REGIONAL CENTER OF ORANGE COUNTY
BOARD OF DIRECTORS' MEETING
AGENDA

Date: **Thursday, July 11, 2013**
Time: **6:00 – 8:00 p.m.**
Place: RCOC Board Room, 1525 North Tustin Ave., Santa Ana, California 92705

I.	**Closed Session (Board Members Only)**		
	A.	W&I Code §4663 and §4664	Ken Smart
II.	**Recess**		
III.	**General Session**		
	A.	Pledge of Allegiance/Reading of RCOC Mission Statement	Tresa Oliveri
	B.	Consent Calendar*	
		1. Approval of Minutes for June 6, 2013 Meeting** 2. Budget and Finance Committee** a. Approval of Monthly Sufficiency of Allocation Report, May 2013** b. Approval of Budget Amendment D-5, Fiscal Year 2012-13** c. Approval of University of California, Irvine (UCI) Interdisciplinary Team Survey and Clinic Project for Fiscal Year 2013-14** d. Approval of Budget Amendment	Tresa Oliveri Bob Costello
	C.	Executive Director's Report 1. Operations Report – May 2013** 2. Performance Contract** 3. Approval of Request for Waiver of Potential Conflict of Interest for Consuelo Castellon-Morales, Service Coordinator ** 4. Approval of Request for Waiver of Potential Conflict of Interest for Jennifer Falatico McBride, Supervisor** 5. Approval of Request for Waiver of Potential Conflict of Interest for Dale Garcia, Training Supervisor** 6. Approval of Request for Waiver of Potential Conflict of Interest for Elizabeth Gomez, Service Coordinator** 7. Approval of Request for Waiver of Potential Conflict of Interest for Jaime Morales, Service Coordinator** 8. Approval of Request for Waiver of Potential Conflict of Interest for Jorge Morales, Service Coordinator** 9. Approval of Request for Waiver of Potential Conflict of Interest for Christine Romero, Service Coordinator** 10. Approval of Request for Waiver of Potential Conflict of Interest for Kiley Waddington, Service Coordinator** 11. Approval of Request for Waiver of Potential Conflict of Interest for Jacquelyn Wingo, Service Coordinator**	Larry Landauer
	D.	Community Forum***	Tresa Oliveri
	E.	Executive Committee 1. Renewal of Board Membership for Peter Kuo, with New Term Commencing July 12, 2013 and ending July 11, 2016 2. Renewal of Board Membership for Palak Shah, with New Term Commencing July 12, 2013 and ending July 11, 2016	Tresa Oliveri
	F.	Consumer Advisory Team**	Sylvia Delgado

	G.	Vendor Advisory Committee**	Mark Antenucci
	H.	Policies and Outcomes Committee	Cliff Amsden
	I.	Recruitment and Training Committee	Tresa Oliveri
	J.	ARCA Report	Tresa Oliveri
	K.	Presentation: Supported and Independent Living Services	Jasmin Botello Jack Stanton
	L.	Chairperson's Report	Tresa Oliveri
IV.	**Adjournment**		Tresa Oliveri

**All items on the Consent Calendar will be approved by one motion, and there will be no discussion on individual items unless a Board member or a member of the public requests that a specific item be pulled from the Consent Calendar for separate discussion and possible action.*

***Attachment for Board members in Board packet.*

****This is an opportunity for the public to comment on issues of interest. Speakers should complete the "Request to Speak" form located at the entrance to the meeting room and return the form to the Recording Secretary. Each person's presentation is limited to a maximum of five minutes.*

Regional Center of Orange County
Board of Directors' Meeting
June 6, 2013
Minutes

Board Members Present:	Tresa Oliveri, Chairperson
	Cristina Alba
	Mark Antenucci
	Robert Costello
	Joseph DeCarlo
	Sylvia Delgado
	Luke Franck
	Peter Kuo
	Kathy McCrystal
	Hilda Mendez
	Martha Patarroyo
	Fernando Peña
	Palak Shah
	Hilda Sramek
Board Members Absent:	Clifford Amsden
	Meena Chockalingam
	Chris Jenkins
	Thomasina Parker

Corporate Counsel Present: Kennard Smart, Esq.

I. **General Session**

Ms. Tresa Oliveri called the meeting to order at 6:00 p.m.

A. **Pledge of Allegiance/Reading of RCOC Mission Statement**

Fernando Peña led attendees in a recitation of the Pledge of Allegiance.
Kathy McCrystal read RCOC's Mission Statement.

After the Pledge of Allegiance and reading of the Mission Statement, Ms. Oliveri welcomed Ms. Cristina Alba and Ms. Hilda Mendez, RCOC's two newest Board members.

B. **Consent Calendar**

1. Approval of Minutes for May 2, 2013 Meeting

2. Budget and Finance Committee

a. Approval of Monthly Sufficiency of Allocation Report, April 2013

b. Approval of Budget Amendment C-10, Fiscal Year 2011-12

c. Approval of Budget Amendment D-4, Fiscal Year 2012-13

d. Approval of Contract and Preliminary Allocation, Fiscal Year 2013-14

M/S/C to approve the consent calendar as presented.

C. **Executive Director's Report**

Mr. Landauer then gave his Executive Director's Report, which included the following highlights:

- *National Association of State Directors of Developmental Disabilities Services (NASDDDS) Conference.* Mr. Landauer reported that he attended the NASDDDS conference in Oklahoma City in May. The focus of the conference was on a family systems approach to services and supports. Nationally, about 90% of individuals with developmental disabilities live at home with their families.

- *Senate and Assembly Budget Subcommittee Hearings.* Mr. Landauer provided a summary of the budget subcommittee hearings that took place in April and May. Although there has been a legislative push to restore funding to previously cut services and programs, the Governor has been clear that he does not support restoration.

- *Task Force on the Future of Developmental Centers*. Mr. Landauer reported that the California Health and Human Services Agency Secretary, Diana Dooley, recently announced that she would be establishing a task force on the future of the Developmental Centers (DCs). The DC Task Force will include a cross-section of consumers, family members, regional centers, consumer advocates, community service providers, organized labor and the Department of Developmental Services (DDS). The DC Task Force will be charged with developing a master plan that addresses the service needs of all developmental center residents, the fiscal and budget implications of the declining population, the aging infrastructure, staffing and resource constraints, the availability of community resources to meet the specialized needs of residents now living in the developmental centers, a timeline for future closures and the statutory and regulatory changes that may be needed to ensure the delivery of cost-effective, integrated, quality services for this special population.

- *RCOC Purchase of Service Expenditures.* RCOC continues to achieve necessary savings while meeting the needs of consumers as identified in their Individual Program Plans.

- *Ad Hoc National Core Indicators (NCI) Advisory Council Meeting*. Mr. Landauer reported that the NCI Advisory Council last met on May 13, 2013, and continues to meet and work on targeted areas for quality improvement that will be presented to the RCOC Board in upcoming months.

- *RCOC's Housing Community Advisory Council (CAC)*. Mr. Landauer explained that Senate Bill 812 (2010) amended Section 65583 of the Government Code relating to housing. It requires cities and local agencies to incorporate the housing needs of people with developmental disabilities into their general housing plans. RCOC's Housing CAC identifies the city meetings in Orange County where housing will be discussed and invites RCOC consumers, families and vendors to attend and speak so that the needs of our population are heard. To date, several RCOC Board members and families have attended 21 of 34 city meetings. Additionally, the Housing CAC met with various community partners regarding possible housing opportunities for those served by RCOC.

1. Operations Report, April 2013: This item was presented for information only. There were no questions about the report.

2. Performance Contract, April 2013: This item was presented for information only. There were no questions about this report.

D. **Community Forum**

No community members addressed the Board.

E. **Vendor Advisory Committee (VAC)**

Mr. Mark Antenucci reported that the VAC met on May 14, 2013, and re-elected him to serve as the VAC Chairperson and the VAC representative to the RCOC Board of Directors from July 1, 2013 through June 30, 2014.

F. **Executive Committee (taken out of agenda order)**

Ms. Oliveri reported that the Executive Committee has not met so there was no report.

G. **Association of Regional Center Agencies (ARCA) Report (taken out of agenda order)**

Ms. Oliveri reported that ARCA will be holding officer elections at the June meeting. Her term as ARCA President ends on June 30, 2013. She also reported that ARCA will be finalizing its strategic plan. ARCA's recent activities have focused on supporting the restoration of Early Start services and opposing the Department of Developmental Services' Trailer Bill Language (TBL) that would limit regional center funding for insurance copayments based on the family's ability to pay and prohibit funding of deductibles. RCOC supports DDS' copayment proposal which is modeled after the existing family participation programs.

H. **Consumer Advisory Team (CAT)**

Ms. Sylvia Delgado reported that the CAT met on May 15, 2013, and Mr. Bonner Paddock was the special guest speaker. Mr. Paddock shared his personal story of being the first person with Cerebral Palsy to climb Mt. Kilimanjaro unassisted and to successfully complete the Ironman World Championship in Kona, Hawaii. Mr. Paddock said that everyone can achieve their goals if they push beyond the limits of their circumstances.

I. **Chairperson's Report**

Ms. Oliveri commended the work of Dr. Janis White, RCOC's Chief Operating Officer, and the Housing Community Advisory Council for their work at various Orange County Housing Element Meetings to discuss the housing needs of individuals with developmental disabilities. She also mentioned that RCOC continues to reach out to Fairview Family and Friends (FFF). Mr. Landauer, Dr. LeeAnn Christian, RCOC's Director of Organizational Effectiveness, and Ms. Oliveri will be attending the FFF meeting in July to discuss the National Core Indicators endeavor. Mr. Landauer added that he received positive feedback from FFF about RCOC's Board reaching out to them. Ms. Oliveri then reminded Board members that new business cards had been distributed to them earlier in the evening. Finally, Ms. Oliveri gave a brief overview of the forthcoming Public Stakeholder meeting regarding Purchase of Service Expenditure by age, diagnosis and ethnicity as required by the Lanterman Act.

II. Adjournment

The meeting was adjourned at 6:27 p.m.

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Sylvia Delgado, Secretary

Recorder: LeeAnn Christian

Regional Center of Orange County
Budget and Finance Committee
Minutes
June 6, 2013

Committee Members Present:	Robert Costello, Chair Luke Franck
Committee Members Absent:	Clifford Amsden Chris Jenkins Thomasina Parker
Other Board Members Present:	Cristina Alba Mark Antenucci Sylvia Delgado Peter Kuo Kathy McCrystal Hilda Mendez Martha Patarroyo Fernando Peña Hilda Smarek Palak Shah
RCOC Staff Present:	Bette Baber, Chief Financial Officer Larry Landauer, Executive Director Marta Vasquez, Controller Raudel Perez, SPA Manager Veronica Flores, Accounting Manager
RCOC Guest:	Anh Nguyen, Communications Consultant

The meeting was called to order at 4:03 p.m.

For the new Board members, Ms. Cristina Alba and Ms. Hilda Mendez, Ms. Bette Baber explained regional center funding, the contractual requirement to report on the sufficiency of the allocation, the fiscal impact of caseload growth and the eligibility process.

1. <u>Monthly Sufficiency of Allocation Reports, April 2013</u>

   Ms. Baber reviewed the Purchase of Service (POS) expenditures. There was a discussion about the best way to graphically present numbers, line vs. bar, etc.

2. Budget Amendment C-10, Fiscal Year 2011-12

   Ms. Baber reported that DDS allocated an additional $567,040 to RCOC for Purchase of Service.

3. Budget Amendment D-4, Fiscal Year 2012-13

   Ms. Baber reported that DDS allocated an additional $40,710 to RCOC for the Community Placement Plan.

4. Contract and Preliminary Allocation, Fiscal Year 2013-14

   Ms. Baber reported that although we hadn't received the contract yet it was important to expedite processing in order to prevent any delays in receiving the cash advance. There was a discussion about cash flow for regional centers and Medi-Cal funded providers.

As mentioned in last month's minutes, Anh Nguyen, RCOC's Communications Consultant, was invited and joined the Committee to discuss the role of social media and how financial information could be included.

The meeting was adjourned at 5:08 p.m.

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION___X___
ACTION/CONSENT_______
DISCUSSION_______
INFO ONLY_______

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Budget and Finance Committee

SUBJECT: Approval of Monthly Sufficiency of Allocation Report, May 2013

BACKGROUND:

Staff presents the monthly sufficiency of allocation report to the Budget and Finance Committee for review and approval. This committee then presents the statement to the Board.

REASON FOR CURRENT ITEM:

The Board has a responsibility to monitor the Center's financial status.

FISCAL IMPACT:

None.

RECOMMENDATION:

That the Board approve the monthly sufficiency of allocation report as presented.

REGIONAL CENTER OF ORANGE COUNTY

M E M O R A N D U M

Date: June 25, 2013

To: Board of Directors

From: Budget and Finance Committee

Subject: Highlights – May 2013 Sufficiency of Allocation Report (SOAR)

Purchase of Service (POS)

RCOC's current projected deficit is $1.2 million, $.4 million less than the prior month's projection of $1.6 million. The difference is due to lower than projected growth.

RCOC's caseload growth in fiscal year 2011-12 was 1.4%. In the first eleven months of this fiscal year, RCOC's caseload increased by eleven (11) consumers for an annualized caseload growth of 0.1%. In the same period, the regional center system grew by 7,550 consumers for an annualized caseload growth of 3.3%.

Operations

RCOC's 2012-13 Operations allocation increased by $1.4 million over the prior year, primarily due to restoration of 3% of the prior year's payment reduction.

REGIONAL CENTER OF ORANGE COUNTY

Monthly Sufficiency of Allocation Report
As of May 31, 2013

		A	B	C	D	E	F	G	H
					SOAR	VARIANCE			
			ACTUAL	PROJECTED	PROJECTED	(column A-D)/A)	(column A-D)	CHANGE	
		D-5	SPENT	EXPENDITURES	EXPENDITURES	%	AMOUNT	FROM PRIOR	SPENT
	PURCHASE OF SERVICE	ALLOCATION	YEAR TO DATE	AT "RUN RATE"*	(06/15/2013)	YEAR TO DATE		MO. REPORTED	PRIOR YEAR
(1)	Licensed Residential Care	$52,143,736	$47,662,662	$52,396,247	$52,143,736	0%	$0	$0	$50,262,465
(2)	Day Care	3,101,745	2,568,508	2,876,739	3,101,745	0%	0	0	2,813,942
(3)	Day Training	46,141,207	37,120,970	40,846,583	46,141,207	0%	0	0	38,868,727
(4)	Habilitation	9,925,421	8,099,001	9,388,046	9,925,421	0%	0	0	9,275,386
(5)	Transportation	10,084,687	8,602,841	11,470,455	10,084,687	0%	0	0	10,513,783
(6)	Respite	8,567,588	7,655,878	9,187,054	8,567,588	0%	0	0	8,431,316
(7)	Supported Living	25,559,801	23,391,394	25,798,257	25,559,801	0%	0	0	25,264,277
(8)	Non-medical	38,775,711	30,115,184	40,153,579	39,989,373	-3%	(1,213,662)	404,392	42,575,425
(9)	Medical	2,808,737	2,293,634	2,502,146	2,808,737	0%	1	0	2,329,180
(10)	Other	29,631,553	26,553,519	31,239,434	29,631,553	0%	0	0	29,539,118
(11)	Early Start (Age 0-3)	19,382,134	15,604,070	17,325,308	19,382,134	0%	0	0	19,618,991
(12)	Community Placement Plan	1,021,104	0	0	1,021,104	0%	0	0	418,803
(13)	Purchase of Service Total	247,143,424	209,667,661	243,183,846	248,357,086	-0%	(1,213,662)	404,392	239,911,413
	OPERATIONS								
(14)	Operating Expense (Gross)	6,100,000	4,752,026	5,184,029	6,100,000	0%	0	0	4,705,208
(15)	Less Interest Income	(100,000)	(93,568)	(102,074)	(100,000)	-0%	0	0	(112,119)
(16)	Operating Expense (Net)	6,000,000	4,658,458	5,081,954	6,000,000	0%	0	0	4,593,089
(17)	Personal Services	24,289,373	20,495,414	22,358,633	24,289,373	0%	0	0	22,006,415
(18)	Family Resource Center	158,032	155,631	169,780	158,032	0%	0	0	151,417
(19)	Clinical Team	1,027,634	435,741	475,354	1,027,634	0%	0	0	508,509
(20)	Prevention	0	22,642	24,700	0	0%	0	0	562
(21)	Operations Total	31,475,039	25,767,886	28,110,421	31,475,039	0%	0	0	27,259,992
(22)	Total	$278,618,463	$235,435,547	$271,294,268	$279,832,125	0%	($1,213,662)	$404,392	$267,171,405

* Due to later payment dates, the Spent Year to Date amount (column B) for line items 5 through 10 is approximately one month less than expenditures for Residential Care and Day Training.

STATEMENT OF ASSETS, LIABILITIES AND FUND BALANCES
AS OF MAY 31, 2013

ASSETS	GENERAL FUND	CUSTODIAL FUND
CURRENT ASSETS		
Petty cash	$300.00	
Checking	1,861,301.39	
Savings	185,587.47	$1,065,809.43
Money market	0.00	
Payroll	39,227.17	
Donations	51,925.71	
Unemployment	58,806.64	
Certificate of deposit	0.00	
Total current assets	2,197,148.38	1,065,809.43
RECEIVABLES		
State claim	55,698,226.01	
Client support revenue	636,062.56	59,881.52
Due from state-prior years	2,655,363.39	
Due from ICF - ICF Supplemental Services	3,256,276.27	
Total receivables	62,245,928.23	59,881.52
PREPAID ITEMS		
Deposits	302,689.25	
Prepaid expense	0.00	
Total prepaid items	302,689.25	0.00
OTHER ASSETS		
Tenant improvements	845,595.87	
Building acquisition	63,613.98	
Total other assets	909,209.85	0.00
TOTAL ASSETS	$65,654,975.71	$1,125,690.95
LIABILITIES AND FUND BALANCES		
LIABILITIES		
Accounts payable	$12,884,997.09	$636,062.56
Due to State - ICF Supplemental Services	1,042,818.75	
Loans payable	0.00	
Cash advance	51,616,427.52	
Unemployment insurance	58,806.64	
Total liabilities	65,603,050.00	636,062.56
FUND BALANCES		
General	0.00	
Donations	51,925.71	
Custodial		489,628.39
TOTAL LIABILITIES AND FUND BALANCES	$65,654,975.71	$1,125,690.95

REGIONAL CENTER OF ORANGE COUNTY
BRIAN'S FUND
MAY 31, 2013

Beginning Balance		$50,655.71
Donation:		
Smith, Robert (Vietnamese Christmas Party)	$50.00	
Loan Payments	1,220.00	
Interest	0.00	
Disbursements	0.00	
Net Increase (Decrease)		1,270.00
Ending Balance		$51,925.71

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION___X___
ACTION/CONSENT_______
DISCUSSION_______
INFO ONLY_______

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Budget and Finance Committee

SUBJECT: Approval of Budget Amendment D-5, Fiscal Year 2012-13

BACKGROUND:

Periodically, budget amendments are required to distribute and reallocate funds among regional centers or to change contract language. These amendments are numbered successively, e.g., D-1, D-2, etc.

REASON FOR CURRENT ITEM:

The Department of Developmental Services allocated additional funds to RCOC for the Community Placement Plan.

FISCAL IMPACT:

Purchase of Service..$168,609
Operations...$0
Total..$168,609

RECOMMENDATION:

That the Board authorize the Chairperson to execute the budget amendment.

STATE OF CALIFORNIA

STANDARD AGREEMENT AMENDMENT

STD. 213 A (Rev 9/01)

☒ CHECK HERE IF ADDITIONAL PAGES ARE ATTACHED 1 Pages

AGREEMENT NUMBER	AMENDMENT NUMBER
HD099014	D-5 Series

1. This Agreement is entered into between the State Agency and Contractor named below:

STATE AGENCY'S NAME
Department of Developmental Services

CONTRACTOR'S NAME
Regional Center of Orange County, Inc.

2. The term of this Agreement is: July 1, 2009, through June 30, 2016

3. The maximum amount of this Agreement after this amendment is: $278,618,463

4. The parties mutually agree to this amendment as follows. All actions noted below are by this reference made a part of the Agreement and incorporated herein:

a. The effective date of this amendment is June 10, 2013.

b. Section 8 of article I is amended and reads as follows: "8. The total amount payable to Contractor under this contract agreement shall not exceed $278,618,463 Year 2012/2013 as reflected in Exhibit A, Page 1 of this contract".

Fiscal Year funds identified above may not be used for any other fiscal year, than the fiscal year specified unless authorized by the Department to do so.

c. Replaced by this amendment is Exhibit A, Page 1 which is attached hereto and made a part of this contract.

d. All other terms and conditions remain the same.

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR		CALIFORNIA Department of General Services Use Only
CONTRACTOR'S NAME *(If other than an individual, state whether a corporation, partnership, etc.)* Regional Center of Orange County, Inc.		
BY *(Authorized Signature)* Tresa Oliveri	DATE SIGNED *(Do not type)* 6.17.13	
PRINTED NAME AND TITLE OF PERSON SIGNING Tresa Oliveri, President		
ADDRESS 1525 N. Tustin Avenue Santa Ana, CA 92701		
STATE OF CALIFORNIA		
AGENCY NAME Department of Developmental Services		
BY *(Authorized Signature)*	DATE SIGNED *(Do not type)*	
PRINTED NAME AND TITLE OF PERSON SIGNING Pamela S. Robison, Chief, Customer Support Section		☐ Exempt per:
ADDRESS 1600 9th Street, Room 300, MS 3-18 Sacramento, CA 95814		

Regional Center of Orange County, Inc.
Contracting Agency

Contract Number HD099014

CONTRACT BUDGET SUMMARY
2012-13 FISCAL YEAR

REGIONAL CENTER Orange D-5 Total Contract
June 10, 2013

TOTAL OPERATIONS	**$31,317,007**
In accordance with State Contract language under Article III: Fiscal Provisions Item #4 Payment Provisions, paragraph 3, the following Operation category expenditures must be claimed on a separate invoice:	
Foster Grandparent Program (federal portion only)	0
Mental Health Services Fund	0
Lanterman Closure Money Follows the Person (MFP, Non-CPP)	0
Agnews Ongoing Workload (Non-CPP)	0
Total CPP	162,839
Regular CPP	*162,839*
Statewide Staffing Money Follows the Person (MFP)	*0*
TOTAL PURCHASE OF SERVICES	**$247,143,424**
In accordance with State Contract language under Article III: Fiscal Provisions Item #4 Payment Provisions, paragraph 3, the following Purchase of Service category expenditures must be claimed on a separate invoice:	
Part C (see footnote a/)	3,243,879
Total CPP	1,021,104
Start-Up CPP	*671,500*
Assessment CPP	*3,950*
Placement-CPP	*345,654*
Deflection-CPP	*0*
TOTAL EARLY INTERVENTION	
Family Resource Centers/Network	**$158,032**
TOTAL PREVENTION PROGRAM	**$0**
TOTAL BUDGET	**$278,618,463**

Footnote a/:

CFDA Title: Infant and Toddlers with Disabilities

CFDA Number: 84.181A

Award Name: Annual State Application Under Part C of the Individuals with Disabilities Education Act as Amended in 2004, Federal Fiscal Year 2006

Award No.: H181A130037

Since Grant Award Notification will occur after the execution of this contract and changes are limited to the Federal Award Number and calendar year awarded, updated Grant Award Notification will be maintained in DDS' contract file and incorporated by reference. A copy of the current Grant Award Notification shall be sent to Contractor as it is made available to DDS.

Federal Agency Name: Office of Special Education and Rehabilitative Services, United States Department of Education

Percent of Contract Funding: 1.16%

Exhibit A: Total cumulative contract amendments by fund source & budget category (i.e. Ops, POS, etc.)

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION___X___
ACTION/CONSENT_______
DISCUSSION_______
INFO ONLY_______

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Budget and Finance Committee

SUBJECT: Approval of University of California, Irvine (UCI) Interdisciplinary Team Survey and Clinic Project for Fiscal Year 2013-14

BACKGROUND:

For 14 years, RCOC has contracted with the University of California, Irvine (UCI) for the Interdisciplinary Team Survey and Clinic Project under the direction of Ira Lott, M.D. Dr. Lott was Chief of the Division of Pediatric Neurology at UCI from 1983-2011, Chairman of UCI's Department of Pediatrics from 1990-2000, and Associate Dean for UCI's Clinical Neurosciences from 2000-07. He currently serves as Director of the Telemedicine Program for UCI Health Sciences.

The Clinic Project also includes a Psychoactive Drug Survey. Consumers who are referred to the Clinic Project are at-risk individuals who are taking multiple medications, including psychoactive medications, and who may also require behavioral intervention.

RCOC funds the Clinic Project from its Clinical Team allocation which must be used for clinical expertise in the areas of pharmacology, behavioral psychology, special medication assistance, monitoring of complex medical cases or improving access to preventive health care resources.

REASON FOR CURRENT ITEM:

Although the Clinic Project is less than $250,000, the contract amount of $246,400 is so close that it seemed more appropriate to include it in the contracts presented to the Board for approval.

FISCAL IMPACT:

$246,400

RECOMMENDATION:

That the Board approve the contract as presented.

RESEARCH AGREEMENT NO. RCOC-44726

This agreement ("Agreement") is entered into this 18th day of September, 2013, by and between **THE REGENTS OF THE UNIVERSITY OF CALIFORNIA,** on behalf of its Irvine campus ("CONTRACTOR") and the **REGIONAL CENTER OF ORANGE COUNTY, INC.,** a California nonprofit corporation, ("RCOC"). CONTRACTOR and RCOC shall be collectively referred to as the Parties and agree as follows:

1. **SCOPE OF WORK.** The work to be performed under this Agreement shall be in accordance with the research project entitled "RCOC Interdisciplinary Team Survey and Clinic Project" ("Research Project"), as described in the scope of work attached hereto and incorporated herein as Exhibit A. Dr. Ira T. Lott is the CONTRACTOR's Principal Investigator and will be responsible for the direction of all effort hereunder in accordance with applicable CONTRACTOR policies.

2. **PERIOD OF PERFORMANCE.** The work under this Agreement shall be performed during the period beginning July 1, 2013 and ending June 30, 2014, unless extended by mutual written agreement.

3. **BUDGET.** RCOC will pay all direct and indirect costs of Research Project, including an amount equivalent to a pro-rata share of the Principal Investigator's salary, up to a total estimated cost of $246,400 in accordance with Exhibit B. If at any time University has reason to believe that the cost of Research Project will be greater than estimated, CONTRACTOR shall notify RCOC in writing to that effect, giving a revised budget of the cost to complete Research Project. RCOC shall not be obligated to reimburse CONTRACTOR for the costs incurred in excess of the amount referenced above unless and until RCOC has notified CONTRACTOR in writing that additional funds will be provided. Upon expenditure of the agreed upon amount of this award, CONTRACTOR's obligation to continue performance of the project shall cease.

4. **PAYMENT.** CONTRACTOR shall present RCOC an invoice for services rendered in accordance with Exhibit C. RCOC shall pay CONTRACTOR within thirty (30) calendar days of receipt of a valid invoice and documentation for authorized services.

   Checks shall be made payable to "The Regents of the University of California" and shall reference this Agreement number RCOC-44726. Payments shall be forwarded to Contracts and Grants Accounting, Attn: Rebecca Tangen, 1400 Biological Sciences III, University of California, Irvine, Accounting, Irvine, CA 92697-1050.

5. **CONFIDENTIALITY.** CONTRACTOR acknowledges that it may be necessary for RCOC to disclose information which RCOC considers confidential in order to accomplish the work under this Agreement. RCOC acknowledges, however, that CONTRACTOR has no mechanisms to maintain or guarantee the confidentiality of information and, as a public, non-profit educational institution, does not have financial resources to (i) sustain liability for disclosure of confidential information or (ii) institute mechanisms to maintain confidential information.

   It is agreed that RCOC shall disclose only information necessary to the work and, if any such information is considered confidential, it shall be clearly marked "Confidential Information" and sent by RCOC in writing only to the Principal Investigator or orally disclosed to the Principal Investigator and reduced to writing by RCOC within thirty days of disclosure. CONTRACTOR shall inform Principal Investigator that for a period of one year from the end of the Agreement, Confidential Information shall not be used or disclosed to others, to the extent permitted by law, except in furtherance of this Agreement unless Confidential Information: (i) is or shall have been known to the Principal Investigator before his receipt thereof; (ii) is disclosed to the Principal Investigator by a third party; or (iii) is or shall have become known to the public through no fault of the Principal Investigator.

To the extent the parties maintain or electronically transmit identifiable patient health information, they shall comply with the all applicable provisions of the Health Insurance Portability and Accountability Act of 1996, as amended, and all regulations promulgated thereunder.

6. RIGHTS IN DATA AND REPORTS.

6.1 CONTRACTOR shall own all technical reports, data and information developed under this Agreement and shall have the right to copyright, publish, disclose, disseminate and use, in whole or in part, any data and information received, collected, or developed under this Agreement.

6.2 CONTRACTOR shall provide RCOC with reports of the work performed under this Agreement in accordance with the following schedule:

CONTRACTOR shall submit to RCOC a comprehensive final report within ninety (90) days of termination of the Research Project.

6.3 RCOC shall have the right to use the technical reports, data and information delivered hereunder by CONTRACTOR for research and evaluation purposes.

6.4 RCOC agrees that it will not use the names of CONTRACTOR or its employees in any advertisement, press release or publicity with reference to this Agreement without the prior written approval of CONTRACTOR. CONTRACTOR shall have the right to acknowledge RCOC's support of the research performed under this Agreement in scientific publications and other scientific communications.

7. PUBLICATION. For the purpose of identifying patentable inventions not covered by preexisting patents, CONTRACTOR shall submit a copy of all proposed publications, papers, and any other written disclosure of such data or information to RCOC at least thirty (30) days prior to submission for publication or disclosure to a third party. In the event RCOC determines patentable subject matter is disclosed in such data or information, it shall immediately notify CONTRACTOR and, if CONTRACTOR concurs, publication or disclosure will be withheld (a) for a period not to exceed ninety (90) days to permit preparation and filing of appropriate patent application(s), or (b) until a patent application thereon has been prepared and filed, or (c) until CONTRACTOR and RCOC mutually agree in writing that no patent application(s) shall be prepared or filed, whichever of (a), (b) or (c) is earlier in time.

8. PATENT RIGHTS.

8.1 All rights to inventions, discoveries or other commercially useful research products arising from research conducted under this Agreement shall belong to CONTRACTOR and shall be disposed of in accordance with CONTRACTOR policy. To the extent that the CONTRACTOR has the legal right to do so and to the extent that RCOC pays all direct and indirect costs of the research project, including a proportionate share of the Principal Investigator's salary, RCOC, in accordance with the provisions of 8.2, shall be given a time-limited first right to negotiate an exclusive, royalty-bearing license to make, use, and sell any patentable inventions conceived and first actually reduced to practice in the performance of research under this Agreement.

8.2 CONTRACTOR shall promptly disclose to RCOC in writing any inventions arising under this Agreement. RCOC shall hold such disclosure on a confidential basis and will not disclose the information to any third party without consent of the CONTRACTOR. RCOC shall advise CONTRACTOR in writing within sixty (60) days of disclosure to RCOC whether or not it wishes to secure a commercial license. If RCOC elects to secure a license, RCOC shall assume all costs associated with securing and maintaining patent protection for such invention(s), whether or not Letters Patent issue. RCOC shall have ninety (90) days from the date of election to conclude a license agreement with CONTRACTOR. Said license shall contain reasonable terms, and shall require diligent performance by RCOC for the timely commercial development and early marketing of such inventions, and include RCOC's continuing obligation to pay patent cost. If such license agreement is not concluded in said period, CONTRACTOR has no further obligations to RCOC. If RCOC does not elect to secure such license, rights to the inventions disclosed hereunder shall be disposed of in accordance with CONTRACTOR policies with no further obligation to RCOC.

8.3 Nothing contained in this Agreement shall be deemed to grant either directly or by implication, estoppel, or otherwise any license under any patents, patent applications or other proprietary interests of any other invention, discovery or improvement of either party.

9. **EQUIPMENT.** In the event that CONTRACTOR purchases equipment under this Agreement, title to such equipment shall vest in CONTRACTOR.

10. INDEMNIFICATION. RCOC agrees to defend, indemnify and hold CONTRACTOR, its officers, employees and agents, harmless from and against any and all liability, loss, expense, attorneys' fees, or claims for injury or damages arising out of the performance of this Agreement but only in proportion to and to the extent such liability, loss, expense, attorneys' fees, or claims for injury or damages are caused by or result from the negligent or intentional acts or omissions of RCOC, its officers, agents, or employees. CONTRACTOR agrees to defend, indemnify and hold RCOC, its officers, employees and agents, harmless from and against any and all liability, loss, expense, attorneys' fees, or claims for injury or damages arising out of the performance of this Agreement but only in proportion to and to the extent such liability, loss, expense, attorneys' fees, or claims for injury or damages are caused by or result from the negligent or intentional acts or omissions of CONTRACTOR its officers, agents, or employees.

11. INSURANCE. CONTRACTOR certifies that it maintains a policy or program of insurance or self-insurance at levels sufficient to support the indemnification obligations assumed in section 10 above. RCOC warrants that it maintains a policy or program of insurance or self-insurance at levels sufficient to support the indemnification obligations assumed in section 10 above.

12. NOTICE. Whenever any notice is to be given hereunder, it shall be in writing and shall be deemed received, if delivered by courier on a business day, on the day delivered, or on the second business day following mailing, if sent by first-class certified or registered mail, postage prepaid, to the following addresses:

CONTRACTOR: The Regents of the University of California
Sponsored Projects Administration
University of California, Irvine
5171 California Ave., Ste. 150
Irvine, California 92697-7600

Attention: Lauren R. Ryan
Senior Contract and Grant Officer

RCOC: Regional Center of Orange County
1525 N. Tustin Ave.
Santa Ana, CA 92705

Attention: Bette Baber, CFO

13. TERMINATION. This Agreement may be terminated by CONTRACTOR or RCOC upon the giving of ninety (90) days prior written notice to the other if either party determines, in its discretion, that Research Project is no longer academically, technically, or commercially feasible. Upon receipt of such notice of termination, CONTRACTOR shall exert reasonable efforts to limit or terminate any outstanding financial commitments for which RCOC is to be liable. RCOC shall reimburse CONTRACTOR for all costs incurred by it for the Research Project, including all non-cancelable obligations, up to the budget amount of $246,400.

14. ASSIGNMENT. Neither party shall assign, transfer, or subcontract any of its rights, burdens, duties or obligations under this Agreement without prior written consent of both parties.

15. APPLICABLE LAW. This Agreement shall be governed by the laws of the State of California.

16. ENTIRE AGREEMENT. This Agreement represents the entire understanding of the Parties with respect to the subject matter. No change, modification, extension, termination or waiver of this Agreement, or any of the provisions herein contained, shall be valid unless made in writing and signed by duly authorized representatives of the Parties hereto.

IN WITNESS WHEREOF duly authorized representatives of the Parties have entered into this Research Agreement as of the date first written above.

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA	**REGIONAL CENTER OF ORANGE COUNTY, INC**
By: ______________________ (signature)	By: ______________________ (signature)
By: Lauren R. Ryan	By: Larry Landauer
Title: Senior Contract & Grant Officer	Title: Executive Director
Date: ______________________	Date: ______________________

EXHIBIT A

SCOPE OF WORK FOR 2013-2014

Psychoactive Drug Survey and Interdisciplinary Team Project
University of California, Irvine

Regional Center of Orange County

Ira T. Lott, M.D., Project Director

TEAM MEMBERS

- Anne Tournay, M.D., Pediatric Neurologist
- Angela Sagar, M.D., Psychiatrist
- Christie Hom, Ph.D., Clinical Psychologist
- Paul E. Touchette, Ed.D., Educational Psychologist
- Larry Plon, Pharm.D., Clinical and Research Pharmacist

INTERDISCIPLINARY TEAM

- Continue to work with RCOC and CalOptima to identify high risk individuals to assist in the allocation of resources and planning interventions.
- Coordinate with RCOC to develop a list of at-risk consumers for clinic referral.
- Continue to follow-up and be the primary psychiatrist for a select group of consumers.
- Expand the clinic database for strategic analysis of medication and behavioral interventions.

PHARMACY DATA REVIEW

- To merge Regional Center consumer information from the Client Development Evaluation Report (CDER), an instrument used by the State of California to provide demographic and diagnostic parameters on each individual in the Regional Center system, with the large file of pharmacy records.
- To classify the drugs by their generic names.
- Compare the pattern and utilization of non-psychoactive medications available from the database for RCOC consumers.
- Compare medication adherence in the RCOC population to that in the general CalOptima population.
- Define and determine psychoactive medication prescribing in subgroups of the RCOC population.
- Determine poly-pharmacy by prescribing physician.

- Begin ascertainment of cost analysis for psychoactive medication prescriptions.

- To compare Depakote for age, gender, and number of medications prescribed for all the patients in comparison to other anticonvulsants. The database will be “mined” to compare individual’s compliance vs. non-compliance in regard to these medications as correlated with the SIR (Special Incident Reports). The SIR will give an accounting of behavioral disorders requiring hospitalization or other acute medical treatment. The data will then be related to the type of living arrangement for each individual through merging the research database with the CDER.

Exhibit C

Schedule of release of fund

The funds payable to The Regents of The University of California shall be aggregate amount of $246,400 to be paid out according to the following:

Benchmark	Funds **Available**	Target date
• Consumers who are at risk for problems related to medication management of their behaviors, will be eveluated and treated through the UCI psychopharmacological multidisciplinary clinic. At least 15 consumers who can be consumers receiving follow-up visits, will be seen by the team each month. Exceptions to meeting the 15 consumers per month target will be considered if any of the following occur: 1. Significant number of observed hoildays in one month may limit the number of available work days to evaluate consumers. 2. RCOC schedules less than 15 consumers to be assesed by the team during the month. 3. Consumers who are scheduled for an assessment miss their appointment. 4. If one more of the above listed circumstances occur, the CONTRACTOR will request an exception to the benchmark's targeted number of consumers to be assesed on their monthly invoice to RCOC. The RCOC project manager, Dr. Peter Himber, will consider all exception requests by the contractor and will respond in writing with his decision to deny or approve any exception requests.	$61,600	07/01/2013
	$61,600	10/01/2013
	$61,600	01/01/2014
	$61,600	04/01/2014

EXHIBIT B

BUDGET
July 1, 2013-June 30, 2014
Ira T. Lott, M.D., Project Director
Center for Neurodevelopmental Studies

Psychoactive Drug Survey and Interdisciplinary Team Project
University of California, Irvine

Description	Percent Effort	Salary	Benefits	Program Total 07/01/13-06/30/14
Principle Administrative Oversight (Lott)	10%	$22,684	$3,856	$26,540
Behavioral Psychology and Computerized Database (Touchette)	38%	$31,996	$5,440	$37,436
Neurodevelopmental Psychiatry (Sagar)	15%	$32,000	$5,440	$37,440
Child Neurology (Tournay)	15%	$19,500	$3,315	$22,815
Project Coordinator (Hom)	60%	$60,989	$10,422	$71,411
Clinical Consultant		$21,045		$21,045
Supplies				$3,313
TOTAL DIRECT COSTS				**$220,000**
F&A COSTS (12% of total direct costs)				$26,400
TOTAL COSTS				**$246,400**
Monthly Budget				$20,533

BUDGET JUSTIFICATION:

Ira T. Lott, MD—Dr. Loft is responsible for 1) Overall supervision of the project; 2) Serving as principal liaison to RCOC; 3) Working with the team to develop research themes, manuscripts, and reports.

Paul Touchette, EdD—Dr. Touchette is responsible for 1) Educational oversight as an IDT member; 2) Principle liaison to CalOptima for database availability; 3) Participation in the research and writing of manuscripts.

Angela Sagar, MD—Dr. Sagar is responsible for 1) Psychiatric evaluation of all IDT clients; 2) Prescribing of psychoactive drug regimens in collaboration with IDT members; 3) Participation in the research and writing of manuscripts.

Anne Tournay, MD—Dr. Tournay is responsible for 1) Conducting neurological examinations on all IDT clients; 2) Developing the neurological database for the project; 3) Participation in the research and writing of manuscripts.

Christy Hom, MD—Dr. Hom is responsible for 1) Professional coordination of IDT activities; 2) Psychological testing of IDT clients; 3) Participation in research and writing of manuscripts. 4) Educational oversight as an IDT member; 5) Principle liaison to CalOPTIMA for database availability; 6) Participation in the research and writing of manuscripts.

Clinical Consultant (TBR): This position is to support the Biostatistical and database components of the project.

REGIONAL CENTER OF ORANGE COUNTY

Summary of Consumer Information - May 2013

NUMBER OF PERSONS SERVED	**17,256**	**100%**

Children - Birth to Age Three Receiving Early Start Services	2,434	14%
Children - Ages Three to 17 Receiving Lanterman Services	5,942	34%
Adults - Ages 18 and Older Receiving Lanterman Services	8,880	51%

Children - Birth to Age Three Receiving Prevention Resource and Referral Services	**201**

Children and Adults - Ages Three and Older Receiving Lanterman Services with the Following Diagnoses:

Mental Retardation	11,048	75%
Epilepsy	2,845	19%
Cerebral Palsy	2,652	18%
Autism	4,228	28%
Fifth Category*	876	6%

* condition closely related to mental retardation and requiring similar treatment

Note: Many consumers have more than one diagnosis so the percentage equals more than 100%.

NUMBER OF PERSONS REQUESTING ELIGIBILITY DETERMINATION	**367**

Early Start / Under Age Three / 45 days to complete determination	298	81%
Lanterman / Over Age Three / 120 days to complete determination*	69	19%

*22 children who had received Early Start services were determined eligible for Lanterman services.
Of these, 12 children had a diagnosis of autism.

NUMBER OF PERSONS DETERMINED ELIGIBLE	**231**

Children - Birth to Age Three Eligible for Early Start Services	206
Children and Adults - Ages Three and Older Eligible for Lanterman Services	24

Children - Birth to Age Three Eligible for Prevention Resource and Referral Services	1

NUMBER OF CHILDREN NO LONGER ELIGIBLE FOR EARLY START AND PREVENTION RESOURCE AND REFERRAL SERVICES	**160**

Children - Age Three No Longer Eligible for Early Start Services	159
Children - Age Three No Longer Eligible for Prevention Resource and Referral Services	1

REGIONAL CENTER OF ORANGE COUNTY

OPERATIONS REPORT

MAY 2013 ACTIVITY

Mission Statement

Regional Center of Orange County, within the spirit and mandate of the Lanterman Act, shall assist persons with developmental disabilities, and their families, in securing and coordinating those services and supports which maximize opportunities and choices for living, working, learning and recreating in the community and which result in consumer satisfaction and quality services which stress human dignity and openness to innovation.

Operations Report, Fiscal Year 2012-13

- COMMUNITY LIFE

Guiding Principle

To live in the community is the preference of most individuals with developmental disabilities. However, inherent in this choice are risks. While affirming the dignity gained by the taking of risks, and the valuable learning provided by those opportunities, the Center is committed to the following:

- *Consumers and their families have knowledge of their healthcare needs, access to qualified medical communities, and support necessary to utilize recommended health services.*

- *Consumers and their families have knowledge of, access to and opportunity for participation in any community activities and resources of their choosing.*

Provider Monitoring, Technical Support and Special Incident Investigation Activities

Type and Number of Reviews	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Annual Review	30	33	17	46	23	28
Unannounced	28	23	22	34	33	24
Total Number of Reviews	*58*	*56*	*39*	*80*	*56*	*52*

Provider Trainings	0	0	0	0	0	0
Technical Support	85	81	61	89	118	79
Corrective Action Plan	1	4	1	0	4	0
Special Incident Investigation*	28	20	12	20	24	9

	Jan.	Feb.	Mar.	Apr.	May	June	Total
Annual Review	29	15	15	14	14		**264**
Unannounced	34	30	22	18	21		**289**
Total Number of Reviews	*63*	*45*	*37*	*32*	*35*	*0*	***553***

Provider Trainings	0	0	50	0	0		**50**
Technical Support	114	91	58	72	88		**936**
Corrective Action Plan	0	1	1	1	1		**14**
Special Incident Investigation*	21	17	31	41	51		**274**

* California Code of Regulations, Title 17, Division 2, Chapter 3 - Community Services SubChapter 2 - Vendorization Article 2 - Vendorization Process, Section 54327 requires all vendors, excluding parents and consumers, to report the following special incidents.

Type of Special Incidents (from California Code of Regulations, Title 17)

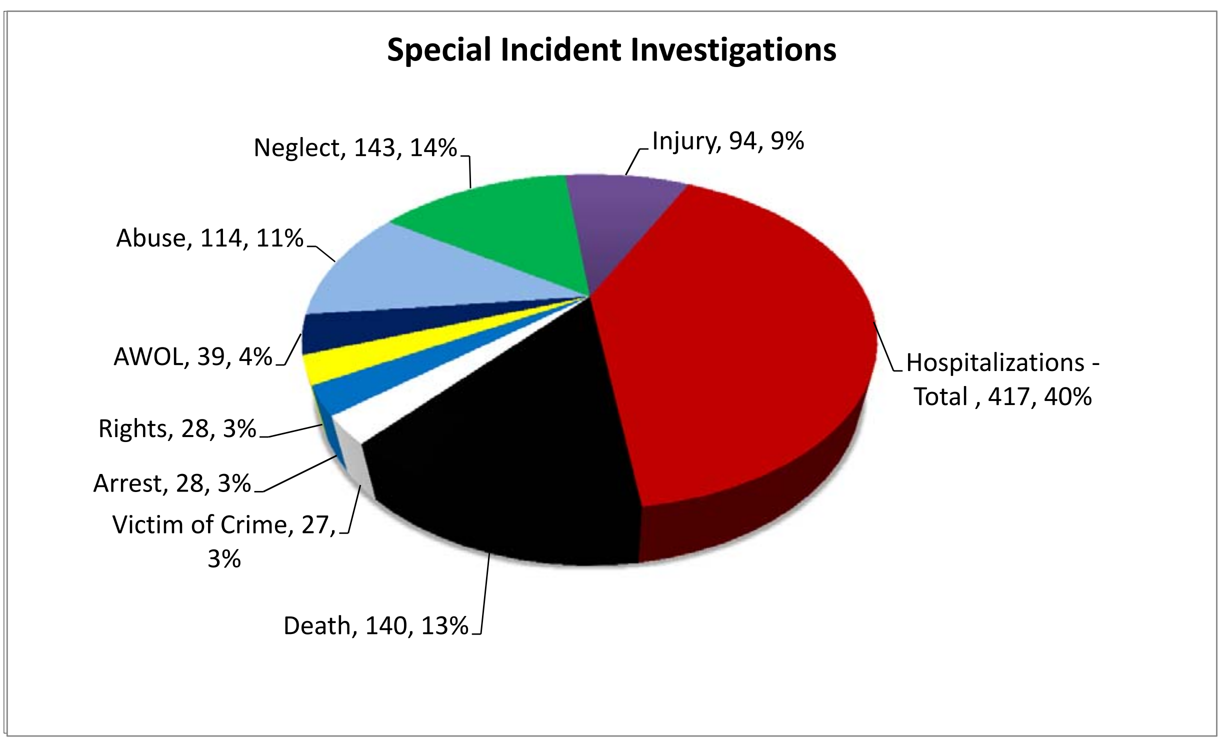
(A) The consumer is missing and the vendor or long-term health care facility has filed a missing persons report with a law enforcement agency;
(B) Reasonably suspected abuse/exploitation including:
1. Physical;
2. Sexual;
3. Fiduciary;
4. Emotional/mental; or
5. Physical and/or chemical restraint.
(C) Reasonably suspected neglect including failure to:
1. Provide medical care for physical and mental health needs;
2. Prevent malnutrition or dehydration;
3. Protect from health and safety hazards;
4. Assist in personal hygiene or the provision of food, clothing or shelter or
5. Exercise the degree of care that a reasonable person would exercise in the position of having the care and custody of an elder or a dependent adult.
(D) A serious injury/accident including:
1. Lacerations requiring sutures or staples;
2. Puncture wounds requiring medical treatment beyond first aid;
3. Fractures;
4. Dislocations;
5. Bites that break the skin and require medical treatment beyond first aid;
6. Internal bleeding requiring medical treatment beyond first aid;
7. Any medication errors;
8. Medication reactions that require medical treatment beyond first aid; or
9. Burns that require medical treatment beyond first aid.
(E) Any unplanned or unscheduled hospitalization due to the following conditions:
1. Respiratory illness, including but not limited, to asthma; tuberculosis; and chronic obstructive pulmonary disease;
2. Seizure-related;
3. Cardiac-related, including but not limited to, congestive heart failure; hypertension; and angina;
4. Internal infections, including but not limited to, ear, nose and throat; gastrointestinal; kidney; dental; pelvic; or urinary tract;
5. Diabetes, including diabetes-related complications;
6. Wound/skin care, including but not limited to, cellulitis and decubutus;
7. Nutritional deficiencies, including but not limited to, anemia and dehydration; or
8. Involuntary psychiatric admission;
(2) The following special incidents regardless of when or where they occurred:
(A) The death of any consumer, regardless of cause;
(B) The consumer is the victim of a crime including the following:
1. Robbery, including theft using a firearm, knife, or cutting instrument or other dangerous weapons or methods which force or threaten a victim;
2. Aggravated assault, including a physical attack on a victim using hands, fist, feet or a firearm, knife or cutting instrument or other dangerous weapon;
3. Larceny, including the unlawful taking, carrying, leading, or riding away of property, except for motor vehicles, from the possession or constructive possession of another person;
4. Burglary, including forcible entry; unlawful non-forcible entry; and, attempted forcible entry of a structure to commit a felony or theft therein;
5. Rape, including rape and attempts to commit rape.

Title 17 does not require reporting on arrest or consumer rights violations; however, RCOC includes arrest and rights violations as reportable incidents.

Type and Number of Special Incident Investigations
Fiscal Year 2012-13

Type of Incident	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
AWOL	4	3	1	9	3	2
Abuse	7	18	11	8	12	9
Neglect	9	17	12	33	20	5
Injury	3	11	5	9	10	9
Hospitalizations - Total	25	25	22	37	35	48
Psychiatric	*6*	*7*	*3*	*5*	*8*	*6*
Medical	*19*	*18*	*19*	*32*	*27*	*42*
Death	9	10	4	17	30	13
Victim of crime	2	1	2	2	5	4
Arrest	1	0	1	4	2	2
Rights	0	15	0	0	9	0
Total	*60*	*100*	*58*	*119*	*126*	*92*

Type of Incident	Jan.	Feb.	Mar.	Apr.	May	June	Total
AWOL	1	1	3	10	2		**39**
Abuse	9	12	9	10	9		**114**
Neglect	7	8	6	9	17		**143**
Injury	11	9	6	9	12		**94**
Hospitalizations - Total	47	35	45	53	45		**417**
Psychiatric	*9*	*13*	*8*	*19*	*12*		***96***
Medical	*38*	*22*	*37*	*34*	*33*		***321***
Death	21	13	7	11	5		**140**
Victim of Crime	3	1	1	0	6		**27**
Arrest	3	4	2	5	4		**28**
Rights	0	2	1	0	1		**28**
Total	*102*	*85*	*80*	*107*	*101*	*0*	***1,030***



- COMMUNITY LIFE continued

Guiding Principle

Provider Audits
Fiscal Year 2012-13

Number of Audits / Appeals / Recoveries

Type of Audit	**Jul.**	**Aug.**	**Sept.**	**Oct.**	**Nov.**	**Dec.**
Service Billing	1	3	0	0	0	0
Staffing	0	0	4	0	0	0
Level 4I Consultant	0	0	4	0	1	0
P&I (consumer funds)	0	0	0	4	1	2
Total Number of Audits	1	3	8	4	2	2

Number of Appeals / Recoveries (Vendors may appeal after monthly data is reported.)

State Appeal	0	0	0	0	0	0
Recovery	0	0	0	4	2	2

Audit Findings (Dollar Amount)

Amount of Recovery	$0.00	$9,508.92	$14,968.22	$397.93	$5,582.97	$4,769.42

Type of Audit	**Jan.**	**Feb.**	**Mar.**	**Apr.**	**May**	**June**	**Total**
Service Billing	0	1	3	0	0		**8**
Staffing	0	6	4	0	0		**14**
Level 4I Consultant	0	0	0	0	0		**5**
P&I (consumer funds)	4	1	0	3	0		**15**
Total Number of Audits	4	8	7	3	0	0	**42**

Number of Appeals / Recoveries

State Appeal	0	0	0	0	0		**0**
Recovery	1	1	1	0	0		**11**

Audit Findings (Dollar Amount)

Amount of Recovery	$195.63	$245.89	$16.00	$35,684.98	$0.00		**$71,369.96**

Operations Report, Fiscal Year 2012-13

- FAMILY SUPPORT

Guiding Principle

Families are the decision makers for their minor children and, when appropriate, for their adult children.

Family support services are flexible and innovative in meeting needs as they evolve over time, are tailored to the preferences of the individual family, and are consistent with their cultural norms and customs.

Family members of adults are supported when their ongoing involvement is preferred by the consumer.

Vouchers - Families Procure Their Own Services
Fiscal Year 2012-13

Number of Authorizations for Voucher Services

July through December	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Day Care - Family Member	134	132	132	130	128	124
Diapers - Family Member	21	17	14	14	14	14
Nursing Service - Family Member	43	42	42	42	42	43
Respite Service - Family Member	1,745	1,687	1,692	1,686	1,689	1,680
Transportation - Family Member	161	160	159	156	157	168
Total Number of Voucher Authorizations	2,104	2,038	2,039	2,028	2,030	2,029

Number of Authorizations for Voucher Services

January through June	Jan.	Feb.	Mar.	Apr.	May	June
Day Care - Family Member	126	124	126	126	122	
Diapers - Family Member	14	13	14	11	8	
Nursing Service - Family Member	42	44	43	44	46	
Respite Service - Family Member	206	196	232	237	241	
Transportation - Family Member	174	489	177	186	186	
Total Number of Voucher Authorizations	562	866	592	604	603	0

Operations Report, Fiscal Year 2012-13

- EARLY INTERVENTION / PREVENTION

Guiding Principle

Prevention and early intervention services, supports and public awareness activities are designed to prevent the onset of a disability, or to minimize the impact of the disability.

Consumers are provided the services and supports in a family-focused and collaborative fashion.

Developmental Screenings

July through December	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Referrals to:						
Regional Center of Orange County	17	22	30	28	38	6
School District	13	30	26	28	25	8
Physician	6	14	8	7	14	3
Mental Health	17	28	26	19	26	4
Rescreen	6	14	10	15	23	6
Dental	7	20	12	26	15	6
Optometrist	5	9	7	9	9	4
Insurance	3	2	4	0	4	3
Other	1	8	2	4	6	4
Total Number of Referrals	75	147	125	136	160	44
Number of Children Screened	42	109	87	90	117	36

January through June	Jan.	Feb.	Mar.	Apr.	May	June	Total
Referrals to:							
Regional Center of Orange County	15	27	38	No Data Provided	No Data Provided		**221**
School District	19	28	26				**203**
Physician	12	19	22				**105**
Mental Health	22	40	39				**221**
Rescreen	4	14	11				**103**
Dental	12	22	11				**131**
Optometrist	8	9	7				**67**
Insurance	4	7	4				**31**
Other	2	6	9				**42**
Total Number of Referrals	98	172	167	0	0	0	***1,124***
Number of Children Screened	72	120	117				**790**

Operations Report, Fiscal Year 2012-13

- LIVING OPTIONS

Guiding Principle

Consumers have choices on where and with whom they live.

Services and supports are provided so that consumers have choices on where and with whom they live, including owning or renting their own homes.

Practices are driven in the system by culturally preferred choices.

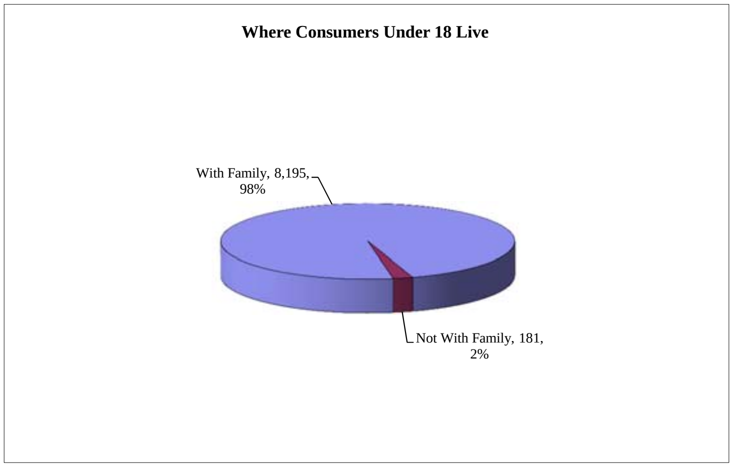
We believe that we should support families in keeping their children, both minors and those adults who choose to remain at home, as a priority for the allocation of limited regional center resources.

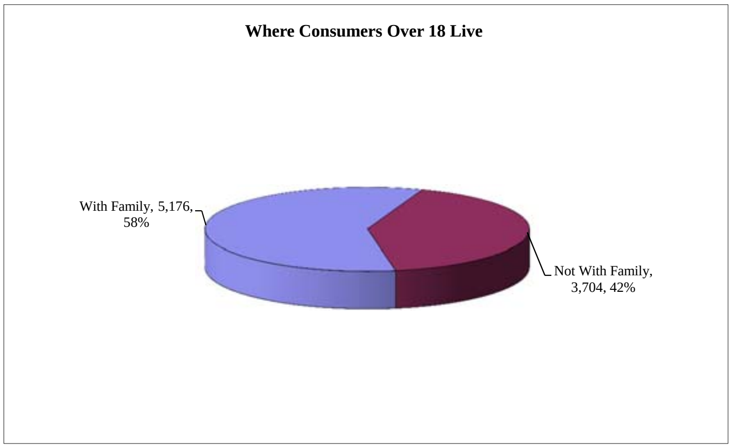
Consumers live in homes where they receive love and nurturing and where they can form relationships.

Families with children in out-of-home care receive the support necessary to remain involved in their children's lives.

As of May 31, 2013

	Consumers All	Consumers Under 18	Consumers Over 18
With Family	13,371	8,195	5,176
Not With Family	3,885	181	3,704
Total	**17,256**	**8,376**	**8,880**



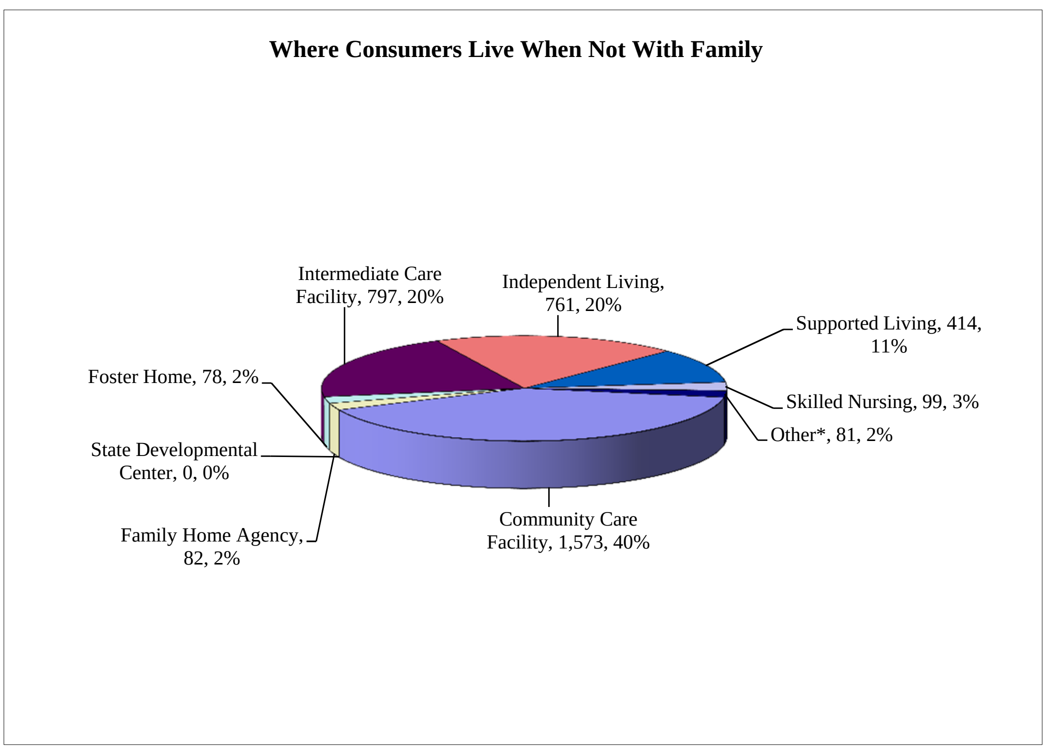


LIVING OPTIONS continued

As of May 31, 2013

	Consumers All	Consumers Under 18	Consumers Over 18
Family Home	13,371	8,195	5,176
Community Care Facility	1,573	60	1,513
State Developmental Center	0	0	0
Family Home Agency	82	0	82
Foster Home	78	73	5
Intermediate Care Facility	797	17	780
Independent Living	761	0	761
Supported Living	414	0	414
Skilled Nursing	99	1	98
Other*	81	30	51
Total	***17,256***	***8,376***	***8,880***

Other*			
Acute General Hospital	1	0	1
Community Treatment	0	0	0
Correctional Institution	0	0	0
County Jail	0	0	0
Other	10	1	9
Out of State	7	0	7
Psychiatric Treatment	7	0	7
Rehabilitation Center	2	0	2
Sierra Vista/State Operated	0	0	0
Sub-Acute	54	29	25
Transient / Homeless	0	0	0
Total, Other*	***81***	***30***	***51***



LIVING OPTIONS continued

Other Living Options

Family Home Agency
A Family Home Agency (FHA) is a private, not-for-profit agency that is vendored to recruit, approve, train, and monitor family home providers, provide services and supports to family home providers, and assist consumers in moving into or relocating from family homes.

Foster Family Agency
Under the California Department of Social Services, county placement agencies use licensed, private Foster Family Agencies (FFAs) for the placement of children. By statute, FFAs are organized and operated on a non-profit basis and are engaged in the following activities: recruiting, certifying, and training foster parents, providing professional support to foster parents, and finding homes or other temporary or permanent placements for children who require more intensive care.

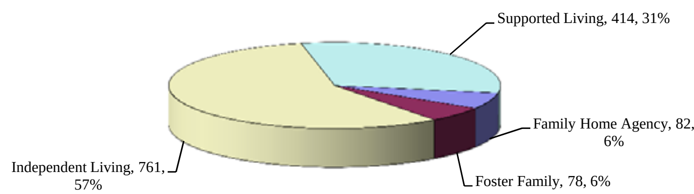
Independent Living
Independent Living services help adult consumers with the functional skills necessary to secure a self-sustaining, independent living situation in the community and/or may provide the support necessary to maintain those skills.

Supported Living
Supported Living Services (SLS) support consumers' efforts to live in their own homes.

As of May 31, 2013

Other Living Options	Total	Under 18	Over 18
Family Home Agency	82	0	82
Foster Family	78	73	5
Independent Living	761	0	761
Supported Living	414	0	414
Total	***1,335***	***73***	***1,262***

Other Living Options



LIVING OPTIONS continued

Living Options, facilities licensed by the State of California, Departments of Community Care Licensing or Health Services

Health Licensed Facilities

Health facilities are licensed by the State of California, Department of Health Services to provide 24-hour medical residential care. Health facilities are funded by Medi-Cal. Health licensed facilities include:
General Acute Care Hospitals,
Acute Psychiatric Hospitals,
Skilled Nursing Facilities,
Intermediate Care Facilities,
Intermediate Care Facility – Developmentally Disabled,
Intermediate Care Facility – Developmentally Disabled, – Habilitative,
Intermediate Care Facility – Developmentally Disabled, – Nursing,
Home Health Agencies and
Congregate Living Health Facilities.

Community Care Licensed Facilities

Community Care Facilities (CCFs) are licensed by the State of California, Department of Social Services, Community Care Licensing Division to provide 24-hour non-medical residential care to children and adults with developmental disabilities who are in need of personal services, supervision, and/or assistance essential for self-protection or sustaining the activities of daily living. CCFs are funded by regional centers. Based upon the types of services provided and the persons served, each CCF vendored by a regional center is designated one of the following service levels:

SERVICE LEVEL 1: Limited care and supervision for persons with self-care skills and no behavior problems.
SERVICE LEVEL 2: Care, supervision, and incidental training for persons with some self-care skills and no major behavior problems.
SERVICE LEVEL 3: Care, supervision, and ongoing training for persons with significant deficits in self-help skills, and/or some limitations in physical coordination and mobility, and/or disruptive or self-injurious behavior.
SERVICE LEVEL 4: Care, supervision, and professionally supervised training for persons with deficits in self-help skills, and/or severe impairment in physical coordination and mobility, and/or severely disruptive or self-injurious behavior. Service Level 4 is subdivided into Levels 4A through 4I, in which staffing levels are increased to correspond to the escalating severity of disability levels.

Operations Report, Fiscal Year 2012-13

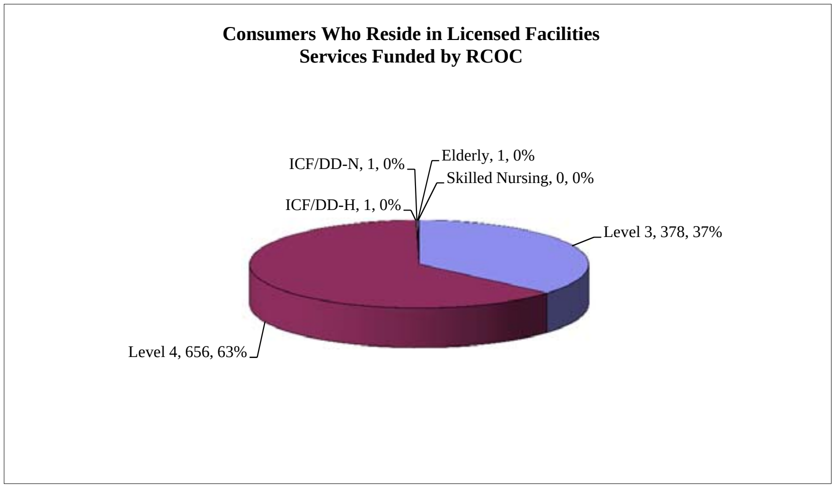
LIVING OPTIONS continued

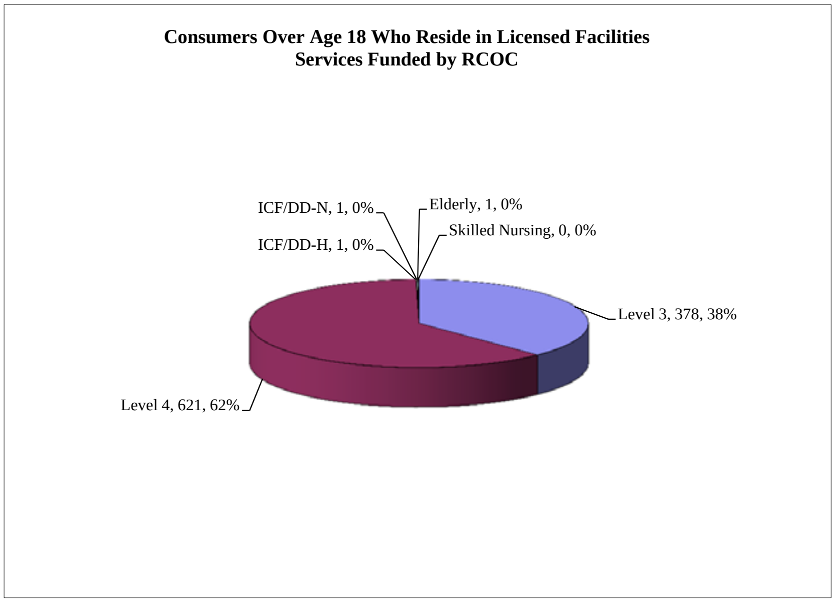
As of May 31, 2013

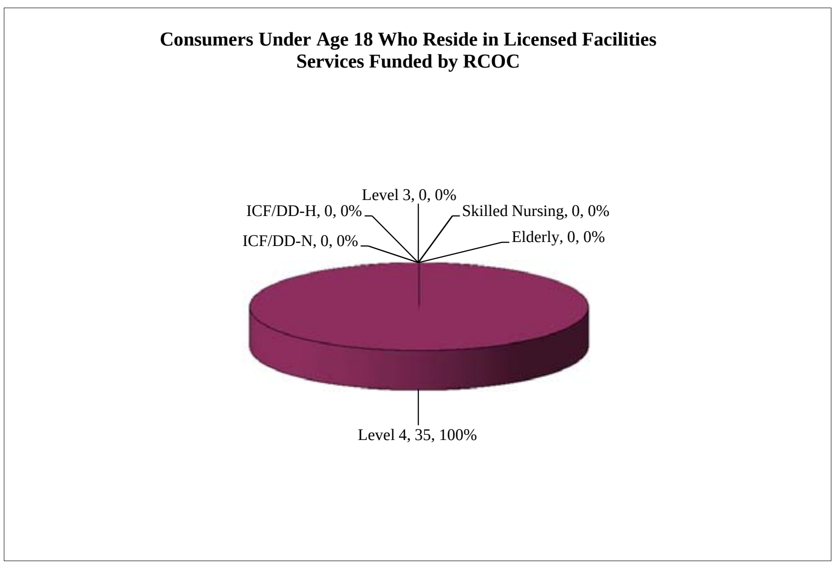
Consumers Who Reside in Licensed Facilities, Services Funded by RCOC

Licensed Facilities	Total	Over 18	Under 18
Level 2	493	493	0
Level 3	378	378	0
Level 4A	44	44	0
Level 4B	5	5	0
Level 4C	41	41	0
Level 4D	49	49	0
Level 4E	40	40	0
Level 4F	85	85	0
Level 4G	30	30	0
Level 4H	14	14	0
Level 4I	348	313	35
Elderly	1	1	0
ICF/DD-H	1	1	0
ICF/DD-N	1	1	0
ICF/DD	0	0	0
Skilled Nursing	0	0	0
Total	***1,530***	***1,495***	***35***

Licensed Facilities Summary	Total	Over 18	Under 18
Level 2	493	493	0
Level 3	378	378	0
Level 4	656	621	35
ICF/DD-H	1	1	0
ICF/DD-N	1	1	0
Elderly	1	1	0
Skilled Nursing	0	0	0
Total	***1,530***	***1,495***	***35***


Consumers Who Reside in Licensed Facilities
Services Funded by RCOC
ICF/DD-N, 1, 0%
Elderly, 1, 0%
Skilled Nursing, 0, 0%
ICF/DD-H, 1, 0%
Level 3, 378, 37%
Level 4, 656, 63%


Consumers Over Age 18 Who Reside in Licensed Facilities
Services Funded by RCOC
ICF/DD-N, 1, 0%
Elderly, 1, 0%
Skilled Nursing, 0, 0%
ICF/DD-H, 1, 0%
Level 3, 378, 38%
Level 4, 621, 62%


Consumers Under Age 18 Who Reside in Licensed Facilities
Services Funded by RCOC
Level 3, 0, 0%
ICF/DD-H, 0, 0%
Skilled Nursing, 0, 0%
ICF/DD-N, 0, 0%
Elderly, 0, 0%
Level 4, 35, 100%

Operations Report, Fiscal Year 2012-13

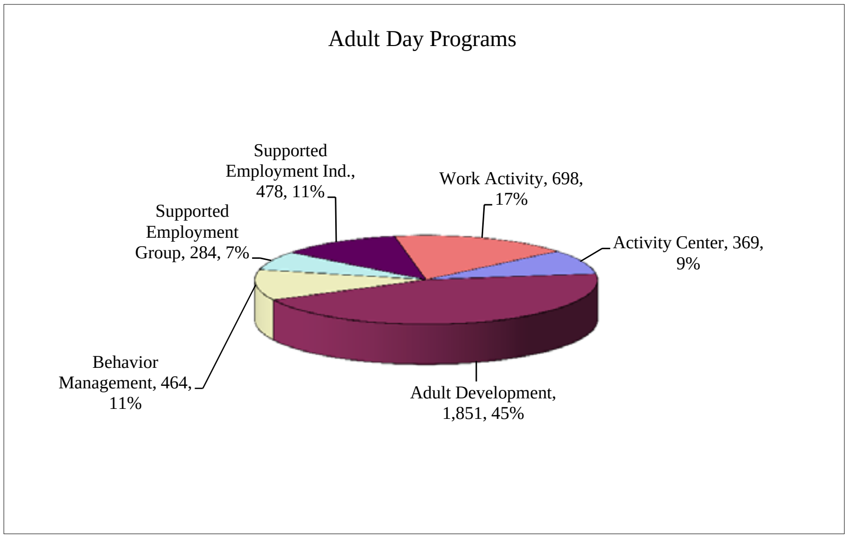
- WORK

Guiding Principle

Consumers have the opportunity and support to work in employment settings that are meaningful to them, that are valued by the community, and in which they are appropriately compensated.

As of May 31, 2013

	Consumers Over 18
Activity Center	369
Adult Development	1,851
Behavior Management	464
Supported Employment Group	284
Supported Employment Ind.	478
Work Activity	698
Total	***4,144***



Definitions:

Activity Center means a day program that serves adults who generally have acquired most basic self-care skills, have some ability to interact with others, are able to make their needs known, and respond to instructions. Activity center programs focus on the development and maintenance of the functional skills required for self-advocacy, community integration and employment.

Adult Development Center means a day program that serves adults who are in the process of acquiring self-help skills. Individuals who attend adult development centers generally need sustained support and direction in developing the ability to interact with others, to make their needs known, and to respond to instructions. Adult development center programs focus on the development and maintenance of the functional skills required for self-advocacy, community integration, employment, and self-care.

Behavior Management Program means a day program that serves adults with severe behavior disorders and/or dual diagnosis who, because of their behavior problems, are not eligible for or acceptable in any other community-based day program.

Supported Employment Program means a program that meets the requirements of the term supported employment, i.e. services that are provided by a job coach in order to support and maintain an individual with developmental disabilities in employment, and of the terms, integrated work, supported employment placement, allowable supported employment services, group and individualized services.

Work Activity Program includes, but is not limited to, Work Activity centers or settings that provide support to consumers engaged in paid work and have demonstrated that the program is in compliance with Department of Rehabilitation certification standards or are accredited by CARF.

REGIONAL CENTER
OF ORANGE COUNTY

Operations Report, Fiscal Year 2012-13

- SERVICE PLANNING AND COORDINATION

Guiding Principle

Service Coordinators are caring and are knowledgeable and competent in service planning, coordination and resources.

Service planning and coordination is based on the understanding that consumers and families know what services and supports they need.

Person-centered planning is based upon choices and preferences and the identification of generic services and natural supports.

Services and supports assist consumers and their families to develop functional support networks, leading to reduced dependence on paid supports.

Services and supports are sensitive to the diverse religious, cultural, language, socioeconomic and ethnic characteristics of their community.

July through December	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Number of Service Coordinators (SC)	251.0	250.0	249.0	248.0	246.0	246.0
Number of Case-carrying SCs	225.0	224.0	223.0	222.0	220.0	220.0
Number of Intake SCs	24.0	24.0	24.0	24.0	24.0	24.0
Number of State Developmental Center SCs	2.0	2.0	2.0	2.0	2.0	2.0
Number of Active Consumers	17,166	17,216	17,221	17,164	17,141	17,118
Caseload Ratio, Number of Active Consumers/SCs	76.3	76.9	77.2	77.3	77.9	77.8

January through June	Jan.	Feb.	Mar.	Apr.	May	June
Number of Service Coordinators (SC)	243.0	243.0	244.0	243.0	240.0	
Number of Case-carrying SCs	217.0	217.0	218.0	217	214.0	
Number of Intake SCs	24.0	24.0	24.0	24.0	24.0	
Number of State Developmental Center SCs	2.0	2.0	2.0	2.0	2.0	
Number of Active Consumers	17,135	17,082	17,111	17,191	17,233	
Caseload Ratio, Number of Active Consumers/SCs	79.0	78.7	78.5	79.2	80.5	

Operations Report, Fiscal Year 2012-13

- SERVICE PLANNING AND COORDINATION continued

Fair Hearing Monthly Data Summary

	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	June
Number of Unsettled Hearing Requests	**23**	**24**	**35**	**39**	**30**	**26**	**28**	**20**	**28**	**25**	**14**	
Hearing Issues*												
Eligibility	13	10	12	12	9	13	16	13	17	3	8	
Behavioral services	3	4	12	17	15	7	8	3	9	7	3	
Respite	1	2	2	2	1	1	1	1	1	1	1	
Day Care	1	1	0	0	0	0	0	0	0	0	0	
Social/Recreational	0	0	0	0	0	0	0	0	0	0	0	
Personal Assistant	1	1	1	0	1	0	3	1	1	0	0	
Other	3	8	8	10	**7**	3	3	2	0	0	0	
Number of New Hearing Requests Filed	**4**	**12**	**20**	**12**	**16**	**12**	**12**	**3**	**21**	**4**	**4**	
New Hearing Issues*												
Eligibility - Lanternman	1	1	5	2	4	7	7	2	0	2	0	
Eligibility - Early Start	1	1	0	0	0	0	1	0	10	0	2	
Behavioral services	0	3	8	6	7	3	3	1	2	2	0	
Respite	0	0	1	0	0	0	0	0	7	0	0	
Day Care	0	0	0	0	0	0	0	0	0	0	1	
Social/Recreational	0	0	0	0	0	0	0	0	1	0	0	
Personal Assistant	1	0	0	0	1	1	0	0	0	0	0	
Other	1	7	6	4	4	1	1	0	0	0	0	
Number of Meetings Held	**6**	**10**	**11**	**10**	**5**	**7**	**8**	**8**	**7**	**8**	**2**	
Number of Informal Meetings Held	5	3	7	8	3	6	4	7	5	7	2	
Number of Mediations Held	1	6	3	2	1	0	3	1	2	1	0	
Number of SLFHs Held	0	1	1	0	1	1	1	0	0	0	0	
Number in Scheduling (i.e., meetings in process of being scheduled; meetings on schedule but not yet held; meetings scheduled but not held due to continuances)	**8**	**3**	**0**	**8**	**9**	**13**	**7**	**0**	**10**	**8**	**8**	
Number Pending (i.e., SLFH held but awaiting decision)	**0**	**0**	**1**	**0**	**16**	**0**	**1**	**1**	**0**	**0**	**0**	
Number Settled	**9**	**11**	**16**	**21**	**16**	**5**	**12**	**11**	**9**	**9**	**5**	
Withdrawn by Consumer/Family	2	0	0	4	11	0	4	2	2	0	3	
Settled in Informal	2	1	3	2	1	4	2	4	1	5	0	
Settled after further follow-up by RCOC staff	4	4	1	12	4	0	4	5	3	3	1	
Settled in Mediation	1	5	3	1	0	0	2	0	2	1	1	
SLFH Decision	0	1	0	2	0	1	0	0	1	0	0	
SLFH Decision Results												
Consumer/Family	0	0	0	1	0	0	0	0	0	0	0	
RCOC	0	1	0	1	0	1	0	0	1	0	0	
Split	0	0	0	0	0	0	0	0	0	0	0	

** Hearing Requests may list more than one issue so number of issues may equal more than number of hearing requests.*

REGIONAL CENTER OF ORANGE COUNTY

Operations Report, Fiscal Year 2012-13

- ADMINISTRATION AND GOVERNANCE

Guiding Principle

The Regional Center will maximize all alternative sources of funding for necessary services and supports, including federal and generic funding.

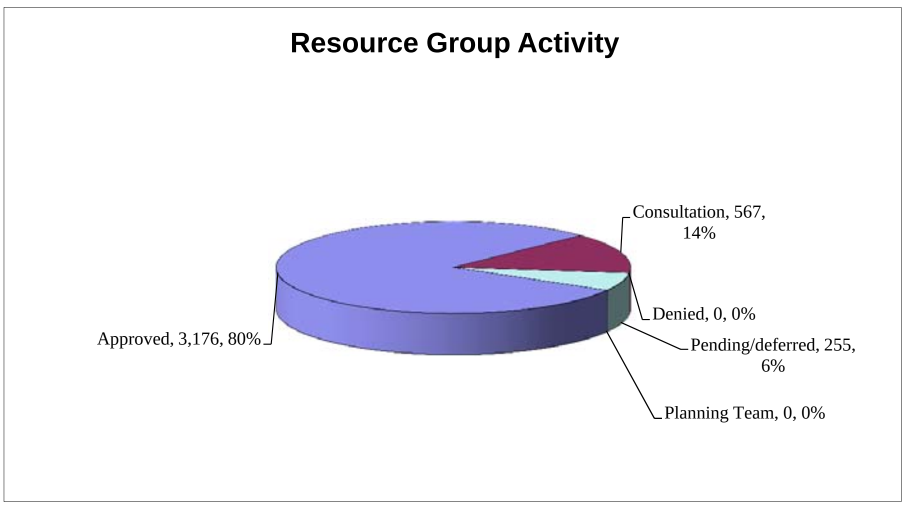
The public funds that support the service system are expended in a fashion that is cost-effective, consumer directed, consistent with good business practices, and that reflects careful stewardship.

The funding of services and supports to meet the needs of our consumers shall be based upon professional, qualified assessments conducted by the Regional Center or its designee(s).

Expenditures will reflect our principles.

Resource Group Activity for May 2013 and Fiscal Year to Date

Disposition	Adult Day	Behavioral	Education	Eligibility/ Health	Early Start	Living Options	Supported/ Ind. Living	All Others	Total	Fiscal Year 2012-13
Approved	441	545	10	350	728	170	227	705	3,176	29,294
Consultation	157	142	13	18	60	110	54	13	567	8,712
Denied	0	0	0	0	0	0	0	0	0	6
Pending/deferred	2	20	0	13	168	0	24	28	255	2,452
Planning Team	0	0	0	0	0	0	0	0	0	0
Total	600	707	23	381	956	280	305	746	3,998	40,464



Operations Report Summary - May 2013

Consumer Information	Early Start	Medicaid Waiver	All Other	State Develop-mental Center	Total	Under 18	Over 18
Number of Persons Served	2,434	6,020	8,802	0	**17,256**	8,376	8,880
Percentage of Total	*14%*	*35%*	*51%*	*0%*	***100%***	*49%*	*51%*

Children served in Prevention Resource and Referral Services	**201**		

Consumers by Residence Status	All	Under 18	Over 18	Special Incident Investigations	Year to Date
Family Home	13,371	8,195	5,176	AWOL	39
Community Care Facility	1,573	60	1,513	Abuse	114
State Developmental Center	0	0	0	Neglect	143
Family Home Agency	82	0	82	Injury	94
Foster Home	78	73	5	Hospitalizations - Total	417
Intermediate Care Facility	797	17	780	Death	140
Independent Living	761	0	761	Victim of crime	27
Supported Living	414	0	414	Arrest	28
Skilled Nursing	99	1	98	Rights	28
Other	81	30	51		
Total	***17,256***	***8,376***	***8,880***	***Total***	***1,030***

Number of Licensed Facilities	Total	Under 18	Over 18	Licensed Facility Monitoring	Year to Date
Community Care Facilities				Annual Review	264
Level 2	94	0	94	Unannounced	289
Level 3	63	1	62	Total Number of Reviews	553
Level 4	138	19	119	Provider Trainings	50
Total Community Care Facilities	***295***	***20***	***275***	Technical Support	936
				Corrective Action Plan	14
Intermediate Care Facilities (ICF)				***Number of Audits***	***42***
ICF-DD	1				
ICF-DD/Habilitation	84			***Amount of Recovery from Audits***	***$71,370***
ICF-DD/Nursing	35				
Total ICF Facilities	***120***				
Total Licensed Facilities	***415***				

Performance Contract Summary

RCOC 6/01/13	All	RCOC #	Goal	Percentage	# Attained
Developmental Center (DC)	17,315	101	100	0.58%	-1
Children in Foster Homes (FH)	8,341	74	120	0.89%	-46
Children Own Home Parent/Guardian	8,341	8,160	8500	97.83%	-340
Total # Children (FH,Parent/Guardian)	8,341	8,234	8,620	98.72%	-386
Adult FHA	8,873	82	95	0.92%	-13
Independent Living (IL)	8,873	766	780	8.63%	-14
Adults Residing Own Home - Parent	8,873	5,169	5,100	58.26%	69
Supported Living (SL)	8,873	410	417	4.62%	-7
Total # Adults (FHA, IL,Parent/Guardian, SL)	8,873	6,427	6,392	72.43%	35
Children Residing in a CCF (7+ beds)	8,341	1	1	0.01%	0
Children Residing in a ICF (7+ beds)	8,341	2	1	0.02%	-1
Children Residing in a Nursing Facility (7+ beds)	8,341	1	0	0.01%	-1
Total Children Residing in 7+ bed facilities	8,341	4	2	0.05%	-2
Adults Residing in a CCF (7+ beds)	8,873	136	136	1.53%	0
Adults Residing in a ICF (7+ beds)	8,873	117	108	1.32%	-9
Adults Residing in a Nursing Facility (7+ beds)	8,873	97	82	1.09%	-15
Total Adults Residing in 7+ bed facilities	8,873	350	326	3.94%	-24
Total Individuals Over Age 3 with <=120 days	178	177	100.00%	99.44%	-0.56%
Total Individuals Over Age 3 with 121-240 days	178	1	0.00%	0.56%	-0.56%
Total Individuals Over Age 3 Over 240 days	178	0	0.00%	0.00%	0.00%

REGIONAL CENTER OF ORANGE COUNTY

Performance Contract 2013 Cover Sheet

★ = Better than Statewide Average

Below Goal = Below Regional Center of Orange County Goal

Met Goal = Met Regional Center of Orange County Goal

Met or Exceeded Goal = Met or Exceeded Regional Center of Orange County Goal

Exceeded Goal = Exceeded Regional Center of Orange County Goal

There will be a variance between consumer data in the Operations Report and the Performance Contract. Consumer data for the Operations Report and the Performance Contract are produced on different dates and from different databases. The Operations Report numbers are based on RCOC's local database as of the end of the month. The Performance Contract numbers are based on RCOC's information as submitted to DDS on a different date.

Prepared by Jack Stanton 6/12/2013

REGIONAL CENTER OF ORANGE COUNTY

Performance Contract 2013

I. Developmental Center

A. Total number and % of regional center caseload in developmental centers

	Percentage	All consumers	Consumers in DC			
Statewide Average	0.67%	254,745	1,717			
RCOC Public Hearing 8/15/12	0.65%	17,279	112	Goal	%	# Attained
RCOC 6/01/13	0.58%	17,315	101	100	0.58%	-1
Analysis as of Public Hearing	RCOC % of DD population		6.78%	RCOC % of DC population	6.52%	

Planned Activities

Statement: The Regional Center of Orange County (RCOC) is committed to providing assistance to individuals and their families who choose to move from a state developmental center (SDC) into a less restrictive environment within their home communities.

Objective: RCOC will continue to seek new and innovative methods of utilizing available resources, developing non-existing resources, and creating and implementing transition plans that will allow individuals to establish themselves and participate successfully in their home community living arrangements.

• Implementation of Community Placement Plan for FYs 2012-2013 and 2013-2014.

Progress: In FY 2011/2012 RCOC has moved 12 consumers from the Developmental Centers into the community. During Public Meetings in August 2012, RCOC had 112 or 0.65% in Developmental Centers.

Number of Consumers Residing DCs

Below Goal

	Total Active Caseload	Goal	DC	%	Number Attained
Jan-13	17,208	100	104	0.60%	-4
Feb-13	17,185	100	103	0.60%	-3
Mar-13	17,208	100	103	0.60%	-3
Apr-13	17,291	100	102	0.59%	-2
May-13	17,315	100	101	0.58%	-1
Jun-13		100			
Jul-13		100			
Aug-13		100			
Sep-13		100			
Oct-13		100			
Nov-13		100			
Dec-13		100			

REGIONAL CENTER OF ORANGE COUNTY

Performance Contract 2013

II. Children Residing with Families (Child is defined as under 18 years of age).

Planned Activities

Statement: The Regional Center of Orange County ensures that children will reside with their families by providing the needed supports and services regardless of the severity of the child's disability.

Objectives: Service Coordinators continue to identify, publicize and facilitate access to supports and services for children with developmental disabilities who are considered at risk for out-of-home placement. RCOC will hold an annual presentation on supports for consumers including residential and vocational (day services) and other generic resources.

- Continue to assess current supports and services.
- RCOC will work with the Orange County community in an effort to support programs, training and services that are designed to provide equal access to child care for children with special needs (autism).
- Continue to develop innovative resources for children 0-3 years old (i.e., respite placement).
- RCOC will ensure that consumers are provided opportunities for safety awareness training through schools and other similar programs available.
- Review and revise services, e.g. respite and family support.
- RCOC will assure that families receive full information about the developmental needs of the consumer and services available.
- RCOC will assure that consumers and their caregivers receive complete assessments and have opportunity to ask questions, advocate, and access services. To be evaluated and monitored by a NCI survey of consumers and their caregivers.

Progress: A. During public meetings, RCOC had 100, or 1.16%, children caseload in foster homes.

A. Number and % of regional center children caseload in foster homes

	Percentage	All children consumers	Consumers in FH	Goal	%	# Attained
Statewide Average	2.14%	120,524	2,580			
RCOC Public Hearing 8/15/12	1.16%	8,646	100			
RCOC 6/01/13	0.89%	8,341	74	120	0.89%	-46

Analysis as of Public Hearing — RCOC % of DD population 7.17% — RCOC % of FH population 3.88%

Below Goal

	Total Children Status 1&2	Goal	Child Consumers in Foster Homes	%	Number Attained
Jan-13	8,357	120	86	1.03%	-34
Feb-13	8,285	120	77	0.93%	-43
Mar-13	8,313	120	77	0.93%	-43
Apr-13	8,359	120	73	0.87%	-47
May-13	8,341	120	74	0.89%	-46
Jun-13		120			
Jul-13		120			
Aug-13		120			
Sep-13		120			
Oct-13		120			
Nov-13		120			
Dec-13		120			

Progress: B. During public meetings, RCOC had 8,423, or 97.42%, of children caseload in own home-parent/guardian.

Number and % of regional center children caseload in own home-parent/guardian

	Percentage	All children consumers	Consumers in own home Parent/ Guardian			
Statewide Average	96.64%	120,524	116,471			
RCOC Public Hearing 8/15/12	97.42%	8,646	8,423	Goal	%	# Attained
RCOC 6/01/13	97.83%	8,341	8,160	8,500	97.83%	-340
Analysis as of Public Hearing	RCOC % of DD population		7.17%	RCOC % of FH population	7.23%	

Below Goal

	Total Children Status 1&2	Goal	Consumers in own home Parent/ Guardian	%	Number Attained
Jan-13	8,357	8,500	8,159	97.63%	-341
Feb-13	8,285	8,500	8,100	97.77%	-400
Mar-13	8,313	8,500	8,131	97.81%	-369
Apr-13	8,359	8,500	8,178	97.83%	-322
May-13	8,341	8,500	8,160	97.83%	-340
Jun-13		8,500			
Jul-13		8,500			
Aug-13		8,500			
Sep-13		8,500			
Oct-13		8,500			
Nov-13		8,500			
Dec-13		8,500			

Progress: C. During public meetings, RCOC had 8,523, or 98.58%, of children caseload in homes.

Total number and % of regional center children caseload in

	Percentage	All children consumers	Total Number Children Consumers in Homes			
Statewide Average	98.78%	120,524	119,051			
RCOC Public Hearing 8/15/12	98.58%	8,646	8,523	Goal	%	# Attained
RCOC 6/01/13	98.72%	8,341	8,234	8,620	98.72%	-386
Analysis as of Public Hearing	RCOC % of DD population		7.17%	RCOC % of FH population		7.16%

Below Goal

	Total Children Status 1&2	Goal	Total Number Children Consumers in Homes	%	Number Attained
Jan-13	8,357	8,620	8,245	98.66%	-375
Feb-13	8,285	8,620	8,177	98.70%	-443
Mar-13	8,313	8,620	8,208	98.74%	-412
Apr-13	8,359	8,620	8,251	98.71%	-369
May-13	8,341	8,620	8,234	98.72%	-386
Jun-13		8,620			
Jul-13		8,620			
Aug-13		8,620			
Sep-13		8,620			
Oct-13		8,620			
Nov-13		8,620			
Dec-13		8,620			

Performance Contract 2013

III. Adults Residing in Home Settings

Planned Activities

Statement: RCOC works with consumers and their caregivers and advocates to empower and enable them to assert the consumer's rights to determine and control the living arrangements of their choice. This may include owning, renting, or leasing the home where the consumer resides.

Objective: Using the Person Centered Individual Program Planning process, Service Coordinators will continue to identify regional center adult consumers who have the hopes and desires to live in a new living arrangement. Cases are reviewed at least annually for the least restrictive environment.

- RCOC will provide service coordinator training to assist families in establishing maintenance plans in the event of temporary caregiver illness/incapacity and for eventual transition plans.
- RCOC will request vendors to include successionary maintenance and transitional plans in the event of temporary illness/incapacity and transfer of ownership in their Program Design.
- RCOC will ensure that consumers are provided opportunities for safety awareness training on a regular and as needed basis.
- Review and revise services, e.g. respite and family support.
- RCOC will assure that consumers and their caregivers receive complete assessments and have opportunity to ask questions, advocate, and access services. To be evaluated and monitored by a NCI survey of consumers and their caregivers.

Progress: A. During public meetings, RCOC had 84, or 0.99%, of adult caseload residing in Adult FHA.

A. Total number and % of regional center adult caseload residing in Adult FHA

	Percentage	Total Adult consumers status 2	Consumers in Adult FHA			
Statewide Average	0.76%	132,504	1,013			
RCOC Public Hearing 8/15/12	0.99%	8,521	84	Goal	%	# Attained
RCOC 6/01/13	0.92%	8,873	82	95	0.92%	-13
Analysis as of Public Hearing	RCOC % of DD population		6.43%	RCOC % of FH population		8.29%

Below Goal

	Total Adults Status 2	Goal	Consumers in Adult FHA	%	Number Attained
Jan-13	8,747	95	82	0.94%	-13
Feb-13	8,777	95	82	0.93%	-13
Mar-13	8,792	95	81	0.92%	-14
Apr-13	8,830	95	82	0.93%	-13
May-13	8,873	95	82	0.92%	-13
Jun-13		95			
Jul-13		95			
Aug-13		95			
Sep-13		95			
Oct-13		95			
Nov-13		95			
Dec-13		95			

Progress: B. During public meetings, RCOC had 752, or 8.83%, of adult caseload residing in independent living.

Total number and % of regional center adult caseload residing in independent living

	Percentage	Total Adult consumers status 2	Consumers in Independent Living	Goal	%	# Attained
Statewide Average	11.84%	132,504	15,686			
RCOC Public Hearing 8/15/12	8.83%	8,521	752			
RCOC 6/01/13	8.63%	8,873	766	780	8.63%	-14
Analysis as of Public Hearing	RCOC % of DD population		6.43%	RCOC % of FH population		4.79%

Below Goal

	Total Adults Status 2	Goal	Consumers in Independent Living	%	Number Attained
Jan-13	8,747	780	760	8.69%	-20
Feb-13	8,777	780	765	8.72%	-15
Mar-13	8,792	780	760	8.64%	-20
Apr-13	8,830	780	766	8.67%	-14
May-13	8,873	780	766	8.63%	-14
Jun-13		780			
Jul-13		780			
Aug-13		780			
Sep-13		780			
Oct-13		780			
Nov-13		780			
Dec-13		780			

Progress: C. During public meetings, RCOC had 4,861, or 57.05%, of adult caseload residing in own home-parent.

Total number and % of regional center adult caseload residing in own home-parent

	Percentage	Total Adult consumers status 2	Consumers Residing Own Home - Parent	Goal	%	# Attained
Statewide Average	57.09%	132,504	75,649			
RCOC Public Hearing 8/15/12	57.05%	8,521	4,861			
RCOC 6/01/13	58.26%	8,873	5,169	5,100	58.26%	69
Analysis as of Public Hearing	RCOC % of DD population		6.43%	RCOC % of FH population		6.43%

Met Goal

	Total Adults Status 2	Goal	Consumers Residing Own Home - Parent	%	Number Attained
Jan-13	8,747	5,100	5,063	57.88%	-37
Feb-13	8,777	5,100	5,087	57.96%	-13
Mar-13	8,792	5,100	5,102	58.03%	2
Apr-13	8,830	5,100	5,135	58.15%	35
May-13	8,873	5,100	5,169	58.26%	69
Jun-13		5,100			
Jul-13		5,100			
Aug-13		5,100			
Sep-13		5,100			
Oct-13		5,100			
Nov-13		5,100			
Dec-13		5,100			

Progress: D. During public meetings, RCOC had 398, or 4.67%, of adult caseload residing in supported living.

Total number and % of regional center adult caseload residing in supported living

	Percentage	Total Adult consumers status 2	Consumers Residing Supported Living			
Statewide Average	5.59%	132,504	7,409			
RCOC Public Hearing 8/15/12	4.67%	8,521	398	Goal	%	# Attained
RCOC 6/01/13	4.62%	8,873	410	417	4.62%	-7
Analysis as of Public Hearing	RCOC % of DD population		6.43%	RCOC % of FH population		5.37%

Below Goal

	Total Adults Status 2	Goal	Consumers Residing Supported Living	%	Number Attained
Jan-13	8,747	417	402	4.60%	-15
Feb-13	8,777	417	404	4.60%	-13
Mar-13	8,792	417	405	4.61%	-12
Apr-13	8,830	417	406	4.60%	-11
May-13	8,873	417	410	4.62%	-7
Jun-13		417			
Jul-13		417			
Aug-13		417			
Sep-13		417			
Oct-13		417			
Nov-13		417			
Dec-13		417			

Progress: E. During public meetings, RCOC had 6094, or 71.52%, of adult caseload residing in home-settings.

Total number and % of regional center adults in home settings
(This is a total of sections A, B, C and D above).

	Percentage	Total Adult consumers status 2	Total Number Consumers Home Settings			
Statewide Average	71.45%	132,504	94,672			
RCOC Public Hearing 8/15/12	71.52%	8,521	6,094	Goal	%	# Attained
RCOC 6/01/13	72.43%	8,873	6,427	6,392	72.43%	35
Analysis as of Public Hearing	RCOC % of DD population		6.43%	RCOC % of FH population	6.44%	

Met Goal

	Total Adults Status 2	Goal	Total Number Consumers Home Settings	%	Number Attained
Jan-13	8,747	6,392	6,307	72.10%	-85
Feb-13	8,777	6,392	6,338	72.21%	-54
Mar-13	8,792	6,392	6,348	72.20%	-44
Apr-13	8,830	6,392	6,389	72.36%	-3
May-13	8,873	6,392	6,427	72.43%	35
Jun-13		6,392			
Jul-13		6,392			
Aug-13		6,392			
Sep-13		6,392			
Oct-13		6,392			
Nov-13		6,392			
Dec-13		6,392			

Performance Contract 2013

IV. Children Residing in Facilities with Seven or More Beds (Excluding DCs)

Planned Activities

Statement: RCOC provides for the needs of children with medical issues or challenging behaviors in seven or greater bed facilities for time limited periods when smaller facilities cannot meet needs.

Objective: RCOC will place only those children with medical issues or challenging behaviors in seven or greater bed facilities.

• RCOC will continue seeking appropriate placement in smaller facilities for these children and to support creative services and supports which would allow placement in existing small facilities, as well as development of new small facilities as needed, utilizing appropriate services and supports to ensure success for these consumers.

• RCOC will adhere to Trailer Bill Language relating to the use of larger facilities to insure the least restrictive environment is supported.

Progress: A. During public meetings, RCOC had 5, or 0.06%, of children caseload residing in a CCF (7+ beds). Placements to 7+ bed CCF facilities are at family request and/or due to specialized services.

A. Total number and % of regional center children caseload residing in a CCF (7+ beds)

	Percentage	Total Children consumers status 1 & 2	Children Residing in a CCF (7+ beds)	Goal	%	# Attained
Statewide Average	0.04%	120,524	46			
RCOC Public Hearing 8/15/12	0.06%	8,646	5			
RCOC 6/01/13	0.01%	8,341	1	1	0.01%	0
Analysis as of Public Hearing	RCOC % of DD population		7.17%	RCOC % of FH population		10.87%

Met Goal

	Total Children consumers status 1&2	Goal	Children Residing in a CCF (7+ beds)	%	Number Attained
Jan-13	8,357	1	2	0.02%	-1
Feb-13	8,285	1	1	0.01%	0
Mar-13	8,313	1	1	0.01%	0
Apr-13	8,359	1	2	0.02%	-1
May-13	8,341	1	1	0.01%	0
Jun-13		1			
Jul-13		1			
Aug-13		1			
Sep-13		1			
Oct-13		1			
Nov-13		1			
Dec-13		1			

Progress: B. During public meetings, RCOC had 2, or 0.02%, of children caseload residing in an ICF (7+ beds). Placements to 7+ bed ICF facilities are at family request and/or due to specialized services.

Total number and % of regional center children caseload residing in an ICF (7+ beds)

	Percentage	Total Children consumers status 1 & 2	Children Residing in a ICF (7+ beds)			
Statewide Average	0.04%	120,524	46			
RCOC Public Hearing 8/15/12	0.02%	8,646	2	Goal	%	# Attained
RCOC 6/01/13	0.02%	8,341	2	1	0.02%	-1
Analysis as of Public Hearing	RCOC % of DD population		7.17%	RCOC % of FH population		4.35%

Below Goal

	Total Children consumers status 1&2	Goal	Children Residing in a ICF (7+ beds)	%	Number Attained
Jan-13	8,357	1	2	0.02%	-1
Feb-13	8,285	1	2	0.02%	-1
Mar-13	8,313	1	2	0.02%	-1
Apr-13	8,359	1	2	0.02%	-1
May-13	8,341	1	2	0.02%	-1
Jun-13		1			
Jul-13		1			
Aug-13		1			
Sep-13		1			
Oct-13		1			
Nov-13		1			
Dec-13		1			

Progress: C. During public meetings, RCOC had 0, or 0.00%, of children caseload residing in a nursing facility. Placements to nursing facilities are at family request and/or due to specialized services.

Total number and % of regional center children caseload residing in a nursing facility

	Percentage	Total Children consumers status 1 & 2	Children Residing in a Nursing Facility (7+ beds)	Goal	%	# Attained
Statewide Average	0.01%	120,524	10			
RCOC Public Hearing 8/15/12	0.00%	8,646	0			
RCOC 6/01/13	0.01%	8,341	1	0	0.01%	-1
Analysis as of Public Hearing	RCOC % of DD population		7.17%	RCOC % of FH population	0.00%	

Below Goal

	Total Children consumers status 1&2	Goal	Children Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-13	8,357	0	0	0.00%	0
Feb-13	8,285	0	0	0.00%	0
Mar-13	8,313	0	0	0.00%	0
Apr-13	8,359	0	1	0.01%	-1
May-13	8,341	0	1	0.01%	-1
Jun-13		0			
Jul-13		0			
Aug-13		0			
Sep-13		0			
Oct-13		0			
Nov-13		0			
Dec-13		0			

Progress: D. During public meetings, RCOC had 7, or 0.08%, of children caseload residing in a facility with 7+ beds. Placements to 7+ bed facilities are at family request and/or due to specialized services.

Total number and % of regional center children caseload residing in a facility with 7+ beds (This is a total of sections A, B and C above).

	Percentage	Total Children consumers status 1 & 2	Total Children Residing in 7+ bed facilities	Goal	%	# Attained
Statewide Average	0.08%	120,524	102			
RCOC Public Hearing 8/15/12	0.08%	8,646	7			
RCOC 6/01/13	0.05%	8,341	4	2	0.05%	-2
Analysis as of Public Hearing	RCOC % of DD population		7.17%	RCOC % of FH population		6.86%

Below Goal

	Total Children consumers status 1&2	Goal	Total Children Residing in 7+ bed facilities	%	Number Attained
Jan-13	8,357	2	4	0.05%	-2
Feb-13	8,285	2	3	0.04%	-1
Mar-13	8,313	2	3	0.04%	-1
Apr-13	8,359	2	5	0.06%	-3
May-13	8,341	2	4	0.05%	-2
Jun-13		2			
Jul-13		2			
Aug-13		2			
Sep-13		2			
Oct-13		2			
Nov-13		2			
Dec-13		2			

Performance Contract 2013

V. Adults Residing in Facilities with Seven or More Beds (Excluding DCs)

Planned Activities

Statement: RCOC continues to ensure that individuals with developmental disabilities have more choices in living options regardless of the severity of their disability.

Objective: RCOC will place only those adults with medical issues or challenging behaviors in seven or greater bed facilities.

• RCOC will continue seeking appropriate placement in smaller facilities for these consumers and to support creative services and supports which would allow placement in existing small facilities, as well as development of new small facilities as needed, utilizing appropriate services and supports to ensure success for these consumers.

• RCOC will adhere to Trailer Bill Language relating to the use of larger residential facilities to insure the least restrictive environment is supported.

Progress: A. During public meetings, RCOC had 151, or 1.77%, of adult caseload residing in a CCF (7+ beds). Placements to 7+ bed facilities are at family request and/or due to specialized services. RCOC also has several long-term care providers with facilities in this category. RCOC will continue to work with these vendors to implement Trailer Bill Language regarding use of these programs.

A. Total number and % of regional center adult caseload residing in a CCF (7+ beds)

	Percentage	Total Adult consumers status 2	Adults Residing in a CCF (7+ beds)			
Statewide Average	1.69%	132,504	2,237			
RCOC Public Hearing 8/15/12	1.77%	8,521	151	Goal	%	# Attained
RCOC 6/01/13	1.53%	8,873	136	136	1.53%	0
Analysis as of Public Hearing	RCOC % of DD population		6.43%	RCOC % of FH population	6.75%	

Met Goal

	Total Adults Status 2	Goal	Adults Residing in a CCF (7+ beds)	%	Number Attained
Jan-13	8,747	136	149	1.70%	-13
Feb-13	8,777	136	144	1.64%	-8
Mar-13	8,792	136	137	1.56%	-1
Apr-13	8,830	136	137	1.55%	-1
May-13	8,873	136	136	1.53%	0
Jun-13		136			
Jul-13		136			
Aug-13		136			
Sep-13		136			
Oct-13		136			
Nov-13		136			
Dec-13		136			

Progress: B. During public meetings, RCOC had 122, or 1.43%, of adult caseload residing in an ICF (7+ beds). Placements to 7+ bed facilities are at family request and/or due to specialized services.

Total number and % of regional center adult caseload residing in an ICF (7+ beds)

	Percentage	Total Adult consumers status 2	Adults Residing in a ICF (7+ beds)			
Statewide Average	0.85%	132,504	1,120			
RCOC Public Hearing 8/15/12	1.43%	8,521	122	Goal	%	# Attained
RCOC 6/01/13	1.32%	8,873	117	108	1.32%	-9
Analysis as of Public Hearing	RCOC % of DD population		6.43%	RCOC % of FH population		10.89%

Below Goal

	Total Adults Status 2	Goal	Adults Residing in a ICF (7+ beds)	%	Number Attained
Jan-13	8,747	108	121	1.38%	-13
Feb-13	8,777	108	119	1.36%	-11
Mar-13	8,792	108	116	1.32%	-8
Apr-13	8,830	108	117	1.33%	-9
May-13	8,873	108	117	1.32%	-9
Jun-13		108			
Jul-13		108			
Aug-13		108			
Sep-13		108			
Oct-13		108			
Nov-13		108			
Dec-13		108			

Progress: C. During public meetings, RCOC had 90, or 1.06%, of adult caseload residing in a nursing facility. Placements to nursing facilities are at family request and/or due to specialized services.

Total number and % of regional center adult caseload residing in a nursing facility

	Percentage	Total Adult consumers status 2	Adults Residing in a Nursing Facility (7+ beds)			
Statewide Average	0.87%	132,504	1,147			
RCOC Public Hearing 8/15/12	1.06%	8,521	90	Goal	%	# Attained
RCOC 6/01/13	1.09%	8,873	97	82	1.09%	-15
Analysis as of Public Hearing	RCOC % of DD population		6.43%	RCOC % of FH population	7.85%	

Below Goal

	Total Adults Status 2	Goal	Adults Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-13	8,747	82	93	1.06%	-11
Feb-13	8,777	82	96	1.09%	-14
Mar-13	8,792	82	95	1.08%	-13
Apr-13	8,830	82	97	1.10%	-15
May-13	8,873	82	97	1.09%	-15
Jun-13		82			
Jul-13		82			
Aug-13		82			
Sep-13		82			
Oct-13		82			
Nov-13		82			
Dec-13		82			

Progress: D. During public meetings, RCOC had 363, or 4.26%, of adult caseload residing in a facility with 7+ beds. Placements to 7+ bed facilities are at family request and/or due to specialized services.

Total number and % of regional center adult caseload residing in a facility with 7+ beds

	Percentage	Total Adult consumers status 2	Total Adults Residing in 7+ bed facilities			
Statewide Average	3.40%	132,504	4,504			
RCOC Public Hearing 8/15/12	4.26%	8,521	363	Goal	%	# Attained
RCOC 6/01/13	3.94%	8,873	350	326	3.94%	-24
Analysis as of Public Hearing	RCOC % of DD population		6.43%	RCOC % of FH population		8.06%

Below Goal

	Total Adults Status 2	Goal	Total Adults Residing in 7+ bed facilities	%	Number Attained
Jan-13	8,747	326	363	4.15%	-37
Feb-13	8,777	326	359	4.09%	-33
Mar-13	8,792	326	348	3.96%	-22
Apr-13	8,830	326	351	3.98%	-25
May-13	8,873	326	350	3.94%	-24
Jun-13		326			
Jul-13		326			
Aug-13		326			
Sep-13		326			
Oct-13		326			
Nov-13		326			
Dec-13		326			

Performance Contract 2013

Planned Activities

Statement: Management and Service Coordinator staff receive a monthly report on the duration individuals ages 3 and over are in the intake process.

Objective: RCOC will continue to ensure that the duration of individuals ages 3 and over in the intake process is within mandated timeline.
• RCOC will provide consumers and their caregivers/advocates with initial information about developmental needs, and about the services and supports available, from within and outside

Progress: A. During public meetings, RCOC had 119, or 99.17%, of regional center individuals over age 3 with <=120 days.

A. Total number and % of regional center individuals over age 3 with <= 120 days

	Percentage	Total Number Individuals Age 3 or Over	Total Number Individuals Over Age 3 with <=120 days			
Statewide Average	98.83%	4,946	4,888			
Analysis as of Public Hearing	100.00%	139	139	Goal	%	# Attained
RCOC 6/1/2013	99.44%	178	177	100.00%	99.44%	-0.56%

Below Goal

	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with <=120 days	%	Number Attained
Jan-13	143	100.00%	143	100.00%	0.00%
Feb-13	142	100.00%	142	100.00%	0.00%
Mar-13	136	100.00%	136	100.00%	0.00%
Apr-13	153	100.00%	153	100.00%	0.00%
May-13	178	100.00%	177	99.44%	-0.56%
Jun-13		100.00%			
Jul-13		100.00%			
Aug-13		100.00%			
Sep-13		100.00%			
Oct-13		100.00%			
Nov-13		100.00%			
Dec-13		100.00%			

Progress: B. During public meetings, RCOC had 1, or 0.83%, of regional center individuals over age 3 with 121-240 days.

B. Total number and % of regional center individuals over age 3 with 121-240 days

	Percentage	Total Number Individuals Age 3 or Over	Total Number Individuals Over Age 3 with 121-240 days			
Statewide Average	1.13%	4,946	56			
Analysis as of Public Hearing	0.00%	139	0	Goal	%	# Attained
Statewide Average	0.56%	178	1	0.00%	0.56%	-0.56%

Below Goal

	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with 121-240 days	%	Number Attained
Jan-13	143	0.00%	0	0.00%	0.00%
Feb-13	142	0.00%	0	0.00%	0.00%
Mar-13	136	0.00%	0	0.00%	0.00%
Apr-13	153	0.00%	0	0.00%	0.00%
May-13	178	0.00%	1	0.56%	-0.56%
Jun-13		0.00%			
Jul-13		0.00%			
Aug-13		0.00%			
Sep-13		0.00%			
Oct-13		0.00%			
Nov-13		0.00%			
Dec-13		0.00%			

Progress: C. During public meetings, RCOC had 0, or 0.00%, of regional center individuals over age 3 with over 240 days.

C. Total number and % of regional center individuals over age 3 with over 240 days

	Percentage	Total Number Individuals Age 3 or Over	Total Number Individuals Over Age 3 Over 240 days	Goal	%	# Attained
Statewide Average	0.04%	4,946	2			
Analysis as of Public Hearing	0.00%	139	0			
Statewide Average	0.00%	178	0	0.00%	0.00%	0.00%

Met Goal

	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 Over 240 days	%	Number Attained
Jan-13	143	0.00%	0	0.00%	0.00%
Feb-13	142	0.00%	0	0.00%	0.00%
Mar-13	136	0.00%	0	0.00%	0.00%
Apr-13	153	0.00%	0	0.00%	0.00%
May-13	178	0.00%	0	0.00%	0.00%
Jun-13		0.00%			
Jul-13		0.00%			
Aug-13		0.00%			
Sep-13		0.00%			
Oct-13		0.00%			
Nov-13		0.00%			
Dec-13		0.00%			

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION___X___
ACTION/CONSENT_______
DISCUSSION_______
INFO ONLY_______

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Request for Waiver of Potential Conflict of Interest for Consuelo Castellon-Morales, Service Coordinator

BACKGROUND:

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

REASON FOR CURRENT ITEM:

Consuelo Castellon-Morales is a RCOC Service Coordinator. Ms. Castellon-Morales' brother-in-law has a financial interest in Regional Center operations by virtue of his role as a Job Coach with Project Independence, a RCOC provider. For this reason, Ms. Castellon-Morales appears to have a conflict of interest under the above discussed statute and regulations.

RCOC has developed a Conflict Resolution Plan to address any potential conflict of interest.

FISCAL IMPACT:

None

RECOMMENDATION:

That the Board approve the Request for Waiver of Potential Conflict of Interest for Consuelo Castellon-Morales, Service Coordinator.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
CONSUELO CASTELLON-MORALES – SERVICE COORDINATOR
REGIONAL CENTER OF ORANGE COUNTY**

I. Law Governing Conflicts of Interest

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.
>
> (b) Financial interest, as used in this section, includes any current or contingent ownership, equity, or security interest that could result directly or indirectly, in receiving a pecuniary gain or sustaining a pecuniary loss as a result of the interest in any of the following:
>
> (1) business entity worth two thousand dollars ($2,000) or more.
> (2) real or personal property worth two thousand dollars ($2,000) or more in fair market value.
> (3) stocks or bonds worth two thousand dollars ($2,000) or more.
> (4) intellectual property rights worth five hundred dollars ($500) or more.
> (5) sources of gross income aggregating five hundred dollars ($500) or more within prior 12 months.
> (6) future interests for compensation of five hundred dollars ($500) or more.
> (7) personal finances of two hundred fifty dollars ($250) or more.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

II. <u>Potential Conflict of Ms. Consuelo Castellon-Morales</u>

Consuelo Castellon-Morales is a Service Coordinator for the Regional Center of Orange County (hereinafter "RCOC" or "the Regional Center"). RCOC's Executive Director, Larry Landauer, confirms that Ms. Castellon-Morales is a loyal, effective, productive, and greatly valued employee.

Ms. Castellon-Morales' brother-in-law, Gregorio Morales, has a financial interest in Regional Center operations by virtue of his role as a Job Coach with Project Independence (hereinafter "PI"), a RCOC provider. For this reason, Ms. Castellon-Morales appears to have a conflict of interest under the above discussed statute and regulations.

This document constitutes a Disclosure of Potential Conflict, a Conflict Resolution Plan to eliminate any adverse consequences from this relationship, and a Request for Waiver of the conflict from DDS.

A. <u>Ms. Castellon-Morales' Position and Duties</u>

As a Service Coordinator, Ms. Castellon-Morales is responsible for a caseload of 53 Early Start consumers providing them with services that are funded at least in part by the Regional Center of Orange County. A copy of her job description is attached as **Exhibit A**.

Ms. Castellon-Morales has a caseload of children. She has no role or involvement whatsoever with any matter that might conceivably impact PI which serves adults.

Further, if any of Ms. Castellon-Morales' consumers require evaluation, planning or recommendations on a matter related to PI, North Area Supervisor, Jennifer Castle, will take on such matters. The RCOC Organization Chart is attached as **Exhibit B**. With the changes to be made in this Conflict Resolution Plan, no change in the chart will be necessary except that Jennifer Castle, North Area Supervisor, will be in the position held by Ms. Castellon-Morales with respect to matters involving PI.

B. <u>Gregorio Morales' Role at PI</u>

Ms. Castellon-Morales's brother-in-law, Gregorio Morales, is a Job Coach at PI, a vendor of the Regional Center. PI is a site and community based adult day and independent living program providing services to developmentally disabled consumers. PI's first service was vendored on July 1, 1990. PI has twelve (12) vendored programs and serves 542 developmentally disabled adults.

PI's total annual encumbrance through May 2013 was $7,538,791.

As a Job Coach, Mr. Morales' duties consist of serving individuals in the communities in which they live.

III. Conflict Resolution Plan

The Regional Center Executive Director and Board of Directors have concluded that Ms. Castellon-Morales provides great value to the consumers of RCOC. After consideration of the totality of the circumstances and a careful review of the facts, the Board of Directors and Executive Director believe it is in the best interests of the regional center to create and implement a Conflict Resolution Plan to eliminate any adverse consequences from this relationship and seek a waiver from DDS.

Ms. Castellon-Morales has no duties that relate to PI.

The Regional Center's and Ms. Castellon-Morales' suggested Conflict Resolution Plan of this potential conflict of interest is as follows:

Ms. Castellon-Morales will continue with her caseload of children.

1. Ms. Castellon-Morales will, in every conceivable manner, not interact with PI or those who do interact with PI.

2. Ms. Castellon-Morales will not participate in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding RCOC vendor PI.

3. Ms. Castellon-Morales will not review or participate in any discussions, recommendations, or decisions about Purchase of Service authorizations for this vendor.

4. Ms. Castellon-Morales will not review or in any way participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about this vendor.

5. Ms. Castellon-Morales will not create, review, or in any way participate in, any corrective action plans for this vendor.

6. Ms. Castellon-Morales will not participate in any discussions, recommendations, action, or resolution of any regarding complaints about this vendor.

7. The Regional Center and Ms. Castellon-Morales agree that Ms. Castellon-Morales will take no part in vendor appeals, or fair hearings involving PI.

8. The Regional Center and Ms. Castellon-Morales will ensure that Ms. Castellon-Morales will not access vendor files to PI either in their electronic or hard copy form.

9. Ms. Castellon-Morales will not be involved in the negotiation, discussion, obligation or commitment of RCOC to a course of action involving RCOC vendor PI.

10. Further, if Ms. Castellon-Morales has matters relating to PI, North Area Supervisor, Jennifer Castle, will take on such matters.

11. The RCOC management staff will be informed about this Conflict Resolution Plan, and they will be informed of the need to ensure that Ms. Castellon-Morales has no involvement whatsoever in any action or business whatsoever involving or affecting RCOC vendor PI.

12. RCOC will communicate to the employees Ms. Castellon-Morales' Conflict Resolution Plan and the need to ensure that Ms. Castellon-Morales plays no role whatsoever in any action involving or affecting RCOC vendor PI.

13. The RCOC Board of Directors has been informed of, and supports, this Conflict Resolution Plan and Request for Waiver of Potential Conflict of Interest.

IV. Request For Waiver

For the reasons provided above, and in accordance with the Conflict Resolution Plan set forth above, the Regional Center of Orange County hereby requests that DDS grant a waiver of the conflict in this matter.

Respectfully submitted,

By: ____
Consuelo Castellon-Morales, North Area Service Coordinator

Date: ____________________

By: ____
Jennifer Castle, North Area Supervisor

Date: ________________________

By: ____
Cheryl Kilcullen, North Area Manager

Date: ________________________

By: ____
Janis White, Chief Operating Officer

Date: ________________________

By: ____
Larry Landauer, Executive Director

Date: ___________________________

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION___X___
ACTION/CONSENT_______
DISCUSSION_______
INFO ONLY_______

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Request for Waiver of Potential Conflict of Interest for Jennifer Falatico McBride, Area Supervisor

BACKGROUND:

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

REASON FOR CURRENT ITEM:

Jennifer Falatico McBride is a RCOC Area Supervisor. Ms. Falatico McBride's brother has a financial interest in Regional Center operations by virtue of his role as an Administrative Assistant with Behavioral CUSP, LLC, a RCOC provider. For this reason, Ms. Falatico McBride appears to have a conflict of interest under the above discussed statute and regulations.

RCOC has developed a Conflict Resolution Plan to address any potential conflict of interest.

FISCAL IMPACT:

None

RECOMMENDATION:

That the Board approve the Request for Waiver of Potential Conflict of Interest for Jennifer Falatico McBride, Area Supervisor.

DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
JENNIFER FALATICO MCBRIDE – AREA SUPERVISOR
REGIONAL CENTER OF ORANGE COUNTY

I. Law Governing Conflicts of Interest

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.
>
> (b) Financial interest, as used in this section, includes any current or contingent ownership, equity, or security interest that could result directly or indirectly, in receiving a pecuniary gain or sustaining a pecuniary loss as a result of the interest in any of the following:
>
> (1) business entity worth two thousand dollars ($2,000) or more.
> (2) real or personal property worth two thousand dollars ($2,000) or more in fair market value.
> (3) stocks or bonds worth two thousand dollars ($2,000) or more.
> (4) intellectual property rights worth five hundred dollars ($500) or more.
> (5) sources of gross income aggregating five hundred dollars ($500) or more within prior 12 months.
> (6) future interests for compensation of five hundred dollars ($500) or more.
> (7) personal finances of two hundred fifty dollars ($250) or more.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

II. Potential Conflict of Ms. Jennifer Falatico McBride

Jennifer Falatico McBride is a Area Supervisor for the Regional Center of Orange County (hereinafter "RCOC" or "the Regional Center"). RCOC's Executive Director, Larry Landauer, confirms that Ms. Falatico McBride is a loyal, effective, productive, and greatly valued employee.

Ms. Falatico McBride's brother has a financial interest in Regional Center operations by virtue of his role as an Administrative Assistant with Behavioral CUSP, LLC (hereinafter "Behavioral CUSP"), a RCOC provider. For this reason, Ms. Falatico McBride appears to have a conflict of interest under the above discussed statute and regulations.

This document constitutes a Disclosure of Potential Conflict, a Conflict Resolution Plan to eliminate any adverse consequences from this relationship, and a Request for Waiver of the conflict from DDS.

A. Ms. Falatico McBride's Position and Duties

As a North Area Supervisor, Ms. Falatico McBride supervises approximately 14 Service Coordinators. A copy of her job description is attached as **Exhibit A**.

Ms. Falatico McBride would normally have, as part of her duties, the direct supervision of Service Coordinators and assisting them with existing or new programs such as Behavioral CUSP. Under the suggested Conflict Resolution Plan, however, Ms. Falatico McBride will have no role or involvement whatsoever with any matter that might conceivably impact the Behavioral CUSP program.

Further, if any employee under Ms. Falatico McBride's supervision requires supervision on a matter related to Behavioral CUSP, the North Area Manager, Cheryl Kilcullen, will take on such supervision. The RCOC Organization Chart is attached as **Exhibit B**. With the changes to be made in this Conflict Resolution Plan, no change in the chart will be necessary except that Cheryl Kilcullen, North Area Manager, will be in the position held by Ms. Falatico McBride for any supervision of employees with respect to matters involving Behavioral CUSP.

B. Frank Falatico's Role at Behavioral CUSP, LLC

Ms. Falatico McBride's brother, Frank Falatico, is an Administrative Assistant at Behavioral CUSP, a vendor of the Regional Center. Behavioral CUSP provides behavioral services for developmentally disabled consumers. The program was vendored on October 1, 2011 and serves three developmentally disabled consumers.

Behavioral CUSP's total annual encumbrance through May 2013 was $137,707.

As an Administrative Assistant, Mr. Falatico's duties consist of general office work, answering phones, filing paperwork and scheduling staff appointments.

III. Conflict Resolution Plan

The Regional Center Executive Director and Board of Directors have concluded that Ms. Falatico McBride provides great value to the consumers of RCOC. After consideration of the totality of the circumstances and a careful review of the facts, the Board of Directors and Executive Director believe it is in the best interests of the regional center to create and implement a Conflict Resolution Plan to eliminate any adverse consequences from this relationship and seek a waiver from DDS.

Ms. Falatico McBride's duties that relate to the Behavioral CUSP represent a small portion of the valuable work she performs for the regional center, and these duties can be easily delegated to other regional center management.

The Regional Center's and Ms. Falatico McBride's suggested Conflict Resolution Plan of this potential conflict of interest is as follows:

1. Ms. Falatico McBride will, in every conceivable manner, cease interacting with Behavioral CUSP or those who do interact with Behavioral CUSP.

2. Ms. Falatico McBride will not supervise any person she normally supervises with respect to any matter that could impact or involve Behavioral CUSP.

3. Ms. Falatico McBride will not participate in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding RCOC vendor Behavioral CUSP.

4. Ms. Falatico McBride will not review or participate in any discussions, recommendations, or decisions about Purchase of Service authorizations for this vendor.

5. Ms. Falatico McBride will not review or in any way participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about this vendor.

6. Ms. Falatico McBride will not create, review, or in any way participate in, any corrective action plans for this vendor.

7. Ms. Falatico McBride will not participate in any discussions, recommendations, action, or resolution of any regarding complaints about this vendor.

8. The Regional Center and Ms. Falatico McBride agree that Ms. Falatico McBride will take no part in vendor appeals, or fair hearings involving Behavioral CUSP.

9. The Regional Center and Ms. Falatico McBride will ensure that Ms. Falatico McBride will not access vendor files to Behavioral CUSP program either in their electronic or hard copy form.

10. Ms. Falatico McBride will not be involved in the negotiation, discussion, obligation or commitment of RCOC to a course of action involving RCOC vendor Behavioral CUSP.

11. Further, if any employee under Ms. Falatico McBride's supervision requires supervision on a matter related to Behavioral CUSP, North Area Manager, Cheryl Kilcullen, will take on such supervision.

12. The RCOC management staff will be informed about this Conflict Resolution Plan, and they will be informed of the need to ensure that Ms. Falatico McBride has no involvement whatsoever in any action or business whatsoever involving or affecting RCOC vendor Behavioral CUSP.

13. RCOC will communicate to the employees that Ms. Falatico McBride supervises and inform them of this Conflict Resolution Plan and the need to ensure that Ms. Falatico McBride plays no role whatsoever in any action involving or affecting RCOC vendor Behavioral CUSP.

14. These restrictions only apply to Behavioral CUSP, which is only one (1) of several hundred vendors with which Ms. Falatico McBride deals. The bulk of her duties with regard to those other vendors will remain unchanged, unless work for another vendor would in any way impact Behavioral CUSP. This amounts to a reassignment of a small portion of her duties and will not reduce the value and productivity that Ms. Falatico McBride provides to RCOC.

15. The RCOC Board of Directors has been informed of, and supports, this Conflict Resolution Plan and Request for Waiver of Potential Conflict of Interest.

IV. <u>Request For Waiver</u>

For the reasons provided above, and in accordance with the Conflict Resolution Plan set forth above, the Regional Center of Orange County hereby requests that DDS grant a waiver of the conflict in this matter.

Respectfully submitted,

By: ____
Jennifer Falatico McBride, North Area Supervisor

Date: ____________________

By: ____
Cheryl Kilcullen, North Area Manager

Date: ______________________________

By: ____
Janis White, Chief Operating Officer

Date: ______________________________

By: ____
Larry Landauer, Executive Director

Date: ______________________________

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION___X___
ACTION/CONSENT_______
DISCUSSION_______
INFO ONLY_______

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Request for Waiver of Potential Conflict of Interest for Dale Garcia, Training Supervisor

BACKGROUND:

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

(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 her position with the regional center or regional center governing board." (emphasis added)

REASON FOR CURRENT ITEM:

Dale Garcia is RCOC's Training Supervisor. Ms. Garcia's stepdaughter-in-law has a financial interest in Regional Center operations by virtue of her role as a Classroom Aide for the Garden Grove Unified School District, a RCOC provider. For this reason, Ms. Garcia appears to have a conflict of interest under the above discussed statute and regulations.

RCOC has developed a Conflict Resolution Plan to address any potential conflict of interest.

FISCAL IMPACT:

None

RECOMMENDATION:

That the Board approve the Request for Waiver of Potential Conflict of Interest for Dale Garcia, Training Supervisor.

DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
DALE GARCIA – TRAINING SUPERVISOR
REGIONAL CENTER OF ORANGE COUNTY

I. Law Governing Conflicts of Interest

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.
>
> (b) Financial interest, as used in this section, includes any current or contingent ownership, equity, or security interest that could result directly or indirectly, in receiving a pecuniary gain or sustaining a pecuniary loss as a result of the interest in any of the following:
>
> (1) business entity worth two thousand dollars ($2,000) or more.
> (2) real or personal property worth two thousand dollars ($2,000) or more in fair market value.
> (3) stocks or bonds worth two thousand dollars ($2,000) or more.
> (4) intellectual property rights worth five hundred dollars ($500) or more.
> (5) sources of gross income aggregating five hundred dollars ($500) or more within prior 12 months.
> (6) future interests for compensation of five hundred dollars ($500) or more.
> (7) personal finances of two hundred fifty dollars ($250) or more.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

II. Potential Conflict of Ms. Dale Garcia

Dale Garcia is the Training Supervisor for the Regional Center of Orange County (hereinafter "RCOC" or "the Regional Center"). RCOC's Executive Director, Larry Landauer, confirms that Ms. Garcia is a loyal, effective, productive, and greatly valued employee.

Ms. Garcia's stepdaughter-in-law has a financial interest in Regional Center operations by virtue of her role as a Classroom Aide for the Garden Grove Unified School District (hereinafter "GGUSD"), a RCOC provider. For this reason, Ms. Garcia appears to have a conflict of interest under the above discussed statute and regulations.

This document constitutes a Disclosure of Potential Conflict, a Conflict Resolution Plan to eliminate any adverse consequences from this relationship, and a Request for Waiver of the conflict from DDS.

A. Ms. Garcia's Position and Duties

As the Training Supervisor, Ms. Garcia is responsible for coordinating and conducting training for service coordinators. A copy of her job description is attached as **Exhibit A**. Ms. Garcia's primary duties are to develop, coordinate and conduct a case management training plan.

Ms. Garcia will have no role or involvement whatsoever with any matter that might conceivably impact GGUSD.

B. Tani Garcia's Role at GGUSD

Ms. Garcia's stepdaughter-in-law, Tani Garcia, is a Classroom Aide at GGUSD, a vendor of the Regional Center. GGUSD provides a community integrated training program servicing developmentally disabled consumers. The program was vendored on August 1, 2010, and serves 21 developmentally disabled consumers.

GGUSD's total annual encumbrance through May 2013 was $252,775.

As a Classroom Aide, Tani Garcia's duties consist of overseeing adult consumers in all aspects of the program's daily activities.

III. Conflict Resolution Plan

The Regional Center Executive Director and Board of Directors have concluded that Ms. Garcia provides great value to the consumers of RCOC. After consideration of the totality of the circumstances and a careful review of the facts, the Board of Directors and Executive Director believe it is in the best interests of the regional center to create and implement a Conflict Resolution Plan to eliminate any adverse consequences from this relationship and seek a waiver from DDS.

The Regional Center's and Ms. Garcia's suggested Conflict Resolution Plan of this potential conflict of interest is as follows:

Ms. Garcia is involved in case management training only. She does not make referrals nor is she involved in Purchase of Service authorizations.

1. Ms. Garcia will not interact with GGUSD or those employees who do interact with GGUSD.

2. Ms. Garcia will not participate in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding RCOC vendor GGUSD.

3. Ms. Garcia will not review or participate in any discussions, recommendations, or decisions about Purchase of Service authorizations for this vendor.

4. Ms. Garcia will not review or in any way participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about this vendor.

5. Ms. Garcia will not create, review, or in any way participate in, any corrective action plans for this vendor.

6. Ms. Garcia will not participate in any discussions, recommendations, action, or resolution of any regarding complaints about this vendor.

7. The Regional Center and Ms. Garcia agree that Ms. Garcia will take no part in vendor appeals, or fair hearings involving GGUSD.

8. The Regional Center and Ms. Garcia will ensure that Ms. Garcia will not access vendor files to GGUSD either in their electronic or hard copy form.

9. Ms. Garcia will not be involved in the negotiation, discussion, obligation or commitment of RCOC to a course of action involving RCOC vendor GGUSD.

10. Further, if Ms. Garcia has matters relating to GGUSD, Chief Operating Officer, Dr. Janis White, will take on such matters.

11. The RCOC management staff will be informed about this Conflict Resolution Plan, and they will be informed of the need to ensure that Ms. Garcia has no involvement whatsoever in any action or business whatsoever involving or affecting RCOC vendor GGUSD.

12. RCOC will communicate to the employees Ms. Garcia's Conflict Resolution Plan and the need to ensure that Ms. Garcia plays no role whatsoever in any action involving or affecting RCOC vendor GGUSD.

13. The RCOC Board of Directors has been informed of, and supports, this Conflict Resolution Plan and Request for Waiver of Potential Conflict of Interest.

IV. Request For Waiver

For the reasons provided above, and in accordance with the Conflict Resolution Plan set forth above, the Regional Center of Orange County hereby requests that DDS grant a waiver of the conflict in this matter.

Respectfully submitted,

By: ____
Dale Garcia, Training Supervisor

Date: ____________________

By: ____
Janis White, Chief Operating Officer

Date: ________________________

By: ____
Larry Landauer, Executive Director

Date: ________________________

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION___X___
ACTION/CONSENT_______
DISCUSSION_______
INFO ONLY_______

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Request for Waiver of Potential Conflict of Interest for Elizabeth Gomez, Service Coordinator

BACKGROUND:

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

REASON FOR CURRENT ITEM:

Elizabeth Gomez is a RCOC Service Coordinator. Ms. Gomez's domestic partner has a financial interest in Regional Center operations by virtue of her role as an Area Manager with Project Independence, a RCOC provider. For this reason, Ms. Gomez appears to have a conflict of interest under the above discussed statute and regulations.

RCOC has developed a Conflict Resolution Plan to address any potential conflict of interest.

FISCAL IMPACT:

None

RECOMMENDATION:

That the Board approve the Request for Waiver of Potential Conflict of Interest for Elizabeth Gomez, Service Coordinator.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
ELIZABETH GOMEZ – SERVICE COORDINATOR
REGIONAL CENTER OF ORANGE COUNTY**

I. Law Governing Conflicts of Interest

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.
>
> (b) Financial interest, as used in this section, includes any current or contingent ownership, equity, or security interest that could result directly or indirectly, in receiving a pecuniary gain or sustaining a pecuniary loss as a result of the interest in any of the following:
>
> (1) business entity worth two thousand dollars ($2,000) or more.
> (2) real or personal property worth two thousand dollars ($2,000) or more in fair market value.
> (3) stocks or bonds worth two thousand dollars ($2,000) or more.
> (4) intellectual property rights worth five hundred dollars ($500) or more.
> (5) sources of gross income aggregating five hundred dollars ($500) or more within prior 12 months.
> (6) future interests for compensation of five hundred dollars ($500) or more.
> (7) personal finances of two hundred fifty dollars ($250) or more.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

II. <u>Potential Conflict of Ms. Elizabeth Gomez</u>

Elizabeth Gomez is a North Area Service Coordinator for the Regional Center of Orange County (hereinafter "RCOC" or "the Regional Center"). RCOC's Executive Director, Larry Landauer, confirms that Ms. Gomez is a loyal, effective, productive, and greatly valued employee.

Ms. Gomez's domestic partner, Johanna Villa, has a financial interest in Regional Center operations by virtue of her role as an Area Manager with Project Independence (hereinafter "PI"), a RCOC provider. For this reason, Ms. Gomez appears to have a conflict of interest under the above discussed statute and regulations.

This document constitutes a Disclosure of Potential Conflict, a Conflict Resolution Plan to eliminate any adverse consequences from this relationship, and a Request for Waiver of the conflict from DDS.

A. <u>Ms. Gomez's Position and Duties</u>

As a Service Coordinator, Ms. Gomez is responsible for a caseload of 52 Early Start consumers providing them with services that are funded at least in part by the Regional Center of Orange County. A copy of her job description is attached as **Exhibit A**.

Ms. Gomez has a caseload of children. She has no role or involvement whatsoever with any matter that might conceivably impact PI which serves adults.

Further, if any of Ms. Gomez's consumers require evaluation, planning or recommendations on a matter related to PI, North Area Supervisor, Jennifer Castle, will take on such matters. The RCOC Organization Chart is attached as **Exhibit B**. With the changes to be made in this Conflict Resolution Plan, no change in the chart will be necessary except that Jennifer Castle, North Area Supervisor, will be in the position held by Ms. Gomez with respect to matters involving PI.

B. <u>Johanna Villa's Role at PI</u>

Ms. Gomez's domestic partner, Johanna Villa, is an Area Manager at PI, a vendor of the Regional Center. PI is a site and community based adult day and independent living program providing services to developmentally disabled consumers. PI's first service was vendored on July 1, 1990. PI has twelve (12) vendored programs and serves 542 developmentally disabled adults.

PI's total annual encumbrance through May 2013 was $7,538,791.

As an Area Manager, Ms. Villa's duties consist of supervision of activities of the day program team, including case management, service provision, employer/volunteer site relations and supervision of a team of program specialists.

III. Conflict Resolution Plan

The Regional Center Executive Director and Board of Directors have concluded that Ms. Gomez provides great value to the consumers of RCOC. After consideration of the totality of the circumstances and a careful review of the facts, the Board of Directors and Executive Director believe it is in the best interests of the regional center to create and implement a Conflict Resolution Plan to eliminate any adverse consequences from this relationship and seek a waiver from DDS.

Ms. Gomez has no duties that relate to PI.

The Regional Center's and Ms. Gomez's suggested Conflict Resolution Plan of this potential conflict of interest is as follows:

Ms. Gomez will continue with her caseload of children.

1. Ms. Gomez will, in every conceivable manner, cease interacting with PI or those who do interact with PI.

2. Ms. Gomez will not participate in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding RCOC vendor PI.

3. Ms. Gomez will not review or participate in any discussions, recommendations, or decisions about Purchase of Service authorizations for this vendor.

4. Ms. Gomez will not review or in any way participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about this vendor.

5. Ms. Gomez will not create, review, or in any way participate in, any corrective action plans for this vendor.

6. Ms. Gomez will not participate in any discussions, recommendations, action, or resolution of any regarding complaints about this vendor.

7. The Regional Center and Ms. Gomez agree that Ms. Gomez will take no part in vendor appeals, or fair hearings involving PI.

8. The Regional Center and Ms. Gomez will ensure that Ms. Gomez will not access vendor files to PI either in their electronic or hard copy form.

9. Ms. Gomez will not be involved in the negotiation, discussion, obligation or commitment of RCOC to a course of action involving RCOC vendor PI.

10. Further, if Ms. Gomez has matters relating to PI, North Area Supervisor, Jennifer Castle, will take on such matters.

11. The RCOC management staff will be informed about this Conflict Resolution Plan, and they will be informed of the need to ensure that Ms. Gomez has no involvement whatsoever in any action or business whatsoever involving or affecting RCOC vendor PI.

12. RCOC will communicate to the employees Ms. Gomez's Conflict Resolution Plan and the need to ensure that Ms. Gomez plays no role whatsoever in any action involving or affecting RCOC vendor PI.

13. The RCOC Board of Directors has been informed of, and supports, this Conflict Resolution Plan and Request for Waiver of Potential Conflict of Interest.

IV. <u>Request For Waiver</u>

For the reasons provided above, and in accordance with the Conflict Resolution Plan set forth above, the Regional Center of Orange County hereby requests that DDS grant a waiver of the conflict in this matter.

Respectfully submitted,

By: ____
Elizabeth Gomez, North Area Service Coordinator

Date: _________________________

By: ____
Jennifer Castle, North Area Supervisor

Date: _____________________________

By: ____
Cheryl Kilcullen, North Area Manager

Date: _____________________________

By: ____
Janis White, Chief Operating Officer

Date: _____________________________

By: ____
Larry Landauer, Executive Director

Date: ___________________________

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION___X___
ACTION/CONSENT_______
DISCUSSION_______
INFO ONLY_______

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Request for Waiver of Potential Conflict of Interest for Jaime Morales, Service Coordinator

BACKGROUND:

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

REASON FOR CURRENT ITEM:

Jaime Morales is an RCOC Service Coordinator. Mr. Morales' brother, Gregorio Morales, has a financial interest in Regional Center operations by virtue of his role as a Job Coach with Project Independence, a RCOC provider. For this reason, Mr. Morales appears to have a conflict of interest under the above discussed statute and regulations.

RCOC has developed a Conflict Resolution Plan to address any potential conflict of interest.

FISCAL IMPACT:

None

RECOMMENDATION:

That the Board approve the Request for Waiver of Potential Conflict of Interest for Jaime Morales, Service Coordinator.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
JAIME MORALES – SERVICE COORDINATOR
REGIONAL CENTER OF ORANGE COUNTY**

I. Law Governing Conflicts of Interest

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.
>
> (b) Financial interest, as used in this section, includes any current or contingent ownership, equity, or security interest that could result directly or indirectly, in receiving a pecuniary gain or sustaining a pecuniary loss as a result of the interest in any of the following:
>
> (1) business entity worth two thousand dollars ($2,000) or more.
> (2) real or personal property worth two thousand dollars ($2,000) or more in fair market value.
> (3) stocks or bonds worth two thousand dollars ($2,000) or more.
> (4) intellectual property rights worth five hundred dollars ($500) or more.
> (5) sources of gross income aggregating five hundred dollars ($500) or more within prior 12 months.
> (6) future interests for compensation of five hundred dollars ($500) or more.
> (7) personal finances of two hundred fifty dollars ($250) or more.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

II. Potential Conflict of Mr. Jaime Morales

Jaime Morales is a Service Coordinator for the Regional Center of Orange County (hereinafter "RCOC" or "the Regional Center"). RCOC's Executive Director, Larry Landauer, confirms that Mr. Morales is a loyal, effective, productive, and greatly valued employee.

Mr. Morales' brother has a financial interest in Regional Center operations by virtue of his role as a Job Coach with the Project Independence (hereinafter "PI"), a RCOC provider. For this reason, Mr. Morales appears to have a conflict of interest under the above discussed statute and regulations.

This document constitutes a Disclosure of Potential Conflict, a Conflict Resolution Plan to eliminate any adverse consequences from this relationship, and a Request for Waiver of the conflict from DDS.

A. Mr. Morales' Position and Duties

As a Service Coordinator, Mr. Morales is responsible for a caseload of 89 consumers providing them with services that are funded at least in part by the Regional Center of Orange County. A copy of his job description is attached as **Exhibit A**.

Mr. Morales would normally have, as part of his duties, case management and assisting consumers with services such as those provided by PI. Under the suggested Conflict Resolution Plan, however, Mr. Morales will have no role or involvement whatsoever with any matter that might conceivably impact PI.

Further, if any of Mr. Morales' consumers require evaluation, planning or recommendations on a matter related to PI, North Area Supervisor, Teresa de la Paz, will take on such matters. The RCOC Organization Chart is attached as **Exhibit B**. With the changes to be made in this Conflict Resolution Plan, no change in the chart will be necessary except that North Area Supervisor, Teresa de la Paz, will be in the position held by Mr. Morales with respect to matters involving PI.

B. Gregorio Morales' Role at PI

Mr. Morales' brother, Gregorio Morales, is a Job Coach at PI, a vendor of the Regional Center. PI is a site and community based adult day and independent living program providing services to developmentally disabled consumers. PI's first service was vendored on July 1, 1990. PI has twelve (12) vendored programs and serves 542 developmentally disabled adults.

PI's total annual encumbrance through May 2013 was $7,538,791.

As a Job Coach, Mr. Morales' duties consist of serving individuals in the communities in which they live.

III. Conflict Resolution Plan

The Regional Center Executive Director and Board of Directors have concluded that Mr. Morales provides great value to the consumers of RCOC. After consideration of the totality of the circumstances and a careful review of the facts, the Board of Directors and Executive Director believe it is in the best interests of the regional center to create and implement a Conflict Resolution Plan to eliminate any adverse consequences from this relationship and seek a waiver from DDS.

The Regional Center's and Mr. Morales' suggested Conflict Resolution Plan of this potential conflict of interest is as follows:

Mr. Morales' caseload will be changed from adults to children.

1. Mr. Morales will, in every conceivable manner, cease interacting with PI or those who do interact with PI.

2. Mr. Morales will not participate in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding RCOC vendor PI.

3. Mr. Morales will not review or participate in any discussions, recommendations, or decisions about Purchase of Service authorizations for this vendor.

4. Mr. Morales will not review or in any way participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about this vendor.

5. Mr. Morales will not create, review, or in any way participate in, any corrective action plans for this vendor.

6. Mr. Morales will not participate in any discussions, recommendations, action, or resolution of any regarding complaints about this vendor.

7. The Regional Center and Mr. Morales agree that Mr. Morales will take no part in vendor appeals, or fair hearings involving PI.

8. The Regional Center and Mr. Morales will ensure that Mr. Morales will not access vendor files to PI either in their electronic or hard copy form.

9. Mr. Morales will not be involved in the negotiation, discussion, obligation or commitment of RCOC to a course of action involving RCOC vendor PI.

10. Further, if Mr. Morales has matters relating to PI, North Area Supervisor, Teresa de la Paz, will take on such matters.

11. The RCOC management staff will be informed about this Conflict Resolution Plan, and they will be informed of the need to ensure that Mr. Morales has no involvement whatsoever in any action or business whatsoever involving or affecting RCOC vendor PI.

12. RCOC will communicate to the employees Mr. Morales' Conflict Resolution Plan and the need to ensure that Mr. Morales plays no role whatsoever in any action involving or affecting RCOC vendor PI.

13. The RCOC Board of Directors has been informed of, and supports, this Conflict Resolution Plan and Request for Waiver of Potential Conflict of Interest.

IV. <u>Request For Waiver</u>

For the reasons provided above, and in accordance with the Conflict Resolution Plan set forth above, the Regional Center of Orange County hereby requests that DDS grant a waiver of the conflict in this matter.

Respectfully submitted,

By: ____
Jaime Morales, North Area Service Coordinator

Date: ____________________

By: ____
Teresa de la Paz, North Area Supervisor

Date: ________________________

By: ____
Cheryl Kilcullen, North Area Manager

Date: ________________________

By: ____
Janis White, Chief Operating Officer

Date: ________________________

By: ____
Larry Landauer, Executive Director

Date: ___________________________

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION___X___
ACTION/CONSENT_______
DISCUSSION_______
INFO ONLY_______

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Request for Waiver of Potential Conflict of Interest for Jorge Morales, Service Coordinator

BACKGROUND:

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

(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 her position with the regional center or regional center governing board." (emphasis added)

REASON FOR CURRENT ITEM:

Jorge Morales is a RCOC Service Coordinator. Mr. Morales' brother has a financial interest in Regional Center operations by virtue of his role as a Job Coach with Project Independence, a RCOC provider. For this reason, Mr. Morales appears to have a conflict of interest under the above discussed statute and regulations.

RCOC has developed a Conflict Resolution Plan to address any potential conflict of interest.

FISCAL IMPACT:

None

RECOMMENDATION:

That the Board approve the Request for Waiver of Potential Conflict of Interest for Jorge Morales, Service Coordinator.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
JORGE MORALES – SERVICE COORDINATOR
REGIONAL CENTER OF ORANGE COUNTY**

I. <u>Law Governing Conflicts of Interest</u>

The prohibition against Regional Center employee conflicts of interest has its origin in section 4626 of the <u>Welfare & Institutions Code</u>. 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.
>
> (b) Financial interest, as used in this section, includes any current or contingent ownership, equity, or security interest that could result directly or indirectly, in receiving a pecuniary gain or sustaining a pecuniary loss as a result of the interest in any of the following:
>
> (1) business entity worth two thousand dollars ($2,000) or more.
> (2) real or personal property worth two thousand dollars ($2,000) or more in fair market value.
> (3) stocks or bonds worth two thousand dollars ($2,000) or more.
> (4) intellectual property rights worth five hundred dollars ($500) or more.
> (5) sources of gross income aggregating five hundred dollars ($500) or more within prior 12 months.
> (6) future interests for compensation of five hundred dollars ($500) or more.
> (7) personal finances of two hundred fifty dollars ($250) or more.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 <u>managed through a Conflict Resolution Plan,</u> or the individual shall resign his or her position with the regional center or regional center governing board." (<u>emphasis added</u>)

II. Potential Conflict of Mr. Jorge Morales

Jorge Morales is a Service Coordinator for the Regional Center of Orange County (hereinafter "RCOC" or "the Regional Center"). RCOC's Executive Director, Larry Landauer, confirms that Mr. Morales is a loyal, effective, productive, and greatly valued employee.

Mr. Morales' brother has a financial interest in Regional Center operations by virtue of his role as a Job Coach with the Project Independence (hereinafter "PI"), a RCOC provider. For this reason, Mr. Morales appears to have a conflict of interest under the above discussed statute and regulations.

This document constitutes a Disclosure of Potential Conflict, a Conflict Resolution Plan to eliminate any adverse consequences from this relationship, and a Request for Waiver of the conflict from DDS.

A. Mr. Morales' Position and Duties

As a Service Coordinator, Mr. Morales is responsible for a caseload of 110 consumers providing them with services that are funded at least in part by the Regional Center of Orange County. A copy of his job description is attached as **Exhibit A**.

Mr. Morales would normally have, as part of his duties, case management and assisting consumers with services such as those provided by PI. Under the suggested Conflict Resolution Plan, however, Mr. Morales will have no role or involvement whatsoever with any matter that might conceivably impact PI.

Further, if any of Mr. Morales' consumers require evaluation, planning or recommendations on a matter related to PI, Central Area Supervisor, Minerva Valdez, will take on such matters. The RCOC Organization Chart is attached as **Exhibit B**. With the changes to be made in this Conflict Resolution Plan, no change in the chart will be necessary except that Minerva Valdez, Central Area Supervisor, will be in the position held by Mr. Morales with respect to matters involving PI.

B. Gregorio Morales' Role at PI

Mr. Morales' brother, Gregorio Morales, is a Job Coach at PI, a vendor of the Regional Center. PI is a site and community based adult day and independent living program providing services to developmentally disabled consumers. PI's first service was vendored on July 1, 1990. PI has twelve (12) vendored programs and serves 542 developmentally disabled adults.

PI's total annual encumbrance through May 2013 was $7,538,791.

As a Job Coach, Mr. Morales' duties consist of serving individuals in the communities in which they live.

III. Conflict Resolution Plan

The Regional Center Executive Director and Board of Directors have concluded that Mr. Morales provides great value to the consumers of RCOC. After consideration of the totality of the circumstances and a careful review of the facts, the Board of Directors and Executive Director believe it is in the best interests of the regional center to create and implement a Conflict Resolution Plan to eliminate any adverse consequences from this relationship and seek a waiver from DDS.

The Regional Center's and Mr. Morales' suggested Conflict Resolution Plan of this potential conflict of interest is as follows:

Mr. Morales' caseload will be changed from adults to children.

1. Mr. Morales will, in every conceivable manner, cease interacting with PI or those who do interact with PI.

2. Mr. Morales will not participate in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding RCOC vendor PI.

3. Mr. Morales will not review or participate in any discussions, recommendations, or decisions about Purchase of Service authorizations for this vendor.

4. Mr. Morales will not review or in any way participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about this vendor.

5. Mr. Morales will not create, review, or in any way participate in, any corrective action plans for this vendor.

6. Mr. Morales will not participate in any discussions, recommendations, action, or resolution of any regarding complaints about this vendor.

7. The Regional Center and Mr. Morales agree that Mr. Morales will take no part in vendor appeals, or fair hearings involving PI.

8. The Regional Center and Mr. Morales will ensure that Mr. Morales will not access vendor files to PI either in their electronic or hard copy form.

9. Mr. Morales will not be involved in the negotiation, discussion, obligation or commitment of RCOC to a course of action involving RCOC vendor PI.

10. Further, if Mr. Morales has matters relating to PI, Central Area Supervisor, Minerva Valdez, will take on such matters.

11. The RCOC management staff will be informed about this Conflict Resolution Plan, and they will be informed of the need to ensure that Mr. Morales has no involvement whatsoever in any action or business whatsoever involving or affecting RCOC vendor PI.

12. RCOC will communicate to the employees Mr. Morales' Conflict Resolution Plan and the need to ensure that Mr. Morales plays no role whatsoever in any action involving or affecting RCOC vendor PI.

13. The RCOC Board of Directors has been informed of, and supports, this Conflict Resolution Plan and Request for Waiver of Potential Conflict of Interest.

IV. <u>Request For Waiver</u>

For the reasons provided above, and in accordance with the Conflict Resolution Plan set forth above, the Regional Center of Orange County hereby requests that DDS grant a waiver of the conflict in this matter.

Respectfully submitted,

By: ______________________________________
Jorge Morales, Central Area Service Coordinator

Date: ____________________

By: ______________________________________
Minerva Valdez, Central Area Supervisor

Date: ____________________

By: ______________________________________
Patrick Ruppe, Central Area Manager

Date: ________________________

By: ______________________________________
Janis White, Chief Operating Office

Date: ________________________

By: ____
Larry Landauer, Executive Director

Date: ________________________

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION___X___
ACTION/CONSENT_______
DISCUSSION_______
INFO ONLY_______

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Request for Waiver of Potential Conflict of Interest for Christine Romero, Service Coordinator

BACKGROUND:

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

REASON FOR CURRENT ITEM:

Christine Romero is a RCOC Service Coordinator. Ms. Romero's son has a financial interest in Regional Center operations by virtue of his role as a Supported Living staff member with No Ordinary Moments, a RCOC provider. For this reason, Ms. Romero appears to have a conflict of interest under the above discussed statute and regulations.

RCOC has developed a Conflict Resolution Plan to address any potential conflict of interest.

FISCAL IMPACT:

None

RECOMMENDATION:

That the Board approve the Request for Waiver of Potential Conflict of Interest for Christine Romero, Service Coordinator.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
CHRISTINE ROMERO – SERVICE COORDINATOR
REGIONAL CENTER OF ORANGE COUNTY**

I. Law Governing Conflicts of Interest

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.
>
> (b) Financial interest, as used in this section, includes any current or contingent ownership, equity, or security interest that could result directly or indirectly, in receiving a pecuniary gain or sustaining a pecuniary loss as a result of the interest in any of the following:
>
> (1) business entity worth two thousand dollars ($2,000) or more.
> (2) real or personal property worth two thousand dollars ($2,000) or more in fair market value.
> (3) stocks or bonds worth two thousand dollars ($2,000) or more.
> (4) intellectual property rights worth five hundred dollars ($500) or more.
> (5) sources of gross income aggregating five hundred dollars ($500) or more within prior 12 months.
> (6) future interests for compensation of five hundred dollars ($500) or more.
> (7) personal finances of two hundred fifty dollars ($250) or more.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

II. Potential Conflict of Ms. Christine Romero

Christine Romero is a Service Coordinator for the Regional Center of Orange County (hereinafter "RCOC" or "the Regional Center"). RCOC's Executive Director, Larry Landauer, confirms that Ms. Romero is a loyal, effective, productive, and greatly valued employee.

Ms. Romero's son has a financial interest in Regional Center operations by virtue of his role as a Supported Living staff member with No Ordinary Moments, a RCOC provider. For this reason, Ms. Romero appears to have a conflict of interest under the above discussed statute and regulations.

This document constitutes a Disclosure of Potential Conflict, a Conflict Resolution Plan to eliminate any adverse consequences from this relationship, and a Request for Waiver of the conflict from DDS.

A. Ms. Romero's Position and Duties

As a Service Coordinator, Ms. Romero is responsible for a caseload of 71 consumers providing them with services that are funded at least in part by the Regional Center of Orange County. A copy of her job description is attached as **Exhibit A**.

Ms. Romero would normally have, as part of her duties, coordinating services and working with programs such as No Ordinary Moments. Under the suggested Conflict Resolution Plan, however, Ms. Romero will have no role or involvement whatsoever with any matter that might conceivably impact No Ordinary Moments.

Further, if any of Ms. Romero's consumers require evaluation, planning or recommendations on a matter related to No Ordinary Moments, Central Area Supervisor, Carmen Burgara, will take on such matters. The RCOC Organization Chart is attached as **Exhibit B**. With the changes to be made in this Conflict Resolution Plan, no change in the chart will be necessary except that Carmen Burgara, Central Area Supervisor, will be in the position held by Ms. Romero with respect to matters involving No Ordinary Moments.

B. Christopher Tucker's Role at No Ordinary Moments

Ms. Romero's son, Christopher Tucker, is a Supported Living staff member at No Ordinary Moments, a vendor of the Regional Center. No Ordinary Moments is a supported living program for developmentally disabled consumers. No Ordinary Moments' first service was vendored on May 1, 1996. No Ordinary Moments has four (4) vendored programs and serves 114 developmentally disabled consumers.

No Ordinary Moments' total annual encumbrance through May 2013 was $9,504,771.

As a Supported Living staff member, Mr. Tucker's duties consist of providing direct patient care, including grocery shopping and cooking for the consumers assigned to his group.

III. Conflict Resolution Plan

The Regional Center Executive Director and Board of Directors have concluded that Ms. Romero provides great value to the consumers of RCOC. After consideration of the totality of the circumstances and a careful review of the facts, the Board of Directors and Executive Director believe it is in the best interests of the regional center to create and implement a Conflict Resolution Plan to eliminate any adverse consequences from this relationship and seek a waiver from DDS.

The Regional Center's and Ms. Romero's suggested Conflict Resolution Plan of this potential conflict of interest is as follows:

Ms. Romero's caseload will be comprised of consumers who reside in licensed facilities, including ICF-DD/H, ICF-DD/N, SNF, Sub-Acute and CCF, which serve consumers with minimal behaviors and no dangerous propensities, and who are not served by No Ordinary Moments.

1. Ms. Romero will, in every conceivable manner, cease interacting with No Ordinary Moments or those who do interact with No Ordinary Moments.

2. Ms. Romero will not participate in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding RCOC vendor No Ordinary Moments.

3. Ms. Romero will not review or participate in any discussions, recommendations, or decisions about Purchase of Service authorizations for this vendor.

4. Ms. Romero will not review or in any way participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about this vendor.

5. Ms. Romero will not create, review, or in any way participate in, any corrective action plans for this vendor.

6. Ms. Romero will not participate in any discussions, recommendations, action, or resolution of any regarding complaints about this vendor.

7. The Regional Center and Ms. Romero agree that Ms. Romero will take no part in vendor appeals, or fair hearings involving No Ordinary Moments.

8. The Regional Center and Ms. Romero will ensure that Ms. Romero will not access vendor files to the No Ordinary Moments program either in their electronic or hard copy form.

9. Ms. Romero will not be involved in the negotiation, discussion, obligation or commitment of RCOC to a course of action involving RCOC vendor No Ordinary Moments.

10. Further, if Ms. Romero has matters relating to No Ordinary Moments, Central Area Supervisor, Carmen Burgara, will take on such matters.

11. The RCOC management staff will be informed about this Conflict Resolution Plan, and they will be informed of the need to ensure that Ms. Romero has no involvement whatsoever in any action or business whatsoever involving or affecting RCOC vendor No Ordinary Moments.

12. RCOC will communicate to the employees Ms. Romero's Conflict Resolution Plan and the need to ensure that Ms. Romero plays no role whatsoever in any action involving or affecting RCOC vendor No Ordinary Moments.

13. The RCOC Board of Directors has been informed of, and supports, this Conflict Resolution Plan and Request for Waiver of Potential Conflict of Interest.

IV. <u>Request For Waiver</u>

For the reasons provided above, and in accordance with the Conflict Resolution Plan set forth above, the Regional Center of Orange County hereby requests that DDS grant a waiver of the conflict in this matter.

Respectfully submitted,

By: ____
Christine Romero, Central Area Service Coordinator

Date: _________________________

By: ____
Carmen Burgara, Central Area Supervisor

Date: _____________________________

By: ____
Patrick Ruppe, Central Area Manager

Date: _____________________________

By: ____
Janis White, Chief Operating Office

Date: ______________________________

By: ____
Larry Landauer, Executive Director

Date: ______________________________

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION___X___
ACTION/CONSENT_______
DISCUSSION_______
INFO ONLY_______

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Request for Waiver of Potential Conflict of Interest for Kiley Waddington, Service Coordinator

BACKGROUND:

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

REASON FOR CURRENT ITEM:

Kiley Waddington is a RCOC Service Coordinator. Ms. Waddington's sister has a financial interest in Regional Center operations by virtue of her role as Director of Client Services with Children's Learning Connection, a RCOC provider. For this reason, Ms. Waddington appears to have a conflict of interest under the above discussed statute and regulations.

RCOC has developed a Conflict Resolution Plan to address any potential conflict of interest.

FISCAL IMPACT:

None

RECOMMENDATION:

That the Board approve the Request for Waiver of Potential Conflict of Interest for Kiley Waddington, Service Coordinator.

DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
KILEY WADDINGTON – SERVICE COORDINATOR
REGIONAL CENTER OF ORANGE COUNTY

I. Law Governing Conflicts of Interest

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.
>
> (b) Financial interest, as used in this section, includes any current or contingent ownership, equity, or security interest that could result directly or indirectly, in receiving a pecuniary gain or sustaining a pecuniary loss as a result of the interest in any of the following:
>
> (1) business entity worth two thousand dollars ($2,000) or more.
> (2) real or personal property worth two thousand dollars ($2,000) or more in fair market value.
> (3) stocks or bonds worth two thousand dollars ($2,000) or more.
> (4) intellectual property rights worth five hundred dollars ($500) or more.
> (5) sources of gross income aggregating five hundred dollars ($500) or more within prior 12 months.
> (6) future interests for compensation of five hundred dollars ($500) or more.
> (7) personal finances of two hundred fifty dollars ($250) or more.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

II. Potential Conflict of Ms. Kiley Waddington

Kiley Waddington is a Service Coordinator for the Regional Center of Orange County (hereinafter "RCOC" or "the Regional Center"). RCOC's Executive Director, Larry Landauer, confirms that Ms. Waddington is a loyal, effective, productive, and greatly valued employee.

Ms. Waddington's sister has a financial interest in Regional Center operations by virtue of her role as a Director of Client Services with Children's Learning Connection (hereinafter "CLC"), a RCOC provider. For this reason, Ms. Waddington appears to have a conflict of interest under the above discussed statute and regulations.

This document constitutes a Disclosure of Potential Conflict, a Conflict Resolution Plan to eliminate any adverse consequences from this relationship, and a Request for Waiver of the conflict from DDS.

A. Ms. Waddington's Position and Duties

As a Service Coordinator, Ms. Waddington is responsible for a caseload of 86 consumers providing them with services that are funded at least in part by the Regional Center of Orange County. A copy of her job description is attached as **Exhibit A**.

Ms. Waddington has an adult caseload. She has no role or involvement whatsoever with any matter that might conceivably impact CLC which serves children.

Further, if any of Ms. Waddington's consumers require evaluation, planning or recommendations on a matter related to CLC, West Area Supervisor, Sean Watson, will take on such matters. The RCOC Organization Chart is attached as **Exhibit B**. With the changes to be made in this Conflict Resolution Plan, no change in the chart will be necessary except that Sean Watson, West Area Supervisor, will be in the position held by Ms. Waddington with respect to matters involving CLC.

B. Tawnia Grone's Role at CLC

Ms. Waddington's sister, Tawnia Grone, is Director of Client Services at CLC, a vendor of the Regional Center. CLC provides infant development programs, speech, occupational and physical therapy, and ABA services to developmentally disabled children. CLC's first service was vendored on February 9, 2001. CLC has nineteen (19) vendored programs and serves 238 developmentally disabled children.

CLC's total annual encumbrance through May 2013 was $5,091,141.

As Director of Client Services, Ms. Grone's duties consist of managing employees' and clients' day-to-day therapy schedules.

III. Conflict Resolution Plan

The Regional Center Executive Director and Board of Directors have concluded that Ms. Waddington provides great value to the consumers of RCOC. After consideration of the totality of the circumstances and a careful review of the facts, the Board of Directors and Executive Director believe it is in the best interests of the regional center to create and implement a Conflict Resolution Plan to eliminate any adverse consequences from this relationship and seek a waiver from DDS.

Ms. Waddington has no duties that relate to CLC.

The Regional Center's and Ms. Waddington's suggested Conflict Resolution Plan of this potential conflict of interest is as follows:

Ms. Waddington will continue with an adult caseload.

1. Ms. Waddington will, in every conceivable manner, cease interacting with CLC or those who do interact with CLC.

2. Ms. Waddington will not participate in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding RCOC vendor CLC.

3. Ms. Waddington will not review or participate in any discussions, recommendations, or decisions about Purchase of Service authorizations for this vendor.

4. Ms. Waddington will not review or in any way participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about this vendor.

5. Ms. Waddington will not create, review, or in any way participate in, any corrective action plans for this vendor.

6. Ms. Waddington will not participate in any discussions, recommendations, action, or resolution of any regarding complaints about this vendor.

7. The Regional Center and Ms. Waddington agree that Ms. Waddington will take no part in vendor appeals, or fair hearings involving CLC.

8. The Regional Center and Ms. Waddington will ensure that Ms. Waddington will not access vendor files to CLC either in their electronic or hard copy form.

9. Ms. Waddington will not be involved in the negotiation, discussion, obligation or commitment of RCOC to a course of action involving RCOC vendor CLC.

10. Further, if Ms. Waddington has matters relating to CLC, West Area Supervisor, Sean Watson, will take on such matters.

11. The RCOC management staff will be informed about this Conflict Resolution Plan, and they will be informed of the need to ensure that Ms. Waddington has no involvement whatsoever in any action or business whatsoever involving or affecting RCOC vendor CLC.

12. RCOC will communicate to the employees Ms. Waddington's Conflict Resolution Plan and the need to ensure that Ms. Waddington plays no role whatsoever in any action involving or affecting RCOC vendor CLC.

13. The RCOC Board of Directors has been informed of, and supports, this Conflict Resolution Plan and Request for Waiver of Potential Conflict of Interest.

IV. Request For Waiver

For the reasons provided above, and in accordance with the Conflict Resolution Plan set forth above, the Regional Center of Orange County hereby requests that DDS grant a waiver of the conflict in this matter.

Respectfully submitted,

By: ____
Kiley Waddington, West Area Service Coordinator

Date: ____________________________

By: ____
Sean Watson, West Area Supervisor

Date: ____________________________

By: ____
Keli Radford, West Area Manager

Date: ____________________________

By: ____
Janis White, Chief Operation Officer

Date: ____________________________

By: ____
Larry Landauer, Executive Director

Date: ____________________________

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION___X___
ACTION/CONSENT_______
DISCUSSION_______
INFO ONLY_______

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Request for Waiver of Potential Conflict of Interest for Jacquelyn Wingo, Service Coordinator

BACKGROUND:

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

REASON FOR CURRENT ITEM:

Jacquelyn Wingo is a RCOC Service Coordinator. Ms. Wingo's mother has a financial interest in Regional Center operations by virtue of her role as a Program Manager with Westview Vocational Services, a RCOC provider. For this reason, Ms. Wingo appears to have a conflict of interest under the above discussed statute and regulations.

RCOC has developed a Conflict Resolution Plan to address any potential conflict of interest.

FISCAL IMPACT:

None

RECOMMENDATION:

That the Board approve the Request for Waiver of Potential Conflict of Interest for Jacquelyn Wingo, Service Coordinator.

DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
JACQUELYN WINGO – SERVICE COORDINATOR
REGIONAL CENTER OF ORANGE COUNTY

I. Law Governing Conflicts of Interest

The prohibition against Regional Center employee 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, sections 54526 "Positions Creating Conflicts of Interest for Employees, Contractors, Agents and Consultants" and 54527 "Financial Interests in Decisions Creating Conflict of Interest for Employees, Contractors, Agents or Consultants" which provides in pertinent part:

> "(a) A regional center employee, contractor, agent or consultant shall not make, participate in making or in any way attempt to use his or her position to influence a regional center decision, in which he or she knows or has reason to know that he or she, or his or her family member has a financial interest.
>
> (b) Financial interest, as used in this section, includes any current or contingent ownership, equity, or security interest that could result directly or indirectly, in receiving a pecuniary gain or sustaining a pecuniary loss as a result of the interest in any of the following:
>
> (1) business entity worth two thousand dollars ($2,000) or more.
> (2) real or personal property worth two thousand dollars ($2,000) or more in fair market value.
> (3) stocks or bonds worth two thousand dollars ($2,000) or more.
> (4) intellectual property rights worth five hundred dollars ($500) or more.
> (5) sources of gross income aggregating five hundred dollars ($500) or more within prior 12 months.
> (6) future interests for compensation of five hundred dollars ($500) or more.
> (7) personal finances of two hundred fifty dollars ($250) or more.

Section 54533 "Present or Potential Conflict of Interest Identified, Proposed Conflict Resolution Plan Content, Timelines for Submission of Proposed Conflict Resolution Plan" states that:

> (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 her position with the regional center or regional center governing board." (emphasis added)

II. Potential Conflict of Ms. Jacquelyn Wingo

Jacquelyn Wingo is a Service Coordinator for the Regional Center of Orange County (hereinafter "RCOC" or "the Regional Center"). RCOC's Executive Director, Larry Landauer, confirms that Ms. Wingo is a loyal, effective, productive, and greatly valued employee.

Ms. Wingo's mother has a financial interest in Regional Center operations by virtue of her role as a Program Manager with Westview Vocational Services (hereinafter "Westview"), a RCOC provider. For this reason, Ms. Wingo appears to have a conflict of interest under the above discussed statute and regulations.

This document constitutes a Disclosure of Potential Conflict, a Conflict Resolution Plan to eliminate any adverse consequences from this relationship, and a Request for Waiver of the conflict from DDS.

A. Ms. Wingo's Position and Duties

As a Service Coordinator, Ms. Wingo is responsible for a caseload of 91 consumers providing them with services that are funded at least in part by the Regional Center of Orange County. A copy of her job description is attached as **Exhibit A**.

Ms. Wingo has a caseload of children. She has no role or involvement whatsoever with any matter that might conceivably impact Westview which serves adults.

Further, if any of Ms. Wingo's consumers require evaluation, planning or recommendations on a matter related to Westview, West Area Supervisor, M.J. Delgado , will take on such matters. The RCOC Organization Chart is attached as **Exhibit B**. With the changes to be made in this Conflict Resolution Plan, no change in the chart will be necessary except that M.J. Delgado , West Area Supervisor, will be in the position held by Ms. Wingo with respect to matters involving Westview.

B. Rebecca Bueno's Role at Westview

Ms. Wingo's mother, Rebecca Bueno, is the Program Manager at Westview, a vendor of the Regional Center. Westview is a site and community based adult day care program providing services to developmentally disabled consumers. Westview's first service was vendored on April 1, 1989. Westview has fifteen (15) vendored programs and serves 644 developmentally disabled adults.

Westview's total annual encumbrance through May 2013 was $11,799,400.

As a Program Manager, Ms. Bueno's duties consist of overseeing all aspects of the program's daily operations by providing leadership and management and ensuring compliance with all regulatory agencies and Westview's policies and procedures.

III. Conflict Resolution Plan

The Regional Center Executive Director and Board of Directors have concluded that Ms. Wingo provides great value to the consumers of RCOC. After consideration of the totality of the circumstances and a careful review of the facts, the Board of Directors and Executive Director believe it is in the best interests of the regional center to create and implement a Conflict Resolution Plan to eliminate any adverse consequences from this relationship and seek a waiver from DDS.

Ms. Wingo has no duties that relate to Westview.

The Regional Center's and Ms. Wingo's suggested Conflict Resolution Plan of this potential conflict of interest is as follows:

Ms. Wingo will continue with her caseload of children.

1. Ms. Wingo will, in every conceivable manner, cease interacting with Westview or those who do interact with Westview.

2. Ms. Wingo will not participate in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding RCOC vendor Westview.

3. Ms. Wingo will not review or participate in any discussions, recommendations, or decisions about Purchase of Service authorizations for this vendor.

4. Ms. Wingo will not review or in any way participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about this vendor.

5. Ms. Wingo will not create, review, or in any way participate in, any corrective action plans for this vendor.

6. Ms. Wingo will not participate in any discussions, recommendations, action, or resolution of any regarding complaints about this vendor.

7. The Regional Center and Ms. Wingo agree that Ms. Wingo will take no part in vendor appeals, or fair hearings involving Westview.

8. The Regional Center and Ms. Wingo will ensure that Ms. Wingo will not access vendor files to Westview either in their electronic or hard copy form.

9. Ms. Wingo will not be involved in the negotiation, discussion, obligation or commitment of RCOC to a course of action involving RCOC vendor Westview.

10. Further, if Ms. Wingo has matters relating to Westview, West Area Supervisor, M.J. Delgado , will take on such matters.

11. The RCOC management staff will be informed about this Conflict Resolution Plan, and they will be informed of the need to ensure that Ms. Wingo has no involvement whatsoever in any action or business whatsoever involving or affecting RCOC vendor Westview.

12. RCOC will communicate to the employees Ms. Wingo's Conflict Resolution Plan and the need to ensure that Ms. Wingo plays no role whatsoever in any action involving or affecting RCOC vendor Westview.

13. The RCOC Board of Directors has been informed of, and supports, this Conflict Resolution Plan and Request for Waiver of Potential Conflict of Interest.

IV. <u>Request For Waiver</u>

For the reasons provided above, and in accordance with the Conflict Resolution Plan set forth above, the Regional Center of Orange County hereby requests that DDS grant a waiver of the conflict in this matter.

Respectfully submitted,

By: ____
Jacquelyn Wingo, West Area Service Coordinator

Date: July 1, 2013

By: ____
Michelle J. Delgado, West Area Supervisor

Date: July 1, 2013

By: ____
Keli Radford, West Area Manager

Date: July 1, 2013

By: ____
Janis White, Chief Operation Officer

Date: ________________________

By: ____
Larry Landauer, Executive Director

Date: ____________________________

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Tresa Oliveri
Chair, Executive Committee

ACTION	X
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	

SUBJECT: **Approval of Renewal of Board Membership for Peter Kuo, with New Term Commencing July 12, 2013 and Ending July 11, 2016**

BACKGROUND:

The Board's policy on Board Membership and Application Process states that the composition of the Board shall comply with the provisions of the Lanterman Developmental Disabilities Services Act (Welfare and Institutions Code, §4622). In order to achieve balance and diversity, and comply with the mandates of the Lanterman Act, the RCOC Bylaws state that the Board shall consist of no more than nineteen (19) members and it is very desirable that the Board consist of no less than eight (8) members. In addition to the provisions of the Lanterman Act, the Board may also consider for membership persons whose skills include education, community service, public health, and others as appropriate to the needs of its constituencies.

The policy also states that when a Board member is eligible for and desires to be considered for Board approval for another term of office, the Executive Committee will make a decision regarding whether or not the Board member will be recommended for another term of office and will discuss its decision with the Board member prior to expiration of his or her term of office.

REASON FOR CURRENT ITEM:

Mr. Peter Kuo will complete his first one-year term on July 11, 2013. The Executive Committee recommends that Mr. Kuo's Board membership be renewed for a new three-year term, commencing July 12, 2013 and ending July 11, 2016.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

That the Board approve Peter Kuo's Board membership for a new three-year term, commencing July 12, 2013 and ending July 11, 2016.

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: July 11, 2013

TO: RCOC Board of Directors

FROM: Tresa Oliveri
Chair, Executive Committee

ACTION	X
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	

SUBJECT: **Approval of Renewal of Board Membership for Palak Shah, with New Term Commencing July 12, 2013 and Ending July 11, 2016**

BACKGROUND:

The Board's policy on Board Membership and Application Process states that the composition of the Board shall comply with the provisions of the Lanterman Developmental Disabilities Services Act (Welfare and Institutions Code, §4622). In order to achieve balance and diversity, and comply with the mandates of the Lanterman Act, the RCOC Bylaws state that the Board shall consist of no more than nineteen (19) members and it is very desirable that the Board consist of no less than eight (8) members. In addition to the provisions of the Lanterman Act, the Board may also consider for membership persons whose skills include education, community service, public health, and others as appropriate to the needs of its constituencies.

The policy also states that when a Board member is eligible for and desires to be considered for Board approval for another term of office, the Executive Committee will make a decision regarding whether or not the Board member will be recommended for another term of office and will discuss its decision with the Board member prior to expiration of his or her term of office.

REASON FOR CURRENT ITEM:

Mr. Palak Shah will complete his first one-year term on July 11, 2013. The Executive Committee recommends that Mr. Shah's Board membership be renewed for a new three-year term, commencing July 12, 2013 and ending July 11, 2016.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

That the Board approve Palak Shah's Board membership for a new three-year term, commencing July 12, 2013 and ending July 11, 2016.

AGENDA ITEM: III.E.2.

Regional Center of Orange County
Consumer Advisory Team
June 19, 2013
Minutes

Team Members Present:

Sylvia Delgado, Chair
Charles Aguilar
Peter Annesi
Mary Ayres
Melissa Bateman
Tim Berg
John Bouman
Candice Brooks
John Brown
Nancy Curtis
Jeanette Dorris
Gabriel Felter
Sue Gaxiola
Steve Gersten
Jenny Gibson
Susan Grzeskowiak
John Helme
Peter Hernandez
Elizabeth Jackson
Bob Johnston
Tim Jones
Janice Kane
Keith Laird
Ashley Lankey
Shannon Leischner
Hallie Long
Kenny Matson
Matt Mattias
Janie Mutshnick
Beau Nguyen
Fernando Peña
Kolleen Potter
Carrie Rogers
David Saad
Jeff Schultz
Ramndip Singh
Molly Van Norman
Shirley Walling
Celeste Whipple

Guests Present:

Mark Antenucci
Kim Farrell
Kian Masoumi
Wendy Williams

RCOC Staff Present:

Larry Landauer
Randy Laya
Sharen Leahy
Delia Lona
Jack Stanton
Brian Story

California Elwyn Staff Members Present:

Sabrena Arutunian
Geanne Garcia

Empower Community Day Program Staff Member Present:

Tony Sully

Independent Endeavors Staff Members Present:

Vicki Mendoza
Carol Oberst
Bryn Shemtov
Pat Thurman
Connie Wiggins

Ms. Delgado called the meeting to order at 10:12 a.m.

1. Welcome and Introductions. Ms. Delgado welcomed all new and regular attendees.

2. Message from the CAT Chair – Sylvia Delgado. Ms. Delgado had two announcements:

   a. July CAT Meeting Canceled. There will not be a CAT meeting in July, due to the annual Orange County Fair. The next CAT Meeting is scheduled for August 21, 2013.

   b. Summer Blast. There are no plans for a Summer Blast this year due to cost increases at the park.

3. Consumer Advocate Report – Brian Story. Mr. Brian Story introduced himself and described his role as RCOC's Consumer Advocate. He announced his weekly schedule, and invited members to contact him if they need help or have any questions.

4. New Business.

   a. Dental Care Presentation. Mr. Jack Stanton, RCOC's Manager of Consumer and Community Resources, introduced Ms. Sharen Leahy, RCOC Nurse Consultant. Ms. Leahy shared with the group that good oral hygiene is not only important for a healthy smile, but is also crucial for a healthy body. Poor oral health can cause bad breath, cavities and more serious issues, such as renal failure. Ms. Leahy then introduced three guests, Ms. Kim Farrell, Ms. Kian Masoumi, and Ms. Wendy Williams, Registered Dental Hygienists in Alternative Practice (RDHAP). The three hygienists gave a presentation using oversized props to show the proper techniques for brushing and flossing. Images of various handle modifications were shown, for those who have difficulty gripping a toothbrush.

   a. Thank You Letters. Mr. Jack Stanton invited everyone to sign a special thank you card for Mr. Bonner Paddock, who shared his inspirational story of personal achievement at the CAT Meeting on May 15, 2013.

   b. Announcements.

      (1) Ms. Delgado again reminded the group that the July CAT meeting is canceled.

(2) Ms. Mary Ayres shared with the group that she is excited to be going on a cruise to Alaska this summer.

(3) Ms. Carrie Rogers reported that she is selling colorful bead bracelets for $1.00 each.

(4) Ms. Melissa Bateman announced that she would be singing the National Anthem at the opening of Westview Services Sports Fest to be held at Liberty Park in Westminster on Monday, June 24, 2013.

5. Open Forum. No one addressed the team during open forum.

6. Community Events and Activities. No new community or activities were announced.

7. Birthdays. The group sang happy birthday to those celebrating a birthday in the month of June.

The meeting adjourned at 11:25 a.m.

Recorder: Sandra Perdew Rivenbark

Regional Center of Orange County
Vendor Advisory Committee
June 11, 2013
Minutes

Members Present:	Mark Antenucci, Chairperson (Adult Family Home Agency) Jasmin Botello (Independent Living/Supported Living) Linda Callaghan (Adult Day Programs) Tim Chervenak (Habilitation) Mike Dodge (Intermediate Care Facility) Donna Koenig (Support Service/Allied Health) Erin McNerney (Behavior Services) Linda Seppala (Behavior Services) [Alternate]
Members Absent:	Tiffany Bauer (Early Intervention) Dorothy Blubaugh (Adult Behavior Management) Rebekah Hayes (Community Care Facility) [Alternate] Brandon Penalosa (Community Care Facility) Denise Simpson (Adult Day Programs) [Alternate] Member Pending (Transportation)
Liaisons Present:	Robert Gebo, Orange County Transit Authority (OCTA) Debra Kegel, CalOptima Kathy Ploski, Fairview Developmental Center
RCOC Staff Present:	Larry Landauer, Executive Director Janis White, Chief Operating Officer Bette Baber, Chief Financial Officer Jack Stanton, Consumer and Community Resources Manager Marta Vasquez, Controller Brian Story, Consumer Advocate
Guests:	Pam Alexander, Intervention Center for Early Childhood (ICEC) Sherry Diamond, Integrated Rehabilitation Therapies (IRT) Kathleen Kolenda, Easter Seals Pethuru Lourthu, Westview Services Jose Martinez, Stone Tapert Employee Benefits Steven Nguyen, GSG Support Services Tripp Sherrod, Stone Tapert Employee Benefits Ann Smith, Lifeline Medical Alert Tiffany Tapert, Stone Tapert Employee Benefits Michele Villa, 24 Hour Home Care

I. Call to Order

Mr. Mark Antenucci, VAC Chairperson, called the meeting to order at 2:05 p.m.

II. RCOC Update

Mr. Larry Landauer, RCOC's Executive Director, reported on the status of California's budget for 2013-14. Mr. Landauer also discussed the Department of Developmental Services' (DDS) proposed language that would limit regional center funding for insurance copayments based on the family's ability to pay and prohibit funding of deductibles. DDS' copayment proposal is modeled on the existing family participation programs.

Mr. Landauer also reported that approximately 100 people attended RCOC's Public Stakeholder meeting on June 6, 2013, regarding Purchase of Service (POS) expenditure by age, diagnosis and ethnicity as required by the Lanterman Act.

III. Board Report

Mr. Antenucci reported that the Board of Directors met on June 6, 2013. He voted for the items on the Consent Calendar.

IV. Community Forum

No community members addressed the Committee.

V. Consumer Advisory Team (CAT) Report

Mr. Jack Stanton, RCOC's Consumer and Community Resources Manager, reported that CAT met on May 15, 2013, and Mr. Bonner Paddock was their special guest speaker. Mr. Paddock shared his personal story of being the first person with Cerebral Palsy to climb Mt. Kilimanjaro unassisted, and to successfully complete the Ironman World Championship in Kona, Hawaii. Mr. Paddock said that everyone can achieve their goals if they push beyond the limits of their circumstances.

VI. Liaison Reports

A. CalOptima – Debra Kegel

Ms. Kegel reported that two options were included in the Governor's budget proposal to implement Medi-Cal expansion, which is a key provision in the federal Affordable Care Act (ACA). Governor Brown proposed a state-based option, which expands eligibility for the existing Medi-Cal program, and a county-based option, which would build upon the existing Low Income Health Programs (LIHP). The law extends Medi-Cal eligibility from 100 percent of the Federal Poverty Level (FPL) to 138 percent of the FPL.

B. Fairview State Developmental Center (FSDC) – Katy Ploski

Ms. Kathy Ploski, FSDC, shared that Fairview had one admission.

C. Orange County Transportation Authority (OCTA) – Robert Gebo

Mr. Gebo reported that the transition of paratransit service providers from Veolia to MV will begin July 1, 2013. With the installation of new radio systems in the vehicles, drivers and dispatchers will be able to provide more accurate information regarding pick-up or drop-off times for consumers.

VII. Member Reports

A. **Adult Behavior Management – Dorothy Blubaugh**

Ms. Blubaugh was absent and no report was given.

B. **Adult Day Programs – Linda Callaghan**

Ms. Callaghan had no report.

C. Adult Family Home Agency (AFHA) – Mark Antenucci

Mr. Mark Antenucci reported that the group discussed the possibility of RCOC sending an electronic referral packet and which documents would be most helpful to the AFHA vendors. The group also discussed trends in AFHA Special Incident Reports (SIRs) and how to increase safety and provide better services. The group also discussed upcoming staff training by RCOC in response to the recent AFHA audit conducted by DDS.

D. Behavior Services – Erin McNerney

Dr. McNerney reported that the vendors discussed electronic signatures on the parent verification forms and the possibility of a pilot project with RCOC and one of the behavior services vendors. The pilot project must be approved by DDS. The vendors also discussed a new way of collecting outcome measures for behavioral services. The data collection tool has been drafted and will be piloted by a few vendors.

E. Early Intervention – Tiffany Bauer (absent) (out of agenda order)

In Ms. Bauer's absence, Ms. Pam Alexander, Early Intervention Co-Chair, reported that the group met on May 16, 2013, and the main topics of discussion were the independent audits and insurance co-pays.

F. Community Care Facilities (CCF) – Brandon Penalosa (absent)

In Mr. Penalosa's and Ms. Hayes' absence, Mr. Stanton, RCOC's Consumer and Community Resources Manager, reported that the CCFs continue to be overwhelmed by the independent audit requirements.

G. Habilitation – Tim Chervenak

Mr. Chervenak had no report.

H. Independent Living/Supported Living (IL/SL) – Jasmin Botello

Ms. Botello reported that a new subcommittee of about twenty vendors has been formed. The subcommittee met to discuss independent audit requirements with Mr. Boyd Bradshaw, Chair of ResCoalition. Ms. Botello encouraged vendors to send letters to State Senator Leland Yee, Chairman of the Senate Human Services Committee, proposing alternatives to the current audit requirements. Vendors were reminded of their statutory obligation to comply with the current audit requirements.

I. Intermediate Care Facilities (ICF) – Mike Dodge

Mr. Dodge reported that the group covered multiple topics during their meeting. They reviewed information previously presented on licensing regulations and how they are implemented. Vendors shared information on Life Safety Code citations and the importance of providing a safe means of egress in the event of fire and other emergencies. Myrenna Ogbu, Long-Term Care Ombudsman with the Orange County Council on Aging, presented information to the group on the role of the ombudsman. She also gave details on two programs sponsored by the Council on Aging, the Friendly Visitor Program and the SmileMakers Guild.

J. Support Services/Allied Health – Donna Koenig

Ms. Koenig reported on several California Assembly Bills (AB):

AB 1217, Home Care Services Consumer Protection Act of 2013, to provide for the licensure and regulation of home care organizations and the certification of home care aides,

AB 241, the Domestic Workers Bill of Rights, to specially regulate the wages, hours and working conditions of domestic work employees, and

AB 10, to increase the hourly minimum wage in California.

K. Transportation – Representation Pending

A representative has not yet been identified and no report was provided.

VIII. VAC - RCOC Board Presentations

Mr. Antenucci announced that Ms. Botello will give a presentation on Supported and Independent Living Services at the Board of Directors’ meeting on Thursday, July 11, 2013.

IX. RCOC Electronic Referral Follow-Up

RCOC is exploring an electronic referral packet.

X. Other

A. Presentation on Health Care Reform - Jose Martinez and Tripp Sherrod, Representatives of Stone Tapert Employee Benefits

Mr. Mark Antenucci introduced Mr. Jose Martinez and Mr. Tripp Sherrod, of Stone Tapert Employee Benefits, who gave a presentation on the Affordable Care Act.

B. Election of VAC Co-Chairperson (out of agenda order)

Mr. Mark Antenucci asked for nominations for VAC Co-Chairperson and the group agreed to re-elect Ms. Rebekah Hayes of Hall Family Homes.

XI. Adjournment

Mr. Antenucci adjourned the meeting at 3:32 p.m.

Recorder: Sandra Perdew Rivenbark