



REGIONAL CENTER OF ORANGE COUNTY BOARD OF DIRECTORS' MEETING AGENDA

Date: **Thursday, October 2, 2014**

Time: **6:00 – 7:30 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	Lois Bobak
II.	Recess	
III.	General Session	
	A. Pledge of Allegiance/Reading of RCOC Mission Statement	Alan Martin
	B. Consent Calendar*	
	1. Approval of Minutes for September 4, 2014 Meeting** 2. Budget and Finance Committee** a. Approval of Monthly Sufficiency of Allocation Report, August 2014** b. Approval of Budget Amendment	Alan Martin Bob Costello
	C. Executive Director's Report 1. Operations Report – August 2014** 2. Performance Contract – August 2014** 3. Approval of 2015 Performance Contract** 4. Approval of Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Griselda Escobedo, Service Coordinator** 5. Approval of Renewed Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Consuelo Castellon-Morales, Service Coordinator** 6. Approval of Renewed Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Jaime Morales, Service Coordinator** 7. Approval of Renewed Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Jorge Morales, Service Coordinator** 8. Approval of Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Beth Ann Pierce, Service Coordinator** 9. Approval of Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Marta Vasquez, Controller** 10. Approval of Renewed Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Elizabeth Villa-Gomez, Service Coordinator** 11. Approval of Renewed Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Kiley Waddington, Service Coordinator**	Larry Landauer
	D. Community Forum***	Alan Martin
	E. Policies and Outcomes Committee** 1. Approval of Revisions to Document Retention and Destruction Policy** 2. Approval of Revisions to Policy on Information Dissemination to Consumers, Families, Authorized Representatives and Other Interested Parties** 3. Board Governance Policy – Zero Tolerance Policy Regarding Consumer Abuse and Neglect** 4. Board Governance Policy – Policy on Insurance Requirements for Providers**	Cliff Amsden
	F. Vendor Advisory Committee**	Mark Antenucci
	G. Consumer Advisory Team**	Sylvia Delgado
	H. Recruitment and Training Committee	Alan Martin
	I. Executive Committee	Alan Martin
	J. ARCA Report	Tresa Oliveri
	K. Chairperson's Report	Alan Martin
	L. Caseload Waiver Presentation	Larry Landauer
IV.	Adjournment	Alan Martin

**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
September 4, 2014
Minutes**

Board Members Present:

Alan Martin, Chairperson
Cliff Amsden
Mark Antenucci
Meena Chockalingam
Robert Costello
Joseph DeCarlo
Sylvia Delgado (left at 7:25 p.m.)
Luke Franck
Peter Kuo (left at 7:37 p.m.)
Kathy McCrystal
Hilda Mendez
Tresa Oliveri
Fernando Peña (left at 7:09 p.m.)
Palak Shah
Hilda Sramek

Board Members Absent:

Cristina Alba

Corporate Counsel Present:

Kennard Smart, Esq.

I. General Session

Mr. Alan Martin called the meeting to order at 6:04 p.m.

A. Pledge of Allegiance/Reading of RCOC's Mission Statement

Palak Shah led attendees in a recitation of the Pledge of Allegiance and Sylvia Delgado read RCOC's Mission Statement.

B. Public Law Center/Children's Hospital of Orange County Presentation

Ms. Leslie Lindgren, Public Law Center attorney, and Ms. Sheniece Smith, Children's Hospital of Orange County (CHOC) attorney, presented on Family Legal Assistance at CHOC. In January 2014, CHOC began hosting attorneys from the Public Law Center to provide free legal consultation on conservatorships and guardianships to families of CHOC's patients. CHOC's social workers identify patients who may be unable to give consent to medical procedures and refer the patients and their families to clinics held twice a month at CHOC. Ms. Lindgren and Ms. Smith responded to questions from Board Members at the conclusion of their presentation.

C. Consent Calendar

1. Approval of Minutes for July 10, 2014 Meeting
2. Budget and Finance Committee
 - a. Approval of Monthly Sufficiency of Allocation Report, June 2014
 - b. Approval of Monthly Sufficiency of Allocation Report, July 2014
 - c. Approval of Budget Amendment A-1, Fiscal Year 2014-15

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

D. Executive Director's Report

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

- *Reinventing Quality Conference.* Mr. Larry Landauer and Dr. LeeAnn Christian attended the Reinventing Quality Conference in Baltimore, Maryland on August 4-5, 2014. Mr. Landauer reported that the Centers for Medicare & Medicaid Services (CMS) set forth new requirements under which states may provide home and community-based services. The regulations will enhance the quality of services.
- *Sonoma Developmental Center.* Sonoma Developmental Center (SDC) lost federal certification on seven of its 11 Intermediate Care Facilities; the other four lost their federal certification last year. Currently, there are 434 consumers residing at SDC.
- *Lanterman Developmental Center.* Lanterman Developmental Center (LDC) is scheduled to close on December 31, 2014. RCOC's last consumer at LDC moved to his new home in the community on June 11, 2014. Currently, there are 29 consumers residing at LDC.
- *Fairview Developmental Center.* Currently, there are 311 consumers residing at Fairview Developmental Center.
- *Developmental Center Task Force.* Ms. Diana Dooley, Secretary of the California Department of Health and Human Services Agency, reconvened the Developmental Center Task Force. The task force focused on rates for consumer services and core staffing at regional centers.

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- *Medi-Cal.* Mr. Landauer reported Medi-Cal is now required to fund for applied behavioral analysis for all children and adolescents ages 0 to 21 diagnosed with autism spectrum disorder.
- *RCOC Purchase of Service Expenditures.* RCOC continues to meet the needs of consumers as identified in their Individual Program Plans. Expenditure growth this fiscal year has been primarily due to caseload growth, growth in behavioral services that is not funded through private insurance and a large group of consumers who graduated from high school and started receiving adult day program services for the first time.
- *Legislative Analyst's Office Visit.* Representatives from the Legislative Analyst's Office (LAO) visited RCOC on August 18-19, 2014. The LAO representatives observed the following: RCOC's eligibility process, the use of Virtual Chart in monitoring RCOC's expenditures, a job coach working with a consumer in a Supported Employment program, and a Supported Living Services provider assisting a consumer. The representatives also visited a transitional home and an Intermediate Care Facility – Developmentally Disabled, - Nursing.
- *Senator Mimi Walters.* Staff members from Senator Mimi Walters' office toured Fairview Developmental Center and Harbor Village on August 8, 2014.
- *Disability Rights California (DRC).* Mr. Landauer continues to meet with Ms. Catherine Blakemore, DRC Executive Director, to discuss the decertification of Sonoma Developmental Center (SDC) and the loss of federal dollars to that facility.
- *Board of Directors' Recruitment.* Mr. Landauer, Ms. Oliveri and Mr. Ray Ceragioli, President of Fairview Family and Friends, discussed the possibility of adding the parent of a consumer residing at FDC to RCOC's Board of Directors. A recruitment announcement was placed in the Fairview Family and Friends newsletter.
- *National Core Indicators (NCI).* Mr. Landauer and Dr. Christian attended a meeting at DDS on July 29, 2014, to discuss how the NCI data can complement Performance Contract information and how to help regional centers use the data to improve services and supports.
- *California Employment Consortium for Youth (CECY).* Dr. Olivia Raynor, CECY Program Director, is eager to partner with RCOC in assisting youth with developmental disabilities in the transition from school to integrated competitive employment. RCOC, CECY, Irvine Unified School District and the North Orange County Community College District (NOCCCD) will host a Community Conversation on integrated competitive employment on October 22, 2014 at NOCCCD.

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- *Integrated Competitive Employment.* Dr. Janis White met with adult transition program staff members from the Santa Ana Unified School District and the Irvine Unified School District in August to discuss the move towards offering integrated competitive employment to all of the individuals we serve. RCOC's service coordinators will receive training on the role of the service coordinator at Individualized Transition Program (ITP) meetings. RCOC's managers and supervisors will emphasize the importance of service coordinator attendance at all ITP meetings for consumers between the ages of 18 and 22.
- *RCOC's Housing Community Advisory Council (CAC).* RCOC's Housing CAC continues to be involved with several Orange County cities that are interested in expanding housing opportunities for people with disabilities.
- *Benefits Presentation.* Ms. Suzanne Butler, RCOC's Benefits Specialist, presented on Working While Maintaining Eligibility for Benefits on July 16, 2014. Approximately 100 people attended the presentation.
- *Chinese Parents Association for the Disabled.* Mr. Landauer presented at the Chinese Parents Association for the Disabled on the topic of self-determination.
- *Orange County Business Council.* RCOC is now a member of the Orange County Business Council (OCBC). RCOC hopes to cultivate strong relationships with other OCBC members and to encourage Orange County businesses to hire the individuals we serve.
- *CalOptima.* Mr. Landauer continues to meet regularly with the Chief Executive Officer of CalOptima.
- *Garden Villa.* Mr. Landauer reported that 13 beds are now eligible for federal funds due to completion of the second phase. The third phase is underway.
- *Out-of-State Consumers Update.* Mr. Landauer reported there are currently six consumers residing out-of-state. There are two homes under development for RCOC's out-of-state consumers.
- *2015 Special Olympics World Summer Games.* The games will be held in Los Angeles where more than 7,000 athletes from 170 nations will compete in 21 sporting events. RCOC will be involved in publicizing the event. There will be many opportunities for volunteering as the event nears.
- *2015 Performance Contract Presentation.* Approximately 90 individuals attended the Performance Contract presentation at RCOC on August 20, 2014.

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September 4, 2014***

- *Tustin National Night Out.* RCOC staff members set up a booth at the Tustin National Night Out event on August 5, 2014.
1. Operations Report, June 2014: This item was presented for information only. There were no questions about the report.
 2. Operations Report, July 2014: This item was presented for information only. There were no questions about the report.
 3. Performance Contract, June 2014: This item was presented for information only. There were no questions about the report.
 4. Performance Contract, July 2014: This item was presented for information only. There were no questions about the report.

E. Community Forum

Mr. Sam Durbin stated that there will be a self-determination conference on October 25, 2014. The focus of the conference will be on end-of-life decisions. Mr. Durbin announced that Integrity House has started to work on the 2015 Spotlight Awards. Mr. Durbin stated that he has completed his second book. A book-signing event will be held on Friday, September 26, 2014.

F. Vendor Advisory Committee

Mr. Mark Antenucci reported that Ms. Nancy Cross was nominated by the VAC as a member and for Chair of the Adult Behavior Management Programs Subcommittee.

1. Approval of Nancy Cross as Member of Vendor Advisory Committee and Chair of Adult Behavior Management Programs Subcommittee for the Term Commencing September 4, 2014 and Ending May 31, 2015

M/S/C to approve the Vendor Advisory Committee Member and Chair as presented.

Mr. Antenucci shared that the Residential Service Providers Committee continues to work with the Orange County Fire Authority on developing best practices for fire safety in Community Care Facilities. Mr. Antenucci stated that VAC members are aware that a Board of Directors' packet is posted on the RCOC website a week prior to each Board of Directors' meeting. VAC members requested that a summary of the Board packet be made available to the Committee. Mr. Antenucci reported that several vendors have submitted a letter to DDS that contains an analysis of vendor rates in comparison to the Consumer Price Index.

G. Recruitment and Training Committee

Mr. Alan Martin reported that the committee discussed Tam Nguyen's application and interview. The committee recommended Mr. Nguyen for appointment to the Board of Directors.

1. Approval of Board Membership for Tam Nguyen for a One-Year Term Commencing January 1, 2015 and Ending December 31, 2015

M/S/C to approve the Board Membership for Tam Nguyen for a One-Year Term Commencing January 1, 2015 and Ending December 31, 2015.

H. Consumer Advisory Team

Ms. Sylvia Delgado reported that the Consumer Advisory Team (CAT) met on August 20, 2014. Ms. Delgado shared with Team Members her plans to participate in the 24th Annual Children's Hospital of Orange County (CHOC) Walk in the Park on Sunday, October 12, 2014. Jyusse Corey, RCOC's Consumer Advocate, shared with Team Members that he will attend an upcoming event on housing. Mr. Robert Gebo, Paratransit Administrator for Orange County Transportation Authority (OCTA), shared with Team Members a recent change in OCTA's no-show policy. The previous policy would allow all riders three no-show occurrences in one calendar month, resulting in a thirty day suspension notice after the third occurrence. The new policy will use a formula to calculate the number of allowed no-shows based on frequency of ridership per individual. Mr. Gebo also shared that OCTA plans to mail out a survey to riders regarding OCTA's overall performance throughout the past four years. Mr. Jack Stanton presented the 2015 Performance Contract to Team Members. Ms. Delgado announced that the Rehabilitation Institute of Southern California in Orange will host an open house event on September 17, 2014.

I. Policies and Outcomes Committee

Mr. Cliff Amsden reported that the next meeting is scheduled for September 15, 2014.

J. Executive Committee

Mr. Martin reported that the committee met on August 25, 2014. The committee discussed the new relationship between RCOC and the Orange County Business Council.

K. ARCA Report

Ms. Oliveri reported that the Centers of Medicare & Medicaid Services will require all states to submit an implementation plan. The implementation plans will outline how each state will comply with the new CMS regulations for home and community-based

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services. Ms. Oliveri shared that ARCA's contract negotiating committee will review regional center contracts with DDS. ARCA will form a committee to obtain data to track how well regional centers are reaching out to ethnically diverse populations. Ms. Oliveri stated that ARCA is in the process of reviewing its strategic plan.

L. Chairperson's Report

Mr. Martin stated his wish to recognize two individuals: Kennard Smart, Esquire, and Mr. Joseph DeCarlo. Mr. Landauer shared that Mr. Smart, RCOC's Corporate Counsel for many years, is retiring. Mr. Landauer expressed his appreciation for Mr. Smart's work with the Board of Directors and he presented Mr. Smart with a small gift. Mr. DeCarlo's term on the Board will end on September 5, 2014. Mr. Martin thanked Mr. DeCarlo for his service and presented him with a plaque.

M. 2015 Performance Contract Presentation

Mr. Jack Stanton presented the 2015 Performance Contract.

II. Adjournment

The meeting was adjourned at 7:45 p.m.

Sylvia Delgado, Secretary

Recorder: Nicole Barrios

**Regional Center of Orange County
Budget and Finance Committee
Minutes
September 4, 2014**

Committee Members Present: Robert Costello, Chair
Kathy McCrystal

Committee Members Absent: Clifford Amsden

Other Board Members Present: Mark Antenucci
Sylvia Delgado
Luke Franck
Peter Kuo
Fernando Peña
Palak Shah
Hilda Sramek

RCOC Staff Present: Bette Baber, Chief Financial Officer
Larry Landauer, Executive Director
Marta Vasquez, Controller
Raudel Perez, Administrator
Veronica Flores, Accounting Manager
Nicole Barrios, Training and Organizational Specialist

The meeting was called to order at 4:05 p.m.

1. Monthly Sufficiency of Allocation Report (SOAR), June 2014

Ms. Baber reported that RCOC ended the fiscal year with a deficit of approximately \$18.1 million. The regional center system ended the fiscal year with a projected deficit in the range of \$89 to \$93 million.

2. Monthly Sufficiency of Allocation Report (SOAR), July 2014

Ms. Baber reported that RCOC had received the A-1 budget amendment for the current fiscal year which would be used to determine the sufficiency or deficiency of the allocation. Ms. Baber mentioned a number of factors that will increase expenditures this fiscal year: the minimum wage increase from \$8.00 to \$9.00 will raise rates for vendors who were paying employees less than \$9.00 per hour, the restoration of Early Start eligibility criteria in January 2015, and the number of consumers who will graduate from school to regional center funded adult day programs. Ms. Baber said that regional center expenditures for behavior services should decline now that Medi-Cal is required to cover the cost of Behavioral Health Treatment; however, it is unknown how quickly the

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September 4, 2014

coverage will be provided. At this time, the Department of Health Care Services (DHCS) is accepting public comment on a draft of the State Plan Amendment that DHCS will submit to the Centers for Medicare & Medicaid Services requesting approval to include Behavioral Health Treatment as a covered Medi-Cal service for individuals who are under 21 years of age with Autism Spectrum Disorder.

3. Budget Amendment A-1, Fiscal Year 2014-15

DDS allocated an additional \$47 million to RCOC.

There was a discussion about the number of fair hearings and how it is presented in the Operations Report each month. Staff turnover and hiring were also discussed.

The meeting was adjourned at 4:38 p.m.

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION X
ACTION/CONSENT
DISCUSSION
INFO ONLY

DATE: October 2, 2014

TO: RCOC Board of Directors

FROM: Budget and Finance Committee

SUBJECT: Approval of Monthly Sufficiency of Allocation Report, August 2014

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: September 23, 2014

To: Board of Directors

From: Budget and Finance Committee

Subject: Highlights – August 2014 Sufficiency of Allocation Report (SOAR)

Purchase of Service (POS)

RCOC has received the planning allocation that staff will use to determine the sufficiency or deficiency of the allocation. The first SOAR is due to the Department of Developmental Services on December 10, 2014.

There are several factors that will increase expenditures this fiscal year: increase in the minimum wage will raise some vendors' rates, restoration of the Early Start eligibility criteria in January 2015, the number of consumers who will graduate from school to adult day programs and caseload growth.

RCOC's caseload growth in fiscal year 2013-14 was 4.2%, an increase of 733 consumers. RCOC's caseload growth in this fiscal year is 166 consumers, an annualized caseload growth of 5.5%. In the same period, the regional center system grew by 1,663 consumers, an annualized caseload growth of 3.7%.

Operations

RCOC will be within budget for both Operating Expense and Personal Services.

Monthly Sufficiency of Allocation Report
As of August 31, 2014

		A	B	C	D	E	F	G	H
			ACTUAL	PROJECTED	SOAR	VARIANCE			
		A-1	SPENT	EXPENDITURES	PROJECTED	(column A-D)/A	(column A-D)	CHANGE	
PURCHASE OF SERVICE		ALLOCATION	YEAR TO DATE	AT "RUN RATE"	EXPENDITURES	%	AMOUNT	FROM PRIOR	SPENT
					(n/a)	YEAR TO DATE		MO. REPORTED	PRIOR YEAR
(1)	Licensed Residential Care	\$52,764,437	\$8,904,603	\$56,828,796	\$0	n/a	n/a	n/a	\$52,722,553
(2)	Day Care	3,105,156	450,319	3,115,404	0	n/a	n/a	n/a	3,067,620
(3)	Day Training	44,923,946	7,378,446	49,072,188	0	n/a	n/a	n/a	44,574,713
(4)	Habilitation	9,417,151	1,053,056	9,582,924	0	n/a	n/a	n/a	9,347,683
(5)	Transportation	12,340,886	822,035	12,330,525	0	n/a	n/a	n/a	11,837,705
(6)	Respite	12,518,629	791,959	12,504,616	0	n/a	n/a	n/a	12,164,777
(7)	Supported Living	26,929,532	4,404,209	27,816,728	0	n/a	n/a	n/a	26,869,291
(8)	Non-medical	24,557,960	2,918,548	35,022,576	0	n/a	n/a	n/a	37,538,863
(9)	Medical	2,730,993	451,392	2,708,352	0	n/a	n/a	n/a	2,660,246
(10)	Other	36,021,122	3,221,248	27,762,884	0	n/a	n/a	n/a	35,748,160
(11)	Early Start (Age 0-3)	21,403,940	3,445,791	24,572,988	0	n/a	n/a	n/a	21,320,599
(12)	Community Placement Plan	1,126,386	3,850	46,200	0	n/a	n/a	n/a	11,550
(13)	Purchase of Service Total	247,840,136	33,845,456	261,364,180	0	0%	0	0	257,863,760
OPERATIONS									
(14)	Operating Expense (Gross)	6,600,000	1,424,351	8,546,107	6,600,000	0%	0	0	5,480,300
(15)	Less Interest Income	(100,000)	(14,290)	(85,738)	(100,000)	-0%	0	0	(107,993)
(16)	Operating Expense (Net)	6,500,000	1,410,061	8,460,369	6,500,000	0%	0	0	5,372,307
(17)	Personal Services	26,464,998	4,091,277	24,547,664	26,464,998	0%	0	0	22,571,823
(18)	Family Resource Center	140,397	15,326	91,956	140,397	0%	0	0	137,766
(19)	Clinical Team	1,143,283	106,413	638,480	1,143,283	0%	0	0	615,657
(20)	Prevention*	122,817	16,833	101,000	122,817	0%	0	0	122,817
(21)	Operations Total	34,371,495	5,639,911	33,839,469	34,371,495	0%	0	0	28,820,370
(22)	Total	\$282,211,631	\$39,485,367	\$295,203,649	\$34,371,495	0%	\$0	\$0	\$286,684,130

* Prevention Resources and Referral Services contract with Family Resource Centers Network of California

** 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 AUGUST 31, 2014

ASSETS	GENERAL FUND	CUSTODIAL FUND
CURRENT ASSETS		
Petty cash	\$300.00	
Checking	17,769,017.19	
Savings	4,391.60	\$1,246,002.83
Money market	0.00	
Payroll	63,871.22	
Donations	47,230.55	
Unemployment	157,229.04	
Certificate of deposit	0.00	
Total current assets	18,042,039.60	1,246,002.83
RECEIVABLES		
State claim	38,280,962.13	
Client support revenue	683,222.84	20,215.70
Due from State - prior years	65,060,696.28	
Due from ICF - ICF Supplemental Services	4,365,625.26	
Total receivables	108,390,506.51	20,215.70
PREPAID ITEMS		
Deposits	284,781.99	
Prepaid expense	0.00	
Total prepaid items	284,781.99	0.00
OTHER ASSETS		
Tenant improvements	532,963.81	
Building acquisition	63,613.98	
Total other assets	596,577.79	0.00
TOTAL ASSETS	\$127,313,905.89	\$1,266,218.53
LIABILITIES AND FUND BALANCES		
LIABILITIES		
Accounts payable	\$15,088,597.01	\$683,222.84
Due to State - ICF Supplemental Services	5,964,735.31	
Loans payable	0.00	
Cash advance	106,056,113.98	
Unemployment insurance	157,229.04	
Total liabilities	127,266,675.34	683,222.84
FUND BALANCES		
General	0.00	
Donations	47,230.55	
Custodial		582,995.69
TOTAL LIABILITIES AND FUND BALANCES	\$127,313,905.89	\$1,266,218.53

REGIONAL CENTER OF ORANGE COUNTY
BRIAN'S FUND
AUGUST 31, 2014

Beginning Balance \$48,472.55

Donations:

MOMS Club of Aliso Viejo	\$100.00
Network for Good	100.00
AT&T	<u>20.00</u>

Subtotal Donations \$220.00

Loan Payments 145.00

Interest 0.00

Disbursements:

Eyeglasses	-240.00
Security deposit	-500.00
Deposit and rent	<u>-867.00</u>

Subtotal Disbursements -1,607.00

Net Increase (Decrease) -1,242.00

Ending Balance \$47,230.55



Summary of Consumer Information - August 2014

NUMBER OF PERSONS SERVED	18,317	100%
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Children - Birth to Age Three Receiving Early Start Services	2,697	15%
Children - Ages Three to 17 Receiving Lanterman Services	6,145	34%
Adults - Ages 18 and Older Receiving Lanterman Services	9,475	52%

Children - Birth to Age Three Receiving Prevention Resource and Referral Services	343
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Children and Adults - Ages Three and Older Receiving Lanterman Services with the Following Diagnoses:

Intellectual Disability	11,389	73%
Epilepsy	2,878	19%
Cerebral Palsy	2,664	17%
Autism	4,719	30%
Fifth Category*	964	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	293
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Early Start / Under Age Three / 45 days to complete determination	249	85%
Lanterman / Over Age Three / 120 days to complete determination*	44	15%

* 22 children who had received Early Start services were determined eligible for Lanterman services. Of these, 11 children had a diagnosis of autism.

NUMBER OF PERSONS DETERMINED ELIGIBLE	272
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Children - Birth to Age Three Eligible for Early Start Services	206
Children and Adults - Ages Three and Older Eligible for Lanterman Services	60

Children - Birth to Age Three Eligible for Prevention Resource and Referral Services	6
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NUMBER OF CHILDREN NO LONGER ELIGIBLE FOR EARLY START AND PREVENTION RESOURCE AND REFERRAL SERVICES	157
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Children - Age Three No Longer Eligible for Early Start Services	152
Children - Age Three No Longer Eligible for Prevention Resource and Referral Services	5

REGIONAL CENTER OF ORANGE COUNTY



OPERATIONS REPORT

AUGUST 2014 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 2014-15

- 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	24	12				
Unannounced	43	19				
<i>Total Number of Reviews</i>	<i>67</i>	<i>31</i>	<i>0</i>	<i>0</i>	<i>0</i>	<i>0</i>

Provider Trainings	0	0				
Technical Support	85	88				
Corrective Action Plan	7	5				
Special Incident Investigation*	36	24				

	Jan.	Feb.	Mar.	Apr.	May	June	Total
Annual Review							36
Unannounced							62
<i>Total Number of Reviews</i>	<i>0</i>	<i>0</i>	<i>0</i>	<i>0</i>	<i>0</i>	<i>0</i>	<i>98</i>

Provider Trainings							0
Technical Support							173
Corrective Action Plan							12
Special Incident Investigation*							60

* 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 decubitus;
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:

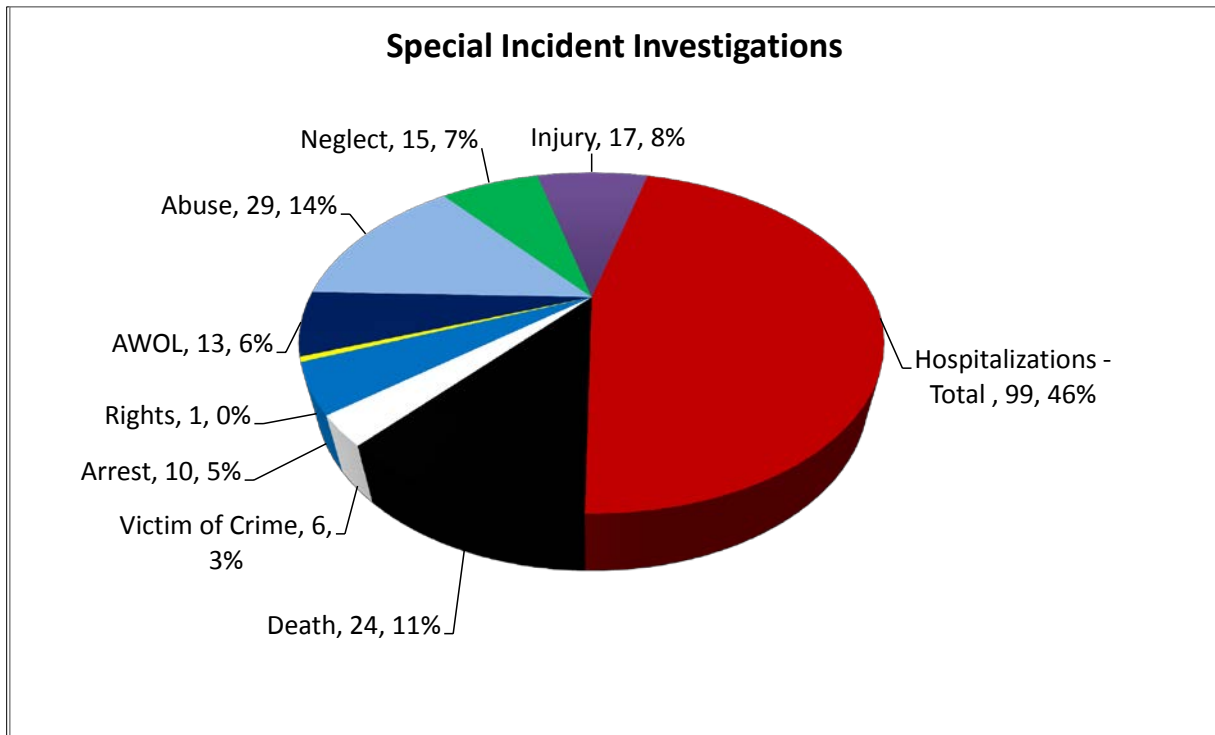
1. Robbery, including theft using a firearm, knife, or cutting instrument or other dangerous weapons or methods which force or threaten a victim;
2. Aggravated assault, including a physical attack on a victim using hands, fist, feet or a firearm, knife or cutting instrument or other dangerous weapon;
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 2014-15

Type of Incident	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
AWOL	7	6				
Abuse	11	18				
Neglect	7	8				
Injury	10	7				
Hospitalizations - Total	55	44				
<i>Psychiatric</i>	16	9				
<i>Medical</i>	39	35				
Death	10	14				
Victim of crime	2	4				
Arrest	5	5				
Rights	0	1				
Total	107	107	0	0	0	0

Type of Incident	Jan.	Feb.	Mar.	Apr.	May	June	Total
AWOL							13
Abuse							29
Neglect							15
Injury							17
Hospitalizations - Total							99
<i>Psychiatric</i>							25
<i>Medical</i>							74
Death							24
Victim of Crime							6
Arrest							10
Rights							1
Total	0	0	0	0	0	0	214



- COMMUNITY LIFE continued

Guiding Principle

Provider Audits
Fiscal Year 2014-15

Number of Audits / Appeals / Recoveries

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

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

State Appeal	0	0				
Recovery	1	0				

Audit Findings (Dollar Amount)

<i>Amount of Recovery</i>	\$4,305.45	\$0.00				
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Type of Audit	Jan.	Feb.	Mar.	Apr.	May	June	Total
Service Billing							1
Staffing							0
Level 4I Consultant							0
P&I (consumer funds)							4
Total Number of Audits	0	0	0	0	0	0	5

Number of Appeals / Recoveries

State Appeal							0
Recovery							1

Audit Findings (Dollar Amount)

<i>Amount of Recovery</i>							\$4,305.45
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Operations Report, Fiscal Year 2014-15

- 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 2014-15

Number of Authorizations for Voucher Services

July through December	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Day Care - Family Member	102	123				
Diapers - Family Member	4	5				
Nursing Service - Family Member	33	36				
Respite Service - Family Member	254	261				
Transportation - Family Member	206	208				
<i>Total Number of Voucher Authorizations</i>	599	633	0	0	0	0

Number of Authorizations for Voucher Services

January through June	Jan.	Feb.	Mar.	Apr.	May	June
Day Care - Family Member						
Diapers - Family Member						
Nursing Service - Family Member						
Respite Service - Family Member						
Transportation - Family Member						
<i>Total Number of Voucher Authorizations</i>	0	0	0	0	0	0



Operations Report, Fiscal Year 2014-15

- 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	No Data Available	No Data Available				
School District						
Physician						
Mental Health						
Rescreen						
Dental						
Optometrist						
Insurance						
Other						
Total Number of Referrals	0	0	0	0	0	0

<i>Number of Children Screened</i>						
------------------------------------	--	--	--	--	--	--

January through June	Jan.	Feb.	Mar.	Apr.	May	June	Total
Referrals to:							
Regional Center of Orange County							0
School District							0
Physician							0
Mental Health							0
Rescreen							0
Dental							0
Optometrist							0
Insurance							0
Other							0
Total Number of Referrals	0	0	0	0	0	0	0

<i>Number of Children Screened</i>							0
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Operations Report, Fiscal Year 2014-15

- 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.

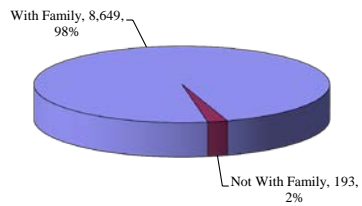
Consumers live in homes where they receive love and nurturing and where they can form relationships.

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

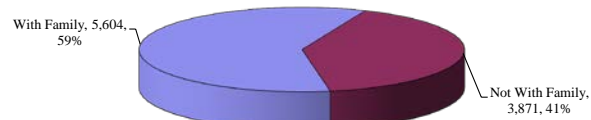
As of August 31, 2014

	Consumers All	Consumers Under 18	Consumers Over 18
With Family	14,253	8,649	5,604
Not With Family	4,064	193	3,871
Total	18,317	8,842	9,475

Where Consumers Under 18 Live



Where Consumers Over 18 Live



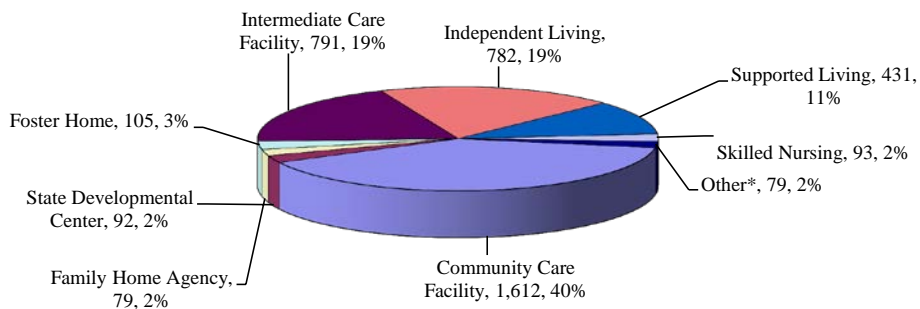
LIVING OPTIONS continued

As of August 31, 2014

	Consumers All	Consumers Under 18	Consumers Over 18
Family Home	14,253	8,649	5,604
Community Care Facility	1,612	52	1,560
State Developmental Center	92	0	92
Family Home Agency	79	0	79
Foster Home	105	99	6
Intermediate Care Facility	791	13	778
Independent Living	782	0	782
Supported Living	431	0	431
Skilled Nursing	93	0	93
Other*	79	29	50
Total	18,317	8,842	9,475

Other*			
Acute General Hospital	2	0	2
California Youth Authority	0	0	0
Community Treatment	0	0	0
Correctional Institution	0	0	0
County Jail	0	0	0
Other	6	2	4
Out of State	6	0	6
Psychiatric Treatment	3	0	3
Rehabilitation Center	2	0	2
SDC / State Hospital	0	0	0
Sub-Acute	55	27	28
Transient / Homeless	5	0	5
Total, Other*	79	29	50

Where Consumers Live When Not With Family





Operations Report, Fiscal Year 2014-15

LIVING OPTIONS continued

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

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.

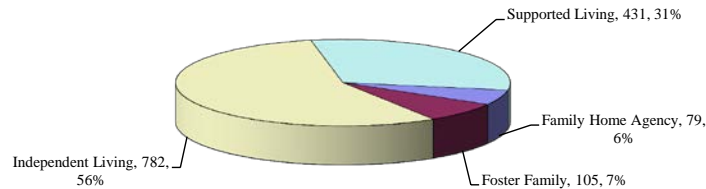
Supported Living

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

As of August 31, 2014

Other Living Options	Total	Under 18	Over 18
Family Home Agency	79	0	79
Foster Family	105	99	6
Independent Living	782	0	782
Supported Living	431	0	431
Total	1,397	99	1,298

Other Living Options





Operations Report, Fiscal Year 2014-15

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 2014-15

LIVING OPTIONS continued

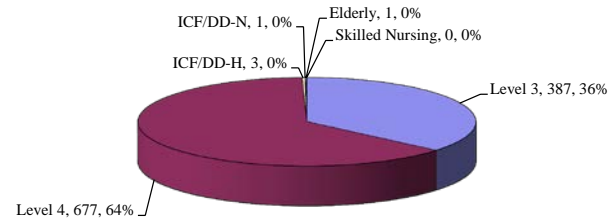
As of August 31, 2014

Consumers Who Reside in Licensed Facilities, Services Funded by RCOC

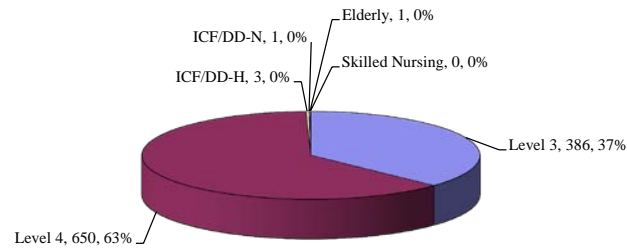
Licensed Facilities	Total	Over 18	Under 18
Level 2	467	467	0
Level 3	387	386	1
Level 4A	44	44	0
Level 4B	4	4	0
Level 4C	52	52	0
Level 4D	48	48	0
Level 4E	44	44	0
Level 4F	88	88	0
Level 4G	30	30	0
Level 4H	12	12	0
Level 4I	355	328	27
Elderly	1	1	0
ICF/DD-H	3	3	0
ICF/DD-N	1	1	0
ICF/DD	0	0	0
Skilled Nursing	0	0	0
Total	1,536	1,508	28

Licensed Facilities Summary	Total	Over 18	Under 18
Level 2	467	467	0
Level 3	387	386	1
Level 4	677	650	27
ICF/DD-H	3	3	0
ICF/DD-N	1	1	0
Elderly	1	1	0
Skilled Nursing	0	0	0
Total	1,536	1,508	28

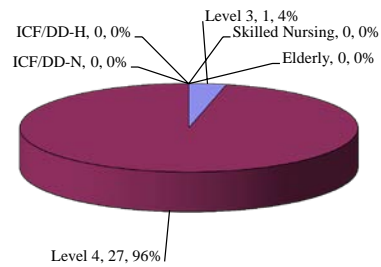
**Consumers Who Reside in Licensed Facilities
Services Funded by RCOC**



**Consumers Over Age 18 Who Reside in Licensed Facilities
Services Funded by RCOC**



**Consumers Under Age 18 Who Reside in Licensed Facilities
Services Funded by RCOC**





Operations Report, Fiscal Year 2014-15

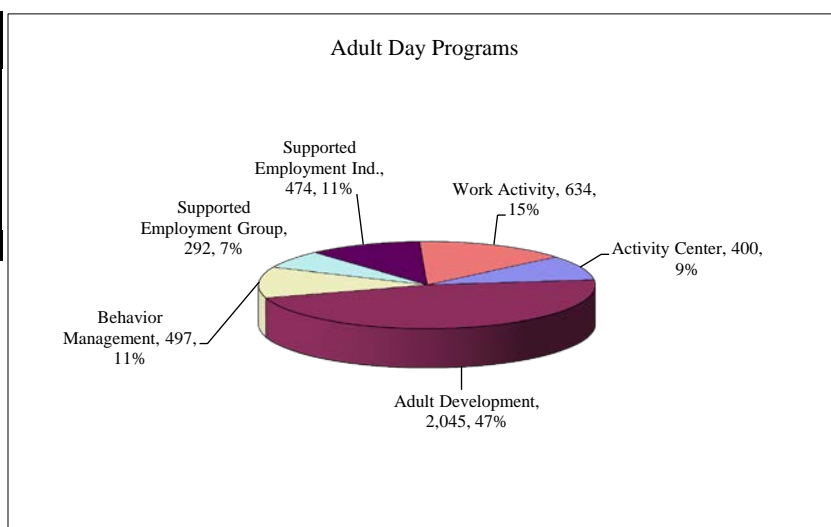
- WORK

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 August 31, 2014

	Consumers Over 18
Activity Center	400
Adult Development	2,045
Behavior Management	497
Supported Employment Group	292
Supported Employment Ind.	474
Work Activity	634
Total	4,342



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.



Operations Report, Fiscal Year 2014-15

- 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)	241.0	240.0				
Number of Case-carrying SCs	217.0	217.0				
Number of Intake SCs	23.0	22.0				
Number of State Developmental Center SCs	1.0	1.0				
Number of Active Consumers	18,137	18,196				
Caseload Ratio, Number of Active Consumers/SCs	83.6	83.9	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!

January through June	Jan.	Feb.	Mar.	Apr.	May	June
Number of Service Coordinators (SC)						
Number of Case-carrying SCs						
Number of Intake SCs						
Number of State Developmental Center SCs						
Number of Active Consumers						
Caseload Ratio, Number of Active Consumers/SCs	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!

Operations Report, Fiscal Year 2014-15

- SERVICE PLANNING AND COORDINATION continued

Fair Hearing Monthly Summary

[illegible]

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

**** Other issues include but are not limited to driver's training, dental treatment and living options.**

[illegible]

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

**** Other issues include but are not limited to early start insurance**

[illegible][illegible]

* Meetings in process of being scheduled; meetings on schedule but not yet held; meetings scheduled but not held due to continuances.

[illegible]

* *State Level Fair Hearing (SLFH) held but awaiting decision.*

[illegible]

State Level Fair Hearing Decisions

[illegible]



Operations Report, Fiscal Year 2014-15

- 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.

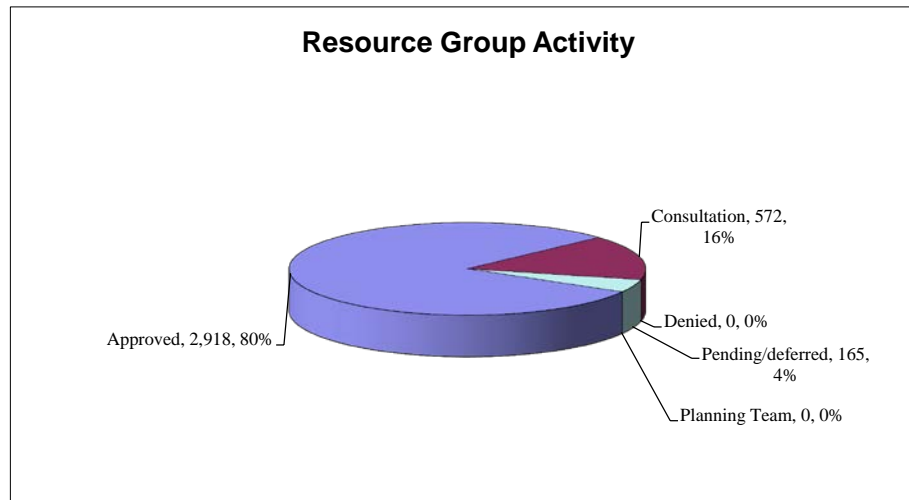
The public funds that support the service system are expended in a fashion that is cost-effective, consumer directed, consistent with good business practices, and that reflects careful stewardship.

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 August 2014 and Fiscal Year to Date

Disposition	Adult Day	Behavioral	Education	Eligibility/ Health	Early Start	Living Options	Supported/ Ind. Living	All Others	Total	Fiscal Year 2014-15
Approved	379	582	0	278	625	197	180	677	2,918	3,055
Consultation	154	112	0	12	63	151	62	18	572	905
Denied	0	0	0	0	0	0	0	0	0	0
Pending/deferred	0	30	0	11	77	3	10	34	165	293
Planning Team	0	0	0	0	0	0	0	0	0	0
Total	533	724	0	301	765	351	252	729	3,655	4,253





Operations Report Summary - August 2014

Consumer Information	Early Start	Medicaid Waiver	All Other	State Developmental Center	Total	Under 18	Over 18
Number of Persons Served	2,697	6,820	8,708	92	18,317	8,842	9,475
Percentage of Total	15%	37%	48%	1%	100%	48%	52%

Children served in Prevention Resource and Referral Services	343		
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Consumers by Residence Status	All	Under 18	Over 18	Special Incident Investigations	Year to Date
Family Home	14,253	8,649	5,604	AWOL	13
Community Care Facility	1,612	52	1,560	Abuse	29
State Developmental Center	92	0	92	Neglect	15
Family Home Agency	79	0	79	Injury	17
Foster Home	105	99	6	Hospitalizations - Total	99
Intermediate Care Facility	791	13	778	Death	24
Independent Living	782	0	782	Victim of crime	6
Supported Living	431	0	431	Arrest	10
Skilled Nursing	93	0	93	Rights	1
Other	79	29	50		
Total	18,317	8,842	9,475	Total	214

Number of Licensed Facilities	Total	Under 18	Over 18	Licensed Facility Monitoring	Year to Date
Community Care Facilities				Annual Review	36
Level 2	90	0	90	Unannounced	62
Level 3	63	1	62	Total Number of Reviews	98
Level 4	142	18	124	Provider Trainings	0
Total Community Care Facilities	295	19	276	Technical Support	173
				Corrective Action Plan	12
Intermediate Care Facilities (ICF)				Number of Audits	5
ICF-DD	1				
ICF-DD/Habilitation	84			Amount of Recovery from Audits	\$4,305
ICF-DD/Nursing	35				
Total ICF Facilities	120				
Total Licensed Facilities	415				

Performance Contract Summary

RCOC 9/01/2014	All	RCOC #	Goal	Percentage	# Attained
Developmental Center (DC)	18,310	92	90	0.50%	-2
Children in Foster Homes (FH)	8,837	99	110	1.12%	-11
Children Own Home Parent/Guardian	8,837	8,645	8400	97.83%	245
Total # Children (FH,Parent/Guardian)	8,837	8,744	8,510	98.95%	234
Adult FHA	9,381	79	90	0.84%	-11
Independent Living (IL)	9,381	783	795	8.35%	-12
Adults Residing Own Home - Parent	9,381	5,605	5,370	59.75%	235
Supported Living (SL)	9,381	429	420	4.57%	9
Total # Adults (FHA, IL,Parent/Guardian, SL)	9,381	6,896	6,675	73.51%	221
Children Residing in a CCF (7+ beds)	8,837	2	0	0.02%	-2
Children Residing in a ICF (7+ beds)	8,837	1	1	0.01%	0
Children Residing in a Nursing Facility (7+ beds)	8,837	0	0	0.00%	0
Total Children Residing in 7+ bed facilities	8,837	3	1	0.03%	-2
Adults Residing in a CCF (7+ beds)	9,381	173	125	1.84%	-48
Adults Residing in a ICF (7+ beds)	9,381	118	108	1.26%	-10
Adults Residing in a Nursing Facility (7+ beds)	9,381	92	88	0.98%	-4
Total Adults Residing in 7+ bed facilities	9,381	383	321	4.08%	-62
Total Individuals Over Age 3 with <=120 days	198	198	100.00%	100.00%	100.00%
Total Individuals Over Age 3 with 121-240 days	198	0	0.00%	0.00%	0.00%
Total Individuals Over Age 3 Over 240 days	198	0	0.00%	0.00%	0.00%

Performance Contract 2014 Cover Sheet



= Better than Statewide Average



= Below Regional Center of Orange County Goal



= Met Regional Center of Orange County Goal



= Met or Exceeded Regional Center of Orange County 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.

Performance Contract 2014

I. Developmental Center

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

	Percentage	All consumers	Consumers in DC			
Statewide Average	0.57%	263,653	1,505			
RCOC Public Hearing 8/14/2013	0.64%	17,389	112	Goal	%	# Attained
RCOC 9/01/2014	0.50%	18,310	92	90	0.50%	-2
Analysis as of Public Hearing	RCOC % of DD population		6.60%	RCOC % of DC population		7.44%

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 2012/2013 RCOC has moved 11 consumers from the Developmental Centers into the community. During Public Meetings in August 2013, RCOC had 101 or 0.58% in Developmental Centers.

Number of Consumers Residing DCs



	Total Active Caseload	Goal	DC	%	Number Attained
Jan-14	17,836	90	94	0.53%	-4
Feb-14	17,865	90	95	0.53%	-5
Mar-14	17,942	90	93	0.52%	-3
Apr-14	18,007	90	93	0.52%	-3
May-14	18,047	90	94	0.52%	-4
Jun-14	18,148	90	93	0.51%	-3
Jul-14	18,250	90	93	0.51%	-3
Aug-14	18,310	90	92	0.50%	-2
Sep-14		90			
Oct-14		90			
Nov-14		90			
Dec-14		90			

Below Goal



Performance Contract 2014

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
- 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 78, or .93%, children caseload in foster homes.

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

	Percentage	All children consumers	Consumers in FH			
Statewide Average	2.18%	124,439	2,711			
RCOC Public Hearing 8/14/2013	0.93%	8,400	78	Goal	%	# Attained
RCOC 9/1/2014	1.12%	8,837	99	110	1.12%	-11
Analysis as of Public Hearing	RCOC % of DD population		6.75%	RCOC % of FH population		2.88%

	Total Children Status 1&2	Goal	Child Consumers in Foster Homes	%	Number Attained
Jan-14	8,557	110	95	1.11%	-15
Feb-14	8,565	110	97	1.13%	-13
Mar-14	8,632	110	91	1.05%	-11
Apr-14	8,667	110	91	1.05%	-19
May-14	8,684	110	88	1.01%	-22
Jun-14	8,748	110	94	1.07%	-16
Jul-14	8,824	110	101	1.14%	-9
Aug-14	8,837	110	99	1.12%	-11
Sep-14		110			
Oct-14		110			
Nov-14		110			
Dec-14		110			



Progress: B. During public meetings, RCOC had 8,223, or 97.89%, 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	96.74%	124,439	120,378			
RCOC Public Hearing 8/14/2013	97.89%	8,400	8,223	Goal	%	# Attained
RCOC 9/1/2014	97.83%	8,837	8,645	8,400	97.83%	245
Analysis as of Public Hearing	RCOC % of DD population		6.75%	RCOC % of FH population		6.83%



	Total Children Status 1&2	Goal	Consumers in own home Parent/Guardian	%	Number Attained
Jan-14	8,557	8,400	8,368	97.79%	-32
Feb-14	8,565	8,400	8,374	97.77%	-26
Mar-14	8,632	8,400	8,448	97.87%	48
Apr-14	8,667	8,400	8,483	97.88%	83
May-14	8,684	8,400	8,506	97.95%	106
Jun-14	8,748	8,400	8,563	97.89%	163
Jul-14	8,824	8,400	8,631	97.81%	231
Aug-14	8,837	8,400	8,645	97.83%	245
Sep-14		8,400			
Oct-14		8,400			
Nov-14		8,400			
Dec-14		8,400			

Exceeded Goal

Progress: C. During public meetings, RCOC had 8,301, or 98.82%, of children caseload in homes.

Total number and % of regional center children caseload in homes (This is a total of sections A and B above).

	Percentage	All children consumers	Total Number Children Consumers in Homes			
Statewide Average	98.92%	124,439	123,089			
RCOC Public Hearing 8/14/2013	98.82%	8,400	8,301	Goal	%	# Attained
RCOC 9/1/2014	98.95%	8,837	8,744	8,510	98.95%	234
Analysis as of Public Hearing	RCOC % of DD population		6.75%	RCOC % of FH population		6.74%



	Total Children Status 1&2	Goal	Total Number Children Consumers in Homes	%	Number Attained
Jan-13	8,557	8,510	8,463	98.90%	-47
Feb-13	8,565	8,510	8,471	98.90%	-39
Mar-13	8,632	8,510	8,539	98.92%	29
Apr-13	8,667	8,510	8,574	98.93%	64
May-13	8,684	8,510	8,594	98.96%	84
Jun-13	8,748	8,510	8,657	98.96%	147
Jul-13	8,824	8,510	8,732	98.96%	222
Aug-13	8,837	8,510	8,744	98.95%	234
Sep-13		8,510			
Oct-13		8,510			
Nov-13		8,510			
Dec-13		8,510			

Exceeded Goal

Performance Contract 2014

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 79, or 0.89%, 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	0.84%	137,709	1,150			
RCOC Public Hearing 8/14/2013	0.89%	8,888	79	Goal	%	# Attained
RCOC 9/01/2014	0.84%	9,381	79	90	0.84%	-11
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		6.87%



	Total Adults Status 2	Goal	Consumers in Adult FHA	%	Number Attained
Jan-14	9,185	90	79	0.86%	-11
Feb-14	9,285	90	77	0.83%	-13
Mar-14	9,217	90	77	0.84%	-13
Apr-14	9,247	90	77	0.83%	-13
May-14	9,269	90	76	0.82%	-14
Jun-14	9,307	90	76	0.82%	-14
Jul-14	9,333	90	81	0.87%	-9
Aug-14	9,381	90	79	0.84%	-11
Sep-14		90			
Oct-14		90			
Nov-14		90			
Dec-14		90			



Progress: B. During public meetings, RCOC had 772, or 8.69%, 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			
Statewide Average	11.63%	137,709	16,009			
RCOC Public Hearing 8/14/2013	8.69%	8,888	772	Goal	%	# Attained
RCOC 9/01/2014	8.35%	9,381	783	795	8.35%	-12
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		4.82%

	Total Adults Status 2	Goal	Consumers in Independent Living	%	Number Attained
Jan-14	9,185	795	790	8.60%	-5
Feb-14	9,205	795	797	8.66%	2
Mar-14	9,217	795	796	8.64%	1
Apr-14	9,247	795	790	8.54%	-5
May-14	9,269	795	785	8.47%	-10
Jun-14	9,307	795	783	8.41%	-12
Jul-14	9,333	795	783	8.39%	-12
Aug-14	9,381	795	783	8.35%	-12
Sep-14		795			
Oct-14		795			
Nov-14		795			
Dec-14		795			



Progress: C. During public meetings, RCOC had 5185, or 58.34%, 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			
Statewide Average	57.99%	137,709	79,853			
RCOC Public Hearing 8/14/2013	58.34%	8,888	5,185	Goal	%	# Attained
RCOC 9/01/2014	59.75%	9,381	5,605	5,370	59.75%	235
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		6.49%



	Total Adults Status 2	Goal	Consumers Residing Own Home - Parent	%	Number Attained
Jan-14	9,185	5,370	5,427	59.09%	57
Feb-14	9,205	5,370	5,444	59.14%	74
Mar-14	9,217	5,370	5,444	59.06%	74
Apr-14	9,247	5,370	5,485	59.32%	115
May-14	9,269	5,370	5,505	59.39%	135
Jun-14	9,307	5,370	5,528	59.40%	158
Jul-14	9,333	5,370	5,552	59.49%	182
Aug-14	9,381	5,370	5,605	59.75%	235
Sep-14		5,370			
Oct-14		5,370			
Nov-14		5,370			
Dec-14		5,370			

Progress: D. During public meetings, RCOC had 410, or 4.61%, 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	5.63%	137,709	7,754			
RCOC Public Hearing 8/14/2013	4.61%	8,888	410	Goal	%	# Attained
RCOC 9/01/2014	4.57%	9,381	429	420	4.57%	9
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		5.29%

	Total Adults Status 2	Goal	Consumers Residing Supported Living	%	Number Attained
Jan-14	9,185	420	415	4.52%	-5
Feb-14	9,205	420	415	4.51%	-5
Mar-14	9,217	420	422	4.58%	2
Apr-14	9,247	420	423	4.57%	3
May-14	9,269	420	426	4.60%	6
Jun-14	9,307	420	428	4.60%	8
Jul-14	9,333	420	430	4.61%	10
Aug-14	9,381	420	429	4.57%	9
Sep-14		420			
Oct-14		420			
Nov-14		420			
Dec-14		420			

Exceeded
Goal



Progress: E. During public meetings, RCOC had 6,446, or 72.52%, 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	76.08%	137,709	104,766			
RCOC Public Hearing 8/14/2013	68.56%	8,888	6,094	Goal	%	# Attained
RCOC 9/01/2014	73.51%	9,381	6,896	6,675	73.51%	221
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		5.82%



	Total Adults Status 2	Goal	Total Number Consumers Home Settings	%	Number Attained
Jan-14	9,185	6,675	6,711	73.06%	36
Feb-14	9,205	6,675	6,733	73.15%	58
Mar-14	9,217	6,675	6,739	73.11%	64
Apr-14	9,247	6,675	6,675	73.27%	100
May-14	9,269	6,675	6,792	73.28%	117
Jun-14	9,307	6,675	6,815	73.22%	140
Jul-14	9,333	6,675	6,846	73.35%	171
Aug-14	9,381	6,675	6,896	73.51%	221
Sep-14		6,675			
Oct-14		6,675			
Nov-14		6,675			
Dec-13		6,675			

Performance Contract 2014

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 0, or 0.00%, 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)			
Statewide Average	0.03%	124,439	35			
RCOC Public Hearing 8/14/2013	0.00%	8,400	0	Goal	%	# Attained
RCOC 9/01/2014	0.02%	8,837	2	0	0.02%	-2
Analysis as of Public Hearing	RCOC % of DD population		6.75%	RCOC % of FH population		0.00%



	Total Children consumers status 1&2	Goal	Children Residing in a CCF (7+ beds)	%	Number Attained
Jan-14	8,557	0	1	0.01%	-1
Feb-14	8,565	0	2	0.02%	-2
Mar-14	8,632	0	2	0.02%	-2
Apr-14	8,667	0	1	0.01%	-1
May-14	8,684	0	1	0.01%	-1
Jun-14	8,748	0	1	0.01%	-1
Jul-14	8,824	0	1	0.01%	-1
Aug-14	8,837	0	2	0.02%	-2
Sep-14		0			
Oct-14		0			
Nov-14		0			
Dec-14		0			



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%	124,439	46			
RCOC Public Hearing 8/14/2013	0.02%	8,400	2	Goal	%	# Attained
RCOC 9/01/2014	0.01%	8,837	1	1	0.01%	0
Analysis as of Public Hearing	RCOC % of DD population		6.75%	RCOC % of FH population		4.35%



	Total Children consumers status 1&2	Goal	Children Residing in a ICF (7+ beds)	%	Number Attained
Jan-14	8,557	1	2	0.02%	-1
Feb-14	8,565	1	2	0.02%	-1
Mar-14	8,632	1	2	0.02%	-1
Apr-14	8,667	1	1	0.01%	0
May-14	8,684	1	1	0.01%	0
Jun-14	8,748	1	1	0.01%	0
Jul-14	8,824	1	1	0.01%	0
Aug-14	8,837	1	1	0.01%	0
Sep-14		1			
Oct-14		1			
Nov-14		1			
Dec-14		1			



Progress: C. During public meetings, RCOC had 1, or 0.01%, 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)			
Statewide Average	0.01%	124,439	13			
RCOC Public Hearing 8/14/2013	0.01%	8,400	1	Goal	%	# Attained
RCOC 9/01/2014	0.00%	8,837	0	0	0.00%	0
Analysis as of Public Hearing	RCOC % of DD population		6.75%	RCOC % of FH population		7.69%



	Total Children consumers status 1&2	Goal	Children Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-14	8,557	0	0	0.00%	0
Feb-14	8,565	0	0	0.00%	0
Mar-14	8,632	0	0	0.00%	0
Apr-14	8,667	0	0	0.00%	0
May-14	8,684	0	0	0.00%	0
Jun-14	8,748	0	0	0.00%	0
Jul-14	8,824	0	0	0.00%	0
Aug-14	8,837	0	0	0.00%	0
Sep-14		0			
Oct-14		0			
Nov-14		0			
Dec-14		0			



Progress: D. During public meetings, RCOC had 3, or 0.04%, 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			
Statewide Average	0.08%	124,439	94			
RCOC Public Hearing 8/14/2013	0.04%	8,400	3	Goal	%	# Attained
RCOC 9/01/2014	0.03%	8,837	3	1	0.03%	-2
Analysis as of Public Hearing	RCOC % of DD population		6.75%	RCOC % of FH population		3.19%



	Total Children consumers status 1&2	Goal	Total Children Residing in 7+ bed facilities	%	Number Attained
Jan-14	8,557	1	3	0.04%	-2
Feb-14	8,565	1	4	0.05%	-3
Mar-14	8,632	1	4	0.05%	-3
Apr-14	8,667	1	2	0.02%	-1
May-14	8,684	1	2	0.02%	-1
Jun-14	8,748	1	2	0.02%	-1
Jul-14	8,824	1	2	0.02%	-1
Aug-14	8,837	1	3	0.03%	-2
Sep-14		1			
Oct-14		1			
Nov-14		1			
Dec-14		1			



Performance Contract 2014

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 136, or 1.53%, 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 status 2	Adults Residing in a CCF (7+ beds)			
Statewide Average	1.57%	137,709	2,167			
RCOC Public Hearing 8/14/2013	1.53%	8,888	136	Goal	%	# Attained
RCOC 9/01/2014	1.84%	9,381	173	125	1.84%	-48
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		6.28%



	Total Adults Status 2	Goal	Adults Residing in a CCF (7+ beds)	%	Number Attained
Jan-14	9,185	125	161	1.75%	-36
Feb-14	9,205	125	163	1.77%	-38
Mar-14	9,217	125	167	1.81%	-42
Apr-14	9,247	125	167	1.81%	-42
May-14	9,269	125	163	1.76%	-38
Jun-14	9,307	125	164	1.76%	-39
Jul-14	9,333	125	171	1.83%	-46
Aug-14	9,381	125	173	1.84%	-48
Sep-14		125			
Oct-14		125			
Nov-14		125			
Dec-14		125			

Progress: B. During public meetings, RCOC had 119, or 1.34%, 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	0.79%	137,709	1,085			
RCOC Public Hearing 8/14/2013	1.34%	8,888	119	Goal	%	# Attained
RCOC 9/01/2014	1.26%	9,381	118	108	1.26%	-10
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		10.97%

	Total Adults Status 2	Goal	Adults Residing in a ICF (7+ beds)	%	Number Attained
Jan-14	9,185	108	121	1.32%	-13
Feb-14	9,205	108	120	1.30%	-12
Mar-14	9,217	108	120	1.30%	-12
Apr-14	9,247	108	121	1.31%	-13
May-14	9,269	108	119	1.28%	-11
Jun-14	9,307	108	120	1.29%	-12
Jul-14	9,333	108	119	1.28%	-11
Aug-14	9,381	108	118	1.26%	-10
Sep-14		108			
Oct-14		108			
Nov-14		108			
Dec-14		108			

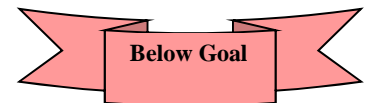


Progress: C. During public meetings, RCOC had 96, or 1.08%, of adult caseload residing in a nursing facility. Placements to nursing facilities are at family request and/or due to specialized services.

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	0.81%	137,709	1,111			
RCOC Public Hearing 8/14/2013	1.08%	8,888	96	Goal	%	# Attained
RCOC 9/01/2014	0.98%	9,381	92	88	0.98%	-4
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		8.64%

	Total Adults Status 2	Goal	Adults Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-14	9,185	88	92	1.00%	-4
Feb-14	9,205	88	93	1.01%	-5
Mar-14	9,217	88	96	1.04%	-8
Apr-14	9,247	88	91	0.98%	-3
May-14	9,269	88	88	0.95%	0
Jun-14	9,307	88	92	0.99%	-4
Jul-14	9,333	88	93	1.00%	-5
Aug-14	9,381	88	92	0.98%	-4
Sep-14		88			
Oct-14		88			
Nov-14		88			
Dec-14		88			





Progress: D. During public meetings, RCOC had 351, or 3.95%, 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	3.17%	137,709	4,363			
RCOC Public Hearing 8/14/2013	3.95%	8,888	351	Goal	%	# Attained
RCOC 9/01/2014	4.08%	9,381	383	321	4.08%	-62
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		8.04%

	Total Adults Status 2	Goal	Total Adults Residing in 7+ bed facilities	%	Number Attained
Jan-14	9,185	321	374	4.07%	-53
Feb-14	9,205	321	376	4.08%	-55
Mar-14	9,217	321	383	4.16%	-62
Apr-14	9,247	321	379	4.10%	-58
May-14	9,269	321	370	3.99%	-49
Jun-14	9,307	321	376	4.04%	-55
Jul-14	9,333	321	383	4.10%	-62
Aug-14	9,381	321	383	4.08%	-62
Sep-14		321			
Oct-14		321			
Nov-14		321			
Dec-14		321			



Performance Contract 2014

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 RCOC, as early as possible during the intake process.

Progress: A. During public meetings, RCOC had 195, or 98.98%, 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	99.05%	4,726	4,681		
RCOC Public Hearing 8/14/2013	98.98%	197	195	Goal	Current %
RCOC 9/01/14	100.00%	198	198	100.00%	100.00%



Total
Number
Individuals
Over Age
3 with
 ≤ 120
days



	Total Number Individuals Age 3 or Over	Goal	% Attained
Jan-14	167	100.00%	167 100.00%
Feb-14	173	100.00%	173 100.00%
Mar-14	164	100.00%	164 100.00%
Apr-14	165	100.00%	165 100.00%
May-14	201	100.00%	201 100.00%
Jun-14	193	100.00%	193 100.00%
Jul-14	190	100.00%	190 100.00%
Aug-14	198	100.00%	198 100.00%
Sep-14		100.00%	
Oct-14		100.00%	
Nov-14		100.00%	
Dec-14		100.00%	

Progress: B. During public meetings, RCOC had 2, or 1.02%, 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	0.87%	4,726	41		
RCOC Public Hearing 8/14/2013	1.02%	197	2	Goal	Current %
RCOC 9/01/14	0.00%	198	0	0.00%	0.00%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with 121- 240 days	Current %
Jan-14	167	0.00%	0	0.00%
Feb-14	173	0.00%	0	0.00%
Mar-14	164	0.00%	0	0.00%
Apr-14	165	0.00%	0	0.00%
May-14	201	0.00%	0	0.00%
Jun-14	193	0.00%	0	0.00%
Jul-14	190	0.00%	0	0.00%
Aug-14	198	0.00%	0	0.00%
Sep-14		0.00%		
Oct-14		0.00%		
Nov-14		0.00%		
Dec-14		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		
Statewide Average	0.08%	4,726	4		
RCOC Public Hearing 8/14/2013	0.00%	197	0	Goal	Current %
RCOC 9/01/14	0.00%	198	0	0.00%	0.00%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 Over 240 days	Current %
Jan-14	167	0.00%	0	0.00%
Feb-14	173	0.00%	0	0.00%
Mar-14	164	0.00%	0	0.00%
Apr-14	165	0.00%	0	0.00%
May-14	201	0.00%	0	0.00%
Jun-14	193	0.00%	0	0.00%
Jul-14	190	0.00%	0	0.00%
Aug-14	198	0.00%	0	0.00%
Sep-14		0.00%		
Oct-14		0.00%		
Nov-14		0.00%		
Dec-14		0.00%		

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: October 2, 2014

TO: RCOC Board of Directors

FROM: Larry Landauer
Executive Director

ACTION	X
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	

SUBJECT: **Approval of 2015 Performance Contract**

BACKGROUND:

The Welfare and Institutions Code, §4629, requires the development of an annual Performance Contract between the Department of Developmental Services (DDS) and regional centers. A draft of the 2015 Performance Contract has been circulated and public meetings have been conducted by RCOC's staff.

REASON FOR CURRENT ITEM:

Each regional center's Performance Contract must be approved by the center's Board of Directors prior to submission to DDS.

FISCAL IMPACT:

To the extent that a proposed contract objective requires additional Operations or Purchase of Service funds, RCOC must reallocate resources within its existing budget. The Department does not allocate additional funds when Performance Contract objectives are met.

RECOMMENDATIONS:

That the Board approve the 2015 Performance Contract as presented.

Performance Contract 2015 Cover Sheet



= Better than Statewide Average



= Below Regional Center of Orange County Goal



= Met Regional Center of Orange County Goal



= Met or Exceeded Regional Center of Orange County 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.

Performance Contract 2015

I. Developmental Center

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

	Percentage	All consumers	Consumers in DC			
Statewide Average	0.47%	272,999	1,275			
RCOC Public Hearing 8/20/2014	0.51%	18,112	93	Goal	%	# Attained
RCOC 9/01/14	0.50%	18,310	92	81	0.50%	-11
Analysis as of Public Hearing	RCOC % of DD population		6.63%	RCOC % of DC population		7.29%

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 2013-2014 and 2014-2015.

Progress: In FY 2013/2014 RCOC has moved 8 consumers from the Developmental Centers into the community. During Public Meetings in August 2014, RCOC had 93 or 0.51% in Developmental Centers.

Number of Consumers Residing DCs

	Total Active Caseload	Goal	DC	%	Number Attained
Jan-15		81			
Feb-15		81			
Mar-15		81			
Apr-15		81			
May-15		81			
Jun-15		81			
Jul-15		81			
Aug-15		81			
Sep-15		81			
Oct-15		81			
Nov-15		81			
Dec-15		81			



Performance Contract 2015

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

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
- 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 92, or 1.05%, children caseload in foster homes.

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

	Percentage	All children consumers	Consumers in FH			
Statewide Average	2.26%	128,774	2,905			
RCOC Public Hearing 8/20/2014	1.05%	8,724	92	Goal	%	# Attained
RCOC 9/01/14	1.12%	8,837	99	112	1.12%	-13
Analysis as of Public Hearing	RCOC % of DD population		6.77%	RCOC % of FH population		3.17%

	Total Children Status 1&2	Goal	Child Consumers in Foster Homes	%	Number Attained
Jan-15		112			
Feb-15		112			
Mar-15		112			
Apr-15		112			
May-15		112			
Jun-15		112			
Jul-15		112			
Aug-15		112			
Sep-15		112			
Oct-15		112			
Nov-15		112			
Dec-15		112			

Progress: B. During public meetings, RCOC had 8,543, or 97.93%, of children caseload in own home-parent/guardian.

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

	Percentage	All children consumers	Consumers in own home Parent/Guardian			
Statewide Average	96.77%	128,774	124,610			
RCOC Public Hearing 8/20/2014	97.93%	8,724	8,543	Goal	%	# Attained
RCOC 9/01/14	97.83%	8,837	8,645	8,771	97.83%	-126
Analysis as of Public Hearing	RCOC % of DD population		6.77%	RCOC % of FH population		6.86%



	Total Children Status 1&2	Goal	Consumers in own home Parent/Guardian	%	Number Attained
Jan-15		8,771			
Feb-15		8,771			
Mar-15		8,771			
Apr-15		8,771			
May-15		8,771			
Jun-15		8,771			
Jul-15		8,771			
Aug-15		8,771			
Sep-15		8,771			
Oct-15		8,771			
Nov-15		8,771			
Dec-15		8,771			



Progress: C. During public meetings, RCOC had 8,635, or 98.98%, 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	99.02%	128,774	127,515			
RCOC Public Hearing 8/20/2014	98.98%	8,724	8,635	Goal	%	# Attained
RCOC 9/01/14	98.95%	8,837	8,744	8,883	98.95%	-139
Analysis as of Public Hearing	RCOC % of DD population		6.77%	RCOC % of FH population		6.77%

	Total Children Status 1&2	Goal	Total Number Children Consumers in Homes	%	Number Attained
Jan-15		8,883			
Feb-15		8,883			
Mar-15		8,883			
Apr-15		8,883			
May-15		8,883			
Jun-15		8,883			
Jul-15		8,883			
Aug-15		8,883			
Sep-15		8,883			
Oct-15		8,883			
Nov-15		8,883			
Dec-15		8,883			

Performance Contract 2015

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 75, or 0.81%, 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	0.87%	142,950	1,248			
RCOC Public Hearing 8/20/2014	0.81%	9,295	75	Goal	%	# Attained
RCOC 9/01/14	0.84%	9,381	79	88	0.84%	-9
Analysis as of Public Hearing	RCOC % of DD population		6.50%	RCOC % of FH population		6.01%

	Total Adults Status 2	Goal	Consumers in Adult FHA	%	Number Attained
Jan-15		88			
Feb-15		88			
Mar-15		88			
Apr-15		88			
May-15		88			
Jun-15		88			
Jul-15		88			
Aug-15		88			
Sep-15		88			
Oct-15		88			
Nov-15		88			
Dec-15		88			

Progress: B. During public meetings, RCOC had 781, or 8.40%, 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			
Statewide Average	11.52%	142,950	16,468			
RCOC Public Hearing 8/20/2014	8.40%	9,295	781	Goal	%	# Attained
RCOC 9/01/14	8.35%	9,381	783	793	8.35%	-10
Analysis as of Public Hearing	RCOC % of DD population		6.50%	RCOC % of FH population		4.74%

	Total Adults Status 2	Goal	Consumers in Independent Living	%	Number Attained
Jan-15		793			
Feb-15		793			
Mar-15		793			
Apr-15		793			
May-15		793			
Jun-15		793			
Jul-15		793			
Aug-15		793			
Sep-15		793			
Oct-15		793			
Nov-15		793			
Dec-15		793			

Progress: C. During public meetings, RCOC had 5520, or 59.39%, 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			
Statewide Average	58.91%	142,950	84,217			
RCOC Public Hearing 8/20/2014	59.39%	9,295	5,520	Goal	%	# Attained
RCOC 9/01/14	59.75%	9,381	5,605	5,750	59.75%	-145
Analysis as of Public Hearing	RCOC % of DD population		6.50%	RCOC % of FH population		6.55%



	Total Adults Status 2	Goal	Consumers Residing Own Home - Parent	%	Number Attained
Jan-15		5,750			
Feb-15		5,750			
Mar-15		5,750			
Apr-15		5,750			
May-15		5,750			
Jun-15		5,750			
Jul-15		5,750			
Aug-15		5,750			
Sep-15		5,750			
Oct-15		5,750			
Nov-15		5,750			
Dec-15		5,750			



Progress: D. During public meetings, RCOC had 428, or 4.60%, 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	5.63%	142,950	8,052			
RCOC Public Hearing 8/20/2014	4.60%	9,295	428	Goal	%	# Attained
RCOC 9/01/14	4.57%	9,381	429	440	4.57%	-11
Analysis as of Public Hearing	RCOC % of DD population		6.50%	RCOC % of FH population		5.32%

	Total Adults Status 2	Goal	Consumers Residing Supported Living	%	Number Attained
Jan-15		440			
Feb-15		440			
Mar-15		440			
Apr-15		440			
May-15		440			
Jun-15		440			
Jul-15		440			
Aug-15		440			
Sep-15		440			
Oct-15		440			
Nov-15		440			
Dec-15		440			

Progress: E. During public meetings, RCOC had 6,804, or 73.20%, 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	76.94%	142,950	109,985			
RCOC Public Hearing 8/20/2014	73.20%	9,295	6,804	Goal	%	# Attained
RCOC 9/01/14	73.51%	9,381	6,896	7,071	73.51%	-175
Analysis as of Public Hearing	RCOC % of DD population		6.50%	RCOC % of FH population		6.19%

	Total Adults Status 2	Goal	Total Number Consumers Home Settings	%	Number Attained
Jan-15		7,071			
Feb-15		7,071			
Mar-15		7,071			
Apr-15		7,071			
May-15		7,071			
Jun-15		7,071			
Jul-15		7,071			
Aug-15		7,071			
Sep-15		7,071			
Oct-15		7,071			
Nov-15		7,071			
Dec-15		7,071			

Performance Contract 2015

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 1, or 0.01%, 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)			
Statewide Average	0.02%	128,774	27			
RCOC Public Hearing 8/20/2014	0.01%	8,724	1	Goal	%	# Attained
RCOC 9/01/14	0.02%	8,837	2	0	0.02%	-2
Analysis as of Public Hearing	RCOC % of DD population		6.77%	RCOC % of FH population		3.70%



	Total Children consumers status 1&2	Goal	Children Residing in a CCF (7+ beds)	%	Number Attained
Jan-15		0			
Feb-15		0			
Mar-15		0			
Apr-15		0			
May-15		0			
Jun-15		0			
Jul-15		0			
Aug-15		0			
Sep-15		0			
Oct-15		0			
Nov-15		0			
Dec-15		0			

Progress: B. During public meetings, RCOC had 1, or 0.01%, 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%	128,774	49			
RCOC Public Hearing 8/20/2014	0.01%	8,724	1	Goal	%	# Attained
RCOC 9/01/14	0.01%	8,837	1	0	0.01%	-1
Analysis as of Public Hearing	RCOC % of DD population		6.77%	RCOC % of FH population		2.04%



	Total Children consumers status 1&2	Goal	Children Residing in a ICF (7+ beds)	%	Number Attained
Jan-15		0			
Feb-15		0			
Mar-15		0			
Apr-15		0			
May-15		0			
Jun-15		0			
Jul-15		0			
Aug-15		0			
Sep-15		0			
Oct-15		0			
Nov-15		0			
Dec-15		0			

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)			
Statewide Average	0.01%	128,774	7			
RCOC Public Hearing 8/20/2014	0.00%	8,724	0	Goal	%	# Attained
RCOC 9/01/14	0.00%	8,837	0	0	0.00%	0
Analysis as of Public Hearing	RCOC % of DD population		6.77%	RCOC % of FH population		0.00%



	Total Children consumers status 1&2	Goal	Children Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-15		0			
Feb-15		0			
Mar-15		0			
Apr-15		0			
May-15		0			
Jun-15		0			
Jul-15		0			
Aug-15		0			
Sep-15		0			
Oct-15		0			
Nov-15		0			
Dec-15		0			

Progress: D. During public meetings, RCOC had 2, or 0.02%, 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			
Statewide Average	0.06%	128,774	83			
RCOC Public Hearing 8/20/2014	0.02%	8,724	2	Goal	%	# Attained
RCOC 9/01/14	0.03%	8,837	3	0	0.03%	-3
Analysis as of Public Hearing	RCOC % of DD population		6.77%	RCOC % of FH population		2.41%



	Total Children consumers status 1&2	Goal	Total Children Residing in 7+ bed facilities	%	Number Attained
Jan-15		0			
Feb-15		0			
Mar-15		0			
Apr-15		0			
May-15		0			
Jun-15		0			
Jul-15		0			
Aug-15		0			
Sep-15		0			
Oct-15		0			
Nov-15		0			
Dec-15		0			

Performance Contract 2015

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 164, or 1.76%, 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 status 2 consumers	Adults Residing in a CCF (7+ beds)			
Statewide Average	1.50%	142,950	2,145			
RCOC Public Hearing 8/20/2014	1.76%	9,295	164	Goal	%	# Attained
RCOC 9/01/14	1.84%	9,381	173	160	1.84%	-13
Analysis as of Public Hearing	RCOC % of DD population		6.50%	RCOC % of FH population		7.65%

	Total Adults Status 2	Goal	Adults Residing in a CCF (7+ beds)	%	Number Attained
Jan-15		160			
Feb-15		160			
Mar-15		160			
Apr-15		160			
May-15		160			
Jun-15		160			
Jul-15		160			
Aug-15		160			
Sep-15		160			
Oct-15		160			
Nov-15		160			
Dec-15		160			



Progress: B. During public meetings, RCOC had 120, or 1.29%, 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	0.75%	142,950	1,073			
RCOC Public Hearing 8/20/2014	1.29%	9,295	120	Goal	%	# Attained
RCOC 9/01/14	1.26%	9,381	118	108	1.26%	-10
Analysis as of Public Hearing	RCOC % of DD population		6.50%	RCOC % of FH population		11.18%

	Total Adults Status 2	Goal	Adults Residing in a ICF (7+ beds)	%	Number Attained
Jan-15		108			
Feb-15		108			
Mar-15		108			
Apr-15		108			
May-15		108			
Jun-15		108			
Jul-15		108			
Aug-15		108			
Sep-15		108			
Oct-15		108			
Nov-15		108			
Dec-15		108			

Progress: C. During public meetings, RCOC had 90, or .97%, 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	0.78%	142,950	1,115			
RCOC Public Hearing 8/20/2014	0.97%	9,295	90	Goal	%	# Attained
RCOC 9/01/14	0.98%	9,381	92	86	0.98%	-6
Analysis as of Public Hearing	RCOC % of DD population		6.50%	RCOC % of FH population		8.07%

	Total Adults Status 2	Goal	Adults Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-15		86			
Feb-15		86			
Mar-15		86			
Apr-15		86			
May-15		86			
Jun-15		86			
Jul-15		86			
Aug-15		86			
Sep-15		86			
Oct-15		86			
Nov-15		86			
Dec-15		86			



Progress: D. During public meetings, RCOC had 374, or 4.02%, 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	3.03%	142,950	4,333			
RCOC Public Hearing 8/20/2014	4.02%	9,295	374	Goal	%	# Attained
RCOC 9/01/14	4.08%	9,381	383	354	4.08%	-29
Analysis as of Public Hearing	RCOC % of DD population		6.50%	RCOC % of FH population		8.63%

	Total Adults Status 2	Goal	Total Adults Residing in 7+ bed facilities	%	Number Attained
Jan-15		354			
Feb-15		354			
Mar-15		354			
Apr-15		354			
May-15		354			
Jun-15		354			
Jul-15		354			
Aug-15		354			
Sep-15		354			
Oct-15		354			
Nov-15		354			
Dec-15		354			

Performance Contract 2015

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, inside and outside of RCOC.

Progress: A. During public meetings, RCOC had 184, or 100%, 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 # Age 3 or Over	Total # Over Age 3 with <=120 days		
Statewide Average	98.02%	4,852	4,756		
RCOC Public Hearing 8/20/14	100.00%	184	184	Goal	% Attained
RCOC 9/01/14	100.00%	198	198	100.00%	100.00%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with <=120 days	% Attained
Jan-15		100.00%		
Feb-15		100.00%		
Mar-15		100.00%		
Apr-15		100.00%		
May-15		100.00%		
Jun-15		100.00%		
Jul-15		100.00%		
Aug-15		100.00%		
Sep-15		100.00%		
Oct-15		100.00%		
Nov-15		100.00%		
Dec-15		100.00%		

Progress: B. During public meetings, RCOC had 0, or 0.00%, 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	1.77%	4,852	86		
RCOC Public Hearing 8/20/14	0.00%	184	0	Goal	% Attained
RCOC 9/01/2014	0.00%	198	0	0.00%	0.00%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with 121- 240 days	%
Jan-15		0.00%		
Feb-15		0.00%		
Mar-15		0.00%		
Apr-15		0.00%		
May-15		0.00%		
Jun-15		0.00%		
Jul-15		0.00%		
Aug-15		0.00%		
Sep-15		0.00%		
Oct-15		0.00%		
Nov-15		0.00%		
Dec-15		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		
Statewide Average	0.21%	4,852	10		
RCOC Public Hearing 8/20/14	0.00%	184	0	Goal	%
RCOC 9/01/14	0.00%	198	0	0.00%	0.00%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 Over 240 days	% Attained
Jan-15		0.00%		
Feb-15		0.00%		
Mar-15		0.00%		
Apr-15		0.00%		
May-15		0.00%		
Jun-15		0.00%		
Jul-15		0.00%		
Aug-15		0.00%		
Sep-15		0.00%		
Oct-15		0.00%		
Nov-15		0.00%		
Dec-15		0.00%		



Performance Contract 2015

Planned Activities

Statement: RCOC has adopted an Employment First Policy making integrated competitive employment the first option considered by planning teams for every working adult served by RCOC.

Objective: RCOC will implement its Employment First Policy by providing consumers and family members with information regarding the opportunity and support to work in employment settings that are meaningful to them and by annually reviewing those opportunities with individuals to ensure they are engaged in activities of their choosing.

Progress: A. Results from the National Core Indicators Consumer Surveys conducted in FY 2010/2011 indicated that 10% of consumers interviewed reported having a paid job in the community. In FY 2011/2012, 18% of the consumers interviewed reported having a paid job in the community.

A. Percentage of adults who reported having a paid job in a community-based setting (e.g.,

Percentage		
RCOC FY 10/11	10%	
RCOC FY 11/12	18%	Goal
RCOC FY 14/15*		22%

*NOTE: Consumer surveys are being conducted again in FY 14/15



Progress: B. Results from the National Core Indicators Consumer Surveys conducted in FY 2010/2011 indicated that 22% of the consumers interviewed reported having integrated employment as an goal in their IPP. In FY 2011/2012, 30% of the consumers interviewed reporting having integrated employment as a goal in their IPP.

B. Percentage of adults who reported having integrated employment as a goal in the IPP.

Percentage		
RCOC FY 10/11	22%	
RCOC FY 11/12	30%	Goal
RCOC FY 14/15*		38%

*NOTE: Consumer surveys are being conducted again in FY 14/15



Progress: C. Results from the National Core Indicators Consumer Surveys conducted in FY 2010/2011 indicated that 40% of the consumers interviewed who did not have a job in the community, reported wanting one. In FY 2011/2012, 46% of the consumers interviewed who did not have a job in the community, reported wanting one.

C. Percentage of adults without a job in the community who reported wanting one.

Percentage	
RCOC FY 10/11	40%
RCOC FY 11/12	46%
RCOC FY 14/15*	50%

*NOTE: Consumer surveys are being conducted again in FY 14/15

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION X
ACTION/CONSENT
DISCUSSION
INFO ONLY

DATE: October 2, 2014

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Request for Waiver of Potential Conflict of Interest and Conflict
Resolution Plan for Griselda Escobedo, 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:

Griselda Escobedo is a RCOC Service Coordinator. Ms. Escobedo's sister has a financial interest in Regional Center operations by virtue of her role as Contract and Policy Administrator with Goodwill Industries, a RCOC provider. For this reason, Ms. Escobedo 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 and Conflict Resolution Plan for Griselda Escobedo, Service Coordinator.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
GRISelda ESCOBEDO – 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. Griselda Escobedo

Griselda Escobedo 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. Escobedo is a loyal, effective, productive and greatly valued employee.

Ms. Escobedo sister, Maria Isabel Rivera, has a financial interest in Regional Center operations by virtue of her role as a Contract and Policy Administrator with Goodwill Industries of Orange County, (hereinafter “Goodwill”), a RCOC provider. For this reason, Ms. Escobedo 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. Escobedo’s Position and Duties

As a Service Coordinator, Ms. Escobedo is responsible for a caseload of 111 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**.

If any of Ms. Escobedo’s consumers require evaluation, planning or recommendations on a matter related to Goodwill programs, 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. Escobedo with respect to matters involving Goodwill.

B. Ms. Maria Isabel Rivera’s Role at Goodwill

As stated above, Ms. Escobedo’s sister, Maria Isabel Rivera, is a Contract and Policy Administrator at Goodwill, a vendor of the Regional Center. Ms. Rivera’s duties consist of coordinating and reviewing contracts. She also manages vendor insurance. Goodwill provides adult day and habilitation services to RCOC’s consumers. Goodwill’s first service was vendored on November 1, 1993. RCOC paid \$10,039,963 for Goodwill’s 11 programs which served approximately 648 consumers last year.

III. Conflict Resolution Plan

The Regional Center Executive Director and Board of Directors have concluded that Ms. Escobedo provides great value to the consumers of RCOC. After consideration of the totality of the circumstances and a careful review of the facts, the Executive Director and Board of Directors 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. Escobedo's suggested Conflict Resolution Plan of this potential conflict of interest is as follows:

Ms. Escobedo will continue with an adult caseload.

1. Ms. Escobedo will, in every conceivable manner, cease interacting with Goodwill or those who do interact with Goodwill.
2. Ms. Escobedo will not participate in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding Goodwill vendored programs.
3. Ms. Escobedo will not review or participate in any discussions, recommendations, or decisions about Purchase of Service authorizations for Goodwill vendored programs.
4. Ms. Escobedo will not review or in any way participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about Goodwill vendored programs.
5. Ms. Escobedo will not create, review, or in any way participate in, any corrective action plans for Goodwill vendored programs.
6. Ms. Escobedo will not participate in any discussions, recommendations, actions, or resolutions of any regarding complaints about Goodwill vendored programs.
7. The Regional Center and Ms. Escobedo agree that Ms. Escobedo will take no part in vendor appeals, or fair hearings involving Goodwill vendored programs.
8. The Regional Center and Ms. Escobedo will ensure that Ms. Escobedo will not access vendor files for Goodwill vendored programs either in their electronic or hard copy form.
9. Ms. Escobedo will not be involved in the negotiation, discussion, obligation or commitment of RCOC to a course of action involving Goodwill vendored programs.
10. Further, if Ms. Escobedo has matters relating to Goodwill vendored programs, 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. Escobedo has no involvement whatsoever in any action or business involving or affecting Goodwill vendored programs.
12. RCOC will communicate to the employees Ms. Escobedo's Conflict Resolution Plan and the need to ensure that Ms. Escobedo plays no role whatsoever in any action involving or affecting Goodwill vendored programs.

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: _____
Griselda Escobedo, Service Coordinator

Date: _____

By: _____
Carmen Burgara, Central Area Supervisor

Date: _____

By: _____
Patrick Ruppe, Central 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: October 2, 2014

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Renewed Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan 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 Renewed Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Consuelo Castellon-Morales, Service Coordinator.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
RENEWED 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. Potential Conflict of Ms. Consuelo Castellon-Morales

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. Ms. Castellon-Morales’ Position and Duties

As a Service Coordinator, Ms. Castellon-Morales is responsible for a caseload of 51 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. Gregorio Morales’ Role at PI

As stated above, Ms. Castellon-Morales’ 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. RCOC paid \$5,276,315 for PI’s ten programs which served approximately 567 consumers last year.

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

III. Conflict Resolution Plan

Please note that a waiver of this conflict was also requested in 2013, and granted by the Department in the attached letter as **Exhibit C** dated October 10, 2013. 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 Executive Director and Board of Directors 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, actions or resolutions 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 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: October 2, 2014

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Renewed Request for Waiver of Potential Conflict of Interest and
 Conflict Resolution Plan 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 a 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 Renewed Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Jaime Morales, Service Coordinator.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
RENEWED 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, 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, 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 96 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. However, under the suggested Conflict Resolution Plan, 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

As stated above, 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. RCOC paid \$5,276,315 for PI’s ten programs which served approximately 567 consumers last year.

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

III. Conflict Resolution Plan

Please note that a waiver of this conflict was also requested in 2013, and granted by the Department in the attached **Exhibit C** dated October 10, 2013. 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 Executive Director and Board of Directors 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 was 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, actions or resolutions 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 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. 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: _____
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: October 2, 2014

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Renewed Request for Waiver of Potential Conflict of Interest and
 Conflict Resolution Plan 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, 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 Renewed Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Jorge Morales, Service Coordinator.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
RENEWED REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
JORGE 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. 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, 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, 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 101 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. However, under the suggested Conflict Resolution Plan, 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

As stated above, 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. RCOC paid \$5,276,315 for PI’s ten programs which served approximately 567 consumers last year.

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

III. Conflict Resolution Plan

Please note that a waiver of this conflict was also requested in 2013, and granted by the Department in the attached **Exhibit C** dated October 10, 2013. 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 Executive Director and Board of Directors 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 was 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, actions or resolutions 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 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. 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: _____
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: October 2, 2014

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Request for Waiver of Potential Conflict of Interest and Conflict
Resolution Plan for Beth Ann Pierce, 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:

Beth Ann Pierce is a RCOC Service Coordinator. Ms. Pierce has a financial interest in Regional Center operations by virtue of her role as part-time Swim Instructor and Lifeguard with the YMCA, a RCOC provider. For this reason, Ms. Pierce 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 and Conflict Resolution Plan for Beth Ann Pierce, Service Coordinator.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
BETH ANN PIERCE – 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. Beth Ann Pierce

Beth Ann Pierce 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. Pierce is a loyal, effective, productive, and greatly valued employee.

Ms. Pierce has a financial interest in Regional Center operations by virtue of her role as a part-time Swim Instructor and Lifeguard with Mission Viejo Family YMCA (Saddleback Valley YMCA), (hereinafter “YMCA”), a RCOC provider. For this reason, Ms. Pierce 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. Pierce’s Position and Duties

As a Service Coordinator, Ms. Pierce is responsible for a caseload of 100 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**.

If any of Ms. Pierce’s consumers require evaluation, planning or recommendations on a matter related to YMCA, 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 Ms. Pierce with respect to matters involving YMCA.

B. Ms. Pierce’s Role at YMCA

As stated above, Ms. Pierce is a part-time Swim Instructor and Lifeguard at YMCA, a vendor of the Regional Center. Ms. Pierce’s duties consist of teaching parent/child swim lessons and lifeguard duties. YMCA provides social recreation, community integration and personal assistance services to RCOC’s consumers. YMCA’s first program, the social recreation service, was vendored on September 1, 1975. RCOC paid \$1,398,236 for the YMCA’s four programs which served approximately 265 consumers last year.

III. Conflict Resolution Plan

The Regional Center Executive Director and Board of Directors have concluded that Ms. Pierce provides great value to the consumers of RCOC. After consideration of the totality of the circumstances and a careful review of the facts, the Executive Director and Board of Directors 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. Pierce's suggested Conflict Resolution Plan of this potential conflict of interest is as follows:

Ms. Pierce will continue with an adult caseload.

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

2. Ms. Pierce will not participate in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding RCOC's YMCA vendored programs.

3. Ms. Pierce will not review or participate in any discussions, recommendations, or decisions about Purchase of Service authorizations for YMCA vendored programs.

4. Ms. Pierce will not review or in any way participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about YMCA vendored programs.

5. Ms. Pierce will not create, review, or in any way participate in, any corrective action plans for YMCA vendored programs.

6. Ms. Pierce will not participate in any discussions, recommendations, actions, or resolutions of any regarding complaints about YMCA vendored programs.

7. The Regional Center and Ms. Pierce agree that Ms. Pierce will take no part in vendor appeals, or fair hearings involving YMCA vendored programs.

8. The Regional Center and Ms. Pierce will ensure that Ms. Pierce will not access vendor files for YMCA vendored programs either in their electronic or hard copy form.

9. Ms. Pierce will not be involved in the negotiation, discussion, obligation or commitment of RCOC to a course of action involving YMCA vendored programs.

10. Further, if Ms. Pierce has matters relating to YMCA vendored programs, 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 Ms. Pierce has no involvement whatsoever in any action or business involving or affecting YMCA vendored programs.

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

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: _____
Beth Ann Pierce, Service Coordinator

Date: _____

By: _____
Minerva Valdez, Central Area Supervisor

Date: _____

By: _____
Patrick Ruppe, Central 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: October 2, 2014

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Request for Waiver of Potential Conflict of Interest and Conflict
Resolution Plan for Marta Vasquez, Controller

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:

Marta Vasquez is RCOC's Controller. Ms. Vasquez' sister has a financial interest in Regional Center operations by virtue of her role as an Inventory Control Clerk with St. Joseph Health Systems, a RCOC provider. For this reason, Ms. Vasquez 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 and Conflict Resolution Plan for Marta Vasquez, Controller.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
MARTA VASQUEZ – CONTROLLER
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. Marta Vasquez

Marta Vasquez is the Controller for the Regional Center of Orange County (hereinafter “RCOC” or “the Regional Center”). RCOC’s Executive Director, Larry Landauer, confirms that Ms. Vasquez is a loyal, effective, productive, and greatly valued employee.

Ms. Vasquez’s sister, Guadalupe Acevedo, has a financial interest in Regional Center operations by virtue of her role as an Inventory Control Clerk for St. Joseph Health System Home Care (hereinafter “St. Joseph’s”), a RCOC provider. For this reason, Ms. Vasquez 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. Vasquez’s Position and Duties

As Controller, Ms. Vasquez is responsible for vendorization, Purchase of Service authorization, vendor audits, Family Cost Participation Plan and Annual Family Program Fee. A copy of her job description is attached as **Exhibit A**.

Ms. Vasquez will have no role or involvement whatsoever with any matter that might conceivably impact St. Joseph’s.

B. Guadalupe Acevedo’s Role at St. Joseph’s

As stated above, Ms. Vasquez’s sister, Guadalupe Acevedo, is an Inventory Control Clerk at St. Joseph’s, a vendor of the Regional Center. Ms. Acevedo’s duties consist of receiving, distributing, tracking claims and ensuring that they are processed within the required timelines. St. Joseph’s provides home health agency respite services to RCOC’s consumers. The program was vendored on January 9, 2002. RCOC paid \$100,674 for St. Joseph’s one program which served 33 consumers last year.

III. Conflict Resolution Plan

The Regional Center Executive Director and Board of Directors have concluded that Ms. Vasquez provides great value to RCOC. After consideration of the totality of the circumstances and a careful review of the facts, the Executive Director and Board of Directors 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. Vasquez’s suggested Conflict Resolution Plan of this potential conflict of interest is as follows:

1. Ms. Vasquez will not participate in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding St. Joseph's vendored program.

3. Ms. Vasquez will not review or participate in any discussions, recommendations, or decisions about Purchase of Service authorizations for St. Joseph's vendored program.

4. Ms. Vasquez will not review or in any way participate in the preparation, consideration, or any follow-up related to Special Incident Reports from or about St. Joseph's vendored program.

5. Ms. Vasquez will not create, review, or in any way participate in, any corrective action plans for St. Joseph's vendored program.

6. Ms. Vasquez will not participate in any discussions, recommendations, actions, or resolutions of any regarding complaints about St. Joseph's vendored program.

7. The Regional Center and Ms. Vasquez agree that Ms. Vasquez will take no part in vendor appeals or fair hearings involving St. Joseph's vendored program.

8. The Regional Center and Ms. Vasquez will ensure that Ms. Vasquez will not access vendor files for St. Joseph's vendored program either in their electronic or hard copy form.

9. Ms. Vasquez will not be involved in the negotiation, discussion, obligation or commitment of RCOC to a course of action involving St. Joseph's vendored program.

10. Further, if Ms. Vasquez has matters relating to St. Joseph's, Chief Financial Officer, Bette Baber, 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. Vasquez has no involvement whatsoever in any action or business involving or affecting St. Joseph's vendored program.

12. RCOC will communicate to the employees Ms. Vasquez's Conflict Resolution Plan and the need to ensure that Ms. Vasquez plays no role whatsoever in any action involving or affecting St. Joseph's vendored program.

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: _____
Marta Vasquez, Controller

Date: _____

By: _____
Bette Baber, Chief Financial 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: October 2, 2014

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Renewed Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Elizabeth Villa-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 Renewed Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Elizabeth Villa-Gomez, Service Coordinator.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
RENEWED REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
ELIZABETH VILLA-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. Potential Conflict of Ms. Elizabeth Villa-Gomez

Elizabeth Villa-Gomez, formerly Elizabeth Gomez, 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. Villa-Gomez is a loyal, effective, productive, and greatly valued employee.

Ms. Villa-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. Villa-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. Ms. Villa-Gomez’s Position and Duties

As a Service Coordinator, Ms. Villa-Gomez is responsible for a caseload of 68 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. Villa-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. Villa-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. Villa-Gomez with respect to matters involving PI.

B. Johanna Villa’s Role at PI

As stated above, Ms. Villa-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. RCOC paid \$5,276,315 for PI’s ten programs which served approximately 567 consumers last year.

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

Please note that a waiver of this conflict was also requested in 2013, and granted by the Department in the attached **Exhibit C** dated October 31, 2013. The Regional Center Executive Director and Board of Directors have concluded that Ms. Villa-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 Executive Director and Board of Directors 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. Villa-Gomez has no duties that relate to PI.

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

Ms. Villa-Gomez will continue with her caseload of children.

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

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

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

6. Ms. Villa-Gomez will not participate in any discussions, recommendations, actions, or resolutions of any regarding complaints about this vendor.

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

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

9. Ms. Villa-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. Villa-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. Villa-Gomez has no involvement whatsoever in any action or business involving or affecting RCOC vendor PI.

12. RCOC will communicate to the employees Ms. Villa-Gomez's Conflict Resolution Plan and the need to ensure that Ms. Villa-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. 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: _____
Elizabeth Villa-Gomez, 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: October 2, 2014

TO: RCOC Board of Directors

FROM: Executive Director, Larry Landauer

SUBJECT: Approval of Renewed Request for Waiver of Potential Conflict of Interest and
 Conflict Resolution Plan 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 Renewed Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Kiley Waddington, Service Coordinator.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
RENEWED 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, Tawnia Grone, 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 88 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, Lorrie Guetterman, 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 Lorrie Guetterman, 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

As stated above, 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. RCOC paid \$3,763,834 for CLC’s 15 programs which served approximately 677 consumers last year.

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

III. Conflict Resolution Plan

Please note that a waiver of this conflict was also requested in 2013, and granted by the Department in the attached **Exhibit C** dated October 25, 2013. 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 Executive Director and Board of Directors 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, actions, or resolutions 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, Lorrie Guetterman, 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 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: _____
Lorrie Guetterman, West Area Supervisor

Date: _____

By: _____
Keli Radford, West Area Manager

Date: _____

By: _____
Janis White, Chief Operating Officer

Date: _____

Regional Center of Orange County
Kiley Waddington – Service Coordinator
Page 5

By: _____
Larry Landauer, Executive Director

Date: _____

**Regional Center of Orange County
Policies and Outcomes Committee
September 15, 2014
Minutes**

Committee Members Present:

Cliff Amsden, Chairperson
Cristina Alba
Meena Chockalingam (via phone)
Hilda Sramek

Committee Members Absent:

Luke Franck

RCOC Staff Members Present:

Bette Baber, Chief Financial Officer
LeeAnn Christian, Chief Clinical Officer
Larry Landauer, Executive Director
Janis White, Chief Operating Officer

Corporate Counsel Present:

Lois Bobak, Esq.

Mr. Amsden called the meeting to order at 5:50 p.m.

I. Governance Policies

A. Annual Review of Zero Tolerance Policy Regarding Consumer Abuse and Neglect

The Committee reviewed the policy. No revisions were recommended.

B. Annual Review of Document Retention and Destruction Policy

The Committee reviewed the policy. One minor revision was recommended.

M/S/C to recommend that the Board approve revisions to the Document Retention and Destruction Policy as discussed.

***RCOC Policies and Outcomes Committee Minutes
September 15, 2014***

C. Biennial Review of Policy on Information Dissemination to Consumers, Families, Authorized Representatives, and Other Interested Parties

The Committee reviewed the policy. Several revisions were recommended.

M/S/C to recommend that the Board approve revisions to the Policy on Information Dissemination to Consumers, Families, Authorized Representatives, and Other Interested Parties as discussed.

D. Biennial Review of Policy on Insurance Requirements for Providers

The Committee reviewed the policy. No revisions were recommended.

II. Outcomes

A. National Core Indicators (NCI) Statewide Implementation Update

Dr. Christian and Mr. Landauer reported that they attended a meeting at the Department of Developmental Services (DDS) in August to discuss how NCI survey results might be incorporated into the Performance Contract for 2015. Additionally, Dr. Christian attended DDS' Quality Assessment Advisory Group meeting on August 21, 2014, which focused on the 2012 Consumer Survey results.

Mr. Landauer also reported that Dr. Christian and Mr. Jud Robert, RCOC's NCI Advisory Council Co-Chairperson, were asked to present to the Board of Directors of San Gabriel/Pomona Regional Center on September 20, 2014.

B. NCI Advisory Council Update

The Council has not met since the Board approved revisions to its Charter. Dr. Christian expects to schedule a Council meeting in the next few months.

C. Employment First Update

Dr. White reported on implementation of RCOC's new Employment First Policy. Collaborations with the provider community, school districts and the Orange County business community are underway in an effort to increase awareness of RCOC's policy and to improve the employment outlook for those we serve. Trainings for service coordinators and parents of those we serve are also taking place to address concerns about the effect of employment on public benefits.

***RCOC Policies and Outcomes Committee Minutes
September 15, 2014***

III. Community Forum

No community members were present.

Mr. Amsden adjourned the meeting at 6:40 p.m.

Recorder: LeeAnn Christian

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: October 2, 2014

TO: RCOC Board of Directors

FROM: Clifford Amsden, Chair
Policies and Outcomes Committee

ACTION	X
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	

SUBJECT: **Approval of Revisions to Document Retention and Destruction Policy**

BACKGROUND:

The Policies and Outcomes Committee is charged with reviewing and/or drafting policies that are necessary to meet the organization's Mission. The committee is also charged with biennially reviewing certain policies for their continued usefulness and clarity. At its meeting on September 15, 2014, the Policies and Outcomes Committee reviewed the Document Retention and Destruction Policy (see attachment).

REASON FOR CURRENT ITEM:

After review, the Policies and Outcomes Committee recommends that the Board approve the revisions to the Document Retention and Destruction Policy as indicated in the attachment.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

That the Board approve the revisions to the Document Retention and Destruction Policy.

Attachment for Agenda Item III.E.1

XV. DOCUMENT RETENTION AND DESTRUCTION POLICY

BACKGROUND

The corporate records of Regional Center of Orange County (RCOC) and its branches and operating units are important assets. The purpose of this policy is to establish retention and destruction policies and schedules for specific categories of records in order to ensure legal compliance, and also to accomplish other objectives, such as preserving intellectual property and cost management.

POLICY

A. Definition

Corporate records include essentially all records produced in the course of business as a member of the Board or an employee, whether paper or electronic, including but not limited to the specific categories of records identified in section B, subsections 1 through 10 below. A record may be as obvious as a memorandum, an e-mail, a contract or a case study, or something not as obvious, such as a computerized desk calendar, an appointment book or an expense record.

B. Maintenance of Records

The law requires RCOC to maintain certain types of corporate records, usually for a specified period of time. Failure to retain those records for those minimum periods could subject a member of the Board or an employee and RCOC to penalties and fines, cause the loss of rights, obstruct justice, spoil potential evidence in a lawsuit, place RCOC in contempt of court, or seriously disadvantage RCOC in litigation.

In compliance with RCOC's contract with the Department of Developmental Services (DDS), RCOC shall maintain books, records, documents, case files, and other evidence pertaining to the budget, revenues, expenditures, and persons served under this contract (herein collectively called "records") in accordance with mutually agreed to procedures and generally accepted accounting principles.

Several categories of documents that bear special consideration are identified below. While minimum retention periods are identified and records should not be destroyed prior to the expiration of the retention period, the retention of the documents identified below and of documents not included in the identified categories should be determined primarily by the application of the general guidelines affecting document retention identified above, as well as any other pertinent factors.

1. Financial Records. The following financial records shall be retained for a minimum of seven (7) years from the end of the applicable fiscal year:

- (i) Payroll records
- (ii) Documents concerning expenses and revenues
- (iii) Books of account
- (iv) Check registers
- (v) Canceled checks
- (vi) Internal reports
- (vii) Bank statements
- (viii) Operations purchase orders
- (ix) Invoices
- (x) Invoice documentation
- (xi) Accounting procedures

The following records shall be retained permanently:

- External audits of RCOC
- General ledgers and subsidiary ledgers
- Financial statements
- Tax filings
- Insurance policies

2. Persons Served Records. Persons served records include documents evidencing the provision of services to persons with developmental disabilities. Persons served files must be maintained for at least seven (7) years after the case was closed. RCOC shall retain records which pertain to eligibility determinations and redeterminations for the Medicaid Waiver Program for a minimum of seven (7) years from the date of an eligibility determination or redetermination. Other specific schedules and records maintenance responsibilities are outlined in RCOC's Services and Supports Records Retaining Guidelines.

3. Employment Records/Personnel Records. State and federal statutes require RCOC to keep certain recruitment, employment and personnel information, including but not limited to 29 CFR §1602 *et seq.*, 29 CFR §1607 *et seq.*, and 29 CFR §1627.3. All personnel records pertaining to an individual employee, including all final memoranda and correspondence reflecting performance reviews and actions taken by or against personnel, shall be maintained in the employee's personnel file. Employment and personnel records shall be retained for the duration of employment plus seven (7) years, except as follows:
 - (i) Employment Eligibility Forms Verification (I-9 Forms) shall be kept until the later of five (5) years from hire date, or one (1) year after termination.
 - (ii) Workers Compensation files shall be kept for ten (10) years.
 - (iii) Chemical safety and toxic exposure records shall be kept for the duration of employment plus thirty (30) years.

4. Board and Board Committee Materials. Meeting minutes shall be retained permanently in the RCOC's minute book. A copy of all Board and Board Committee materials,

including Board membership applications, shall be kept for no less than five (5) years by RCOC.

5. Corporate Documents. Corporate Articles of Incorporation, IRS Determination Letter, Tax Exempt Application (Form 1023), Bylaws and the like, including amendments, shall be retained permanently (and also readily available for public disclosure).
6. Press Releases/Public Filings. RCOC should retain permanent copies of all press releases and publicly filed documents under the theory that RCOC should have its own copy to test the accuracy of any document a member of the public can theoretically produce against RCOC.
7. Litigation Files. Legal counsel should be consulted to determine the retention period of particular documents, but litigation documents should generally be maintained for a period of ten (10) years. This excludes Fair Hearing and Due Process Hearing files, unless a hearing resulted in an appeal to the Superior Court. Fair Hearing and Due Process documents (excluding exhibits which are non-consumer specific) are maintained as part of persons served records during the normal course of business. Legal counsel shall be consulted prior to the destruction of any files related to legal proceedings to which RCOC is a party.
8. Development/Intellectual Property and Trade Secrets. Development documents are often subject to intellectual property protection in their final form (e.g., patents and copyrights). The documents detailing the development process are often also of value to RCOC and are protected as a trade secret where RCOC:
 - a. derives independent economic value from the secrecy of the information, and the information not being generally know to the public or to other persons who can obtain economic value from its disclosure or use; and
 - b. has taken affirmative steps to keep the information confidential.RCOC should keep all documents designated as containing trade secret information for at least the life of the trade secret.
9. Contracts. Final, execution copies of all contracts entered into by RCOC should be retained. RCOC shall retain copies of all final contracts not included in other categories of records within this policy for at least five (5) years beyond the life of the agreement. All contracts involving construction or property improvements shall be retained permanently.
10. Electronic Mail. E-mail that needs to be saved should be either:
 - a. printed in hard copy and kept in the appropriate file; or
 - b. downloaded to a computer file and kept electronically or on disk as a separate file.

The retention period depends upon the subject matter of the e-mail, as covered elsewhere in this policy.

C. Storage of Records

Files for consumer, provider, and administrative records are maintained at RCOC in a secure environment. At the discretion of the Department Director, files may be sent to an off-site storage location operated by a provider under contract with RCOC. Files are sent to or retrieved from offsite storage by the Department support staff using a process developed by the provider.

In compliance with RCOC's contract with the Department of Developmental Services, RCOC shall comply with the most current version of the Department of Developmental Services' 'Requirements for Electronic Storage of Records' as developed by the Department of Development Services and ARCA.

D. Destruction

All documents to be destroyed shall be shredded. Employees shall obtain permission prior to the destruction of any records. Authority to destroy documents is as follows: for persons served records, the Manager of Support Services and/or Manager of Risk/Information Services; for service provider, financial and employment records, the Chief Financial Officer; and for all other records either the Executive Director or his/her designee.

E. Litigation or Claims

In the event any RCOC Board member or employee becomes aware of litigation or potential litigation (i.e., a dispute that could result in litigation) involving RCOC, the Board member or employee shall immediately inform the Executive Director or his/her designee, and any further disposal of records, including records in electronic form, shall be suspended until such time as the Executive Director, with the advice of legal counsel, determines otherwise. This shall include a suspension of the transferring of original records to electronic retention. In addition, no alterations or markings shall be made on an original document. Upon receiving notice of litigation or potential litigation, the Executive Director or his/her designee shall immediately take such steps as necessary to promptly inform all staff of the suspension of disposal of records.

F. Compliance

RCOC expects all Board members and employees to fully comply with any published records retention or destruction policies and schedules. If a person believes that an exception to this retention policy may apply, or has questions regarding the possible applicability of that exception, that person should contact the Executive Office.

Failure to comply with this Document Retention Policy may result in **punitive disciplinary** action against the employee, including suspension or termination. Questions about this policy should be referred to the Chief Financial Officer, who is in charge of administering, enforcing and updating this policy.

GUIDING PRINCIPLES

- 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 reflect careful stewardship.
- The governing Board of the Regional Center of Orange County is representative of and accountable to the community served by RCOC.
- RCOC Board of Directors will be actively involved in the organization (i.e., attendance and participation). The Board provides appropriate support to maximize effective participation by all its members.

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: October 2, 2014

TO: RCOC Board of Directors

FROM: Clifford Amsden, Chair
Policies and Outcomes Committee

ACTION	X
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	

SUBJECT: **Approval of Revisions to Policy on Information Dissemination to Consumers, Families, Authorized Representatives and Other Interested Parties**

BACKGROUND:

The Policies and Outcomes Committee is charged with reviewing and/or drafting policies that are necessary to meet the organization's Mission. The committee is also charged with biennially reviewing certain policies for their continued usefulness and clarity. At its meeting on September 15, 2014, the Policies and Outcomes Committee reviewed the Policy on Information Dissemination to Consumers, Families, Authorized Representatives and Other Interested Parties (see attachment).

REASON FOR CURRENT ITEM:

After review, the Policies and Outcomes Committee recommends that the Board approve the revisions to the Policy on Information Dissemination to Consumers, Families, Authorized Representatives and Other Interested Parties as indicated in the attachment.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

That the Board approve the revisions to the Policy on Information Dissemination to Consumers, Families, Authorized Representatives and Other Interested Parties.

Attachment for Agenda Item III.E.2

X. POLICY ON INFORMATION DISSEMINATION TO CONSUMERS, FAMILIES, AUTHORIZED REPRESENTATIVES AND OTHER INTERESTED PARTIES

The purpose of this policy is to standardize formal communication of information to consumers, families, authorized representatives, and other interested parties. At no time during its dissemination of information will Regional Center of Orange County (RCOC) violate §4514 of the Welfare & Institutions Code; all information released will redact identifying consumer/family information to protect confidentiality. Criteria to disseminate information and communication systems to facilitate information sharing with any interested party are as follows:

Information	Communication System
National Core Indicators	Link to Department of Developmental Services (DDS) and Human Services Research Institute (HSRI) on the RCOC Web site and printed copy available upon request. Highlights published in the RCOC <i>Dialogue</i> annually.
Summary of external reviews of RCOC services, e.g., DDS financial audit, Home-Community Based Services audit including RCOC's response.	RCOC Web site and printed copy available upon request of summary and audits.
All nonvoucher parent vendor information.	RCOC Web site, link to Orange County Department of Education on the RCOC Web site, and if requested prior to an initial planning team meeting, a list of applicable vendors will be provided. Subsequently, resource information will be made available by the Service Coordinator when a change in services is requested or anticipated, and/or upon request.
Vendor Accreditation reports, Community Care Licensing reports, Dept. of Social Services reports, and Dept. of Health Services reports. (Information submitted by vendor voluntarily)	Links to applicable agency Web sites (e.g., Community Care Licensing, Department of Social Services) on RCOC Web site and printed copy available upon request.
RCOC's Annual and Triennial quality assurance evaluations of residential vendor's service/s.*	Summary of Quality Assurance activities updated and posted monthly on the RCOC Web site and Printed copy of the complete evaluations available upon request.
Community Care Facility moratorium of vendor's services	RCOC Web site, link to Community Care Licensing Web Site and printed copy available upon request.

* Issues being appealed by vendors will not be posted.

- Consumers and families will be informed of the availability of generic vendor data; this will be confirmed by signature of the consumer/family that they have been informed of and/or have received such data at the initial Multidisciplinary/Planning Team meeting and/or the Individual Program Plan/Person Centered Plan (IPP/PCP).
- Consumers and families will be informed of the availability of specific vendor data as outlined above; this will be confirmed by signature of the consumer/family that they have been informed of and/or have received such data at the initial Multidisciplinary/Planning Team meeting and/or the IPP/PCP.
- In the area of residential and day services, consumers/families will be provided with information regarding providers for the appropriate level of service, as determined by RCOC (e.g., community care facility, intermediate care facility, consumer to staff ratio).
- Additional information regarding a vendor's service deficiency(ies) and audit(s) will be presented to the consumer and family as per RCOC guidelines, "Access to Vendor Records."

GUIDING PRINCIPLES

- *Service coordinators inform families of their rights and the services and supports available to them.*
- *Services and supports are sensitive to the diverse religious, cultural, language, socioeconomic and ethnic characteristics of their community.*

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: October 2, 2014

TO: RCOC Board of Directors

FROM: Clifford Amsden, Chair
Policies and Outcomes Committee

ACTION	
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	X

SUBJECT: **Board Governance Policy – Zero Tolerance Policy Regarding Consumer Abuse and Neglect**

BACKGROUND:

The Policies and Outcomes Committee is charged with reviewing and/or drafting policies that are necessary to meet the organization's Mission. The committee is also charged with annually reviewing certain policies for their continued usefulness and clarity. At its meeting on September 15, 2014, the Policies and Outcomes Committee reviewed the Zero Tolerance Policy Regarding Consumer Abuse and Neglect (see attachment).

After review, the Policies and Outcomes Committee determined that no changes are needed at this time and therefore, no revisions are recommended to the Zero Tolerance Policy Regarding Consumer Abuse and Neglect.

REASON FOR CURRENT ITEM:

For information only.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

None. This item is being submitted to the Board for information only.

Attachment for Agenda Item III.E.3

XIX. ZERO TOLERANCE POLICY REGARDING CONSUMER ABUSE AND NEGLECT

BACKGROUND

The Regional Center of Orange County (RCOC) recognizes the importance of transparency and accountability to the community it serves. As required in Article I, Section 17 of RCOC's master contract with the State of California, RCOC is committed to reporting information with accuracy and transparency and maintaining full compliance with the laws, rules and regulations that govern RCOC's business. This includes annually notifying all its employees, its vendors and licensees of long-term health care facilities* that are serving RCOC consumers that RCOC has a Zero Tolerance Policy regarding consumer abuse and neglect.

POLICY

Consumer abuse committed by RCOC employees, or employees of RCOC vendors, or employees of licensees who operate long-term health care facilities will not be tolerated. All such abuse or allegations of such abuse will be thoroughly investigated. Any RCOC employee found to have engaged in abuse against a consumer will be subject to severe discipline, up to and including discharge. Any abuse found to have been committed by employees of RCOC vendors, or employees of licensee's who operate long-term health care facilities, will be referred to the appropriate authorities and the vendor may also be subject to sanctions up to and including, removal from the list of those authorized to provide services for regional center consumers.

All RCOC employees who are mandated reporters pursuant to the California Penal Code and all employees of RCOC vendors and employees of licensees who operate long-term health care facilities who are mandated reporters shall strictly comply with the reporting laws at all times, including, but not limited to, Welfare and Institutions Code Section 15630. A mandated reporter must (unless exempt under law) report all consumer abuse to the applicable governmental authorities immediately or as soon as practicable after his or her discovery or reasonable belief that consumer abuse has occurred.

RCOC and all RCOC vendors and licensees who operate long-term health care facilities serving RCOC consumers shall ensure their employees are fully informed upon hire and annually thereafter regarding RCOC's Zero Tolerance Policy Regarding Consumer Abuse and Neglect and the mandatory abuse and neglect reporting laws. Each employee must be knowledgeable of their responsibility to protect consumers from abuse and neglect, the signs of abuse and neglect, the process for reporting suspected abuse or neglect, and the consequences of failing to follow the law and enforcing this policy.

RCOC's Zero Tolerance Policy Regarding Consumer Abuse and Neglect will be incorporated into any new or revised contract, vendorization or other agreement for consumer services.

If RCOC, or a RCOC vendor, or a licensee who operates a long-term health care facility becomes aware of consumer abuse, it shall take immediate action, to the extent permitted by law, to ensure the health and safety of the affected consumer and all other consumers receiving services and supports from RCOC. This obligation is in addition to those obligations required of mandated reporters to report consumer abuse under the reporting laws.

GUIDING PRINCIPLES

- Consumers are in safe settings.
- Service coordinators inform families of their rights and the services and supports available to them.
- RCOC aspires to the highest standards of ethical conduct: doing what we say; reporting information with accuracy and transparency; and maintaining full compliance with the laws, rules and regulations that govern RCOC's business.
- The RCOC Board of Directors will possess the highest personal and professional ethics, integrity and values, and be committed to representing the long-term interests of the Orange County community it serves.

* According to the State of California Health and Safety Code Section 1418,

(a) "Long-term health care facility" means any facility licensed pursuant to Chapter 2 (commencing with Section 1250) that is any of the following:

- (1) Skilled nursing facility.
- (2) Intermediate care facility.
- (3) Intermediate care facility/developmentally disabled.
- (4) Intermediate care facility/developmentally disabled habilitative.
- (5) Intermediate care facility/developmentally disabled-nursing.
- (6) Congregate living health facility.
- (7) Nursing facility.
- (8) Intermediate care facility/developmentally disabled-continuous nursing.

(b) "Long-term health care facility" also includes a pediatric day health and respite care facility licensed pursuant to Chapter 8.6 (commencing with Section 1760).

(c) "Long-term health care facility" does not include a general acute care hospital or an acute psychiatric hospital, except for that distinct part of the hospital that provides skilled nursing facility, intermediate care facility, or pediatric day health and respite care facility services.

(d) "Licensee" means the holder of a license issued under Chapter 2 (commencing with Section 1250) or Chapter 8.6 (commencing with Section 1760) for a long-term health care facility.

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: October 2, 2014

TO: RCOC Board of Directors

FROM: Clifford Amsden, Chair
Policies and Outcomes Committee

ACTION	
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	X

SUBJECT: **Board Governance Policy – Policy on Insurance Requirements for Providers**

BACKGROUND:

The Policies and Outcomes Committee is charged with reviewing and/or drafting policies that are necessary to meet the organization's Mission. The committee is also charged with biennially reviewing certain policies for their continued usefulness and clarity. At its meeting on September 15, 2014, the Policies and Outcomes Committee reviewed the Policy on Insurance Requirements for Providers (see attachment).

After review, the Policies and Outcomes Committee determined that no changes are needed at this time and therefore, no revisions are recommended to the Policy on Insurance Requirements for Providers.

REASON FOR CURRENT ITEM:

For information only.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

None. This item is being submitted to the Board for information only.

Attachment for Agenda Item III.E.4

XI. POLICY ON INSURANCE REQUIREMENTS FOR PROVIDERS

BACKGROUND

The Regional Center of Orange County (RCOC) has a fiduciary duty to protect the interests of consumers, RCOC and the State of California. RCOC protects the interests of consumers by making sure that providers will have the financial resources to compensate for damages that may be incurred by consumers as a result of negligence or other wrongful acts by providers. RCOC protects the interests of RCOC and the State by making sure that their financial resources are not required to compensate third parties (including consumers) who may be damaged as a result of negligent or wrongful acts by providers. RCOC is committed to assuring the health and safety of the consumers it serves.

POLICY

All providers who are serving RCOC consumers shall maintain general, professional and sexual misconduct liability coverage. Providers shall deposit with RCOC the Certificates of Insurance necessary to satisfy the insurance requirement and RCOC shall be added as an additional insured.

GUIDING PRINCIPLES

- Consumers are in safe settings.

**Regional Center of Orange County
Vendor Advisory Committee
September 9, 2014
Minutes**

Members:

Adult Behavior Management Programs

Chair, Nancy Cross, present

Adult Day Programs

Chair, Denise Simpson, present

Co-Chair, Pethuru Lourthu, absent

Adult Family Home/Foster Family Agency

Chair, Mark Antenucci, present

Co-Chair, Marie Aguilera, present

Behavior Services

Chair, Linda Seppala, present

Co-Chair, Erin McNerney, absent

Community Care Facilities

Chair, Rebekah Hayes, present

Co-Chair, Brandon Peñalosa, absent

Early Intervention

Chair, Pam Alexander, absent

Co-Chair, Tiffany Bauer, present

Habilitation

Chair, Tim Chervenak, present

Co-Chair, Roland Fernandez, present

Independent/Supported Living

Chair, Jasmin Botello, present

Co-Chair, Ian Pesigan, absent

Intermediate Care Facilities

Member Pending

Support Services/Allied Health

Chair, Gabriella Strauss, present

Co-Chair, Masharne Townsend, absent

Liaisons:

CalOptima

Laura Grigoruk, absent

Judy Roberts, present

Fairview Developmental Center

Member Pending

Orange County Transit Authority

Robert Gebo, present

RCOC Staff Present: Larry Landauer, Executive Director
Bette Baber, Chief Financial Officer
Nicole Barrios, Training and Organizational Specialist
Jennifer Casteel, Training and Organizational Specialist
Jyusse Corey, RCOC Consumer Advocate
Lonny Keefover, Adult Resources Coordinator
Jack Stanton, Consumer and Community Resources Manager
Marta Vasquez, Controller
Sean Watson, Manager, Risk Management

Guests: Itzel Ayala, CAPC
Sheree Braze, Easter Seals
Linda Callaghan, Westview Services
Sherry Diamond, IRT
Matthew Foster, Shella Care
Michael Foster, Shella Care
Suna Garcia, Quality Connections
Ashwin Gaur, New Living Options
Jyoti Gaur, New Living Options
Barbara Hedges, Rainbow Home Care
Mary Hicks, Mercedes Diaz Network
Kathleen Kolenda, Easter Seals
Victor Lira, Premier Healthcare
Flavio Montes, BHH Services
Nate Peterson, MV Transportation
Maria Quiroz, Maxim Healthcare
Yvette Staggs, Respite Connection
April Stewart, 24Hr Homecare
Sam Velasquez, Maxim Healthcare
Jennifer Ward, Maxim Healthcare
Bob Watson, Project Independence

I. Call to Order

Mr. Mark Antenucci, VAC Chairperson, called the meeting to order at 2:06 p.m.

II. RCOC Update

Mr. Landauer reported that the Centers for Medicare & Medicaid Services (CMS) set forth new requirements under which states may provide home and community-based services and supports. The regulations will enhance the quality of services and supports.

Regarding State Developmental Centers, Mr. Landauer said that there are 28 consumers still residing at Lanterman Developmental Center (LDC). LDC is scheduled to close on December 31, 2014. Sonoma Developmental Center lost federal certification on seven of its 11 Intermediate Care Facilities; the other four lost their federal certification last year.

Mr. Landauer commented that Ms. Diana Dooley, Secretary of the California Department of Health and Human Services Agency, reconvened the Developmental Center Task Force. The focus of the task force is on rates for consumer services and core staffing at regional centers.

Mr. Landauer reported that MediCal is now required to fund Behavioral Health Treatment for individuals who are under the age of 21 and who are diagnosed with autism spectrum disorder.

Mr. Landauer said that RCOC continues to meet the needs of consumers as identified in their Individual Program Plans. Expenditure growth this fiscal year has been primarily due to caseload growth, growth in behavioral services that is not funded through private insurance and a large group of consumers who graduated from high school and started receiving adult day program services for the first time.

Mr. Landauer reported that representatives from the Legislative Analyst's Office (LAO) visited the Regional Center of Orange County (RCOC) on August 18-19, 2014. The LAO representatives observed the following: RCOC's eligibility process, the use of Virtual Chart in monitoring RCOC's expenditures, a job coach working with a consumer in a Supported Employment program, and a Supported Living Services provider assisting a consumer. The representatives also visited a transitional home and an Intermediate Care Facility – Developmentally Disabled, – Nursing.

Mr. Landauer said that staff members from Senator Mimi Walters' office toured Fairview Developmental Center and Harbor Village on August 8, 2014.

Mr. Landauer said that RCOC is now a member of the Orange County Business Council (OCBC). RCOC hopes to cultivate strong relationships with other OCBC members and to encourage Orange County businesses to hire the individuals we serve.

III. Board Report

Mr. Antenucci reported that the Board of Directors met on September 4, 2014. The meeting agenda included two action items, which passed unanimously. The items approved were:

1. Approval of Board Membership for Tam Nguyen for a One-Year Term Commencing January 1, 2015 and Ending December 31, 2015
2. Approval of Nancy Cross as Member of Vendor Advisory Committee and Chair of Adult Behavior Management Programs Subcommittee for the Term Commencing September 4, 2014 and Ending May 31, 2015

Mr. Antenucci shared that his report to the Board included a request from VAC members to better understand information included in the monthly Board packet. Members are asking for training and a monthly summary of items related to vendored services. Future VAC meetings will include trainings as identified and a VAC focus group will develop a Board Packet information summary for VAC members.

IV. Community Forum

No community members addressed the committee during Community Forum.

V. Consumer Advisory Team (CAT) Report

Mr. Jack Stanton reported that the Consumer Advisory Team met on August 20, 2014. Mr. Gebo shared information about OCTA's new no-show policy. The next CAT meeting is scheduled for September 17, 2014.

VI. Liaison Reports

A. CalOptima – Judy Roberts

In Ms. Laura Grigoruk's absence, Ms. Judy Roberts shared that CalOptima is now mandated to provide behavioral health services to all children and adolescents 0 to 21 years of age who are diagnosed with autism spectrum disorder. CalOptima is committed to working with RCOC to ensure the continuity of care for consumers who are currently receiving behavioral health services from RCOC.

B. Fairview State Developmental Center (FSDC) – Representation Pending

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

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

Mr. Robert Gebo reported that OCTA has a new no-show policy. The previous policy would allow all riders three no-show occurrences in one calendar month, resulting in a thirty day suspension notice after the third occurrence. The new policy will use a formula to calculate the number of allowed no-shows based on frequency of ridership per individual, rather than a set number for everyone. Mr. Gebo then shared that OCTA plans to mail out a survey to riders regarding OCTA's overall performance throughout the past four years.

VII. Provider Reimbursement Rate Initiative

Mr. Antenucci reported that several vendors have submitted a letter to DDS that contains an analysis of vendor rates in comparison to the Consumer Price Index. Vendors are extremely concerned that the current rates for services can affect the quality of services provided to consumers. Mr. Antenucci recommended forming a focus group to discuss how to proceed with addressing the issue of vendor rates.

VIII. Member Reports

A. Adult Behavior Management – Nancy Cross

Ms. Nancy Cross reported that there has been an increase in referrals to many adult behavior management programs. Several vendors in South Orange County have waiting lists.

B. Adult Day Programs – Denise Simpson

Ms. Denise Simpson reported that Mr. Stanton presented the 2015 Performance Contract to the group.

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

Mr. Antenucci reported that the group did not meet this month. No report was given.

D. Behavior Services – Linda Seppala

Ms. Linda Seppala reported that the group discussed continuity of care as children and adolescents transition to the Medi-Cal funding of behavioral health services. The group discussed the RCOC progress report template. A subcommittee is reviewing the template.

E. Community Care Facilities (CCF) – Rebekah Hayes

Ms. Rebekah Hayes reported that the group did not meet this month. Ms. Hayes shared that the Residential Service Providers Committee continues to work with the Orange County Fire Authority on developing best practices for fire safety in community care facilities.

F. Early Intervention – Tiffany Bauer

In Ms. Pam Alexander's absence, Ms. Tiffany Bauer reported that RCOC will hold a vendor fair in October at the Elks Lodge. The group met to discuss streamlining the Early Start Report.

G. Habilitation – Tim Chervenak

Mr. Tim Chervenak reported that the group discussed hybrid day services. The Department of Rehabilitation hosted a quarterly meeting at RCOC on July 28, 2014. Hybrid day services will allow consumers to have a program that is tailored to their needs.

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

Ms. Jasmin Botello reported that the group discussed employee discipline. The group reviewed various vendors' employee policy and procedure handbooks.

I. Intermediate Care Facilities (ICF) – Representation Pending

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

J. Support Services/Allied Health – Gabriella Strauss

Ms. Gabriella Strauss reported that Mr. Stanton presented the 2015 Performance Contract to the group. The group discussed vendor rates.

IX. Performance Contract

Mr. Jack Stanton's Performance Contract (PC) presentation was postponed to the October VAC meeting. In the interim, Mr. Antenucci recommended that each vendor group review the PC, specifically, activities/objectives related to each of the goals. Mr. Antenucci encouraged vendors to identify activities and objectives that would improve outcomes for PC goals, and share those with RCOC prior to this year's PC submission to DDS.

X. Other

Mr. Antenucci stated that RCOC is closed on November 11, 2014, for Veteran's Day. VAC members agreed to meet on either November 4, 2014 or November 18, 2014, depending on the availability of a meeting space at RCOC.

XI. Adjournment

Mr. Antenucci adjourned the meeting at 3:34 p.m.

The next scheduled VAC meeting is Tuesday, October 14, 2014.

Recorder: Nicole Barrios

**Regional Center of Orange County
Consumer Advisory Team
September 17, 2014
Minutes**

Team Members Present:

Sylvia Delgado, Chair		
Charles Aguilar	Adam Foltz	Fernando Peña
Elizabeth Ayala	Katie Foote	Kolleen Potter
Amber Bante	Steve Gersten	Mark Rosati
Sherie Bante	Thomas Harpe	David Saad
Ryan Boone	Paul Harrell	Tom Schmenk
Diane Brandt	Paul Hyek	Deborah Scholnick
Candice Brooks	Elizabeth Jackson	Ramndip Singh
John Brown	Ellis James	Fred Van De Beuken
Diane Cumberworth	Janice Kane	Molly Van Norman
Nancy Curtis	Keith Laird	Shirley Walling
Sam Durbin	Hallie Long	Celeste Whipple
Tamara Elger	Markus Morales	Joanne Wile
Gabriel Felter	Beau Nguyen	Ashley Yankey
Casey Flanders	Janie Mutshnick	Dylan Zanelli

Guests Present:

Stuart Haskin

RCOC Staff Present:

Jack Stanton Andre Wilson

California Elwyn Staff Members Present:

Sabrena Arutunian Elizabeth MacNey

Empower Staff Members Present:

Carlos Marshall Tony Sully

Independent Endeavor Staff Members Present:

Carol Magee Erika Valdez
Pat Thurman Connie Jean Wiggins

Integrity House Staff Members Present:

Jose Cortes Minaya Wright

Ms. Delgado called the meeting to order at 10:14 a.m.

1. Welcome and Introductions – Sylvia Delgado, Chairperson.

Ms. Delgado welcomed all new and recurring attendees, and the Team recited the Consumer Advisory Team (CAT) Mission Statement aloud together.

2. Chairperson's Report – Sylvia Delgado.

Ms. Delgado reported that she and Jyusse Corey, RCOC's Consumer Advocate, plan to attend the Self-Advocacy Information Fair on Thursday, September 18, 2014. Hosted by Fairview Developmental Center, located at 2501 Harbor Boulevard in Costa Mesa, the event is scheduled from 3:30 p.m. to 5:30 p.m. Those who are interested in attending can call Fairview at (714) 957-5000 for more information.

Ms. Delgado then reported that she and Jyusse are planning to attend the 28th Annual Self-Advocacy Conference in Sacramento. The conference is presented by Supported Life Institute, and will occur from Thursday, October 9, to Friday, October 10, 2014. The conference offers more than forty sessions of talks, lectures and presentations that deliver information for living proactive, productive and progressive lives.

Ms. Delgado reminded everyone of her plans to participate in the 24th Annual Children's Hospital of Orange County (CHOC) Walk in the Park on Sunday, October 12, 2014. Presented by Disneyland Resort, the annual 5k walk has raised millions of dollars in donations for programs and services provided by CHOC. Ms. Delgado shared that she will walk with Team Timmaree Rocks, and reminded everyone that it's not too late to donate. Those who would like more information are invited to visit the CHOC website: <http://www.choc.convio.net>, or call: (714) 509-8690, or send email to: chocwalk@chocchildrens.org.

3. Community Updates – Jack Stanton, Consumer and Community Resources Manager.

Mr. Stanton introduced Mr. Robert Gebo, Paratransit Administrator for Orange County Transportation Authority (OCTA), who announced that the process of mailing out the customer satisfaction surveys for 2014 has begun. Mr. Gebo asked that everyone return the surveys as quickly as possible, and keep in mind OCTA's overall performance throughout the past four years, rather than just one or two particular incidents.

Mr. Stanton then introduced Sam Durbin and Minaya Wright, who shared information about the Second Annual Orange County Self-Determination Conference which is co-hosted by RCOC and Integrity House. The conference is scheduled to happen from 9:30 a.m. to 3:00 p.m. on Saturday, October 25, 2014 at the Elks Lodge, 212 Elk Lane in Santa Ana. Flyers containing details were then distributed to those who were interested in attending the event.

Mr. Stanton introduced Mr. Stewart Haskin, the Founder of GETSAFE, who gave a very lively and interactive talk about how and whom to ask for help. Mr. Haskin shared examples of how to safely approach an officer to ask for help and how to avoid dehydration and heatstroke when exposed to extreme heat conditions. A lengthy discussion ensued.

4. Thank You Letters.

There were no thank you letters to be distributed.

5. Open Forum.

No one addressed the Team during open forum.

6. Community Events and Activities.

Ms. Delgado shared her plans to attend the open house event today at Rehabilitation Institute of Southern California in Orange (RIO). Each department in the facility will represent a different country, including decorations and food samples. RIO is located at 1800 La Veta Avenue in Orange, and tours of the facility will be available today until 4:00 p.m. More information is available at www.riorehab.org.

7. Birthdays.

The group sang happy birthday to those who celebrated a birthday in the month of September.

8. Other.

Ms. Delgado requested that Team Members who plan to attend the CAT meeting on November 19, 2014, come prepared to share their ideas and suggestions for the CAT meeting in December.

Ms. Delgado then announced that the CAT meeting on October 15, 2014, will include a discussion on the history of Halloween and welcomed everyone to wear Halloween costumes.

Sam Durbin shared that he has finished his second book and will host a book signing event on Friday, October 3, 2014. The event is scheduled from 5:00 p.m. to 7:00 p.m., at Integrity House which is located at 2043 North Broadway in Santa Ana.

The meeting adjourned at 11:36 a.m.

Recorder: Sandra Perdew