoint. Howard understands he is to recuse himself from voting on any Board matters involving any decisions specifically involving Pathpoint including voting, contract reviews, etc. of their services.

Howard is not involved in the individual selection of vendors who will work with TCRC. Howard understands he is not to allow any decisions he makes in the course of his duties as a Board member to be influenced by the fact that he is employed with a vendor of TCRC. If such an occasion did occur, he understands he is to remove himself from any decision making involving this vendor. He shall not participate either individually or as part of a group, in the presentation, preparation, formulation or approval of reports, plans, policies, analysis, or opinions regarding Pathpoint.

(3) Provide a detailed explanation of how each of the proposed actions, will actually eliminate or mitigate and manage the present or potential conflict of interest.

The actions described above will eliminate or mitigate any present or potential conflict of interest as Howard's actions are visible by the TCADD Board President and TCRC Executive Director.

(4) Provide the name, position and duties of the individual(s) who will be responsible for ensuring that any actions, limitations, or restrictions, included in the Conflict Resolution Plan, if

approved by the Department, will be taken, applied, followed, and monitored. Explain any oversight and monitoring mechanism in enough detail to allow the Department to ascertain that the mechanism is sufficient to eliminate, or mitigate and manage, the present or potential conflict of interest.

The TCADD Board President and the TCRC Executive Director ensure that all confidential matters related to the status of Pathpoint will not be discussed with Howard. The TCADD Board President and TCRC Executive Director will be responsible for ensuring the plan and its safeguards are applied and monitored.

(5) A proposed Conflict Resolution Plan shall be signed by the individual(s) subject to the Conflict Resolution Plan, in addition to the person in the designated position or committee responsible for reviewing the Conflict of Interest Reporting Statement, and the person in the designated position or committee responsible for monitoring performance under the proposed Plan, if approved.

<u>Howard S. Kras</u>	<u>7/17/19</u>	DocuSigned by: <u>Mani Gaur</u>	<u>7/26/2019</u>
Board member	Date	TCADD Board President	Date

DocuSigned by: <u>Omra Naazad</u>	<u>7/1/2019</u>
Executive Director	Date

DocuSigned by: <u>Michael Nagel</u>	<u>7/1/2019</u>
Director of HR & OD	Date

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COUNCIL AGENDA ITEM DETAIL SHEET

ISSUE: Regional Center Conflict of Interest (COI)

BACKGROUND: Codified in Welfare and Institutions (W&I) Code sections 4500 et seq., 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.¹ 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.²

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.

Adam Breall, Board Member, North Los Angeles County Regional Center: Adam Breall was appointed to the North Los Angeles County Regional Center (NLARC) Board of Directors on July 1, 2019. Mr. Breall is employed as a receptionist for Etta Israel (ETTA), a vendor that provides employment services to NLARC consumers. NLARC advises that its Board of Trustees has approved the Conflict of Resolution Plan set forth below.

Mr. Breall has not previously requested a waiver.

DISCUSSION:

Conflict of Interest: Department of Developmental Services (DDS) Regulation³ 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;

¹ Welf. & Inst. Code § 4626, subd. (f).

² Welf. & Inst. Code § 4628.

³ DDS' current regulations are published at California Code of Regulations, title 17, § 50201 et seq.

- (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.

Mr. Breall's conflict of interest arises because he is employed with a NLARC employment service provider.⁴ To address the conflict, Mr. Breall submitted the following Conflict of Interest Resolution Plan (Plan):

1. Mr. Breall will have no interaction as a Board member with any matter that might impact ETTA, and will recuse himself from any vote on any matter that could impact ETTA.
2. Mr. Breall will, in any conceivable manner, cease interacting with the Board on any matter that could conceivably impact ETTA.
3. Mr. Breall, will not participate as a Board member in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation, or action regarding ETTA or any actions creating policy or approaches that would impact ETTA.
4. Mr. Breall will not review or participate as a Board member in any discussions, recommendations, or decisions about Purchase of Services authorizations for ETTA.
5. Mr. Breall will not review or participate as a Board member in the preparation, consideration or any follow-up to Special Incident Reports from or about ETTA.
6. Mr. Breall will not create, review, or in any way participate as a Board member in any corrective action plans for ETTA.
7. Mr. Breall will not participate as a Board member in any discussions, recommendations, action, or resolution of any complaints pertaining to ETTA.
8. Mr. Breall will take no part as a Board member in decisions regarding vendor appeals or fair hearings involving ETTA.

⁴ Cal. Code Regs., title 17, § 54520(a)(10).

9. Mr. Breall will not as a Board member access vendor files or other information the regional center maintains about ETТА, either in electronic or hardcopy form.
10. Mr. Breall will not participate as a Board member in developing, creating, or recommending any POS policies, or other policies, that might apply to ETТА. Instead these tasks will become the responsibility of other Board members.
11. Mr. Breall will not be involved as a Board member in the negotiation, discussion, obligation or commitment of NLARC to a course of action involving ETТА.
12. NLARC's Board of Trustees will be informed of this Plan, and they will be informed of the need to ensure that Mr. Breall has no involvement whatsoever in any action or business involving or affecting ETТА.

W&I Code Section 4622 Requirements: In addition to the requirements of Regulation 54520, Welfare and Institutions Code Section 4622(k) says that a 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.

The proposed Plan appears to mitigate concerns over a conflict of interest that could result based upon Mr. Breall's employment with a NLARC employment service provider. Furthermore, Welfare & Institutions Code section 4262(c) provides that a person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the regional center's board based solely on receipt of employment services. Mr. Breall has reported no other conflicts of interest. Accordingly, the staff recommendation is to approve Mr. Breall's waiver request.

STAFF RECOMMENDATION: Approve Mr. Breall's waiver request on the condition that Mr. Breall also comply with the requirements of Welfare & Institutions Code § 4622(k).

ATTACHMENT: Mr. Breall's COI reporting statement and Plan.

PREPARED BY: Legal Counsel Adam Lewis, October 17, 2019.

September 27, 2019

Mr. Adam Lewis
State Council of Developmental Disabilities
3831 N. Freeway Blvd, Suite 125
Sacramento, CA 95834

RE: Board Member Conflict of Interest Resolution Plan – Adam Breall

Dear Mr. Lewis,

North Los Angeles County Regional Center is submitting and seeking re-approval on the attached Conflict of Interest Resolution Plan on behalf of our board member, Mr. Adam Breall. This Conflict of Interest Resolution Plan has been completed in accordance with Title 17, §54533, Present or Potential Conflict of Interest Identified, Proposed Conflict of Interest Resolution Plan Content, Timelines for Submission of Proposed Conflict of Interest Resolution Plan. Additionally, a copy of the plan will be forwarded to DDS as required by §54534, Conflict Resolution Plan Review, Procedures.

If you have any questions regarding the attached correspondence, please contact me at (818) 756-6125.

Sincerely,



Ana Maria Parthenis-Rivas
Executive Administrative Assistant
On behalf of
Michele K. Marra, SPHR, SHRM-SCP
Chief Organizational Development Officer

Enc:
Adam Breall - Conflict of Interest Resolution Plan

NOTIFICATION OF CONFLICT OF INTEREST,
AND
SUBMISSION OF CONFLICT RESOLUTION PLAN

ADAM BREALL – NLACRC BOARD MEMBER
NORTH LOS ANGELES COUNTY REGIONAL CENTER

I. Law Governing Conflicts of Interest

The prohibition against Regional Center employee or board member conflicts of interest has its origin in section 4626 of the Welfare & Institutions Code. Subsection (d) of said section 4626 provides: “The department shall ensure that no regional center employee or board member has a conflict of interest with an entity that receives regional center funding...”

That general prohibition is explained in more detail in Title 17 of the California Code of Regulations, section 54520 “Positions Creating Conflicts of Interests for Regional Center Governing Board Members and Executive Directors,” which provides in pertinent part:

(a) A conflict of interest exists when a regional center governing board member...or family member of such person is any of the following for a business entity, entity, or provider as defined in section 54505 of these regulations...:

- (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
- (14) a person who has decision or policy making authority.
(Emphasis added.)

Section 54505 states that: “Business Entity, Entity or Provider” means any individual or business venture from whom or from which the regional center purchases, obtains or secures goods or services to conduct its operations.”

Further, Section 54533 states:

- (a) When a present or potential conflict of interest is identified for a regional center board member, executive director, employee, contractor, agent, or consultant, the present or potential conflict

shall be either eliminated or mitigated and managed through a Conflict Resolution Plan, or the individual shall resign his or his position with the regional center or regional center governing board.

II. Potential Conflict of Mr. Breall

Adam Breall is a Board Member at North Los Angeles County Regional Center (hereinafter "NLACRC" or "the Regional Center"). Mr. Breall is a board member participates on the Consumer Services and Government and Community Relations committees. NLACRC Executive Director Ruth Janka confirms that Mr. Breall is a productive and valued member of the Board of Trustees. Attached as Exhibit A is Mr. Breall's completed Conflict of Interest Reporting Statement. As part of the Conflict Resolution Plan, he will remain in his position on the Board of Trustees.

Mr. Breall is employed ETТА, a service provider of North Los Angeles County Regional Center. This creates a direct conflict for Mr. Breall as defined by regulation. This document constitutes a submission of the disclosure of this conflict, a Conflict Resolution Plan to mitigate and/or eliminate any adverse consequences from this relationship, and a request for approval of the Conflict Resolution Plan by DDS.

In short, this Conflict Resolution Plan will have Mr. Breall remain in his position on the NLACRC Board of Trustees, but limit his actions as a board member so that he in no way participates in any role whatsoever with regard to ETТА or any other service provider who provides community integration training programs, independent living services (ILS), supported living services (SLS), supported employment services – individual placement (SEP) and residential services.

III. Facts

The plan of action proposed herein is designed to mitigate and/or eliminate any adverse consequences from the conflict. To better understand how the plan will mitigate and/or eliminate any adverse consequences, this request will first provide the facts regarding Mr. Breall's duties and responsibilities as a board member and his role as a receptionist for ETТА.

A. Mr. Breall's Duties as a Board Member

As a board member, Mr. Breall regularly meets with other board members of NLACRC to create policy for the operation of the regional center. Policy is developed through recommendations from board committees and the Executive Director. Direct operation is delegated to the Executive Director who is hired by the board. Staff recommendations for policy initiation or modification go the Executive Director, who, in turn, refers them to the board and/or an appropriate board committee. A copy of the Board Member Responsibilities is attached as Exhibit B.

Mr. Breall's board member primary duties are as follows:

1. Attendance at monthly Board of Trustees meetings, usually held on the second Wednesday of each month at the main NLACRC office in Chatsworth at 6:30 p.m.
2. Membership and attendance on at least one (1) board committee.
3. Because the regional center is funded under contract with the State of California, Department of Developmental Services, each member of the Board of Trustees is required to identify any potential conflict of interest as identified in Welfare and Institutions Code Sections 4626 and 4627.
4. A part of a board member's responsibility is to be an informed and active advocate member of the Board of Trustees, he is expected to attend a board orientation and/or board training scheduled during the first year on the board and attend one annual board retreat.
5. Visitation to NLACRC supported programs is expected in order that board members may be informed about the developmental disabilities service system. Programs include a wide variety of residential and day programs as well as those providers who deliver a specific service (e.g. school setting or transportation).
6. Mr. Breall participates on the Consumer Services and Government and Community Relations' committees.

Under the suggested Conflict Resolution Plan, Mr. Breall will remain in his board position, but will be strictly regulated so that he has no role or involvement whatsoever with any matter that might conceivably impact ETTA..

B. Mr. Breall's Duties at ETTA

Etta Israel is a service provider that serves people with intellectual and developmental disabilities, and their families. ETTA's services include community integration training programs, independent living services (ILS), supported living services (SLS), supported employment services – individual placement (SEP) and residential services

As a receptionist for Etta Israel, Mr. Breall's typical duties are answering the phone, greeting visitors, keeping inventory of supplies and handling the mail.

IV. Conflict Resolution Plan

The Regional Center and its Executive Director, Ruth Janka, have concluded that Mr. Breall provides great value to the Board of NLACRC. After consideration of the totality of the circumstances and a careful review of the facts, the Executive Director believes it is in the best interests of the Regional Center to submit a Conflict Resolution Plan to continue the mitigation and/or elimination of any adverse consequences from this relationship and seek approval of this plan by DDS.

Initially, the first step in the Conflict Resolution Plan is to allow Mr. Breall to remain in his position on the Board of Trustees, but to cease any activity or action that might in

any way impact ETTA. This will eliminate any instance in which Mr. Breall would have to vote, give his opinion, analyze, assess the performance of, or take action for or against ETTA, and would eliminate any possible action by Mr. Breall to recommend ETTA's services.

The second part of the plan is to insulate Mr. Breall from any involvement whatsoever with ETTA. He would recuse himself from participation in any vote regarding, drafting, planning, or discussion of rules, policies, or restrictions that would impact ETTA. Any duties that potentially relate to ETTA or generic policies applicable to this vendor represent a small portion of the valuable duties he performs on behalf of the Regional Center, and these duties can be easily delegated to other Regional Center board members. Like other board members, Mr. Breall develops policy through recommendations from the Executive Director, and thus works with numerous vendors on a variety of services.

Further, as the Conflict Resolution Plan details below, when any matter arises with regard to ETTA, he will agree not to be involved in the discussion of the matter, the presentation of options to the Board, or the decision or vote on such matter. NLACRC will require Mr. Breall to abstain from discussion with, or involvement in the matter, and require the other board members to take all such actions, including appropriate description of options, recommendations, analysis and ultimate decision and vote.

The Regional Center and Mr. Breall's Conflict Resolution Plan for this conflict of interest is as follows:

1. Mr. Breall will have no interaction as a board member with any matter that might impact ETTA, and specifically he will recuse himself from any vote on any matter that could impact ETTA.
2. Mr. Breall will, in every conceivable manner, cease interacting with the Board on any matter that could conceivably impact ETTA.
3. Mr. Breall will not participate as a board member in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding ETTA or any actions creating policy or approaches that would impact ETTA.
4. Mr. Breall will not review or participate as a board member in any discussions, recommendations, or decisions about Purchase of Service authorizations for ETTA.
5. Mr. Breall will not review or in any way participate as a board member in the preparation, consideration, or any follow-up related to Special Incident Reports from or about ETTA.
6. Mr. Breall will not create, review, or in any way participate as a board member in, any corrective action plans for ETTA.

7. Mr. Breall will not participate as a board member in any discussions, recommendations, action, or resolution of any complaints pertaining to ETТА.

8. Mr. Breall will take no part as a board member in decisions regarding vendor appeals, or fair hearings involving ETТА.

9. Mr. Breall will not as a board member access vendor files or other information the regional center maintains about ETТА, either in electronic or hard copy form.

10. Mr. Breall shall not participate as a board member in developing, creating, or recommending any POS policies, or other policies, that might apply to ETТА. Instead, these tasks will become the responsibility of the other board members.

11. Mr. Breall will not be involved as a board member in the negotiation, discussion, obligation or commitment of NLACRC to a course of action involving ETТА.

12. The NLACRC Board of Trustees will be informed about this Plan of Action, and they will be informed of the need to ensure that Mr. Breall has no involvement whatsoever in any action or business whatsoever involving or affecting ETТА.

13. These restrictions only apply to ETТА. The bulk of Mr. Breall's duties with regard to a vast array of other Board issues and other vendors will remain unchanged, unless the Board work would in any way impact ETТА. This amounts to a reassignment of a small portion of his duties and will not reduce the value and productivity that Mr. Breall provides to the NLACRC Board.

14. NLACRC has received approval from its Board of Trustees regarding this Conflict Resolution Plan.

V. Request Approval of Conflict Resolution Plan

For the reasons provided above, and in accordance with the Conflict Resolution Plan set forth above, North Los Angeles County Regional Center hereby requests that DDS approve the Conflict Resolution Plan in this matter.

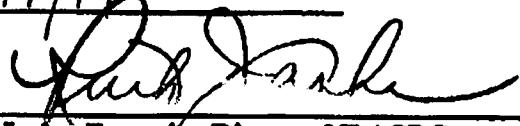
Respectfully submitted,

By: Adam Breall
Adam Breall, NLACRC Board Member

Date: 9/11/19

By: Elena Burnett
Elena Burnett, NLACRC Board President

Date: 9/17/19

By: 
Ruth Janka, Executive Director, NLACRC

Date: 9/17/19



**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 Breall Regional Center: North Los Angeles Regional Center

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): 7/1/19
 Change of Status¹

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).

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> Employee/Other

2. Do you or a family member² 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.

Etta vendor of Regional center, I am a receptionist my job duties include answering phones, greeting visitors, keeping inventory of supplies and handling the mail.

3. Do you or a family member own or hold a position³ 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 am employed with Etta as a receptionist. Also I receive supported living & supported employment 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.

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> 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 member⁴? [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 approve contracts on behalf of the board.

8. Do you have a financial interest in any contract⁶ 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.
 See Item 2

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.

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> 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 Breall (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 Breall Date 6/21/19

INTERNAL USE ONLY	
Date this Statement was received by Reviewer:	
The reporting individual <input checked="" type="checkbox"/> does <input type="checkbox"/> does not have a <input checked="" type="checkbox"/> present <input checked="" type="checkbox"/> potential conflict of interest	
Signature of Designated Reviewer	Date Review Completed
<u>[Signature]</u>	<u>6/7/19</u>

**North Los Angeles County Regional Center
Board of Trustees Policy**

Board Member Responsibilities

The role of the Board of Trustees of the North Los Angeles County Regional Center (NLACRC) is to make policy for the operation of the regional center. Policy is developed through recommendations from board committees and the executive director; direct operation is delegated to the executive director who is hired by the board. Staff recommendations for policy initiation or modification go to the executive director who, in turn, refers them to the board and/or an appropriate board committee.

Your responsibility as a member of the Board of Trustees of the NLACRC would include, but not be limited to:

- Attendance at monthly Board of Trustees meetings, usually held on the second Wednesday of each month at the main NLACRC office in Van Nuys at 6:30 p.m.
- Membership and attendance on at least one (1) board committee.
- Because the regional center is funded under contract with the State of California, Department of Developmental Services, each member of the Board of Trustees is required to identify any potential conflict of interest as identified in Welfare and Institutions Code, Sections 4626 and 4627.
- As part of a board member's responsibility to be an informed and active advocate member of the Board of Trustees, it is expected to attend a board orientation and/or board training scheduled during the first year on the board and attend one annual board retreat.
- Visitation to NLACRC supported programs is expected in order that board members may be informed about the developmental disabilities service system. Programs include a wide variety of residential and day programs as well as those providers who deliver a specific service (e.g. school setting or transportation).

[policy.bd.bdmbtr.resps] Adopted 01-13-93

COUNCIL AGENDA ITEM DETAIL SHEET

ISSUE: Regional Center Conflict of Interest (COI)

BACKGROUND: Codified in Welfare and Institutions (W&I) Code sections 4500 et seq., 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.¹ 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.²

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.

Diane Larson, Board Member, Redwood Coast Regional Center:

Diane Larson was appointed to the Board of Directors of the Redwood Coast Regional Center (RCRC) on September 21, 2019. Ms. Larson's husband currently works for Chance 4 Change, a RCRC vendor that provides support services to RCRC clients. Her husband is a personal assistant and provides supported living services to consumers.

The RCRC Board of Directors has a public member recruitment and appointment process which is subject to public review and engagement. RCRC recruits prospective board members by advertising their recruitment efforts within the agency, with their community partners, and using public forums, i.e. community meetings/networks/county coordinating councils, websites and E-Blast notifications. Where there are County Coordinating Councils, the Councils make recommendations to the County Board of Supervisors who make the actual appointment. For Counties without a County Coordinating Council, final appointments are decided by the membership committee of the RCRC Board of Directors which completes the appointment process.

Ms. Larson has not previously requested a waiver.

¹ Welf. & Inst. Code § 4626, subd. (f).

² Welf. & Inst. Code § 4628.

DISCUSSION:

Conflict of Interest: Department of Developmental Services (DDS) Regulation³ 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.

Ms. Larson's conflict of interest arises because of her husband's employment with a RCRC vendor.⁴ To address the conflict, Ms. Larson submitted the following Conflict of Interest Resolution Plan (Plan):

1. Ms. Larson will fully disclose the existence and nature of the conflict of interest to RCRC's Board and have it noted in the official Board records;
2. Ms. Larson will abstain from voting on any matter pertaining to Chance 4 Change;
3. Ms. Larson will not use her position as a Board member to exert influence on decision-making regarding Chance 4 Change;
4. Ms. Larson will not participate in the preparation, presentation, formulation, or approval of reports, plans, policies, analyses, opinions or recommendations regarding her conflict of interest when the

³ DDS' current regulations are published at California Code of Regulations, title 17, § 50201 et seq.

⁴ Cal. Code Regs., title 17, § 54520(a)(10).

exercise of judgment is required, and the purpose is to influence the decision;

5. Ms. Larson will not be involved in the negotiation, obligation, or commitment of RCRC to a course of action involving her conflict of interest; and
6. RCRC's Board President and Board members will be responsible for ensuring that Ms. Larson complies with this Plan.

The proposed Plan submitted by Ms. Larson appears to mitigate concerns over a conflict of interest that could result based upon her husband's employment with a RCRC vendor. Ms. Larson has reported no other conflicts of interest. Accordingly, the staff recommendation is to approve Ms. Larson's waiver request.

STAFF RECOMMENDATION: Approve Ms. Larson's waiver request.

ATTACHMENT: Ms. Larson's COI reporting statement and Plan.

PREPARED BY: Legal Counsel Adam Lewis, October 9, 2019.



Redwood Coast Regional Center

Respecting Choice in the Redwood Community

October 2, 2019

Allan Smith
Community Program Specialist II
California Department of Developmental Services
Regional Center Operations Section
1600 9th Street, Room 340, MS 3-12
Sacramento, CA 95814

RE: Request for Waiver of COI/Plan of Resolution for Diane Larson (RCDSC Board Member)

Dear Allan,

I am submitting the Conflict of Interest Reporting Statement for Diane Larson who was recently seated as a new member of the RCDSC Board of Directors on September 21, 2019. Ms. Larson resides in Crescent City, CA and a current conflict of interest does now exist as her spouse recently began working as an employee of Chance 4 Change which is a vendored service by RCRC that provides direct support services to RCRC clients.

The following safeguards will be mitigated and/or eliminate any present or potential conflict of interest will continue as follows:

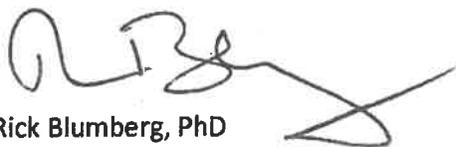
1. Ms. Larson will fully disclose the existence and nature of the conflict of interest to RCRC's Board and have it noted in the official Board records.
2. Ms. Larson will abstain from voting on any matter pertaining to Chance 4 Change;
3. Ms. Larson will not use her position as a board member of RCRC to exert influence on decision-making regarding Chance 4 Change;
4. Ms. Larson will not participate in the preparation, presentation, formulation or approval of reports, plans policies, analyses, opinions or recommendations regarding her conflict of interest when the exercise of judgement is required, and the purpose is to influence the decision;
5. Ms. Larson will not be involved in the negotiation, obligation, or commitment of RCRC to a course of action involving her conflict of interest; and,
6. RCRC's Board President and board members are responsible for ensuring that Ms. Larson complies with this Plan of Resolution.

Page 1 of 2

RCRC continues to strongly support the acceptance of the Plan to mitigate any appearance of conflict of interest.

Thank you for your consideration of this Plan and Waiver request and we look forward to your reply.

Sincerely,

A handwritten signature in black ink, appearing to read 'R Blumberg', with a long horizontal stroke extending to the right.

Rick Blumberg, PhD
Executive Director

RB/ko

Encls.

cc: S. Perez, RCDSC Board President
A. Carruthers, SCDD
L. Larson, SCDD – North Coast Office
RCDSC Board of Directors COI File

**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: Diane Carson Regional Center: Redwood Coast Regional Center

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): September 24, 2019
 Change of Status

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 member² 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 husband is a personal Assistant for Chance 4 Change*

3. Do you or a family member own or hold a position³ 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. *My husband is a full time employee for Chance 4 Change, he's a personal Assistant for the consumers, he provides supported living*

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, stepiblings, 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 54522.

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> 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 member⁴? [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.

Each year, Board members review/approve Service Provider contracts over the amount of \$250,000 per statute.

I will abstain from any business being conducted where a change of change is involved

8. Do you have a financial interest in any contract⁶ 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.

<input checked="" type="checkbox"/> Governing Board Member
<input type="checkbox"/> Vendor Advisory on Board
<input type="checkbox"/> Executive Director
<input type="checkbox"/> Employee/Other

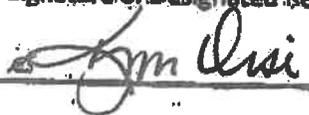
10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?
 yes no – If yes, please explain.

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 Diane Larson (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 Oct 1, 2019

Date this Statement was received by Reviewer:	
The reporting individual <input checked="" type="checkbox"/> does <input type="checkbox"/> does not have a <input checked="" type="checkbox"/> present <input checked="" type="checkbox"/> potential conflict of interest	
Signature of Designated Reviewer: <u></u>	Date Review Completed <u>10-2-19</u>