



REGIONAL CENTER OF ORANGE COUNTY BOARD OF DIRECTORS' MEETING AGENDA

Date: **Thursday, November 1, 2018**

Time: **6:00 – 8:00 p.m.**

Place: RCOC Board Room, 1525 North Tustin Avenue, Santa Ana, California 92705

I.	Closed Session (Board Members Only)		
	A.	W&I Code §4663 and §4664	David M. Lester, Esq.
II.	Recess		
III.	General Session		
	A.	Pledge of Allegiance/Reading of RCOC's Mission and Vision Statement	Alan Martin
	B.	Budget and Finance Committee	John "Chip" Wright
	C.	Consent Calendar*	Alan Martin
		1. Approval of Board of Directors' Minutes for September 6, 2018** 2. Budget and Finance Committee** a. Approval of Monthly Sufficiency of Allocation Report, August 2018** b. Approval of Monthly Sufficiency of Allocation Report, September 2018** c. Approval of Budget Amendment	
	D.	Executive Director's Report	Larry Landauer
		1. Approval of Calendar Year 2019 Performance Contract** 2. Approval of Request for Waiver of Potential Conflict of Interest and Conflict Resolution Plan for Angela Guzman, Service Coordinator** 3. Operations Report – August 2018** 4. Operations Report – September 2018** 5. Performance Contract – August 2018** 6. Performance Contract – September 2018** 7. Employment Update 8. Fairview Developmental Center 9. Housing Update	Arturo Cazares Mary Carlson Jack Stanton
	E.	Community Forum***	Alan Martin
	F.	Executive Committee	Alan Martin
	G.	Board Recruitment and Training Committee**	Alan Martin
		1. Approval of Board Membership for Meena Chockalingam Bedekar for New One-Year Term Commencing January 1, 2019 and Ending December 31, 2019** 2. Approval of Board Membership for Fernando Peña for New One-Year Term Commencing January 1, 2019 and Ending December 31, 2019** 3. Approval of Board Membership for Mine Hagen for New One-Year Term Commencing January 1, 2019 and Ending December 31, 2019**	
	H.	Policies and Outcomes Committee**	Cliff Amsden
		1. Approval of Revisions to the Conflict of Interest Policy** 2. Approval of Revisions to the Zero Tolerance Policy Regarding Abuse and Neglect of Those We Serve**	
	I.	Vendor Advisory Committee**	Tiffany Bauer
		1. Resignation of Mark Antenucci as Co-Chair of the Vendor Advisory Committee** 2. Approval of Vendor Advisory Committee Members Marie Sañudo as Chair of AFHA/FFA Subcommittee and Tim Chervenak as Co-Chair of Habilitation Subcommittee**	
	J.	Peer Advisory Committee**	Sylvia Delgado

	K.	Legislative and Community Awareness Committee**	Liza Krassner
	L.	ARCA Report	Liza Krassner
	M.	Chairperson's Report	Alan Martin
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.*

***Attachments 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 6, 2018
Minutes**

Board Members Present: Alan Martin, Chairperson
Cristina Alba
Cliff Amsden
Marcell Bassett
Tiffany Bauer
Maritza Bravo
Sylvia Delgado (*left at 7:28 p.m.*)
Amy Jessee (*left at 7:45 p.m.*)
Liza Krassner
Peter Kuo (*left at 7:28 p.m.*)
Hilda Mendez
John "Chip" Wright

Corporate Counsel Present: David Lester, Esq.

I. General Session

Mr. Alan Martin called the meeting to order at 6:05 p.m.

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

Ms. Amy Jessee led attendees in a recitation of the Pledge of Allegiance.
Ms. Sylvia Delgado then read RCOC's Mission and Vision Statement.

B. Budget and Finance Committee

Mr. Chip Wright reported that the Committee met, reviewed and recommends for approval all items on the consent calendar. The Committee also discussed hiring, turnover and caseload ratios.

C. Consent Calendar

1. Approval of Board of Directors' Minutes for June 7, 2018
2. Budget and Finance Committee
 - a. Approval of Monthly Sufficiency of Allocation Report, May 2018
 - b. Approval of Monthly Sufficiency of Allocation Report, June 2018
 - c. Approval of Monthly Sufficiency of Allocation Report, July 2018
 - d. Approval of Budget Amendment E-1, Fiscal Year 2018-2019

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

D. Executive Director's Report

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

- *Statewide News.* Mr. Landauer shared that the National Direct Support Professional Recognition Week (September 9th-15th) is coming up. Mr. Landauer mentioned that both he and Ms. Tiffany Bauer will be attending a joint meeting of the Southern California Regional Center Directors and the Los Angeles Coalition of Service Providers at the Harbor Regional Center on Thursday, September 13, 2018. At this meeting, they will address the state's underfunding of direct support services and the Department of Developmental Services' (DDS') Vendor Rate Study which is due to the Legislature by March 1, 2019. They will also review the Governor's Budget for fiscal year 2018-19, and its' inclusion of the Uniform Holiday Schedule and, its' non-inclusion of higher rates for local minimum wage increases, social recreational services and additional safety net funding.
- *Purchase of Service (POS) Expenditures for Fiscal Year 2017-18.* Mr. Landauer reported that the regional center system is projecting a surplus between \$67.7 and \$58.1 million. Mr. Landauer added that RCOC's caseload grew by 821 individuals for caseload growth of 4.0%.
- *Person Centered Thinking (PCT).* Ms. Cristina Mercado, RCOC's PCT Coordinator, reported that the beta version of the PCT Individual Program Plan (IPP) will be released on September 14, 2018. Ms. Mercado added that RCOC conducted PCT training for vendors in August and two additional trainings will be conducted in September and October 2018.
- *Employment.* Mr. Arturo Cazares, RCOC's Associate Director of Employment, reported that the number of persons served in work activity programs continues to decrease while the number of persons served in Competitive Integrated Employment (CIE) has increased.
- *Fairview Developmental Center.* Ms. Mary Carlson, RCOC's Area Supervisor - Community Placement Plan, provided an update on the number of persons served who have transitioned into the community from Fairview Developmental Center (FDC) and steps that staff and providers have taken to ensure successful transitions.
- *Housing.* Mr. Jack Stanton, Associate Director of Housing, reported on the new properties that have been acquired as part of the Community Placement Plan, and the progress on renovating these homes.
- *Legislative and Community Awareness.* Mr. Landauer and Ms. Anh Nguyen, RCOC's Consultant, reported that social media continues to be a successful tool for reaching out to the community, sharing activities and promoting RCOC in general. Mr. Landauer also reviewed media highlights featuring RCOC's persons served.

- ***RCOC News.*** Mr. Landauer reported that the Centers for Medicare & Medicaid Services (CMS) have approved the Self-Determination Program. On October 1, 2018, the Department of Developmental Services (DDS) will select from the approximately 500 persons who enrolled, 151 persons to participate in the Self-Determination Program for Orange County.

Mr. Landauer mentioned that the Annual Self-Determination Conference will be held at Integrity House on Saturday, October 13, 2018, from 9:00 a.m. to 2:00 p.m. The conference topic is *See Something? Say Something!*

Mr. Landauer reported that RCOC's public meeting on the 2019 Performance Contract was conducted on Wednesday, August 15, 2018. In addition to the usual mailings and emails to invite families and persons served to the meeting, RCOC sent a text message and attendance improved. RCOC will continue to send invitations via text message.

E. Community Forum

There were no speakers for community forum.

F. Policies and Outcomes Committee

Mr. Cliff Amsden reported that the Committee met on Monday, July 16, 2018, and presented revisions to four policies as recommended by the Policies and Outcomes Committee.

1. Approval of Revisions to the Policy on Resource Development and Procurement

M/S/C to approve revisions to the Policy on Resource Development and Procurement as recommended.

2. Approval of Revisions to the Start-Up, Gap and Lag Funding Policy

M/S/C to approve revisions to the Start-Up, Gap and Lag Funding Policy as recommended.

3. Approval of Revisions to the Policy on Information Dissemination to Consumers, Families, Authorized Representatives, and Other Interested Parties

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

4. Approval of Revisions to the Policy on Insurance Requirements for Providers

M/S/C to approve revisions to the Policy on Insurance Requirements for Providers as recommended.

The next Policies and Outcomes Committee meeting is scheduled for Monday, October 15, 2018.

G. Vendor Advisory Committee

Ms. Tiffany Bauer reported that the Vendor Advisory Committee (VAC) met on July 10, 2018. The Committee discussed the ongoing challenges of hiring direct care staff when rates are inadequate. They also discussed the DDS Vendor Rate Study by Burns & Associates.

1. Vendor Advisory Committee Representative to the Board of Directors.
In accordance with the Lanterman Act, Section 4266(i), the Vendor Advisory Committee (VAC) elected Ms. Tiffany Bauer to serve as the VAC Chairperson and the VAC Representative to the Board of Directors from July 1, 2018 to June 30, 2019.

H. Board Recruitment and Training Committee

Mr. Martin reported that the Committee met on July 9, 2018, and the next meeting is scheduled for September 10, 2018. The Committee discussed recruitment efforts and confirmed that the Board of Directors continues to be in compliance with the state requirements. The Committee also reviewed potential Board applicants.

I. Peer Advisory Committee

Ms. Sylvia Delgado reported that the Committee last met on June 20, 2018. At this meeting, Mr. Jyusse Corey updated the Committee on the Self-Determination Program and the California Achieving a Better Life Experience (CalABLE) program. Dr. Sam Ho, RCOC's Clinical Pharmacist, presented the data collected from the 12-week *Healthy Life, Happy Life* pilot program.

Ms. Amy Jessee shared that she is a volunteer at Integrity House, a Clubhouse started by Alliance of Abilities, for persons with developmental disabilities to work in areas such as community integration, culinary arts, maintenance and horticulture. Ms. Jessee said that she is also volunteering at the Pacific Marine Mammal Center that rescues, rehabilitates and releases marine mammals and inspires ocean stewardship through research, education and collaboration. Ms. Jessee reported that she extended an invitation to the Pacific Marine Mammal Center to present at an upcoming PAC meeting to talk about the Center and potential volunteer opportunities.

The next PAC meeting is scheduled for Wednesday, September 19, 2018.

J. Legislative and Community Awareness Report

Ms. Liza Krassner reported on the Committee's continuing efforts to inform the community about RCOC services.

The next Committee meeting is scheduled for October 4, 2018.

K. ARCA Report

Ms. Krassner reported that she has been appointed to serve as Chair of the ARCA Board Delegates Committee. The Committee held their first meeting on

August 16, 2018, and discussed their roles as ARCA's board delegates and as regional center board members. They also discussed how they can support ARCA, their respective regional centers and their Executive Directors.

The next ARCA Board Delegates meeting will be in September 2018.

L. Presentation on the 2019 Performance Contract

Mr. Stanton presented the 2019 Performance Contract.

M. Chairperson's Report

Mr. Martin reminded the Board about their upcoming training on Virtual Chart which will take place on Thursday, October 4, 2018.

II. Adjournment

Mr. Martin adjourned the meeting at 7:56 p.m.

Sylvia Delgado, Secretary

Recorder: Sandra Lomeli

**Regional Center of Orange County
Budget and Finance Committee
Minutes
September 6, 2018**

Committee Members Present: John “Chip” Wright, Chair
Cliff Amsden
Marcell Bassett (arrived at 4:38 p.m.)
Amy Jessee

Other Board Members Present: Peter Kuo
Sylvia Delgado
Hilda Mendez

RCOC Staff Present: Bette Baber, Chief Financial Officer
Larry Landauer, Executive Director
Jerrod Bonner, IT Director
Arturo Cazares, Associate Director Employment
Veronica Flores, Accounting Manager
Bonnie Ivers, Clinical Director
Christina Petteruto, General Counsel
Linda Pham, Fiscal Analyst
Marta Vasquez, Associate Finance Director
Stacy Wong, HR Director

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

1. Approval of Monthly Sufficiency of Allocation Reports (SOARs) May and June 2018

Ms. Marta Vasquez presented the monthly Sufficiency of Allocation Reports (SOARs). RCOC is projecting a deficit of \$10.3 million. The projected deficit will be \$424,757 if all \$9.9 million of the State Plan Amendment receivables are paid. The various factors that led to greater projected expenditures are: the continuation costs of higher rates for services, the large number of graduates from school to regional center-funded adult day programs, the minimum wage increase from \$10.50 to \$11.00 which was effective January 1, 2018, and the increase in the number of persons served.

There was a discussion about the projected surplus in the regional center system. Many regional centers point to median rates as the reason for the surplus, i.e., the rate cap prohibits the development of new services. Vendors report that they are unable to hire all the direct care employees that they need to staff referrals. Vendors, who provide services in the counties of Los Angeles and Orange, are struggling with the minimum wage discrepancy. The California minimum wage is now \$11.00 for employers with 26 or more employees; the minimum wage for the County and City of Los Angeles is \$13.25

RCOC Budget and Finance Committee Minutes
September 6, 2018

for employers with 26 or more employees. In a competitive job market, with historically low unemployment, vendors need higher rates.

M/S/C to approve the monthly SOARs.

2. Approval of Monthly Sufficiency of Allocation Report (SOAR) July 2018

Ms. Bette Baber stated that the annual Sufficiency of Allocation Report will be due to the Department of Developmental Services on December 10, 2018. It is anticipated that purchase of service trends will be consistent with 2017-18: continuation costs of higher rates for services, another large number of graduates from school to regional center-funded adult day programs, the minimum wage increase from \$11.00 to \$12.00 which will be effective January 1, 2019, and the increase in the number of persons served.

M/S/C to approve the monthly SOAR.

3. Approval of Budget Amendment E-1, Fiscal Year 2018-19

Ms. Baber reported that the Department of Developmental Services had allocated \$88.8 million to RCOC: \$80 million for purchase of services and \$8.8 million for operations.

M/S/C to approve the budget amendment.

Other discussion items included the hiring of Service Coordinators in 2018-19 and caseload ratios.

The meeting adjourned at 4:55 p.m.

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION X
ACTION/CONSENT
DISCUSSION
INFO ONLY

DATE: November 1, 2018

TO: RCOC Board of Directors

FROM: Budget and Finance Committee

SUBJECT: Approval of Monthly Sufficiency of Allocation Report, August 2018

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

MEMORANDUM

Date: October 23, 2018

To: Board of Directors

From: Budget and Finance Committee

Subject: Highlights – August 2018 Sufficiency of Allocation Report (SOAR)

Purchase of Services (POS)

The annual Sufficiency of Allocation Report (SOAR) for fiscal year 2018-19 is due to the Department of Developmental Services on December 10, 2018.

The factors which will increase expenditures significantly in this fiscal year are as follows:

- continuation costs for the higher rates included in the Special Session language (ABX2 1 also known as MCO),
- continuation of the minimum wage increases effective January 1, 2017 and 2018,
- the new minimum wage increase effective January 1, 2019, and
- the 490 persons served who will graduate from school to regional center-funded adult day programs.

Year to date, RCOC's caseload has increased by 103 persons for annualized caseload growth of 1.9%; the regional center system grew by 3,386 persons for an annualized caseload growth of 4.2%.

Operations

RCOC will be within budget for both Operating Expense and Personal Services. They both appear to exceed the allocation because RCOC makes annual payments for insurance, including Workers' Compensation, and the CalPERS unfunded liability payment. RCOC's unfunded liability payment to CalPERS for fiscal year 2018-19 was \$1.2 million. That payment alone adds \$14.2 million to RCOC's "run rate." A footnote was added to the monthly SOAR to explain this.

Monthly Sufficiency of Allocation Report
As of August 31, 2018

	A	B	C	D	E	F	G	H
		ACTUAL	PROJECTED	SOAR	VARIANCE		CHANGE	
	E-1	SPENT	EXPENDITURES	PROJECTED	(column A-D)/A)	(column A-D)	FROM PRIOR	SPENT
PURCHASE OF SERVICE	ALLOCATION	YEAR TO DATE	AT "RUN RATE"	EXPENDITURES (n/a)	%	AMOUNT	MO. REPORTED	PRIOR YEAR
					YEAR TO DATE			
(1) Licensed Residential Care	\$84,901,344	\$14,346,293	\$86,077,758	\$0	n/a	n/a	n/a	\$81,676,201
(2) Day Care	2,941,296	433,004	2,598,024	0	n/a	n/a	n/a	2,897,829
(3) Day Training	60,119,981	10,086,125	60,516,750	0	n/a	n/a	n/a	57,261,065
(4) Habilitation	10,042,789	1,654,160	9,924,960	0	n/a	n/a	n/a	9,894,373
(5) Transportation	17,662,158	2,150,925	12,905,550	0	n/a	n/a	n/a	15,430,698
(6) Respite	25,322,696	3,357,262	26,801,559	0	n/a	n/a	n/a	22,978,026
(7) Supported Living	42,921,965	6,482,827	38,896,962	0	n/a	n/a	n/a	39,054,896
(8) Non-medical	26,589,545	3,011,970	21,163,474	0	n/a	n/a	n/a	26,196,596
(9) Medical	4,561,718	808,097	4,848,582	0	n/a	n/a	n/a	4,494,303
(10) Other	71,497,798	12,814,511	76,887,066	0	n/a	n/a	n/a	68,470,737
(11) Early Start (Age 0-3)	28,488,628	4,737,161	28,422,966	0	n/a	n/a	n/a	27,200,551
(12) Community Placement Plan	2,281,246	0	0	0	n/a	n/a	n/a	323,538
(13) Purchase of Service Total	377,331,165	59,882,335	369,043,652	0	0%	0	0	355,878,813
OPERATIONS								
(14) Operating Expense (Gross)	7,600,000	1,474,530	8,847,180	7,600,000	0%	0	0	5,938,064
(15) Less Interest Income and SPA Fees	(300,000)	(49,971)	(299,829)	(300,000)	-0%	0	0	(316,413)
(16) Operating Expense (Net)**	7,300,000	1,424,559	8,547,352	7,300,000	0%	0	0	5,621,651
(17) Personal Services**	37,860,036	6,391,405	38,348,433	37,860,036	0%	0	0	33,670,792
(18) Family Resource Center	140,397	4,393	26,359	140,397	0%	0	0	106,705
(20) Operations Total	45,300,433	7,820,357	46,922,143	45,300,433	0%	0	0	39,399,148
(21) Total	\$422,631,598	\$67,702,692	\$415,965,795	\$45,300,433	0%	\$0	\$0	\$395,277,961

* State Plan Amendment (SPA). Regional centers pay the Day Program and Transportation expenditures for persons who live in Intermediate Care Facilities (ICFs); DDS pays ICFs; ICFs pay regional centers.

** 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.

*** Operating Expense and Personal Services both appear to exceed the allocation. This is due to annual payments for insurance and RCOC's annual unfunded liability payment to CalPERS.

STATEMENT OF ASSETS, LIABILITIES AND FUND BALANCES
AS OF AUGUST 31, 2018

ASSETS	GENERAL FUND	CUSTODIAL FUND
CURRENT ASSETS		
Petty cash	\$300.00	
Checking	25,414,280.41	
Savings	6,583.99	\$746,498.89
Money market	0.00	
Payroll	168,879.32	
Donations	46,348.29	
Unemployment	385,962.70	
Certificate of deposit	0.00	
Total current assets	26,022,354.71	746,498.89
RECEIVABLES		
State claim	51,072,733.64	
Client support revenue	261,446.78	22,361.05
Due from State - prior years	72,909,502.23	
Due from ICF - ICF Supplemental Services	7,472,268.35	
Total receivables	131,715,951.00	22,361.05
PREPAID ITEMS		
Deposits	342,375.88	
Prepaid expense	0.00	
Total prepaid items	342,375.88	0.00
OTHER ASSETS		
Tenant improvements	715,823.45	
Building acquisition	63,613.98	
Total other assets	779,437.43	0.00
TOTAL ASSETS	\$158,860,119.02	\$768,859.94
LIABILITIES AND FUND BALANCES		
LIABILITIES		
Accounts payable	\$18,041,778.59	\$261,446.78
Due to State - ICF Supplemental Services	52,522.57	
Loans payable	0.00	
Cash advance	140,333,506.87	
Unemployment insurance	385,962.70	
Total liabilities	158,813,770.73	261,446.78
FUND BALANCES		
General	0.00	
Donations	46,348.29	
Custodial		507,413.16
TOTAL LIABILITIES AND FUND BALANCES	\$158,860,119.02	\$768,859.94

REGIONAL CENTER OF ORANGE COUNTY
BRIAN'S FUND
AUGUST 31, 2018

Beginning Balance		\$46,499.54
Donations	\$0.00	
Loan Payments	430.00	
Interest	0.00	
Disbursements:		
Rent deposit	<u>-581.25</u>	
Net Increase (Decrease)		<u>-151.25</u>
Ending Balance		<u><u>\$46,348.29</u></u>

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION X
ACTION/CONSENT
DISCUSSION
INFO ONLY

DATE: November 1, 2018

TO: RCOC Board of Directors

FROM: Budget and Finance Committee

SUBJECT: Approval of Monthly Sufficiency of Allocation Report, September 2018

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: October 23, 2018

To: Board of Directors

From: Budget and Finance Committee

Subject: Highlights – September 2018 Sufficiency of Allocation Report (SOAR)

Purchase of Services (POS)

The annual Sufficiency of Allocation Report (SOAR) for fiscal year 2018-19 is due to the Department of Developmental Services on December 10, 2018.

The factors which will increase expenditures significantly in this fiscal year are as follows:

- continuation costs for the higher rates included in the Special Session language (ABX2 1 also known as MCO),
- continuation of the minimum wage increases effective January 1, 2017 and 2018,
- the new minimum wage increase effective January 1, 2019, and
- the 490 persons served who will graduate from school to regional center-funded adult day programs.

Year to date, RCOC's caseload has increased by 103 persons for annualized caseload growth of 1.9%; the regional center system grew by 3,386 persons for an annualized caseload growth of 4.2%.

Operations

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

Monthly Sufficiency of Allocation Report
As of September 30, 2018

	A	B	C	D	E	F	G	H
		ACTUAL	PROJECTED	SOAR	VARIANCE			
	E-1	SPENT	EXPENDITURES	PROJECTED	(column A-D)/A)	(column A-D)	CHANGE	SPENT
PURCHASE OF SERVICE	ALLOCATION	YEAR TO DATE	AT "RUN RATE"	EXPENDITURES (n/a)	%	AMOUNT	FROM PRIOR MO. REPORTED	PRIOR YEAR
					YEAR TO DATE			
(1) Licensed Residential Care	\$84,901,344	\$20,686,946	\$86,104,661	\$0	n/a	n/a	n/a	\$81,676,201
(2) Day Care	2,941,296	582,980	2,691,885	0	n/a	n/a	n/a	2,897,829
(3) Day Training	60,119,981	13,671,594	61,376,670	0	n/a	n/a	n/a	57,261,065
(4) Habilitation	10,042,789	1,821,871	9,929,985	0	n/a	n/a	n/a	9,894,373
(5) Transportation	17,662,158	2,263,092	13,578,552	0	n/a	n/a	n/a	15,430,698
(6) Respite	25,322,696	3,357,262	26,801,559	0	n/a	n/a	n/a	22,978,026
(7) Supported Living	42,921,965	9,461,129	38,919,510	0	n/a	n/a	n/a	39,054,896
(8) Non-medical	26,589,545	3,436,543	20,619,258	0	n/a	n/a	n/a	26,196,596
(9) Medical	4,561,718	1,127,054	4,756,443	0	n/a	n/a	n/a	4,494,303
(10) Other	71,497,798	12,895,386	77,372,316	0	n/a	n/a	n/a	68,470,737
(11) Early Start (Age 0-3)	28,488,628	6,313,217	28,447,072	0	n/a	n/a	n/a	27,200,551
(12) Community Placement Plan	2,281,246	15,512	7,756	0	n/a	n/a	n/a	323,538
(13) Purchase of Service Total	377,331,165	75,632,586	370,605,667	0	0%	0	0	355,878,813
OPERATIONS								
(14) Operating Expense (Gross)	7,600,000	1,920,302	7,681,209	7,600,000	0%	0	0	5,938,064
(15) Less Interest Income and SPA Fees	(300,000)	(75,794)	(303,174)	(300,000)	-0%	0	0	(316,413)
(16) Operating Expense (Net)**	7,300,000	1,844,509	7,378,035	7,300,000	0%	0	0	5,621,651
(17) Personal Services**	37,860,036	9,049,955	36,199,821	37,860,036	0%	0	0	33,670,792
(18) Family Resource Center	140,397	12,244	48,975	140,397	0%	0	0	106,705
(20) Operations Total	45,300,433	10,906,708	43,626,832	45,300,433	0%	0	0	39,399,148
(21) Total	\$422,631,598	\$86,539,294	\$414,232,498	\$45,300,433	0%	\$0	\$0	\$395,277,961

* State Plan Amendment (SPA). Regional centers pay the Day Program and Transportation expenditures for persons who live in Intermediate Care Facilities (ICFs); DDS pays ICFs; ICFs pay regional centers.

** 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.

*** Operating Expense and Personal Services both appear to exceed the allocation. This is due to annual payments for insurance and RCOC's annual unfunded liability payment to CalPERS.

STATEMENT OF ASSETS, LIABILITIES AND FUND BALANCES
AS OF SEPTEMBER 30, 2018

ASSETS	GENERAL FUND	CUSTODIAL FUND
CURRENT ASSETS		
Petty cash	\$300.00	
Checking	13,565,843.56	
Savings	12,249.42	\$673,169.91
Money market	0.00	
Payroll	171,076.20	
Donations	44,919.17	
Unemployment	385,977.14	
Certificate of deposit	0.00	
Total current assets	14,180,365.49	673,169.91
RECEIVABLES		
State claim	63,560,703.08	
Client support revenue	223,751.92	34,718.76
Due from State - prior years	73,086,691.61	
Due from ICF - ICF Supplemental Services	7,369,070.99	
Total receivables	144,240,217.60	34,718.76
PREPAID ITEMS		
Deposits	342,375.88	
Prepaid expense	0.00	
Total prepaid items	342,375.88	0.00
OTHER ASSETS		
Tenant improvements	715,823.45	
Building acquisition	63,613.98	
Total other assets	779,437.43	0.00
TOTAL ASSETS	\$159,542,396.40	\$707,888.67
LIABILITIES AND FUND BALANCES		
LIABILITIES		
Accounts payable	\$18,725,470.65	\$223,751.92
Due to State - ICF Supplemental Services	52,522.57	
Loans payable	0.00	
Cash advance	140,333,506.87	
Unemployment insurance	385,977.14	
Total liabilities	159,497,477.23	223,751.92
FUND BALANCES		
General	0.00	
Donations	44,919.17	
Custodial		484,136.75
TOTAL LIABILITIES AND FUND BALANCES	\$159,542,396.40	\$707,888.67

REGIONAL CENTER OF ORANGE COUNTY
BRIAN'S FUND
SEPTEMBER 30, 2018

Beginning Balance		\$46,348.29
Donations	\$0.00	
Loan Payments	322.00	
Interest	5.78	
Disbursements:		
Dental	<u>-1,756.90</u>	
Net Increase (Decrease)		<u>-1,429.12</u>
Ending Balance		<u><u>\$44,919.17</u></u>

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: November 1, 2018

TO: RCOC Board of Directors

FROM: Larry Landauer
Executive Director

ACTION	X
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	

SUBJECT: **Approval of Calendar Year 2019 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 2019 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 (see attachment).

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.

RECOMMENDATION:

That the Board approve the Calendar Year 2019 Performance Contract as presented.

Performance Contract 2019 Cover Sheet



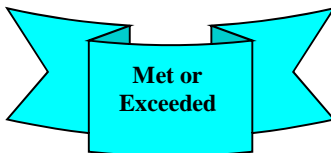
= Better than Statewide Average



= 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 2019

A. Regional Center of Orange County will maintain compliance in the following areas based upon criteria set forth in RCOC's contract with the Department of Developmental Services.

Compliance Measure	Outcome
Unqualified audit with no material findings	Yes
Substantial compliance with DDS fiscal audit	Yes
Accuracy percent of POS fiscal projections	Yes
Operates within OPS budget	Yes
Certified to participate in Waiver	Yes
Compliance with vendor audit requirements per contract, Article III, sec. 10	Met
CDER/ESR current	99.81
Intake/Assessment and IFSP (0-2)	99.52
IPP development biennial	Annual, 99.46
IFSP development	69.28

Performance Contract 2019

I. Developmental Center

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

	Percentage	All consumers	Consumers in DC			
Statewide Average	0.16%	326,687	525			
RCOC Public Hearing 8/15 /18	0.28%	21,293	59	Goal	%	# Attained
RCOC 10/01/18	0.27%	21,438	57	0	0.27%	-57
Analysis as of Public Hearing	RCOC % of DD population		6.52%	RCOC % of DC population		11.24%

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 2017-2018 and 2018-2019.

Progress: In FY 2017-2018, RCOC moved 13 persons served from Developmental Centers into the community. During Public Meetings in August 2018, RCOC had 59 persons served, or 0.28%, in Developmental Centers. RCOC is developing homes for all residents in developmental centers in anticipation of the pending closure dates.

Number of Persons Served Residing DCs



	Total Active Caseload	Goal	DC	%	Number Attained
Jan-19		0			
Feb-19		0			
Mar-19		0			
Apr-19		0			
May-19		0			
Jun-19		0			
Jul-19		0			
Aug-19		0			
Sep-19		0			
Oct-19		0			
Nov-19		0			
Dec-19		0			

Performance Contract 2019

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.

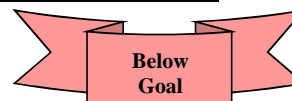
Objectives: Service Coordinators continue to identify, publicize and facilitate access to supports and services for children with developmental disabilities who are considered at risk for out-of-home placement. RCOC will hold an annual presentation on supports and services for persons served including 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 effort to support programs, trainings and services designed to provide equal access to child care for families of children with special needs (autism).
- Continue to develop innovative resources for children 0-3 years old (i.e., respite placement).
- RCOC will ensure that persons served 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 persons served and what types of services are available.
- RCOC will assure that persons served and their caregivers receive complete assessments and have the opportunity to ask questions, advocate, and access to services. To be evaluated and monitored by a National Core Indicators (NCI) survey of persons served and their caregivers.

Progress: A. During public meetings, RCOC had 186, or 1.81%, children in foster homes.

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

	Percentage	All children	Children in FH			
Statewide Average	2.69%	162,096	4,368			
RCOC Public Hearing 8/15 /18	1.81%	10,270	186	Goal	%	# Attained
RCOC 10/01/18	1.99%	10,313	205	215	1.99%	-10
Analysis as of Public Hearing	RCOC % of DD population		6.34%	RCOC % of FH population		4.26%



	Total Children Status 1&2	Goal	Children in Foster Homes	%	Number Attained
Jan-19		215			
Feb-19		215			
Mar-19		215			
Apr-19		215			
May-19		215			
Jun-19		215			
Jul-19		215			
Aug-19		215			
Sep-19		215			
Oct-19		215			
Nov-19		215			
Dec-19		215			

Progress: B. During public meetings, RCOC had 10,001, or 97.38%, of children in own home-parent/guardian.

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

Statewide Average

RCOC Public Hearing 8/15 /18

RCOC 10/01/18

Analysis as of Public Hearing

Percentage	All children	Children in own home Parent/ Guardian			
96.65%	162,096	156,660			
97.38%	10,270	10,001	Goal	%	# Attained
97.28%	10,313	10,032	10,315	97.28%	-283
RCOC % of DD population		6.34%	RCOC % of FH population		6.38%

Below Goal



	Total Children Status 1&2	Goal	Children in own home Parent/ Guardian	%	Number Attained
Jan-19		10,100			
Feb-19		10,100			
Mar-19		10,100			
Apr-19		10,100			
May-19		10,100			
Jun-19		10,100			
Jul-19		10,100			
Aug-19		10,100			
Sep-19		10,100			
Oct-19		10,100			
Nov-19		10,100			
Dec-19		10,100			

Progress: C. During public meetings, RCOC had 10,187, or 99.19%, of children in homes.

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

	Percentage	All children	Total Number Children in Homes			
Statewide Average	99.34%	162,096	161,028			
RCOC Public Hearing 8/15 /18	99.19%	10,270	10,187	Goal	%	# Attained
RCOC 10/01/18	99.26%	10,313	10,237	10,315	99.26%	-78
Analysis as of Public Hearing	RCOC % of DD population		6.34%	RCOC % of FH population		6.33%

Below Goal

	Total Children Status 1&2	Goal	Total Number Children in Homes	%	Number Attained
Jan-19		10,315			
Feb-19		10,315			
Mar-19		10,315			
Apr-19		10,315			
May-19		10,315			
Jun-19		10,315			
Jul-19		10,315			
Aug-19		10,315			
Sep-19		10,315			
Oct-19		10,315			
Nov-19		10,315			
Dec-19		10,315			

Performance Contract 2019

III. Adults Residing in Home Settings

Planned Activities

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

Objective: Using the Person Centered Thinking (PCT) Individual Program Planning process, Service Coordinators will continue to identify regional center adult persons served 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 designs.
- RCOC will ensure that persons served are provided opportunities for safety awareness training on a regular and as needed basis.
- RCOC will review and revise services, e.g. respite and family support.
- RCOC will assure that persons served and their caregivers receive complete assessments and have opportunity to ask questions, advocate, and access services. To be evaluated and monitored by an NCI survey of persons served and their caregivers.

Progress: A. During public meetings, RCOC had 92, or 0.84%, of adults residing in Adult FHA.

A. Total number and % of regional center adult caseload residing in an Adult Family Home Agency (FHA).

	Percentage	Total Adults status 2	Adults in FHA			
Statewide Average	0.97%	164,066	1,588			
RCOC Public Hearing 8/15 /18	0.84%	10,964	92	Goal	%	# Attained
RCOC 10/01/18	0.85%	11,068	94	101	0.85%	-7
Analysis as of Public Hearing	RCOC % of DD population 6.68%		RCOC % of FH population 5.79%			

**Below
Goal**

	Total Adults Status 2	Goal	Adults in FHA	%	Number Attained
Jan-19		101			
Feb-19		101			
Mar-19		101			
Apr-19		101			
May-19		101			
Jun-19		101			
Jul-19		101			
Aug-19		101			
Sep-19		101			
Oct-19		101			
Nov-19		101			
Dec-19		101			

Progress: B. During public meetings, RCOC had 835, or 7.62%, of adults residing in independent living.

Total number and % of regional center adults residing in independent living.

	Percentage	Total Adults status 2	Adults in Independent Living			
Statewide Average	10.56%	164,066	17,325			
RCOC Public Hearing 8/15 /18	7.62%	10,964	835	Goal	%	# Attained
RCOC 10/01/18	7.59%	11,068	840	851	7.59%	-11
Analysis as of Public Hearing	RCOC % of DD population		6.68%	RCOC % of FH population		4.82%



	Total Adults Status 2	Goal	Adults in Independent Living	%	Number Attained
Jan-19		851			
Feb-19		851			
Mar-19		851			
Apr-19		851			
May-19		851			
Jun-19		851			
Jul-19		851			
Aug-19		851			
Sep-19		851			
Oct-19		851			
Nov-19		851			
Dec-19		851			

Progress: C. During public meetings, RCOC had 7,069, or 64.47%, of adults residing in own home-parent.

Total number and % of regional center adults residing in own home-parent.

	Percentage	Total Adults status 2	Adults Residing Own Home - Parent			
Statewide Average	62.93%	164,066	103,243			
RCOC Public Hearing 8/15 /18	60.89%	10,964	6,676	Goal	%	# Attained
RCOC 10/01/18	64.75%	11,068	7,166	7,250	64.75%	-84
Analysis as of Public Hearing	RCOC % of DD population		6.68%	RCOC % of FH population		6.47%

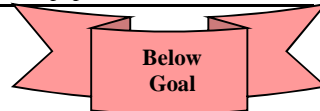


	Total Adults Status 2	Goal	Adults Residing Own Home - Parent	%	Number Attained
Jan-19		7,250			
Feb-19		7,250			
Mar-19		7,250			
Apr-19		7,250			
May-19		7,250			
Jun-19		7,250			
Jul-19		7,250			
Aug-19		7,250			
Sep-19		7,250			
Oct-19		7,250			
Nov-19		7,250			
Dec-19		7,250			

Progress: D. During public meetings, RCOC had 478, or 4.36%, of adults residing in supported living.

Total number and % of regional center adults residing in supported living.

	Percentage	Total Adults status 2	Adults Residing Supported Living			
Statewide Average	5.45%	164,066	8,940			
RCOC Public Hearing 8/15 /18	4.36%	10,964	478	Goal	%	# Attained
RCOC 10/01/18	4.26%	11,068	471	477	4.26%	-6
Analysis as of Public Hearing	RCOC % of DD population		6.68%	RCOC % of FH population		5.35%



	Total Adults Status 2	Goal	Adults Residing Supported Living	%	Number Attained
Jan-19		477			
Feb-19		477			
Mar-19		477			
Apr-19		477			
May-19		477			
Jun-19		477			
Jul-19		477			
Aug-19		477			
Sep-19		477			
Oct-19		477			
Nov-19		477			
Dec-19		477			

Progress: E. During public meetings, RCOC had 8,474, or 77.29%, of adults 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 Adults status 2	Total Number Adults in Home Settings			
Statewide Average	79.90%	164,066	131,096			
RCOC Public Hearing 8/15 /18	77.29%	10,964	8,474	Goal	%	# Attained
RCOC 10/01/18	77.44%	11,068	8,571	8,679	77.44%	-108
Analysis as of Public Hearing	RCOC % of DD population		6.68%	RCOC % of FH population		6.46%



	Total Adults Status 2	Goal	Total Number Adults in Home Settings	%	Number Attained
Jan-19		8,679			
Feb-19		8,679			
Mar-19		8,679			
Apr-19		8,679			
May-19		8,679			
Jun-19		8,679			
Jul-19		8,679			
Aug-19		8,679			
Sep-19		8,679			
Oct-19		8,679			
Nov-19		8,679			
Dec-19		8,679			

Performance Contract 2019

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

Planned Activities

Statement: RCOC provides for the needs of children with medical issues or challenging behaviors in seven or greater bed facilities for limited time 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 persons served.
- RCOC will adhere to Trailer Bill Language relating to the use of larger facilities to ensure the least restrictive environment is supported.

Progress: A. During public meetings, RCOC had 4, or 0.04%, of children residing in a Community Care Facility (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 residing in a CCF (7+ beds).

	Percentage	Total Children status 1 & 2	Children Residing in a CCF (7+ beds)	Goal	%	# Attained
Statewide Average	0.02%	162,096	34			
RCOC Public Hearing 8/15 /18	0.04%	10,270	4			
RCOC 10/01/18	0.03%	10,313	3	0	0.03%	-3
Analysis as of Public Hearing	RCOC % of DD population		6.34%	RCOC % of FH population		11.76%



	Total Children status 1&2	Goal	Children Residing in a CCF (7+ beds)	%	Number Attained
Jan-19		0			
Feb-19		0			
Mar-19		0			
Apr-19		0			
May-19		0			
Jun-19		0			
Jul-19		0			
Aug-19		0			
Sep-19		0			
Oct-19		0			
Nov-19		0			
Dec-19		0			

Progress: B. During public meetings, RCOC had 2, or 0.02% of children residing in an Immediate Care Facility (CCF)(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 residing in an ICF (7+ beds).

	Percentage	Total Children status 1 & 2	Children Residing in an ICF (7+ beds)			
Statewide Average	0.02%	162,096	34			
RCOC Public Hearing 8/15 /18	0.02%	10,270	2	Goal	%	# Attained
RCOC 10/01/18	0.02%	10,313	2	0	0.02%	-2
Analysis as of Public Hearing	RCOC % of DD population 6.34%		RCOC % of FH population 5.88%			

Below Goal



	Total Children status 1&2	Goal	Children Residing in a ICF (7+ beds)	%	Number Attained
Jan-19		0			
Feb-19		0			
Mar-19		0			
Apr-19		0			
May-19		0			
Jun-19		0			
Jul-19		0			
Aug-19		0			
Sep-19		0			
Oct-19		0			
Nov-19		0			
Dec-19		0			

Progress: C. During public meetings, RCOC had no children 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 residing in a nursing facility.

Statewide Average

RCOC Public Hearing 8/15 /18

RCOC 10/01/18

Analysis as of Public Hearing

Percentage	Total Children status 1 & 2	Children Residing in a Nursing Facility (7+ beds)	Goal	%	# Attained
0.00%	162,096	7			
0.00%	10,270	0			
0.00%	10,313	0	0	0.00%	0
RCOC % of DD population 6.34%			RCOC % of FH population 0.00%		



	Total Children status 1&2	Goal	Children Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-19		0			
Feb-19		0			
Mar-19		0			
Apr-19		0			
May-19		0			
Jun-19		0			
Jul-19		0			
Aug-19		0			
Sep-19		0			
Oct-19		0			
Nov-19		0			
Dec-19		0			

Progress: D. During public meetings, RCOC had 6, or 0.06%, of children 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 residing in a facility with 7+ beds (This is a total of sections A, B and C above).

Statewide Average

RCOC Public Hearing 8/15 /18

RCOC 10/01/18

Analysis as of Public Hearing

Percentage	Total Children status 1 & 2	Total Children Residing in 7+ bed facilities	Goal	%	# Attained
0.05%	162,096	75			
0.06%	10,270	6			
0.05%	10,313	5	0	0.05%	-5
RCOC % of DD population 6.34%			RCOC % of FH population 8.00%		

Below Goal

	Total Children status 1&2	Goal	Total Children Residing in 7+ bed facilities	%	Number Attained
Jan-19		0			
Feb-19		0			
Mar-19		0			
Apr-19		0			
May-19		0			
Jun-19		0			
Jul-19		0			
Aug-19		0			
Sep-19		0			
Oct-19		0			
Nov-19		0			
Dec-19		0			

Performance Contract 2019

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

Planned Activities

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

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 persons served 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 persons served.
- RCOC will adhere to Trailer Bill Language relating to the use of larger residential facilities to ensure the least restrictive environment is supported.

Progress: A. During public meetings, RCOC had 155, or 1.41%, of adults 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 Community Care Facility (CCF)(7+ beds).

	Percentage	Total Adults status 2	Adults Residing in a CCF (7+ beds)			
Statewide Average	1.12%	164,066	1,831			
RCOC Public Hearing 8/15 /18	1.41%	10,964	155	Goal	%	# Attained
RCOC 10/01/18	1.40%	11,068	156	145	1.40%	-11
Analysis as of Public Hearing	RCOC % of DD population		6.68%	RCOC % of FH population		8.47%

**Below
Goal**

	Total Adults Status 2	Goal	Adults Residing in a CCF (7+ beds)	%	Number Attained
Jan-19		145			
Feb-19		145			
Mar-19		145			
Apr-19		145			
May-19		145			
Jun-19		145			
Jul-19		145			
Aug-19		145			
Sep-19		145			
Oct-19		145			
Nov-19		145			
Dec-19		145			

Progress: B. During public meetings, RCOC had 80, or 0.73%, of adults residing in an Intermediate Care Facility (ICF)(7+ beds). Placements to 7+ bed facilities are at family request and/or due to specialized services.

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

Statewide Average

RCOC Public Hearing 8/15 /18

RCOC 10/01/18

Analysis as of Public Hearing

Percentage	Total Adults status 2	Adults Residing in a ICF (7+ beds)			
0.61%	164,066	1,008			
0.73%	10,964	80	Goal	%	# Attained
0.72%	11,068	80	55	0.72%	-25
RCOC % of DD population		6.68%	RCOC % of FH population		7.94%



	Total Adults Status 2	Goal	Adults Residing in a ICF (7+ beds)	%	Number Attained
Jan-19		55			
Feb-19		55			
Mar-19		55			
Apr-19		55			
May-19		55			
Jun-19		55			
Jul-19		55			
Aug-19		55			
Sep-19		55			
Oct-19		55			
Nov-19		55			
Dec-19		55			

Progress: C. During public meetings, RCOC had 85, or .78%, of adults 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 Adults status 2	Adults Residing in a Nursing Facility (7+ beds)			
Statewide Average	0.66%	164,066	1,081			
RCOC Public Hearing 8/15 /18	0.78%	10,964	85	Goal	%	# Attained
RCOC 10/01/18	0.77%	11,068	85	80	0.77%	-5
Analysis as of Public Hearing	RCOC % of DD population		6.68%	RCOC % of FH population		7.86%

Below
Goal

	Total Adults Status 2	Goal	Adults Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-19		80			
Feb-19		80			
Mar-19		80			
Apr-19		80			
May-19		80			
Jun-19		80			
Jul-19		80			
Aug-19		80			
Sep-19		80			
Oct-19		80			
Nov-19		80			
Dec-19		80			

Progress: D. During public meetings, RCOC had 313, or 2.85%, of adults 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 adults residing in a facility with 7+ beds
(This is a total of sections A, B and C above).

	Percentage	Total Adults status 2	Total Adults Residing in 7+ bed facilities			
Statewide Average	2.39%	164,066	3,920			
RCOC Public Hearing 8/15 /18	2.85%	10,964	313	Goal	%	# Attained
RCOC 10/01/18	2.90%	11,068	321	280	2.90%	-41
Analysis as of Public Hearing	RCOC % of DD population		6.68%	RCOC % of FH population		7.98%



	Total Adults Status 2	Goal	Total Adults Residing in 7+ bed facilities	%	Number Attained
Jan-19		280			
Feb-19		280			
Mar-19		280			
Apr-19		280			
May-19		280			
Jun-19		280			
Jul-19		280			
Aug-19		280			
Sep-19		280			
Oct-19		280			
Nov-19		280			
Dec-19		280			

Performance Contract 2019

VI. Intake Duration

Planned Activities

Statement: Management and Service Coordinator staff receive a monthly report on the duration of individuals ages 3 and over who 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 persons served 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 221, or 99.10%, 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	99.12%	6,028	5,975		
RCOC Public Hearing 8/15/18	99.10%	223	221	Goal	% Attained
RCOC 10/01/18	98.78%	242	237	100.00%	97.93%

Below
Goal

	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with <=120 days	% Attained
Jan-19		100.00%		
Feb-19		100.00%		
Mar-19		100.00%		
Apr-19		100.00%		
May-19		100.00%		
Jun-19		100.00%		
Jul-19		100.00%		
Aug-19		100.00%		
Sep-19		100.00%		
Oct-19		100.00%		
Nov-19		100.00%		
Dec-19		100.00%		

Progress: B. During public meetings, RCOC had 2, or 0.90%, 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	0.76%	6,028	46		
RCOC Public Hearing 8/15/18	0.90%	223	2	Goal	% Attained
RCOC 10/01/18	2.07%	242	5	0.00%	2.07%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with 121-240 days	%
Jan-19		0.00%		
Feb-19		0.00%		
Mar-19		0.00%		
Apr-19		0.00%		
May-19		0.00%		
Jun-19		0.00%		
Jul-19		0.00%		
Aug-19		0.00%		
Sep-19		0.00%		
Oct-19		0.00%		
Nov-19		0.00%		
Dec-19		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.

Statewide Average

RCOC Public Hearing 8/15/18

RCOC 10/01/18

Percentage	Total Number Individuals Age 3 or Over	Total Number Individuals Over Age 3 Over 240 days		
0.12%	6,028	7		
0.00%	223	0	Goal	%
0.00%	242	0	0.00%	0.00%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 Over 240 days	% Attained
Jan-19		0.00%		
Feb-19		0.00%		
Mar-19		0.00%		
Apr-19		0.00%		
May-19		0.00%		
Jun-19		0.00%		
Jul-19		0.00%		
Aug-19		0.00%		
Sep-19		0.00%		
Oct-19		0.00%		
Nov-19		0.00%		
Dec-19		0.00%		

Performance Contract 2019

VII. National Core Indicators (NCI) Employment

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 persons served 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. RCOC will make incentive payments to vendors who assist individuals obtain competitive, integrated employment and maintain those positions over time.

Progress: A. Results from the National Core Indicator Surveys conducted in FY 2011-2012, 46% of the people interviewed who did not have a job in the community, reported wanting one. In FY 2014-2015, 47% of those interviewed indicating a desire for work in the community. Results of recent interviews have not been submitted to regional centers.

A. Percentage of adults who reported having integrated employment as a goal in their IPPs.

	Percentage	
RCOC FY 2010-11	40%	
RCOC FY 2011-12	46%	Goal
RCOC FY 2014-15*	47%	50%

*NOTE: Surveys are being conducted again in FY 2017-18



Progress: B. RCOC will authorize incentive payments to service providers who assist individuals obtaining competitive integrated employment. RCOC will make initial payments based upon hire date, and additional payments will be made upon subsequent milestones related to length of employment.

B. Total number of \$1,000, \$1,250, and \$1,500 incentive payments made within the fiscal year.

Fiscal Year	\$1,000	\$1,250	\$1,500
2016-2017	95	38	0
2017-2018			

*NOTE: Incentive payments started in FY 2016-17, partial year data

Progress: C. RCOC will work with local employment agencies and businesses to assist individuals obtain desired hours of employment on a weekly/monthly basis. Individuals will review this during the initial hiring phase when incentive payments are being sought.

C. Average wages and hours worked for adults engaged in competitive, integrated employment when incentive payments have been made on their behalf.

Fiscal Year	Hours Week	Wage
2016-2017	17	\$10.77
2017-2018		

Performance Contract 2019

VIII. Employment Development Department (EDD) Employment

Planned Activities

Statement: RCOC service coordinators and vendors are implementing RCOC's Employment First Policy of integrated competitive employment as the first option for persons served.

Objective: RCOC service coordinators will implement the Employment First Policy by providing persons served and families information on job preparation and procurement at annual Individual Transition Meetings through the school and Individual Program Planning meetings through RCOC. RCOC will continue to work on development of new programs that will emphasize a focus on competitive employment as a primary outcome. RCOC will work with service providers and employers to move individuals participating in Paid Internship Program (PIP) into Competitive Integrated Employment (CIE).

Progress: A. Results from the Employment Development Department (EDD) conducted in 2016 indicate that 2,085 persons served ages 16-64 had earned income. In 2017, 2,058 persons served ages 16-64 had earned income.

A. Number of persons served ages 16-64 with earned income.

	RCOC	Statewide Avg.
2013	1,207	839
2014	1,754	906
2015	2,175	962
2016	2,085	1,033
2017	2,058	1,108

Progress: B. Results from the Employment Development Department in 2016 indicate that 19.8% of persons served ages 16-64 reported having earned income. In 2017, the percentage of persons served ages 16-64 reporting earned income was 18.6%.

B. Percentage of people ages 16-64 reporting earned income.

	RCOC	Statewide Avg.
2013	12.80%	12%
2014	17.90%	13.10%
2015	27%	16%
2016	19.80%	14.20%
2017	18.60%	14.50%



Progress: C. Results from the Employment Development Department in 2016 indicate that average annual wage for persons served ages 16-64 was \$5,975. In 2017, the average annual wage for persons served ages 16-64 was \$7,385.

C. Annual earnings of age group 16-64 as compared with all persons served with disabilities in California.

	RCOC	Statewide Avg.
2013	\$6,691	\$6,697
2014	\$6,086	\$7,044
2015	\$5,681	\$7,248
2016	\$5,975	\$7,631
2017	\$7,385	\$8,698

Performance Contract 2019

IX. Reducing Disparities and Improving Equity in Purchase of Service Expenditures.

Statement: RCOC works to ensure that support services are flexible and innovative in meeting the family's needs as they evolve over time; are tailored to the preferences of the individual family; and are consistent with their cultural norms and customs.

Objective: RCOC service coordinators will work with persons served and families to develop IPP goals and objectives to address their choices of living situations. RCOC will work to develop services in the community that meet the cultural and background preferences of persons served and family members to ensure the availability of resources. RCOC will continue outreach efforts within our community to overcome potential cultural barriers when identifying appropriate services. RCOC is working to expand family outreach and support options by developing new resources within our community. RCOC will continue to develop community programs that allow for a range of options for persons served when selecting those services. RCOC service coordinators will receive initial and ongoing training related to IPP development that ensures meaningful participation of persons served and their families and will focus on Person Centered Thinking skills and outcomes. RCOC will be working to simplify and translate important documents. RCOC continues to outreach with outside agencies such as parent support group leaders, family support groups, social services agencies, faith-based organizations and educational agencies, as well as providing information via e-mail in the primary language of the family.

Progress: A. Review of fiscal year 2015-16 purchase of service data and client master file (CMF). Initial data generation will be compared to subsequent FY information.

Progress: A. Review of fiscal year 2017-18 purchase of service data and client master file (CMF). Initial data generation will be compared to subsequent FY information.

A. Percent of total annual purchase of service expenditures by individual's ethnicity and age: Birth to age 2;
Age 3-21; 22 and older.

Birth to 2 Years Old

Ethnicity	Total Persons	Percentage of Expenditures	Total Authorized	Utilized
American Indian or Alaska Native	4	0.1%	\$34,936	53.6%
Asian	917	22.4%	\$8,493,919	66.2%
Black/African American	68	1.4%	\$514,483	62.6%
Hispanic	2,043	33.9%	\$12,872,918	61.1%
Native Hawaiian or Other Pacific Islander	2	0.0%	\$5,111	70.4%
Other Ethnicity or Race / Multi-Cultural	1,170	23.3%	\$8,822,287	60.3%
White	1,048	18.9%	\$7,176,339	59.7%
Totals	5,252	100.0%	\$37,919,994	61.8%

Age 3 Years to 21 Years

Ethnicity	Total Persons	Percentage of Expenditures	Total Authorized	Utilized
American Indian or Alaska Native	15	0.2%	\$196,822	78.5%
Asian	1,630	17.8%	\$17,945,068	65.2%
Black/African American	167	2.7%	\$2,760,959	75.5%
Hispanic	3,561	31.8%	\$32,082,238	64.2%
Native Hawaiian or Other Pacific Islander	6	0.0%	\$12,865	27.2%
Other Ethnicity or Race / Multi-Cultural	1,608	17.8%	\$17,994,675	61.6%
White	2,230	29.7%	\$30,053,352	69.2%
Totals	9,217	100.0%	\$101,045,979	65.7%

Age 22 Years and Older

Ethnicity	Total Persons	Percentage of Expenditures	Total Authorized	Utilized
American Indian or Alaska Native	15	0.3%	\$725,240	89.3%
Asian	1,146	10.8%	\$31,038,803	82.4%
Black/African American	210	2.8%	\$7,963,856	79.2%
Hispanic	2,130	17.9%	\$51,260,419	81.6%
Native Hawaiian or Other Pacific Islander	5	0.1%	\$188,232	79.3%
Other Ethnicity or Race / Multi-Cultural	701	7.6%	\$21,688,093	83.9%
White	4,450	60.6%	\$173,372,959	85.1%
Totals	8,657	100.0%	\$286,237,603	83.9%

Progress: B. Review of fiscal year 2017-18 purchase of service data and regional center caseload data. Initial data generation will be compared to subsequent FY information.

B. Number of individuals receiving only case management services by age and ethnicity: Birth to age 2; Age 3-21; 22 and older.

Birth to 2 Years Old

Ethnicity	Total Eligible	Case Management	Percent No Services
American Indian or Alaska Native	4	0	0.0%
Asian	917	27	2.9%
Black/African American	68	0	0.0%
Hispanic	2,043	105	5.1%
Native Hawaiian or Other Pacific Islander	2	1	50.0%
Other Ethnicity or Race / Multi-Cultural	1,170	40	3.4%
White	1,048	50	4.8%
Totals	5,252	223	4.2%

Age 3 Years to 21 Years

Ethnicity	Total Eligible	Case Management	Percent No Services
American Indian or Alaska Native	15	4	26.7%
Asian	1,630	373	22.9%
Black/African American	167	49	29.3%
Hispanic	3,561	1,324	37.2%
Native Hawaiian or Other Pacific Islander	6	2	33.3%
Other Ethnicity or Race / Multi-Cultural	1,608	426	26.5%
White	2,230	542	24.3%
Totals	9,217	2,720	29.5%

Age 22 Years and Older

Ethnicity	Total Eligible	Case Management	Percent No Services
American Indian or Alaska Native	15	2	13.3%
Asian	1,146	218	19.0%
Black/African American	210	37	17.6%
Hispanic	2,130	474	22.3%
Native Hawaiian or Other Pacific Islander	5	0	0.0%
Other Ethnicity or Race / Multi-Cultural	701	125	17.8%
White	4,450	524	11.8%
Totals	8,657	1,380	15.9%

Progress: C. Review of fiscal year 2017-18 purchase of service data and Client Master File. Initial data generation will be compared to subsequent FY information.

C. Per capita purchase of service expenditures by individual's primary language for all ages (30 or more people with language).

Primary Language	Total People	POS Authorized Per Capita	Percentage Utilized
English	17,389	\$20,224	78.30%
Spanish	4,286	\$11,926	72.90%
Mandarin Chinese	58	\$15,219	70.10%
Vietnamese	1,069	\$13,037	75.00%
Korean	119	\$25,681	79.00%
Tagalog	31	\$24,582	76.20%
Arabic	37	\$12,828	68.70%

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION X
ACTION/CONSENT
DISCUSSION
INFO ONLY

DATE: November 1, 2018

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 Angela Guzman, 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 a 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:

Angela Guzman is RCOC's Service Coordinator. Ms. Guzman's sister has a financial interest in Regional Center operations by virtue of her role as a Behavior Aide with MDH-Day Program, a RCOC provider. For this reason, Ms. Guzman 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 Angela Guzman, Service Coordinator.

**DISCLOSURE OF POTENTIAL CONFLICT OF INTEREST,
REQUEST FOR WAIVER AND CONFLICT RESOLUTION PLAN
FOR
ANGELA GUZMAN - 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. Angela Guzman

Angela Guzman 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. Guzman is a loyal, effective, productive and valued employee.

Ms. Guzman's sister, Brenda Guzman, has a financial interest in Regional Center operations by virtue of her role as a Behavior Aide with MDH-Day Program, Inc. (hereinafter "MDH-Day Program"), a RCOC provider. For this reason, Ms. Guzman 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. Guzman's Position and Duties

As a Service Coordinator, Ms. Guzman is responsible for a caseload of 55 persons, 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. Guzman has a caseload of children. She has no role or involvement whatsoever with any matter that might conceivably impact MDH-Day Program which serves adults.

Further, if any of Ms. Guzman's persons served require evaluation, planning or recommendations on a matter related to MDH-Day Program, West Area Supervisor, Cheryl Kilcullen, 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 Cheryl Kilcullen, West Area Supervisor, will be in the position held by Ms. Guzman with respect to matters involving MDH-Day Program.

B. Brenda Guzman's Role at MDH-Day Program

As stated above, Ms. Guzman's sister, Brenda Guzman, is a Behavior Aide at MDH-Day Program, Inc., a vendor of the Regional Center. MDH-Day Program is approved to provide the following service: Community Integration Training Program. MDH-Day Program's first service was vendored on August 29, 2013. Last year, RCOC paid \$112,878 for MDH-Day Program's services for four persons. MDH-Day Program continues to serve four persons.

Ramon Diaz, who is the president of MDH-Day Program, is the son of Mercedes Diaz, who is the president of Mercedes Diaz Homes, Inc., and both corporations operate from the same business address. All of the persons who are in MDH-Day Program are residents of Mercedes Diaz Homes. Mercedes Diaz is approved to provide the following services: Specialized Residential Facility – Habilitation and Personal Assistance. Her first service was vendored on April 22, 2016. Last year, RCOC paid \$692,227 for Mercedes Diaz' services for five persons. Mercedes Diaz continues to serve five persons.

As a Behavior Aide, Ms. Guzman's duties include preparing ID notes, implementing behavior plans, and assisting persons with job duties at job sites.

Conflict Resolution Plan

The Regional Center's Executive Director and Board of Directors have concluded that Ms. Guzman provides great value to the persons served by 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. Guzman has no duties that relate to MDH-Day Program or Mercedes Diaz Homes.

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

Ms. Guzman will continue with her caseload of children.

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

III. 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: _____
Angela Guzman, West Area Service Coordinator

Date: _____

By: _____
Cheryl Kilcullen, West Area Supervisor

Date: _____

By: _____
Keli Radford, West Area Manager

Date: _____

By: _____
Patrick Ruppe, Director of Services and Supports

Date: _____

By: _____
Larry Landauer, Executive Director

Date: _____

EXHIBIT A



Regional Center of Orange County Position Description

Position Title: Service Coordinator

FLSA Status: Exempt

Location: Central and West

Division: Services and Supports Work Group

Organizational

Relationship: Reports directly to the Area Manager. Maintains indirect reporting relationships with the following: Services and Supports Director; Clinical Director; Administrative Services Director; Director of Human Resources; and the Executive Director.

SUMMARY:

Develops, coordinates and facilitates activities which result in an increased awareness of the services available and rendered to people with developmental disabilities by performing various functions, such as: case consultation, social assessments, resource development, treatment modalities, development of person-centered plans, individualized family service plans and coordinating family and persons served diagnosis and treatment techniques. Facilitates the education of persons served, families, and service providers regarding available services.

POSITION SPECIFICATIONS:

1. EDUCATION

Master's degree from an accredited school in Social Work, Human Services, Drug and Alcohol, Education, Counseling, Psychology, Criminal Justice or

Bachelor's degree from an accredited school in Human Behavioral Science, which would typically include degrees in:

- Child Development
- Counseling
- Psychology
- Social Work
- Sociology

The degree **must** be one of those listed above **and must** include a course of study of a combined total of 30 semesters, or 45 quarter hours, in the Development of Human

Behavior, Child Development, Family Intervention Techniques, or Diagnostic Measures of Therapeutic Techniques all of which are typically required for degrees in Child Development, Counseling, Psychology, Social Work and Sociology.

2. WORK EXPERIENCE:

Minimum of one year case management experience within a social services, health care/service or related environment required.

3. OTHER SKILLS AND ABILITIES:

- a) Ability to communicate effectively verbally and in writing at the highest professional level with families, vendors and service communities.
- b) Ability to effectively present information to RCOC resource groups.
- c) Participates in internal agency activities, which lead to the development of collaborative efforts between RCOC and other services and supports for people with disabilities.
- d) Ability to apply RCOC mission statement and guiding principles towards solving everyday issues.
- e) Must be a self-starter who can work on complex problems, interacting with a wide variety of constituents with priorities.
- f) Must exercise skill in creative problem solving minimal supervision and direction.
- g) Must be proficient in the use of a computer and independently produce all persons served related reports and correspondence.

4. CERTIFICATIES/LICENSES/REGISTRATIONS:

Proof of valid California driver's license and auto insurance. Must have a means of transportation that will permit incumbent to discharge job duties effectively and efficiently.

ESSENTIAL DUTIES AND RESPONSIBILITIES:

To perform this job successfully, an individual must be able to perform each of the following essential duties satisfactorily with minimum supervision. Reasonable accommodations may be made to individuals with disabilities to perform the essential functions.

- 1. Coordinates initial assessment and development of individualized family service plan, person-centered plans; coordinates ongoing revision of person-centered plans.
- 2. Participates in various resource groups to improve the quality of life for people with disabilities and their families.
- 3. Secures and uses appropriate information, to include psychological, physical, and social factors contributing to the persons served situation, in monitoring and revising the person-centered plan.
- 4. In conjunction with the RCOC resource groups, designs intervention plans, identifies and secures resources to meet the objectives of the individual's person-centered plan.

5. Performs evaluation of services to ensure continuous monitoring for quality of purchased service(s).
6. Provides opportunities to our persons served for education, support and problem solving in classroom, RCOC sanctioned workshops, as well as individual settings.
7. Completes necessary documentation in accordance with state and federal regulations, as well as Agency policy and procedures.
8. Complies with policies, procedures and performance standards and initiatives.
9. Plans and implements innovative initiatives that expand and clarify the options available to people with disabilities.
10. Participates, at the discretion of the area manager, mentoring of team members.
11. In accordance with RCOC policy, implements the highest standards of customer service in all activities.
12. Acts within the scope of authority in a manner consistent with Agency guidelines, policies and practices.
13. Works with other team members to coordinate activities necessary to assure effective team function.

***NOTE:** *The statements contained in this position description are not necessarily all-inclusive; additional duties may be assigned and requirements may vary from time to time, and from location to location*

APRIL 2012 (REVISED July 2018)

EXHIBIT B

October 1, 2018

Regional Center of Orange County

BOARD OF DIRECTORS

Executive Director
Larry Landauer

Executive Liaison
Sandra Perdew

Clerk to the Board
Sandra Lomeli

Chief Financial Officer
Bette Baber

General Counsel
Christina Petteruto, Esq.

Information Technology Director
Jerrod Bonner

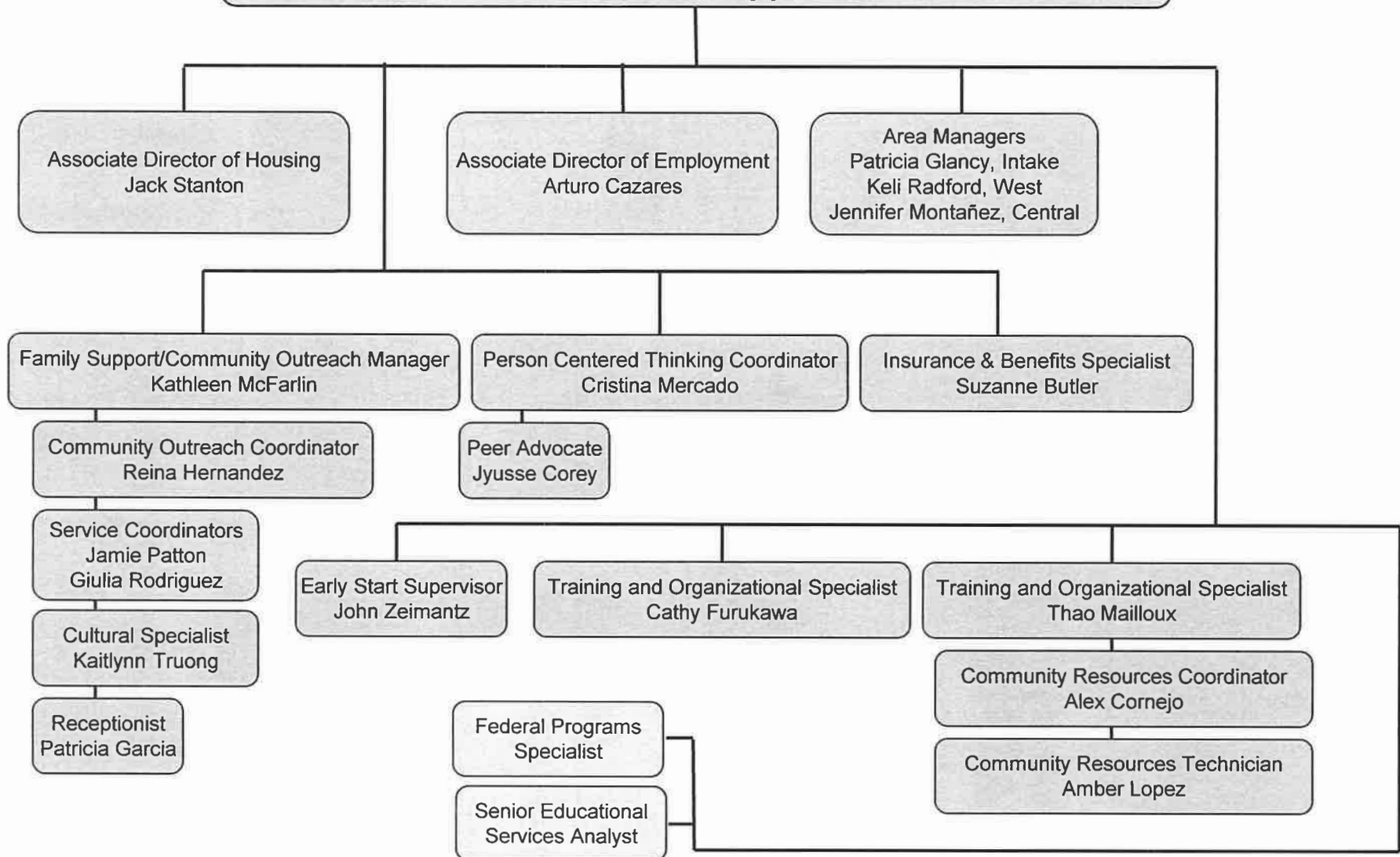
Clinical Director
Bonnie Ivers

Human Resources Director
Stacy Wong

Director of Services and Supports
Patrick Ruppe

Services To Those We Serve

Director of Services and Supports Patrick Ruppe



Summary of Information About Persons Served - August 2018

NUMBER OF PERSONS SERVED	21,396	100%
Children - Birth to Age Three Receiving Early Start Services	3,548	17%
Children - Ages Three to 17 Receiving Lanterman Services	6,737	31%
Adults - Ages 18 and Older Receiving Lanterman Services	11,111	52%

Children - Birth to Age Three Receiving Prevention Resource and Referral Services	388
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Children and Adults - Ages Three and Older Receiving Lanterman Services with the Following Diagnoses:

Intellectual Disability	11,803	69%
Epilepsy	2,874	17%
Cerebral Palsy	2,587	15%
Autism	6,767	36%
Fifth Category*	1,291	7%

* condition closely related to intellectual disability and requiring similar treatment

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

NUMBER OF PERSONS REQUESTING ELIGIBILITY DETERMINATION	442
Early Start / Under Age Three / 45 days to complete determination	379
Lanterman / Over Age Three / 120 days to complete determination	63

NUMBER OF PERSONS DETERMINED ELIGIBLE	60
Children - Birth to Age Three Eligible for Early Start Services	5
Children and Adults - Ages Three and Older Eligible for Lanterman Services	55
<ul style="list-style-type: none"> Number of children who received Early Start services 	38
<ul style="list-style-type: none"> Number of children who received Early Start services and had a diagnosis of autism 	32
Children - Birth to Age Three Eligible for Prevention Resource and Referral Services	0

NUMBER OF CHILDREN NO LONGER ELIGIBLE FOR EARLY START OR PREVENTION RESOURCE AND REFERRAL SERVICES	203
Children - Age Three No Longer Eligible for Early Start Services	202
Children - Age Three No Longer Eligible for Prevention Resource and Referral Services	1

REGIONAL CENTER OF ORANGE COUNTY



OPERATIONS REPORT

AUGUST 2018 ACTIVITY

Mission Statement

The Regional Center of Orange County (RCOC) is a private non-profit organization that, as mandated by the Lanterman Developmental Disabilities Services Act, collaborates with persons with developmental disabilities, their families and the community to secure individualized services and supports that enhance the quality of life for the people we serve and assist them in realizing their full potential.

COMMUNITY LIFE

Related Guiding Principles

- *Persons served are in safe and supportive settings that promote a life of independence, acknowledge diverse cultural perspectives and that respect the inherent risks and valuable learning experiences that come from living in the community.*

Provider Monitoring, Technical Support and Special Incident Investigation Activities Fiscal Year 2018-19

Type and Number of Reviews	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Annual Review	42	45				
Unannounced	54	59				
Total Number of Reviews	96	104	0	0	0	0

Provider Trainings	0	0				
Technical Support	230	278				
Corrective Action Plans	7	7				
Special Incident Investigations*	59	58				

Type and Number of Reviews	Jan.	Feb.	Mar.	Apr.	May	June	Total
Annual Review							87
Unannounced							113
Total Number of Reviews	0	0	0	0	0	0	200

Provider Trainings							0
Technical Support							508
Corrective Action Plans							14
Special Incident Investigations*							117

* 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:

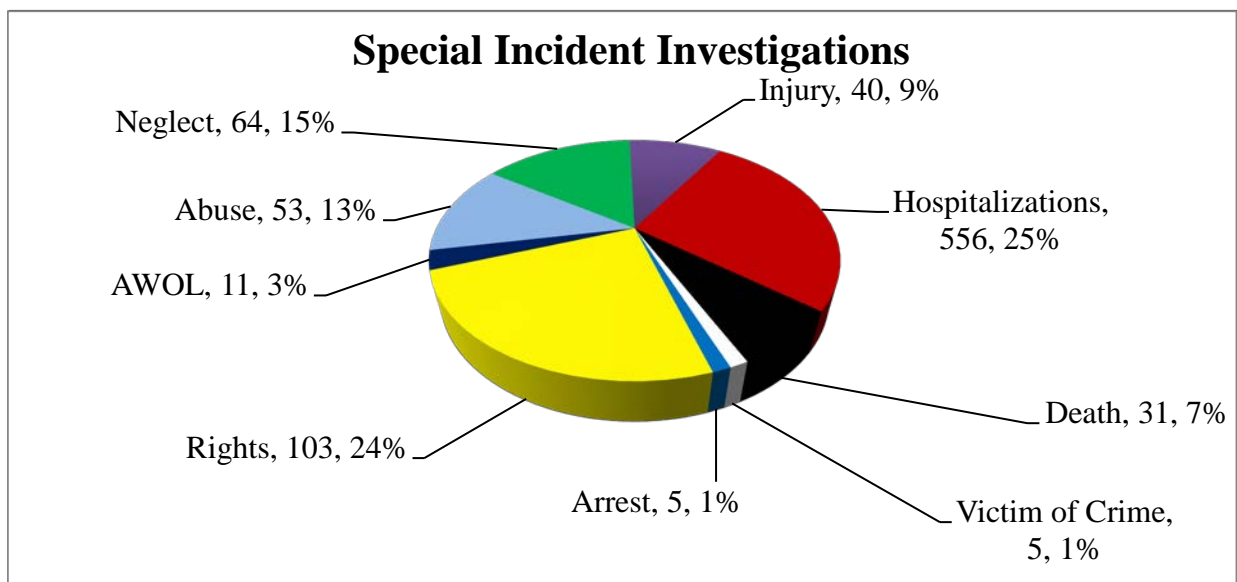
1. Robbery, including theft using a firearm, knife, or cutting instrument or other dangerous weapons or methods which force or threaten a victim;
2. Aggravated assault, including a physical attack on a victim using hands, fist, feet or a firearm, knife or cutting instrument or other dangerous weapon;
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 2018-19

Type of Incident	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
AWOL	4	7				
Abuse	25	28				
Neglect	33	31				
Injury	16	24				
Hospitalizations - Total	52	62				
<i>Psychiatric</i>	37	10				
<i>Medical</i>	15	52				
Death	14	17				
Victim of crime	1	4				
Arrest	3	2				
Rights	66	37				
Total	214	212	0	0	0	0

Type of Incident	Jan.	Feb.	Mar.	Apr.	May	June	Total
AWOL							11
Abuse							53
Neglect							64
Injury							40
Hospitalizations - Total							114
<i>Psychiatric</i>							47
<i>Medical</i>							67
Death							31
Victim of Crime							5
Arrest							5
Rights							103
Total	0	0	0	0	0	0	426



COMMUNITY LIFE continued

Provider Audits
Fiscal Year 2018-19

Number of Audits / Appeals / Recoveries

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

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

State Appeal	0	0				0
Recovery	0	0				0

Audit Findings (Dollar Amount)

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

Number of Appeals / Recoveries

State Appeal							0
Recovery							0

Audit Findings (Dollar Amount)

Amount of Recovery							\$0.00
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FAMILY SUPPORTS

Related Guiding Principles

- *Families are informed advocates for their loved ones with developmental disabilities.*
- *Families are the decision makers for their minor children.*
- *Family support services are flexible and innovative in meeting the family's needs as they evolve over time, are tailored to the preferences of the individual family, and are consistent with their cultural norms and customs.*
- *Services and supports for families recognize, facilitate and build on family strengths, natural supports and existing community resources.*

Vouchers - Families Procure Their Own Services

Fiscal Year 2018-19

Number of Authorizations for Voucher Services

Type of Service	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Day Care - Family Member	111	107				
Diapers - Family Member	4	4				
Nursing Service - Family Member	59	58				
Respite Service - Family Member	418	413				
Transportation - Family Member	193	186				
<i>Total Number of Voucher Authorizations</i>	785	768	0	0	0	0

Number of Authorizations for Voucher Services

Type of Service	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

FAMILY SUPPORTS

Related Guiding Principles

- *Family support services are flexible and innovative in meeting the family's needs as they evolve over time, are tailored to the preferences of the individual family, and are consistent with their cultural norms and customs.*
- *Services and supports for families recognize, facilitate and build on family strengths, natural supports and existing community resources.*

Notifications of Community Events and Activities

Fiscal Year 2018-19

Number of Notifications

Language	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
English*	59,721	51,189				
Farsi	47	247				
Korean	0	0				
Spanish*	6,493	2,388				
Vietnamese*	1,391	2,461				
Total Number of Notifications	67,652	56,285	0	0	0	0

Number of Notifications

Language	Jan.	Feb.	Mar.	Apr.	May	June
English						
Farsi						
Korean						
Spanish						
Vietnamese						
Total Number of Notifications	0	0	0	0	0	0

* Threshold languages for RCOC

FAMILY SUPPORTS

Related Guiding Principles

- *Family support services are flexible and innovative in meeting the family's needs as they evolve over time, are tailored to the preferences of the individual family, and are consistent with their cultural norms and customs.*
- *Services and supports for families recognize, facilitate and build on family strengths, natural supports and existing community resources.*

Community Outreach

Fiscal Year 2018-19

Number of Outreach Events

Language	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
English						
In Person	5	13				
In Print		2				
TV / Radio	5	2				
Spanish						
In Person	5	6				
In Print		1				
TV / Radio	1	1				
Vietnamese						
In Person	2	4				
In Print		1				
TV / Radio	5	3				
Other Languages						
In Person (Farsi)		1				
In Print						
TV / Radio						
<i>Total Number of Outreach Events</i>	23	34	0	0	0	0

Number of Outreach Events

Language	Jan.	Feb.	Mar.	Apr.	May	June
English						
In Person						
In Print						
TV / Radio						
Spanish						
In Person						
In Print						
TV / Radio						
Vietnamese						
In Person						
In Print						
TV / Radio						
Other Languages						
In Person						
In Print						
TV / Radio						
<i>Total Number of Outreach Events</i>	0	0	0	0	0	0

EARLY INTERVENTION / PREVENTION

Related Guiding Principles

- Prevention and early intervention services, supports and public awareness activities are designed and implemented to prevent the onset of a disability and/or to improve developmental outcomes.
- Persons served are provided with needed services and supports in a family-focused and collaborative fashion.

Fiscal Year 2018-19

Developmental Screenings by Ethnicity	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
American Indian or Alaska Native	No Data Available	0				
Asian		7				
Black/African American		3				
Hispanic		38				
Native Hawaiian or Other Pacific Islander		0				
Other Ethnicity or Race / Multi-Cultural		4				
White		6				
<i>Total Number Screened</i>	0	58	0	0	0	0
<i>Total Number Referred to RCOC</i>		20				

Developmental Screenings by Ethnicity	Jan.	Feb.	Mar.	Apr.	May	June	Total
American Indian or Alaska Native							0
Asian							7
Black/African American							3
Hispanic							38
Native Hawaiian or Other Pacific Islander							0
Other Ethnicity or Race / Multi-Cultural							4
White							6
<i>Total Number Screened</i>	0	0	0		0	0	58
<i>Total Number Referred to RCOC</i>							20

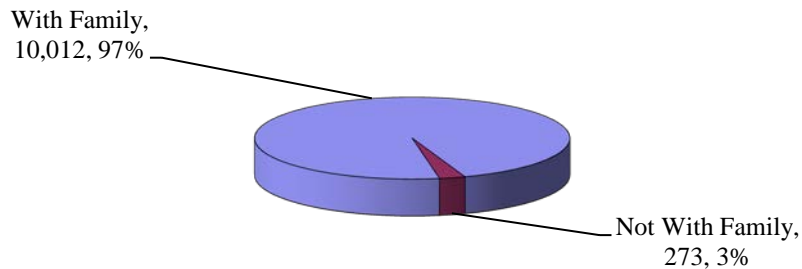
LIVING OPTIONS

Related Guiding Principles

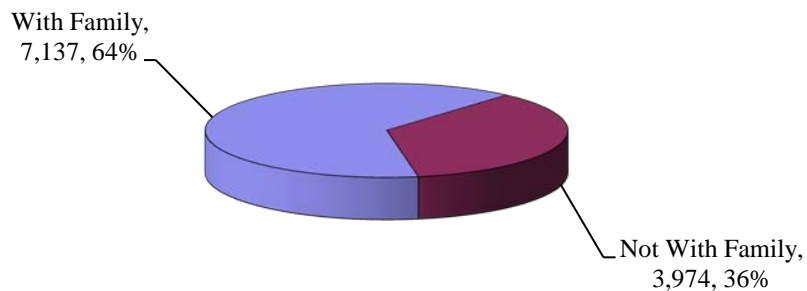
- *Culturally-sensitive services and supports are provided so that persons served can make informed choices on where and with whom they live, including owning or renting their own homes.*
- *Families whose minor or adult children choose to remain in the family home are supported through available resources.*
- *Persons served live in homes where they receive quality care and can form relationships.*

Where Persons Served Live	Persons Served All	Persons Served Under 18	Persons Served Over 18
With Family	17,149	10,012	7,137
Not With Family	4,247	273	3,974
Total	21,396	10,285	11,111

Where Persons Served Under 18 Live



Where Persons Served Over 18 Live

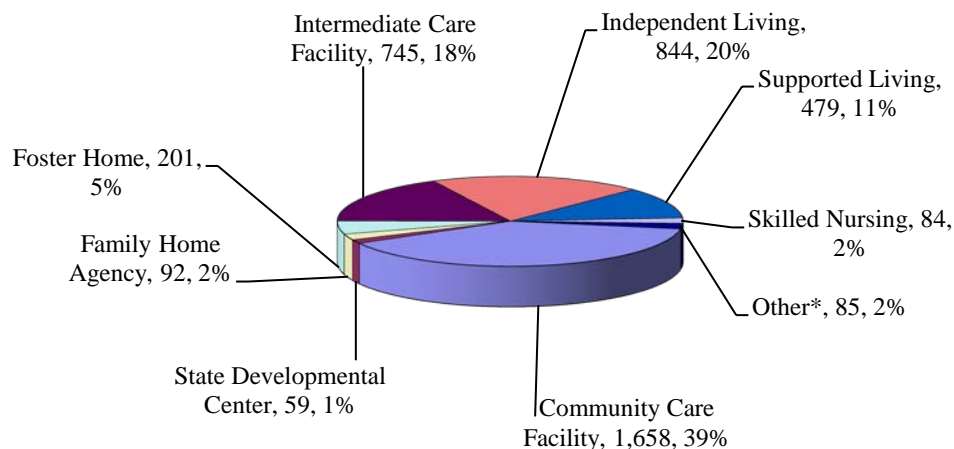


LIVING OPTIONS, continued

Where Persons Served Live	All Persons Served	Persons Served Under 18	Persons Served Over 18
Family Home	17,149	10,012	7,137
Community Care Facility	1,658	49	1,609
State Developmental Center	59	0	59
Family Home Agency	92	0	92
Foster Home	201	192	9
Intermediate Care Facility	745	3	742
Independent Living	844	0	844
Supported Living	479	0	479
Skilled Nursing	84	0	84
Other*	85	29	56
Total	21,396	10,285	11,111

Other*			
Acute General Hospital	3	0	3
California Youth Authority	0	0	0
Community Treatment	0	0	0
Correctional Institution	0	0	0
County Jail	0	0	0
Other	0	0	0
Out of State	3	0	3
Psychiatric Treatment	6	2	4
Rehabilitation Center	6	1	5
SDC / State Hospital	0	0	0
Sub-Acute	50	26	24
Transient / Homeless	18	0	18
Total, Other*	86	29	57

Where Persons Served Live When Not With Family



LIVING OPTIONS, continued

Other Living Options

Family Home Agency

A Family Home Agency (FHA) is a private, not-for-profit agency that is vendored to recruit, approve, train, and monitor family home providers, provide services and supports to family home providers, and assist persons served with 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.

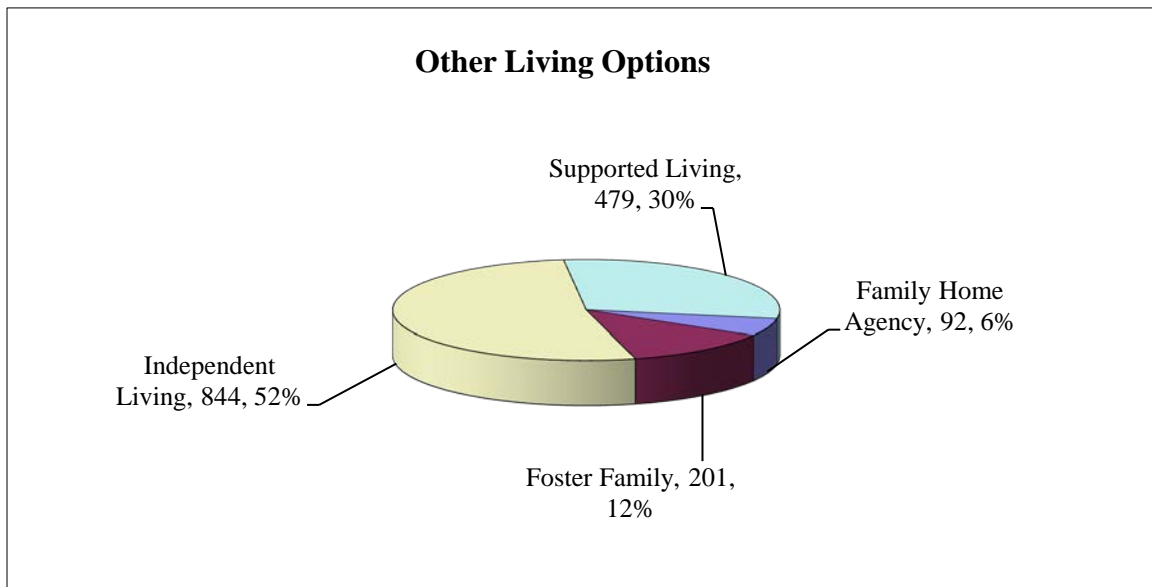
Independent Living

Independent Living services help persons served over 18 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 efforts for persons served to live in their own home.

Other Living Options	Total	Under 18	Over 18
Family Home Agency	92	0	92
Foster Family	201	192	9
Independent Living	844	0	844
Supported Living	479	0	479
Total	1,616	192	1,424



LIVING OPTIONS, continued

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

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.

LIVING OPTIONS, continued

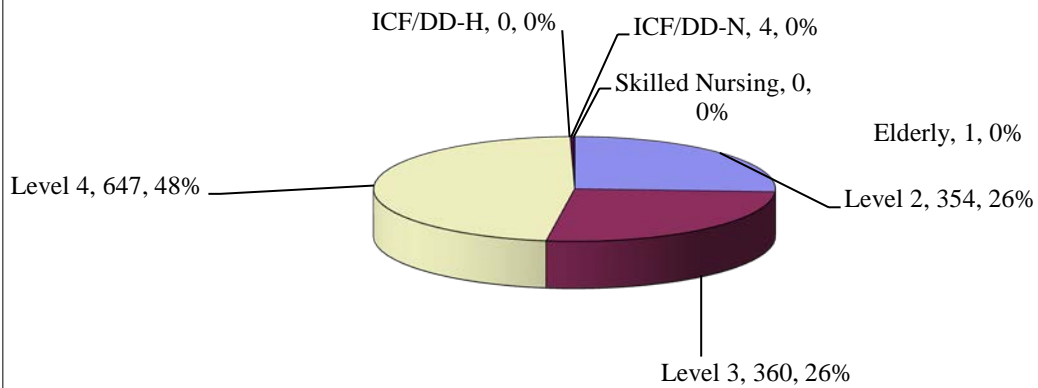
Persons Served Who Reside in Licensed Facilities Funded by RCOC

Fiscal Year 2018-19

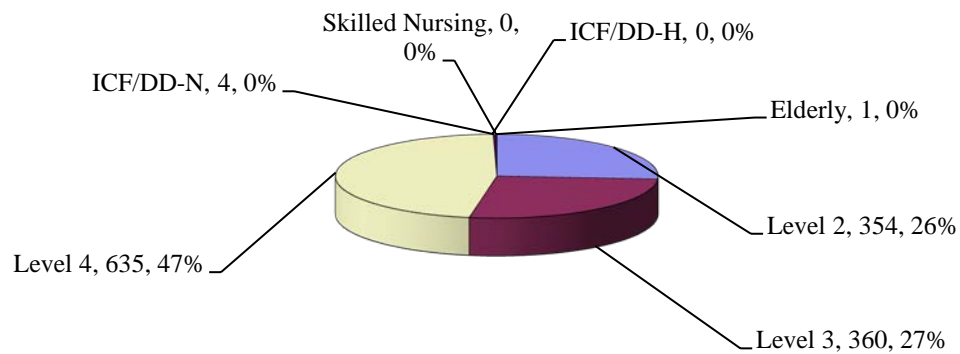
Licensed Facilities	Total	Over 18	Under 18
Level 2	354	354	0
Level 3	360	360	0
Level 4A	44	44	0
Level 4B	6	6	0
Level 4C	60	60	0
Level 4D	45	45	0
Level 4E	33	33	0
Level 4F	68	68	0
Level 4G	29	29	0
Level 4H	4	4	0
Level 4I	358	346	12
Elderly	1	1	0
ICF/DD-H	0	0	0
ICF/DD-N	4	4	0
ICF/DD	0	0	0
Skilled Nursing	0	0	0
Total	1,366	1,354	12

Licensed Facilities Summary	Total	Over 18	Under 18
Level 2	354	354	0
Level 3	360	360	0
Level 4	647	635	12
ICF/DD-H	0	0	0
ICF/DD-N	4	4	0
Elderly	1	1	0
Skilled Nursing	0	0	0
Total	1,366	1,354	12

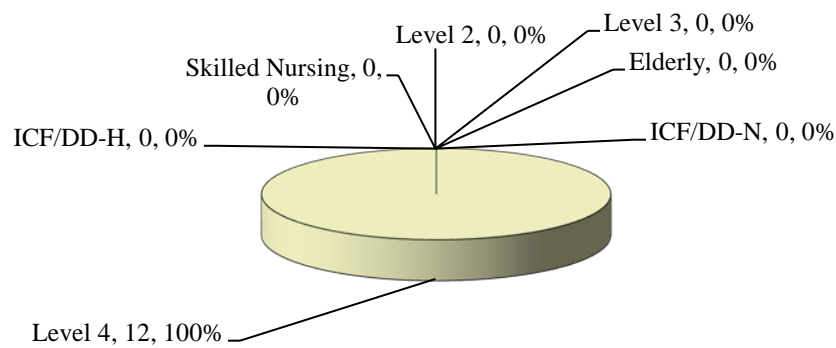
**Persons Served Who Reside in Licensed Facilities
Services Funded by RCOC**



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



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

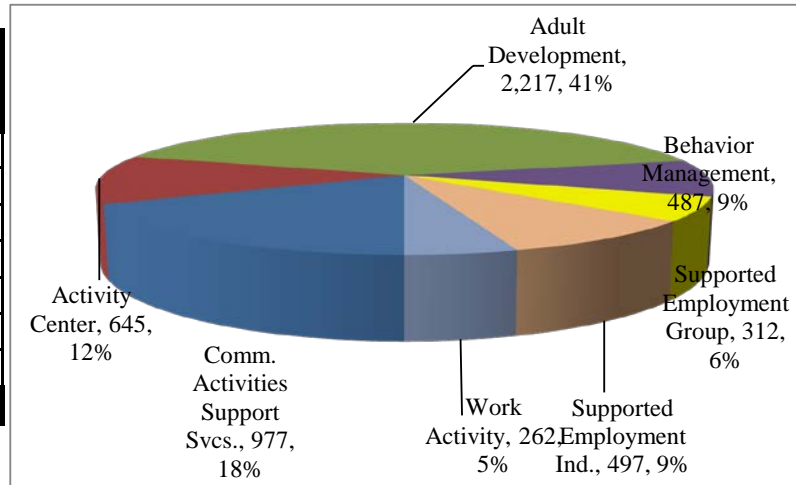


WORK

Related Guiding Principle

- *Persons served have the opportunity and support to work in integrated employment settings that are meaningful, valued by the community, and in which they are appropriately compensated and respected.*

Adult Day & Employment Services	Persons Served Over 18
Comm. Activities Support Svcs.	977
Activity Center	645
Adult Development	2,217
Behavior Management	487
Supported Employment Group	312
Supported Employment Ind.	497
Work Activity	262
Total	5,397



Definitions:

Community Activities Support Services similar to a Behavior Management Program, this is a behavior management program with an enhanced ration of 1:1 or 1:2 due to severe behavioral challenges.

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. Staff ratio ranges from 1:6 to 1:8.

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. Staff ratio ranges from 1:3 to 1:4.

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. Staff ratio is 1:3.

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. Staff ratio ranges from 1:1 to 1:4.

Work Activity Program includes, but is not limited to, Work Activity centers or settings that provide support to persons served engaged in paid work and have demonstrated that the program is in compliance with Department of Rehabilitation certification standards or are accredited by CARF. Staff ratio ranges from 1:12 to 1:20.

SERVICE PLANNING AND COORDINATION

Related Guiding Principles

- *Service coordinators are caring, knowledgeable and competent in service planning, coordination and resources.*
- *Service coordinators inform families of their rights and the services and supports available to them.*
- *Service planning and coordination is a collaborative effort between RCOC, persons served and their families to identify needed services and supports.*
- *Person-centered planning is based upon the choices and preferences of the persons served and their families, and the identification of generic services and natural supports.*
- *Services and supports assist person served and their families to develop 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 persons' served and their families' communities.*

Service Coordination

Fiscal Year 2018-19

Service Coordination:	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Number of Service Coordinators (SC)	299.0	298.0				
Number of Case-Carrying SCs	271.0	269.0				
Number of Intake SCs	28.0	29.0				
Number of State Developmental Center SCs	0.0	0.0				
Number of Active Persons Served	21,330	21,329				
Caseload Ratio, # of Active Persons Served/SCs	78.7	79.3				

Service Coordination:	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 Persons Served						
Caseload Ratio, # of Active Persons Served/SCs						

SERVICE PLANNING AND COORDINATION continued

Fair Hearings

Fiscal Year 2018-19

	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	June
Number of Unsettled Hearing Requests*	13	9										
Eligibility - Lanterman	5	4										
Behavioral services	0	0										
Respite	3	2										
Day Care	0	0										
ILS/SLS	0	0										
Personal Assistance	1	1										
Other**	4	2										

* 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 living options.

Number of New Hearing Requests Filed*	3	2										
Eligibility - Lanterman	2	2										
Eligibility - Early Start	0	0										
Behavioral services	0	0										
Respite	0	0										
Day Care	0	0										
Social/Recreational	0	0										
Personal Assistance	0	0										
Other**	1	0										

* 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 living options.

Number of All Meetings Held	3	2										
Number of Informal Meetings Held	3	2										
Number of Mediations Held	0	0										
Number of SLFHs Held	0	0										

Number of Requests in Scheduling*	5	0										
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* Meetings in process of being scheduled; meetings on schedule but not yet held; meetings scheduled but not held due to continuances.

Number of Requests Pending*	0	0										
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* State Level Fair Hearing (SLFH) held but awaiting decision.

Number of Requests Settled	0	2										
Withdrawn by Person Served/Family	0	0										
Settled in Informal	1	2										
Settled after further follow-up by RCOC	2	0										
Settled in Mediation	0	0										
SLFH Decision	0	0										

State Level Fair Hearing Decisions

Prevailing Party												
Person Served/Family	0	0										
RCOC	0	0										
Split	0	0										

ADMINISTRATION AND GOVERNANCE

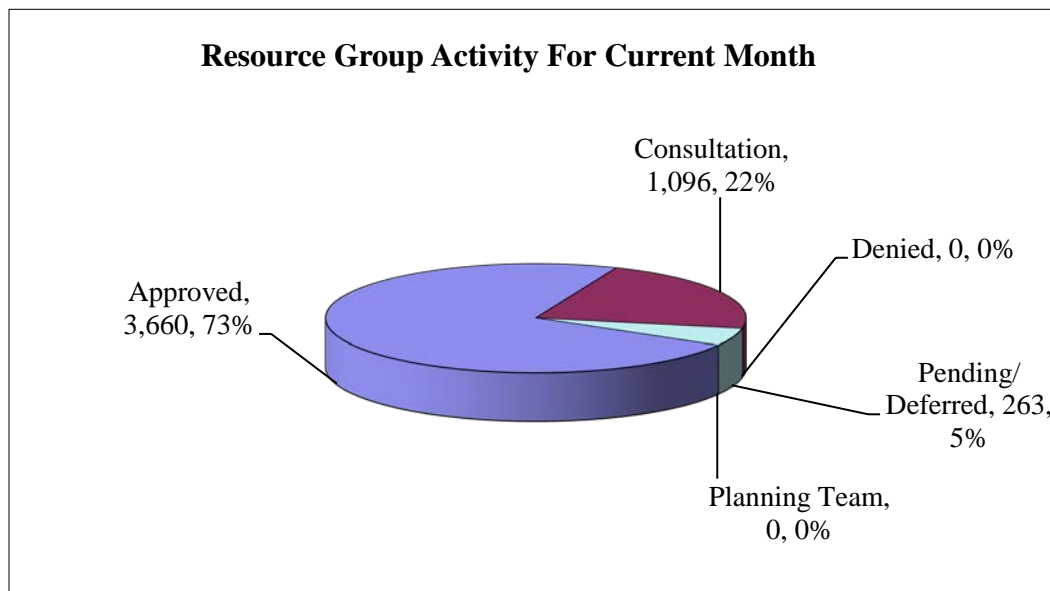
Guiding Principle

- RCOC 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 reflect RCOC's Guiding Principles and diligent stewardship.

Resource Group Activity for August 2018 and Fiscal Year to Date

Disposition	Approved	Consultation	Denied	Pending/ Deferred	Planning Team	Total
Adult Day	736	385	0	44	0	1,165
Behavioral	209	173	0	35	0	417
Education	0	2	0	0	0	2
Eligibility/Health	262	5	0	19	0	286
Early Start	1,040	169	0	87	0	1,296
Living Options	228	186	0	4	0	418
Supported/Ind.	274	116	0	27	0	417
All Others	911	60	0	47	0	1,018
Monthly Total	3,660	1,096	0	263	0	5,019

FY 2018-19 Total to Date	3,128	1,168	0	276	0	4,572
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Operations Report Summary - August 2018

About Persons Served	Early Start	Medicaid Waiver	All Other	SDC	Total	Under 18	Over 18
Number of Persons Served	3,548	8,072	9,717	59	21,396	10,285	11,111
Percentage of Total	17%	38%	45%	0%	100%	48%	52%

Children served in Prevention Resource and Referral Services	388
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Persons Served by Residence Status	All	Under 18	Over 18	Special Incident Investigations	Year to Date
Family Home	17,149	10,012	7,137	AWOL	11
Community Care Facility	1,658	49	1,609	Abuse	53
State Developmental Center	59	0	59	Neglect	64
Family Home Agency	92	0	92	Injury	40
Foster Home	201	192	9	Hospitalizations - Total	114
Intermediate Care Facility	745	3	742	Death	31
Independent Living	844	0	844	Victim of crime	5
Supported Living	479	0	479	Arrest	5
Skilled Nursing	84	0	84	Rights	103
Other	85	29	56		
Total	21,396	10,285	11,111	Total	426

Number of Licensed Facilities	Total	Under 18	Over 18	Licensed Facility Monitoring	Year to Date
Community Care Facilities				Annual Review	87
Level 2	81	0	81	Unannounced	113
Level 3	71	1	70	Total Number of Reviews	200
Level 4	158	13	145	Provider Trainings	0
Total Community Care Facilities	310	14	296	Technical Support	508
				Corrective Action Plans	14
Intermediate Care Facilities (ICF)					
ICF-DD	1			Number of Audits	0
ICF-DD/Habilitation	83			Amount of Recovery from Audits	\$0
ICF-DD/Nursing	39				
Total ICF Facilities	123				
Total Licensed Facilities	433				

Summary of Information About Persons Served - September 2018

NUMBER OF PERSONS SERVED	21,456	100%
Children - Birth to Age Three Receiving Early Start Services	3,536	16%
Children - Ages Three to 17 Receiving Lanterman Services	6,778	32%
Adults - Ages 18 and Older Receiving Lanterman Services	11,142	52%

Children - Birth to Age Three Receiving Prevention Resource and Referral Services	397
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Children and Adults - Ages Three and Older Receiving Lanterman Services with the Following Diagnoses:

Intellectual Disability	11,812	69%
Epilepsy	2,881	17%
Cerebral Palsy	2,593	15%
Autism	6,796	36%
Fifth Category*	1,299	7%

* condition closely related to intellectual disability and requiring similar treatment

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

NUMBER OF PERSONS REQUESTING ELIGIBILITY DETERMINATION	400
Early Start / Under Age Three / 45 days to complete determination	342
Lanterman / Over Age Three / 120 days to complete determination	58

NUMBER OF PERSONS DETERMINED ELIGIBLE	57
Children - Birth to Age Three Eligible for Early Start Services	4
Children and Adults - Ages Three and Older Eligible for Lanterman Services	51
<ul style="list-style-type: none"> Number of children who received Early Start services 	29
<ul style="list-style-type: none"> Number of children who received Early Start services and had a diagnosis of autism 	16
Children - Birth to Age Three Eligible for Prevention Resource and Referral Services	2

NUMBER OF CHILDREN NO LONGER ELIGIBLE FOR EARLY START OR PREVENTION RESOURCE AND REFERRAL SERVICES	192
Children - Age Three No Longer Eligible for Early Start Services	189
Children - Age Three No Longer Eligible for Prevention Resource and Referral Services	3

REGIONAL CENTER OF ORANGE COUNTY



OPERATIONS REPORT

SEPTEMBER 2018 ACTIVITY

Mission Statement

The Regional Center of Orange County (RCOC) is a private non-profit organization that, as mandated by the Lanterman Developmental Disabilities Services Act, collaborates with persons with developmental disabilities, their families and the community to secure individualized services and supports that enhance the quality of life for the people we serve and assist them in realizing their full potential.

COMMUNITY LIFE

Related Guiding Principles

- *Persons served are in safe and supportive settings that promote a life of independence, acknowledge diverse cultural perspectives and that respect the inherent risks and valuable learning experiences that come from living in the community.*

Provider Monitoring, Technical Support and Special Incident Investigation Activities Fiscal Year 2018-19

Type and Number of Reviews	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Annual Review	42	45	32			
Unannounced	54	59	46			
Total Number of Reviews	96	104	78	0	0	0

Provider Trainings	0	0	0			
Technical Support	230	278	195			
Corrective Action Plans	7	7	10			
Special Incident Investigations*	59	58	51			

Type and Number of Reviews	Jan.	Feb.	Mar.	Apr.	May	June	Total
Annual Review							119
Unannounced							159
Total Number of Reviews	0	0	0	0	0	0	278

Provider Trainings							0
Technical Support							703
Corrective Action Plans							24
Special Incident Investigations*							168

* 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:

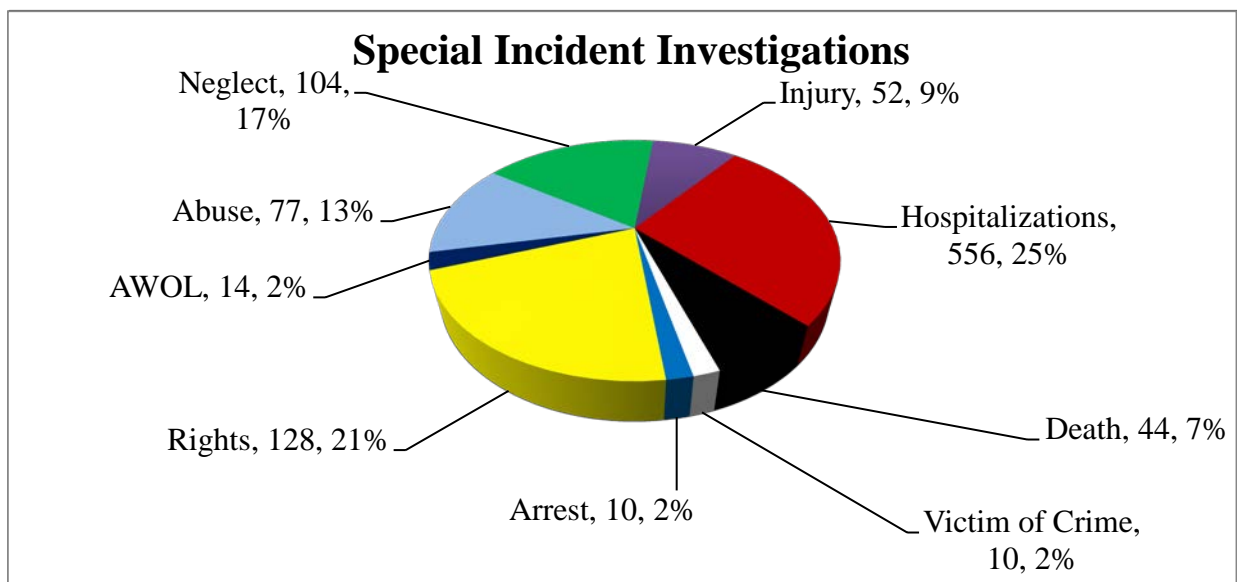
1. Robbery, including theft using a firearm, knife, or cutting instrument or other dangerous weapons or methods which force or threaten a victim;
2. Aggravated assault, including a physical attack on a victim using hands, fist, feet or a firearm, knife or cutting instrument or other dangerous weapon;
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 2018-19

Type of Incident	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
AWOL	4	7	3			
Abuse	25	28	24			
Neglect	33	31	40			
Injury	16	24	12			
Hospitalizations - Total	52	62	48			
<i>Psychiatric</i>	37	10	15			
<i>Medical</i>	15	52	33			
Death	14	17	13			
Victim of crime	1	4	5			
Arrest	3	2	5			
Rights	66	37	25			
Total	214	212	175	0	0	0

Type of Incident	Jan.	Feb.	Mar.	Apr.	May	June	Total
AWOL							14
Abuse							77
Neglect							104
Injury							52
Hospitalizations - Total							162
<i>Psychiatric</i>							62
<i>Medical</i>							100
Death							44
Victim of Crime							10
Arrest							10
Rights							128
Total	0	0	0	0	0	0	601



COMMUNITY LIFE continued

Provider Audits
Fiscal Year 2018-19

Number of Audits / Appeals / Recoveries

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

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

State Appeal	0	0	0			0
Recovery	0	0	1			0

Audit Findings (Dollar Amount)

Amount of Recovery	\$0.00	\$0.00	\$4,520.99			
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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)							0
Total Number of Audits	0	0	0	0	0	0	1

Number of Appeals / Recoveries

State Appeal							0
Recovery							1

Audit Findings (Dollar Amount)

Amount of Recovery							\$4,520.99
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FAMILY SUPPORTS

Related Guiding Principles

- *Families are informed advocates for their loved ones with developmental disabilities.*
- *Families are the decision makers for their minor children.*
- *Family support services are flexible and innovative in meeting the family's needs as they evolve over time, are tailored to the preferences of the individual family, and are consistent with their cultural norms and customs.*
- *Services and supports for families recognize, facilitate and build on family strengths, natural supports and existing community resources.*

Vouchers - Families Procure Their Own Services

Fiscal Year 2018-19

Number of Authorizations for Voucher Services

Type of Service	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Day Care - Family Member	111	107	112			
Diapers - Family Member	4	4	2			
Nursing Service - Family Member	59	58	55			
Respite Service - Family Member	418	413	425			
Transportation - Family Member	193	186	192			
<i>Total Number of Voucher Authorizations</i>	785	768	786	0	0	0

Number of Authorizations for Voucher Services

Type of Service	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

FAMILY SUPPORTS

Related Guiding Principles

- *Family support services are flexible and innovative in meeting the family's needs as they evolve over time, are tailored to the preferences of the individual family, and are consistent with their cultural norms and customs.*
- *Services and supports for families recognize, facilitate and build on family strengths, natural supports and existing community resources.*

Notifications of Community Events and Activities

Fiscal Year 2018-19

Number of Notifications

Language	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
English*	59,721	51,189	48,499			
Farsi	47	247	0			
Korean	0	0	805			
Spanish*	6,493	2,388	4,796			
Vietnamese*	1,391	2,461	3,614			
Total Number of Notifications	67,652	56,285	57,714	0	0	0

Number of Notifications

Language	Jan.	Feb.	Mar.	Apr.	May	June
English						
Farsi						
Korean						
Spanish						
Vietnamese						
Total Number of Notifications	0	0	0	0	0	0

* Threshold languages for RCOC

FAMILY SUPPORTS

Related Guiding Principles

- *Family support services are flexible and innovative in meeting the family's needs as they evolve over time, are tailored to the preferences of the individual family, and are consistent with their cultural norms and customs.*
- *Services and supports for families recognize, facilitate and build on family strengths, natural supports and existing community resources.*

Community Outreach

Fiscal Year 2018-19

Number of Outreach Events

Language	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
English						
In Person	5	13	10			
In Print		2	2			
TV / Radio	5	2				
Spanish						
In Person	5	6	2			
In Print		1				
TV / Radio	1	1				
Vietnamese						
In Person	2	4	3			
In Print		1	1			
TV / Radio	5	3	2			
Other Languages						
In Person (Korean)		1	1			
In Print						
TV / Radio						
<i>Total Number of Outreach Events</i>	23	34	21	0	0	0

Number of Outreach Events

Language	Jan.	Feb.	Mar.	Apr.	May	June
English						
In Person						
In Print						
TV / Radio						
Spanish						
In Person						
In Print						
TV / Radio						
Vietnamese						
In Person						
In Print						
TV / Radio						
Other Languages						
In Person						
In Print						
TV / Radio						
<i>Total Number of Outreach Events</i>	0	0	0	0	0	0

EARLY INTERVENTION / PREVENTION

Related Guiding Principles

- Prevention and early intervention services, supports and public awareness activities are designed and implemented to prevent the onset of a disability and/or to improve developmental outcomes.
- Persons served are provided with needed services and supports in a family-focused and collaborative fashion.

Fiscal Year 2018-19

Developmental Screenings by Ethnicity	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
American Indian or Alaska Native	No Data Available	0	1			
Asian		7	4			
Black/African American		3	0			
Hispanic		38	60			
Native Hawaiian or Other Pacific Islander		0	0			
Other Ethnicity or Race / Multi-Cultural		4	1			
White		6	5			
<i>Total Number Screened</i>	0	58	71	0	0	0
<i>Total Number Referred to RCOC</i>		20	20			

Developmental Screenings by Ethnicity	Jan.	Feb.	Mar.	Apr.	May	June	Total
American Indian or Alaska Native							1
Asian							11
Black/African American							3
Hispanic							98
Native Hawaiian or Other Pacific Islander							0
Other Ethnicity or Race / Multi-Cultural							5
White							11
<i>Total Number Screened</i>	0	0	0		0	0	129
<i>Total Number Referred to RCOC</i>							40

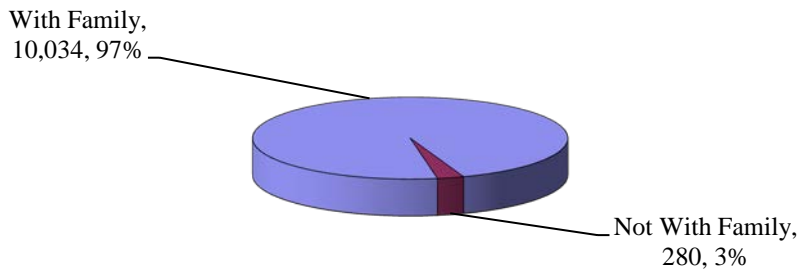
LIVING OPTIONS

Related Guiding Principles

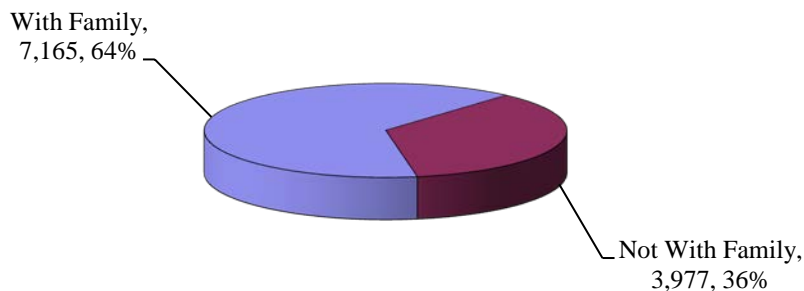
- *Culturally-sensitive services and supports are provided so that persons served can make informed choices on where and with whom they live, including owning or renting their own homes.*
- *Families whose minor or adult children choose to remain in the family home are supported through available resources.*
- *Persons served live in homes where they receive quality care and can form relationships.*

Where Persons Served Live	Persons Served All	Persons Served Under 18	Persons Served Over 18
With Family	17,199	10,034	7,165
Not With Family	4,257	280	3,977
Total	21,456	10,314	11,142

Where Persons Served Under 18 Live



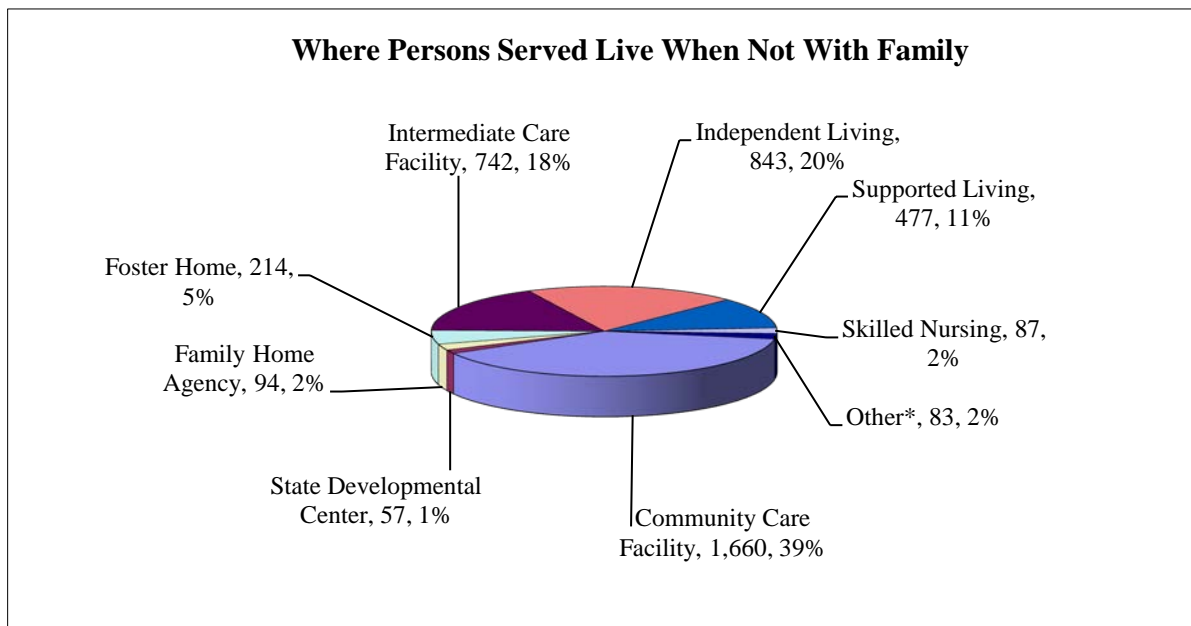
Where Persons Served Over 18 Live



LIVING OPTIONS, continued

Where Persons Served Live	All Persons Served	Persons Served Under 18	Persons Served Over 18
Family Home	17,199	10,034	7,165
Community Care Facility	1,660	44	1,616
State Developmental Center	57	0	57
Family Home Agency	94	0	94
Foster Home	214	206	8
Intermediate Care Facility	742	3	739
Independent Living	843	0	843
Supported Living	477	0	477
Skilled Nursing	87	0	87
Other*	83	27	56
Total	21,456	10,314	11,142

Other*			
Acute General Hospital	4	0	4
California Youth Authority	0	0	0
Community Treatment	0	0	0
Correctional Institution	0	0	0
County Jail	0	0	0
Other	0	0	0
Out of State	3	0	3
Psychiatric Treatment	5	2	3
Rehabilitation Center	4	1	3
SDC / State Hospital	0	0	0
Sub-Acute	48	24	24
Transient / Homeless	18	0	18
Total, Other*	82	27	55



LIVING OPTIONS, continued

Other Living Options

Family Home Agency

A Family Home Agency (FHA) is a private, not-for-profit agency that is vendored to recruit, approve, train, and monitor family home providers, provide services and supports to family home providers, and assist persons served with 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.

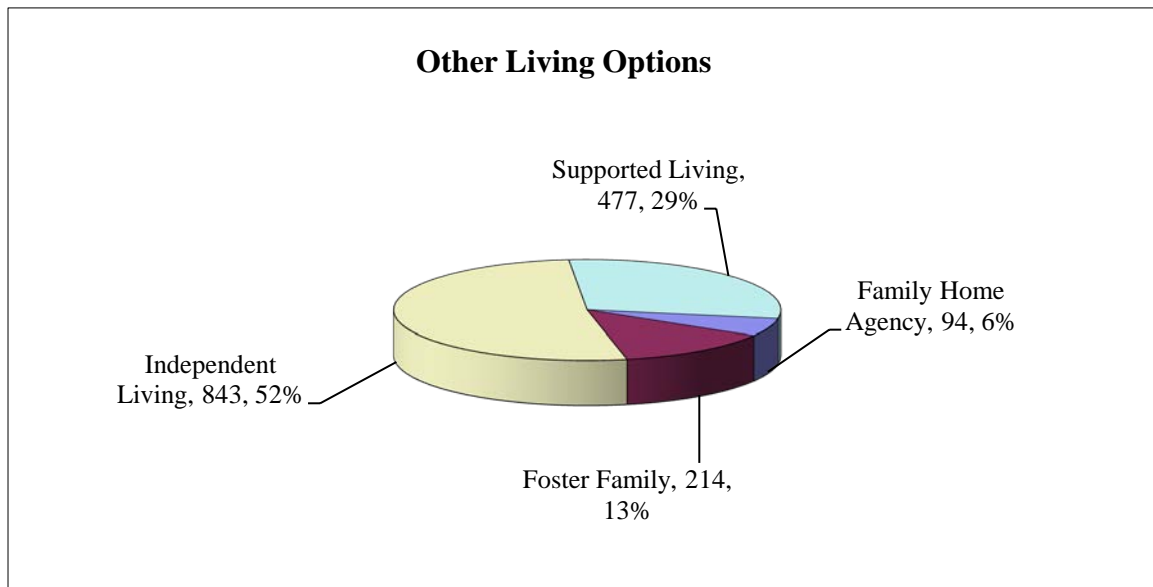
Independent Living

Independent Living services help persons served over 18 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 efforts for persons served to live in their own home.

Other Living Options	Total	Under 18	Over 18
Family Home Agency	94	0	94
Foster Family	214	206	8
Independent Living	843	0	843
Supported Living	477	0	477
Total	1,628	206	1,422



LIVING OPTIONS, continued

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

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.

LIVING OPTIONS, continued

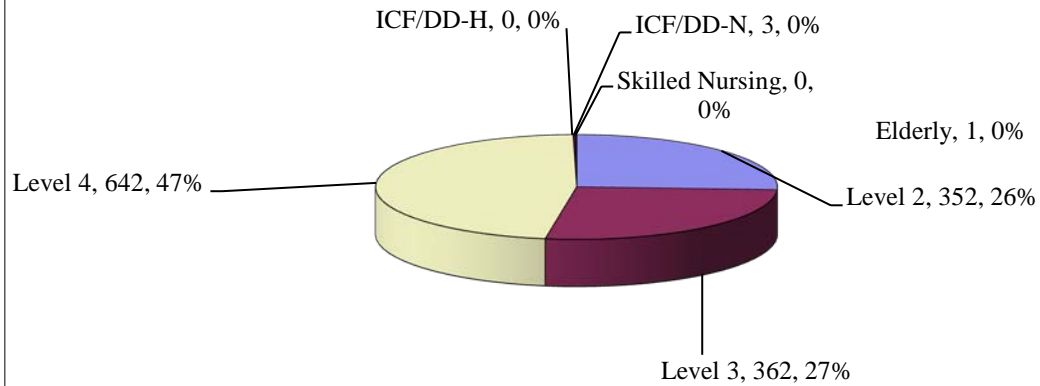
Persons Served Who Reside in Licensed Facilities Funded by RCOC

Fiscal Year 2018-19

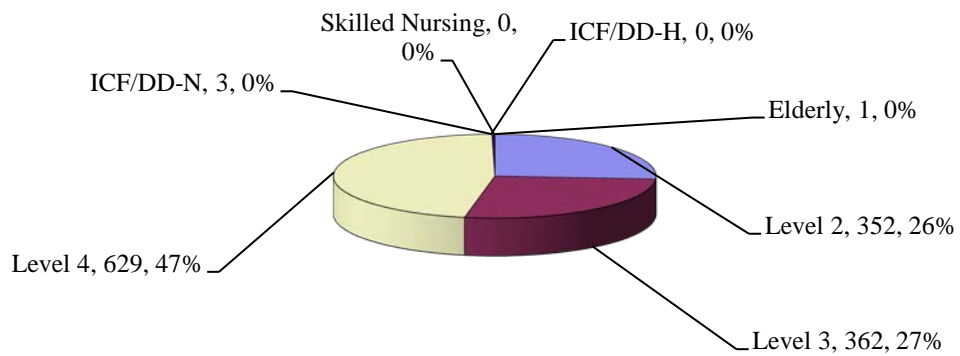
Licensed Facilities	Total	Over 18	Under 18
Level 2	352	352	0
Level 3	362	362	0
Level 4A	44	44	0
Level 4B	5	5	0
Level 4C	59	59	0
Level 4D	45	45	0
Level 4E	33	33	0
Level 4F	68	68	0
Level 4G	28	28	0
Level 4H	4	4	0
Level 4I	356	343	13
Elderly	1	1	0
ICF/DD-H	0	0	0
ICF/DD-N	3	3	0
ICF/DD	0	0	0
Skilled Nursing	0	0	0
Total	1,360	1,347	13

Licensed Facilities Summary	Total	Over 18	Under 18
Level 2	352	352	0
Level 3	362	362	0
Level 4	642	629	13
ICF/DD-H	0	0	0
ICF/DD-N	3	3	0
Elderly	1	1	0
Skilled Nursing	0	0	0
Total	1,360	1,347	13

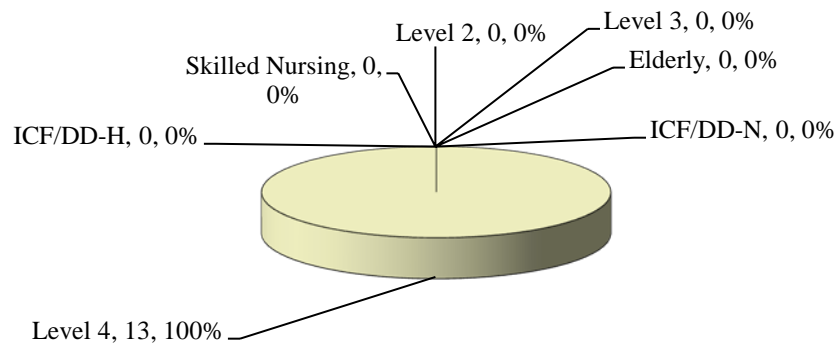
**Persons Served Who Reside in Licensed Facilities
Services Funded by RCOC**



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



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

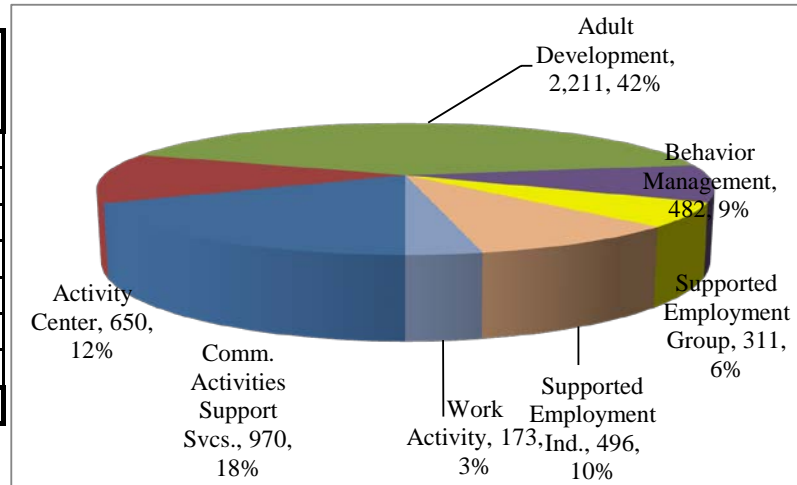


WORK

Related Guiding Principle

- *Persons served have the opportunity and support to work in integrated employment settings that are meaningful, valued by the community, and in which they are appropriately compensated and respected.*

Adult Day & Employment Services	Persons Served Over 18
Comm. Activities Support Svcs.	970
Activity Center	650
Adult Development	2,211
Behavior Management	482
Supported Employment Group	311
Supported Employment Ind.	496
Work Activity	173
Total	5,293



Definitions:

Community Activities Support Services similar to a Behavior Management Program, this is a behavior management program with an enhanced ration of 1:1 or 1:2 due to severe behavioral challenges.

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. Staff ratio ranges from 1:6 to 1:8.

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. Staff ratio ranges from 1:3 to 1:4.

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. Staff ratio is 1:3.

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. Staff ratio ranges from 1:1 to 1:4.

Work Activity Program includes, but is not limited to, Work Activity centers or settings that provide support to persons served engaged in paid work and have demonstrated that the program is in compliance with Department of Rehabilitation certification standards or are accredited by CARF. Staff ratio ranges from 1:12 to 1:20.

SERVICE PLANNING AND COORDINATION

Related Guiding Principles

- *Service coordinators are caring, knowledgeable and competent in service planning, coordination and resources.*
- *Service coordinators inform families of their rights and the services and supports available to them.*
- *Service planning and coordination is a collaborative effort between RCOC, persons served and their families to identify needed services and supports.*
- *Person-centered planning is based upon the choices and preferences of the persons served and their families, and the identification of generic services and natural supports.*
- *Services and supports assist person served and their families to develop 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 persons' served and their families' communities.*

Service Coordination

Fiscal Year 2018-19

Service Coordination:	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Number of Service Coordinators (SC)	299.0	298.0	304.0			
Number of Case-Carrying SCs	271.0	269.0	274.0			
Number of Intake SCs	28.0	29.0	30.0			
Number of State Developmental Center SCs	0.0	0.0	0.0			
Number of Active Persons Served	21,330	21,329	21,386			
Caseload Ratio, # of Active Persons Served/SCs	78.7	79.3	78.1			

Service Coordination:	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 Persons Served						
Caseload Ratio, # of Active Persons Served/SCs						

SERVICE PLANNING AND COORDINATION continued

Fair Hearings

Fiscal Year 2018-19

	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	June
Number of Unsettled Hearing Requests*	13	9	9									
Eligibility - Lanterman	5	4	3									
Behavioral services	0	0	0									
Respite	3	2	1									
Day Care	0	0	0									
ILS/SLS	0	0	0									
Personal Assistance	1	1	1									
Other**	4	2	4									

* 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 living options.

Number of New Hearing Requests Filed*	3	2	5									
Eligibility - Lanterman	2	2	1									
Eligibility - Early Start	0	0	0									
Behavioral services	0	0	0									
Respite	0	0	0									
Day Care	0	0	0									
Social/Recreational	0	0	0									
Personal Assistance	0	0	0									
Other**	1	0	4									

* 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 living options.

Number of All Meetings Held	3	2	6									
Number of Informal Meetings Held	3	2	5									
Number of Mediations Held	0	0	1									
Number of SLFHs Held	0	0	0									

Number of Requests in Scheduling*	5	0	3									
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* Meetings in process of being scheduled; meetings on schedule but not yet held; meetings scheduled but not held due to continuances.

Number of Requests Pending*	0	0	0									
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* State Level Fair Hearing (SLFH) held but awaiting decision.

Number of Requests Settled	0	2	6									
Withdrawn by Person Served/Family	0	0	0									
Settled in Informal	1	2	5									
Settled after further follow-up by RCOC	2	0	0									
Settled in Mediation	0	0	1									
SLFH Decision	0	0	0									

State Level Fair Hearing Decisions

Prevailing Party												
Person Served/Family	0	0	0									
RCOC	0	0	0									
Split	0	0	0									

ADMINISTRATION AND GOVERNANCE

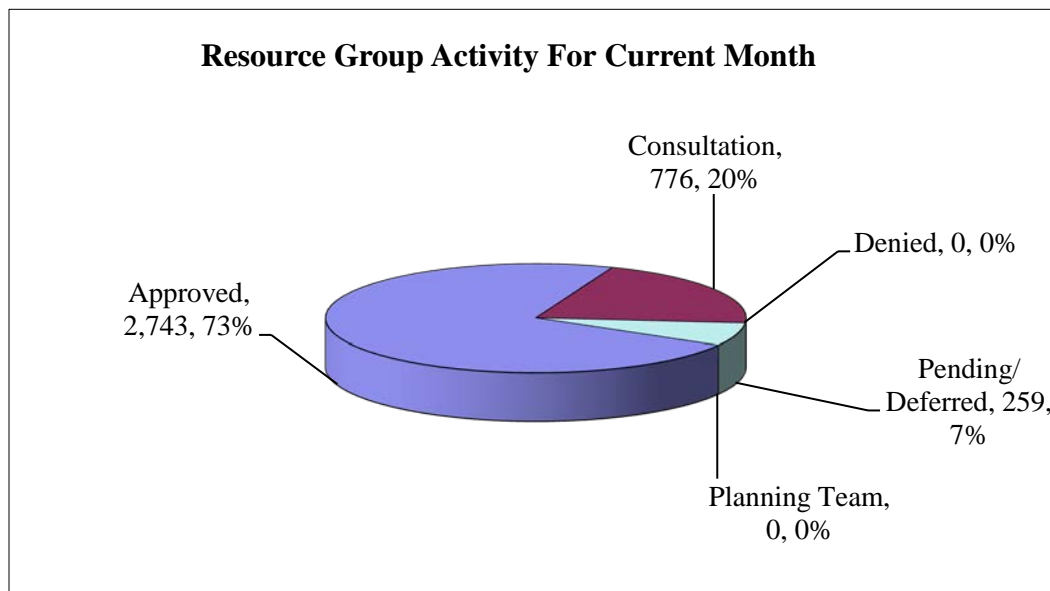
Guiding Principle

- RCOC 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 reflect RCOC's Guiding Principles and diligent stewardship.

Resource Group Activity for September 2018 and Fiscal Year to Date

Disposition	Approved	Consultation	Denied	Pending/ Deferred	Planning Team	Total
Adult Day	528	289	0	53	0	870
Behavioral	141	123	0	26	0	290
Education	0	0	0	0	0	0
Eligibility/Health	104	0	0	24	0	128
Early Start	848	90	0	82	0	1,020
Living Options	177	146	0	3	0	326
Supported/Ind.	233	98	0	22	0	353
All Others	712	30	0	49	0	791
Monthly Total	2,743	776	0	259	0	3,778

FY 2018-19 Total to Date	3,128	1,168	0	276	0	4,572
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Operations Report Summary - September 2018

About Persons Served	Early Start	Medicaid Waiver	All Other	SDC	Total	Under 18	Over 18
Number of Persons Served	3,536	8,079	9,784	57	21,456	10,314	11,142
<i>Percentage of Total</i>	<i>16%</i>	<i>38%</i>	<i>46%</i>	<i>0%</i>	<i>100%</i>	<i>48%</i>	<i>52%</i>

Children served in Prevention Resource and Referral Services	397
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Persons Served by Residence Status	All	Under 18	Over 18	Special Incident Investigations	Year to Date
Family Home	17,199	10,034	7,165	AWOL	14
Community Care Facility	1,660	44	1,616	Abuse	77
State Developmental Center	57	0	57	Neglect	104
Family Home Agency	94	0	94	Injury	52
Foster Home	214	206	8	Hospitalizations - Total	162
Intermediate Care Facility	742	3	739	Death	44
Independent Living	843	0	843	Victim of crime	10
Supported Living	477	0	477	Arrest	10
Skilled Nursing	87	0	87	Rights	128
Other	83	27	56		
Total	21,456	10,314	11,142	Total	601

Number of Licensed Facilities	Total	Under 18	Over 18	Licensed Facility Monitoring	Year to Date
Community Care Facilities				Annual Review	119
Level 2	80	0	80	Unannounced	159
Level 3	70	1	69	Total Number of Reviews	278
Level 4	159	13	146	Provider Trainings	0
Total Community Care Facilities	309	14	295	Technical Support	703
				Corrective Action Plans	24
Intermediate Care Facilities (ICF)					
ICF-DD	1			Number of Audits	1
ICF-DD/Habilitation	83			Amount of Recovery from Audits	\$4,521
ICF-DD/Nursing	39				
Total ICF Facilities	123				
Total Licensed Facilities	432				



Performance Contract Summary

RCOC 9/01/18	All	RCOC #	Goal	Percentage	# Attained
Developmental Center (DC)	21,373	59	56	0.28%	-3
Children in Foster Homes (FH)	10,278	191	175	1.86%	16
Children Own Home Parent/Guardian	10,278	10,009	9,800	97.38%	209
Total # Children (FH,Parent/Guardian)	10,278	10,200	9,975	99.24%	225
Adult FHA	11,036	92	100	0.83%	-8
Independent Living (IL)	11,036	841	850	7.62%	-9
Adults Residing Own Home - Parent	11,036	7,138	6,985	64.68%	153
Supported Living (SL)	11,036	473	471	4.29%	2
Total # Adults (FHA, IL,Parent/Guardian, SL)	11,036	8,544	8,406	77.42%	138
Children Residing in a CCF (7+ beds)	10,278	4	0	0.04%	-4
Children Residing in a ICF (7+ beds)	10,278	2	0	0.02%	-2
Children Residing in a Nursing Facility (7+ beds)	10,278	0	0	0.00%	0
Total Children Residing in 7+ bed facilities	10,278	6	0	0.06%	-6
Adults Residing in a CCF (7+ beds)	11,036	155	149	1.40%	-6
Adults Residing in a ICF (7+ beds)	11,036	80	88	0.72%	8
Adults Residing in a Nursing Facility (7+ beds)	11,036	82	83	0.74%	1
Total Adults Residing in 7+ bed facilities	11,036	317	320	2.87%	3
Total Individuals Over Age 3 with <=120 days	245	242	100.00%	100.00%	98.78%
Total Individuals Over Age 3 with 121-240 days	245	3	0.00%	1.22%	1.22%
Total Individuals Over Age 3 Over 240 days	245	0	0.00%	0.00%	0.00%
Adults with Integrated Employment Goal	11,036	47%	50%		
Total Number of Incentive Payments Made	11,036				
Avg. Wage and Hour After Incentive Payment	11,036				
Number of 16-64 Earned Income	11,036	2,058			
Percentage of 16-64 Earned Income	11,036	18.60%			
Annual Earnings of 16-64	11,036	\$7,385			
Number of Adults in CIE After Paid Intern	11,036				
Percentage Adults Transitioned Internship to CIE	11,036				
Total Annual Expenditures Residence/Ethnicity	21,373				
Number and Percent Race/Ethnicity Satisfied with Services	21,373				
Number and Percent Families by Race/Ethnicity IPP/IFSP Includes Needed Services	21,373				

Performance Contract 2018 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 2018

A. Regional Center of Orange County will maintain compliance in the following areas based upon criteria set forth in RCOC's contract with the Department of Developmental Services.

Compliance Measure	Outcome
Unqualified audit with no material findings	Yes
Substantial compliance with DDS fiscal audit	Yes
Accuracy percent of POS fiscal projections	Yes
Operates within OPS budget	Yes
Certified to participate in Waiver	Yes
Compliance with vendor audit requirements per contract, Article III, sec. 10	Met
CDER/ESR current	99.88
Intake/Assessment and IFSP (0-2)	99.52
IPP development biennial	Annual, 99.46
IFSP development	69.28

Performance Contract 2018

I. Developmental Center

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

	Percentage	All consumers	Consumers in DC			
Statewide Average	0.26%	312,488	809			
RCOC Public Hearing 8/16 /17	0.35%	20,523	72	Goal	%	# Attained
RCOC 9/01/18	0.28%	21,373	59	56	0.28%	-3
Analysis as of Public Hearing	RCOC % of DD population	6.57%	RCOC % of DC population	8.90%		

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 2016-2017 and 2017-2018.

Progress: In FY 2016-2017, RCOC moved 8 persons served from Developmental Centers into the community. During Public Meetings in August 2017, RCOC had 72 persons served, or 0.35%, in Developmental Centers. During this period, RCOC's overall caseload grew as a result of families and residents requesting a case transfer in order to continue residing in Orange County.

Number of Persons Served Residing DCs

	Total Active Caseload	Goal	DC	%	Number Attained
Jan-18	20,936	56	67	0.32%	-11
Feb-18	20,943	56	66	0.32%	-10
Mar-18	21,070	56	62	0.29%	-6
Apr-18	21,049	56	61	0.29%	-5
May-18	21,201	56	59	0.28%	-3
Jun-18	21,264	56	59	0.28%	-3
Jul-18	21,376	56	59	0.27%	-3
Aug-18	21,373	56	59	0.28%	-3
Sep-18		56			
Oct-18		56			
Nov-18		56			
Dec-18		56			

Below

Performance Contract 2018

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 and services for persons served 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 effort to support programs, trainings and services designed to provide equal access to child care for families of children with special needs (autism).
- Continue to develop innovative resources for children 0-3 years old (i.e., respite placement).
- RCOC will ensure that persons served 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 persons served and what types of services are available.
- RCOC will assure that persons served and their caregivers receive complete assessments and have the opportunity to ask questions, advocate, and access to services. To be evaluated and monitored by a National Core Indicators (NCI) survey of persons served and their caregivers.

Progress: A. During public meetings, RCOC had 160, or 1.62%, children in foster homes.

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

	Percentage	All children	Children in FH			
Statewide Average	2.63%	153,091	4,033			
RCOC Public Hearing 8/16 /17	1.62%	9,880	160	Goal	%	# Attained
RCOC 9/01/18	1.86%	10,278	191	175	1.86%	16
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		3.97%



	Total Children Status 1&2	Goal	Children in Foster Homes	%	Number Attained
Jan-18	10,052	175	144	1.43%	-31
Feb-18	10,041	175	151	1.50%	-24
Mar-18	10,128	175	165	1.63%	-10
Apr-18	10,154	175	176	1.73%	1
May-18	10,218	175	180	1.76%	5
Jun-18	10,292	175	187	1.82%	12
Jul-18	10,311	175	185	1.79%	10
Aug-18	10,278	175	191	1.86%	16
Sep-18		175			
Oct-18		175			
Nov-18		175			
Dec-18		175			

Progress: B. During public meetings, RCOC had 9,643, or 97.60%, of children in own home-parent/guardian.

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

Statewide Average

RCOC Public Hearing 8/16 /17

RCOC 9/01/18

Analysis as of Public Hearing

Percentage	All children	Children in own home Parent/ Guardian	Goal	%	# Attained
96.65%	153,091	147,958			
97.60%	9,880	9,643			
97.38%	10,278	10,009	9,800	97.38%	209
RCOC % of DD population		6.45%	RCOC % of FH population		6.52%

Exceeded Goal



	Total Children Status 1&2	Goal	Children in own home Parent/ Guardian	%	Number Attained
Jan-18	10,052	9,800	9,832	97.81%	32
Feb-18	10,041	9,800	9,813	97.73%	13
Mar-18	10,128	9,800	9,889	97.64%	89
Apr-18	10,154	9,800	9,900	97.50%	100
May-18	10,218	9,800	9,959	97.47%	159
Jun-18	10,292	9,800	10,023	97.39%	223
Jul-18	10,311	9,800	10,046	97.43%	246
Aug-18	10,278	9,800	10,009	97.38%	209
Sep-18		9,800			
Oct-18		9,800			
Nov-18		9,800			
Dec-18		9,800			

Progress: C. During public meetings, RCOC had 9,803, or 99.22%, of children in homes.

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

	Percentage	All children	Total Number Children in Homes			
Statewide Average	99.28%	153,091	151,991			
RCOC Public Hearing 8/16 /17	99.22%	9,880	9,803	Goal	%	# Attained
RCOC 9/01/18	99.24%	10,278	10,200	9,975	99.24%	225
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		6.45%

**Exceeded
Goal**

	Total Children Status 1&2	Goal	Total Number Children in Homes	%	Number Attained
Jan-18	10,052	9,975	9,976	99.24%	1
Feb-18	10,041	9,975	9,964	99.23%	-11
Mar-18	10,128	9,975	10,054	99.27%	79
Apr-18	10,154	9,975	10,076	99.23%	101
May-18	10,218	9,975	10,139	99.23%	164
Jun-18	10,292	9,975	10,210	99.20%	235
Jul-18	10,311	9,975	10,231	99.22%	256
Aug-18	10,278	9,975	10,200	99.24%	225
Sep-18		9,975			
Oct-18		9,975			
Nov-18		9,975			
Dec-18		9,975			

Performance Contract 2018

III. Adults Residing in Home Settings

Planned Activities

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

Objective: Using the Person Centered Thinking (PCT) Individual Program Planning process, Service Coordinators will continue to identify regional center adult persons served 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 persons served are provided opportunities for safety awareness training on a regular and as needed basis.
- RCOC will review and revise services, e.g. respite and family support.
- RCOC will assure that persons served and their caregivers receive complete assessments and have opportunity to ask questions, advocate, and access services. To be evaluated and monitored by an NCI survey of persons served and their caregivers.

Progress: A. During public meetings, RCOC had 81, or 0.86%, of adults residing in Adult FHA.

A. Total number and % of regional center adult caseload residing in an Adult Family Home Agency (FHA).

	Percentage	Total Adults status 2	Adults in FHA			
Statewide Average	0.98%	158,588	1,554			
RCOC Public Hearing 8/16 /17	0.86%	10,571	91	Goal	%	# Attained
RCOC 9/01/18	0.83%	11,036	92	100	0.83%	-8
Analysis as of Public Hearing	RCOC % of DD population 6.67%		RCOC % of FH population 5.86%			



	Total Adults Status 2	Goal	Adults in FHA	%	Number Attained
Jan-18	10,817	100	94	0.87%	-6
Feb-18	10,836	100	99	0.86%	-7
Mar-18	10,880	100	92	0.85%	-8
Apr-18	10,895	100	88	0.81%	-12
May-18	10,924	100	91	0.83%	-9
Jun-18	10,972	100	92	0.84%	-8
Jul-18	11,006	100	90	0.82%	-10
Aug-18	11,036	100	92	0.83%	-8
Sep-18		100			
Oct-18		100			
Nov-18		100			
Dec-18		100			

Progress: B. During public meetings, RCOC had 838, or 7.93%, of adults residing in independent living.

Total number and % of regional center adults residing in independent living.

	Percentage	Total Adults status 2	Adults in Independent Living			
Statewide Average	10.89%	158,588	17,267			
RCOC Public Hearing 8/16 /17	7.93%	10,571	838	Goal	%	# Attained
RCOC 9/01/18	7.62%	11,036	841	850	7.62%	-9
Analysis as of Public Hearing	RCOC % of DD population		6.67%	RCOC % of FH population		4.85%



	Total Adults Status 2	Goal	Adults in Independent Living	%	Number Attained
Jan-18	10,817	850	835	7.72%	-15
Feb-18	10,836	850	830	7.66%	-20
Mar-18	10,880	850	839	7.71%	-11
Apr-18	10,895	850	842	7.73%	-8
May-18	10,924	850	835	7.64%	-15
Jun-18	10,972	850	836	7.62%	-14
Jul-18	11,006	850	837	7.60%	-13
Aug-18	11,036	850	841	7.62%	-9
Sep-18		850			
Oct-18		850			
Nov-18		850			
Dec-18		850			

Progress: C. During public meetings, RCOC had 6,676, or 63.15%, of adults residing in own home-parent.

Total number and % of regional center adults residing in own home-parent.

	Percentage	Total Adults status 2	Adults Residing Own Home - Parent			
Statewide Average	61.92%	158,588	98,190			
RCOC Public Hearing 8/16 /17	63.15%	10,571	6,676	Goal	%	# Attained
RCOC 9/01/18	64.68%	11,036	7,138	6,985	64.68%	153
Analysis as of Public Hearing	RCOC % of DD population		6.67%	RCOC % of FH population		6.80%

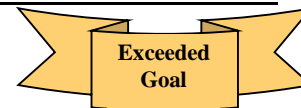


	Total Adults Status 2	Goal	Adults Residing Own Home - Parent	%	Number Attained
Jan-18	10,817	6,985	6,924	64.01%	-61
Feb-18	10,836	6,985	6,947	64.11%	-38
Mar-18	10,880	6,985	6,977	64.13%	-8
Apr-18	10,895	6,985	7,000	64.25%	15
May-18	10,924	6,985	7,028	64.34%	43
Jun-18	10,972	6,985	7,073	64.46%	88
Jul-18	11,006	6,985	7,102	64.53%	117
Aug-18	11,036	6,985	7,138	64.48%	153
Sep-18		6,985			
Oct-18		6,985			
Nov-18		6,985			
Dec-18		6,985			

Progress: D. During public meetings, RCOC had 464, or 4.39%, of adults residing in supported living.

Total number and % of regional center adults residing in supported living.

	Percentage	Total Adults status 2	Adults Residing Supported Living			
Statewide Average	5.49%	158,588	8,701			
RCOC Public Hearing 8/16 /17	4.39%	10,571	464	Goal	%	# Attained
RCOC 9/01/18	4.29%	11,036	473	471	4.29%	2
Analysis as of Public Hearing	RCOC % of DD population		6.67%	RCOC % of FH population		5.33%



	Total Adults Status 2	Goal	Adults Residing Supported Living	%	Number Attained
Jan-18	10,817	471	471	4.35%	0
Feb-18	10,836	471	472	4.36%	1
Mar-18	10,880	471	474	4.36%	3
Apr-18	10,895	471	474	4.35%	3
May-18	10,924	471	481	4.40%	10
Jun-18	10,972	471	479	4.37%	8
Jul-18	11,006	471	479	4.35%	8
Aug-18	11,036	471	471	4.29%	2
Sep-18		471			
Oct-18		471			
Nov-18		471			
Dec-18		471			

Progress: E. During public meetings, RCOC had 8,069, or 76.33%, of adults 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 Adults status 2	Total Number Adults in Home Settings			
Statewide Average	79.27%	158,588	125,712			
RCOC Public Hearing 8/16 /17	76.33%	10,571	8,069	Goal	%	# Attained
RCOC 9/01/18	77.42%	11,036	8,544	8,406	77.42%	138
Analysis as of Public Hearing	RCOC % of DD population		6.67%	RCOC % of FH population		6.42%
<div>Exceeded Goal</div>						

	Total Adults Status 2	Goal	Total Number Adults in Home Settings	%	Number Attained
Jan-18	10,817	8,406	8,324	76.95%	-82
Feb-18	10,836	8,406	8,342	76.98%	-64
Mar-18	10,880	8,406	8,382	77.04%	-24
Apr-18	10,895	8,406	8,404	77.14%	-2
May-18	10,924	8,406	8,435	77.22%	29
Jun-18	10,972	8,406	8,480	77.29%	74
Jul-18	11,006	8,406	8,508	77.30%	102
Aug-18	11,036	8,406	8,544	77.42%	138
Sep-18		8,406			
Oct-18		8,406			
Nov-18		8,406			
Dec-18		8,406			

Performance Contract 2018

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

Planned Activities

Statement: RCOC provides for the needs of children with medical issues or challenging behaviors in seven or greater bed facilities for limited time 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 persons served.
- RCOC will adhere to Trailer Bill Language relating to the use of larger facilities to ensure the least restrictive environment is supported.

Progress: A. During public meetings, RCOC had 1, or 0.01%, of children residing in a Community Care Facility (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 residing in a CCF (7+ beds).

	Percentage	Total Children status 1 & 2	Children Residing in a CCF (7+ beds)			
Statewide Average	0.02%	153,091	35			
RCOC Public Hearing 8/16 /17	0.01%	9,880	1	Goal	%	# Attained
RCOC 9/01/18	0.04%	10,278	4	0	0.04%	-4
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		2.86%

**Below
Goal**

	Total Children status 1&2	Goal	Children Residing in a CCF (7+ beds)	%	Number Attained
Jan-18	10,052	0	3	0.03%	-3
Feb-18	10,041	0	2	0.02%	-2
Mar-18	10,128	0	2	0.02%	-2
Apr-18	10,154	0	3	0.03%	-3
May-18	10,218	0	4	0.04%	-4
Jun-18	10,292	0	4	0.04%	-4
Jul-18	10,311	0	4	0.04%	-4
Aug-18	10,278	0	4	0.04%	-4
Sep-18		0			
Oct-18		0			
Nov-18		0			
Dec-18		0			

Progress: B. During public meetings, RCOC had 2, or 0.02% of children residing in an Immediate Care Facility (CCF)(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 residing in an ICF (7+ beds).

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

	Percentage	Total Children status 1 & 2	Children Residing in an ICF (7+ beds)	Goal	%	# Attained
Statewide Average	0.02%	153,091	27			
RCOC Public Hearing 8/16 /17	0.02%	9,880	2			
RCOC 9/01/18	0.02%	10,278	2	0	0.02%	-2
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		7.41%



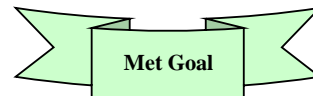
	Total Children status 1&2	Goal	Children Residing in a ICF (7+ beds)	%	Number Attained
Jan-18	10,052	0	2	0.02%	-2
Feb-18	10,041	0	2	0.02%	-2
Mar-18	10,128	0	2	0.02%	-2
Apr-18	10,154	0	2	0.02%	-2
May-18	10,218	0	2	0.02%	-2
Jun-18	10,292	0	2	0.02%	-2
Jul-18	10,311	0	2	0.02%	-2
Aug-18	10,278	0	2	0.02%	-2
Sep-18		0			
Oct-18		0			
Nov-18		0			
Dec-18		0			

Progress: C. During public meetings, RCOC had no children 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 residing in a nursing facility.

Total number and % of regional center adult case load residing in own

	Percentage	Total Children status 1 & 2	Residing in a Nursing Facility (7+ beds)			
Statewide Average	0.00%	153,091	4			
RCOC Public Hearing 8/16 /17	0.00%	9,880	0	Goal	%	# Attained
RCOC 9/01/18	0.00%	10,278	0	0	0.00%	0
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		0.00%



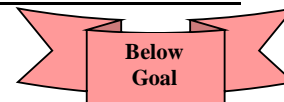
	Total Children status 1&2	Goal	Children Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-18	10,052	0	0	0.00%	0
Feb-18	10,041	0	0	0.00%	0
Mar-18	10,128	0	0	0.00%	0
Apr-18	10,154	0	0	0.00%	0
May-18	10,218	0	0	0.00%	0
Jun-18	10,292	0	0	0.00%	0
Jul-18	10,311	0	0	0.00%	0
Aug-18	10,278	0	0	0.00%	0
Sep-18		0			
Oct-18		0			
Nov-18		0			
Dec-18		0			

Progress: D. During public meetings, RCOC had 3, or 0.03%, of children 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 residing in a facility with 7+ beds (This is a total of sections A, B and C above).

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

	Percentage	Total Children status 1 & 2	Total Children Residing in 7+ bed facilities			
Statewide Average	0.04%	153,091	66			
RCOC Public Hearing 8/16 /17	0.03%	9,880	3	Goal	%	# Attained
RCOC 9/01/18	0.06%	10,278	6	0	0.06%	-6
Analysis as of Public Hearing	RCOC % of DD population		6.45%	RCOC % of FH population		4.55%



	Total Children status 1&2	Goal	Total Children Residing in 7+ bed facilities	%	Number Attained
Jan-18	10,052	0	5	0.05%	-5
Feb-18	10,041	0	4	0.04%	-4
Mar-18	10,128	0	4	0.04%	-4
Apr-18	10,154	0	4	0.05%	-5
May-18	10,218	0	6	0.06%	-6
Jun-18	10,292	0	6	0.06%	-6
Jul-18	10,311	0	6	0.06%	-6
Aug-18	10,278	0	6	0.06%	-6
Sep-18		0			
Oct-18		0			
Nov-18		0			
Dec-18		0			

Performance Contract 2018

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

Planned Activities

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

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 persons served 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 persons served.
- RCOC will adhere to Trailer Bill Language relating to the use of larger residential facilities to ensure the least restrictive environment is supported.

Progress: A. During public meetings, RCOC had 158, or 1.49%, of adults 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 Community Care Facility (CCF)(7+ beds).

	Percentage	Total Adults status 2	Adults Residing in a CCF (7+ beds)	Goal	%	# Attained
Statewide Average	1.19%	158,858	1,895			
RCOC Public Hearing 8/16 /17	1.49%	10,571	158			
RCOC 9/01/18	1.40%	11,036	155	149	1.40%	-6
Analysis as of Public Hearing	RCOC % of DD population		6.65%	RCOC % of FH population		8.34%

**Below
Goal**

	Total Adults Status 2	Goal	Adults Residing in a CCF (7+ beds)	%	Number Attained
Jan-18	10,817	149	158	1.46%	-9
Feb-18	10,836	149	156	1.44%	-7
Mar-18	10,880	149	156	1.43%	-7
Apr-18	10,895	149	154	1.41%	-5
May-18	10,924	149	155	1.42%	-6
Jun-18	10,972	149	155	1.41%	-6
Jul-18	11,006	149	155	1.14%	-6
Aug-18	11,036	149	155	1.40%	-6
Sep-18		149			
Oct-18		149			
Nov-18		149			
Dec-18		149			

Progress: B. During public meetings, RCOC had 94, or 0.89%, of adults residing in an Intermediate Care Facility (ICF)(7+ beds). Placements to 7+ bed facilities are at family request and/or due to specialized services.

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

Statewide Average

RCOC Public Hearing 8/16 /17

RCOC 9/01/18

Analysis as of Public Hearing

Percentage	Total Adults status 2	Adults Residing in a ICF (7+ beds)	Goal	%	# Attained
0.65%	158,858	1,027			
0.89%	10,571	94	88	0.72%	8
0.72%	11,036	80			
RCOC % of DD population		6.65%	RCOC % of FH population		9.15%

**Exceeded
Goal**

	Total Adults Status 2	Goal	Adults Residing in a ICF (7+ beds)	%	Number Attained
Jan-18	10,817	88	80	0.74%	8
Feb-18	10,836	88	81	0.75%	7
Mar-18	10,880	88	81	0.74%	7
Apr-18	10,895	88	81	0.74%	7
May-18	10,924	88	81	0.74%	7
Jun-18	10,972	88	80	0.73%	8
Jul-18	11,006	88	81	0.74%	7
Aug-18	11,036	88	80	0.72%	8
Sep-18		88			
Oct-18		88			
Nov-18		88			
Dec-18		88			

Progress: C. During public meetings, RCOC had 85, or .80%, of adults 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 Adults status 2	Adults Residing in a Nursing Facility (7+ beds)	Goal	%	# Attained
Statewide Average	0.71%	158,858	1,121			
RCOC Public Hearing 8/16 /17	0.80%	10,571	85			
RCOC 9/01/18	0.74%	11,036	82	83	0.74%	1
Analysis as of Public Hearing	RCOC % of DD population		6.65%	RCOC % of FH population		7.58%



	Total Adults Status 2	Goal	Adults Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-18	10,817	83	92	0.85%	-9
Feb-18	10,836	83	85	0.78%	-2
Mar-18	10,880	83	84	0.77%	-1
Apr-18	10,895	83	81	0.74%	2
May-18	10,924	83	80	0.73%	3
Jun-18	10,972	83	78	0.71%	5
Jul-18	11,006	83	80	0.73%	3
Aug-18	11,036	83	82	0.74%	1
Sep-18		83			
Oct-18		83			
Nov-18		83			
Dec-18		83			

Progress: D. During public meetings, RCOC had 337, or 3.19%, of adults 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 adults residing in a facility with 7+ beds
(This is a total of sections A, B and C above).

	Percentage	Total Adults status 2	Total Adults Residing in 7+ bed facilities			
Statewide Average	2.55%	158,858	4,043			
RCOC Public Hearing 8/16 /17	3.19%	10,571	337	Goal	%	# Attained
RCOC 9/01/18	2.87%	11,036	317	320	2.87%	3
Analysis as of Public Hearing	RCOC % of DD population 6.65%		RCOC % of FH population 8.34%			



	Total Adults Status 2	Goal	Total Adults Residing in 7+ bed facilities	%	Number Attained
Jan-18	10,817	320	330	3.05%	-10
Feb-18	10,836	320	322	2.97%	-2
Mar-18	10,880	320	321	2.95%	-1
Apr-18	10,895	320	316	2.90%	4
May-18	10,924	320	316	2.89%	4
Jun-18	10,972	320	313	2.85%	7
Jul-18	11,006	320	316	2.87%	4
Aug-18	11,036	320	317	2.87%	3
Sep-18		320			
Oct-18		320			
Nov-18		320			
Dec-18		320			

Performance Contract 2018

VI. Intake Duration

Planned Activities

Statement: Management and Service Coordinator staff receive a monthly report on the duration of individuals ages 3 and over who 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 persons served 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 259, or 99.62%, of regional center individuals over age 3 with <=120 days.

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

Statewide Average
RCOC Public Hearing 8/16/17
RCOC 9/01/18

Percentage	Total # Age 3 or Over	Total # Over Age 3 with <=120 days	Goal	% Attained
97.91%	5,511	5,396		
99.62%	260	259	100.00%	98.78%
98.78%	245	242		



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with <=120 days	% Attained
Jan-18	178	100.00%	178	100.00%
Feb-18	179	100.00%	179	100.00%
Mar-18	196	100.00%	196	100.00%
Apr-18	226	100.00%	225	99.56%
May-18	225	100.00%	223	99.11%
Jun-18	224	100.00%	224	99.11%
Jul-18	228	100.00%	227	99.56%
Aug-18	245	100.00%	242	98.78%
Sep-18		100.00%		
Oct-18		100.00%		
Nov-18		100.00%		
Dec-18		100.00%		

Progress: B. During public meetings, RCOC had 1, or 0.38%, 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.

Statewide Average

RCOC Public Hearing 8/16/17

RCOC 9/01/18

Percentage	Total Number Individuals Age 3 or Over	Total Number Individuals Over Age 3 with 121-240 days	Goal	% Attained
1.85%	5,511	102		
0.38%	260	1		
1.22%	245	3	0.00%	1.22%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with 121-240 days	%
Jan-18	178	0.00%	0	0.00%
Feb-18	179	0.00%	0	0.00%
Mar-18	196	0.00%	0	0.00%
Apr-18	226	0.00%	1	0.44%
May-18	225	0.00%	1	0.44%
Jun-18	224	0.00%	2	0.89%
Jul-18	228	0.00%	1	0.44%
Aug-18	245	0.00%	3	1.22%
Sep-18		0.00%		
Oct-18		0.00%		
Nov-18		0.00%		
Dec-18		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.

Statewide Average
RCOC Public Hearing 8/16/17
RCOC 9/01/18

Percentage	Total Number Individuals Age 3 or Over	Total Number Individuals Over Age 3 Over 240 days		
0.24%	5,511	13		
0.00%	260	0	Goal	%
0.00%	245	0	0.00%	0.00%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 Over 240 days	% Attained
Jan-18	178	0.00%	0	0.00%
Feb-18	179	0.00%	0	0.00%
Mar-18	196	0.00%	0	0.00%
Apr-18	226	0.00%	0	0.00%
May-18	225	0.00%	1	0.44%
Jun-18	224	0.00%	0	0.00%
Jul-18	228	0.00%	0	0.00%
Aug-18	245	0.00%	0	0.00%
Sep-18		0.00%		
Oct-18		0.00%		
Nov-18		0.00%		
Dec-18		0.00%		

Performance Contract 2018

VII. National Core Indicators (NCI) Employment

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 persons served 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. RCOC will make incentive payments to vendors who assist individuals obtain competitive, integrated employment and maintain those positions over time.

Progress: A. Results from the National Core Indicator Surveys conducted in FY 2011-2012, 46% of the people interviewed who did not have a job in the community, reported wanting one. In FY 2014-2015, 47% of those interviewed indicating a desire for work in the community.

A. Percentage of adults who reported having integrated employment as a goal in their IPPs.

	Percentage	
RCOC FY 2010-11	40%	
RCOC FY 2011-12	46%	Goal
RCOC FY 2014-15*	47%	50%

*NOTE: Surveys are being conducted again in FY 2017-18



Progress: B. RCOC will authorize incentive payments to service providers who assist individuals obtaining competitive integrated employment. RCOC will make initial payments based upon hire date, and additional payments will be made upon subsequent milestones related to length of employment.

B. Total number of \$1,000, \$1,250, and \$1,500 incentive payments made within the fiscal year.

Fiscal Year	\$1,000	\$1,250	\$1,500
2016-2017	95	38	0
2017-2018			

*NOTE: Incentive payments started in FY 2016-17, partial year data



Progress: C. RCOC will work with local employment agencies and businesses to assist individuals obtain desired hours of employment on a weekly/monthly basis. Individuals will review this during the initial hiring phase when incentive payments are being sought.

C. Average wages and hours worked for adults engaged in competitive, integrated employment when incentive payments have been made on their behalf.

Fiscal Year	Hours Week	Wage
2016-2017	17	\$10.77
2017-2018		

Performance Contract 2018

VIII. Employment Development Department (EDD) Employment

Planned Activities

Statement: RCOC service coordinators and vendors are implementing RCOC's Employment First Policy of integrated competitive employment as the first option for people with intellectual disabilities.

Objective: RCOC service coordinators will implement the Employment First Policy by providing persons served and families information on job preparation and procurement at annual Individual Transition Meetings through the school and Individual Program Planning meetings through RCOC. RCOC will continue to work on development of new programs that will emphasize a focus on competitive employment as a primary outcome. RCOC will work with service providers and employers to move individuals participating in Paid Internship Program (PIP) into Competitive Integrated Employment (CIE).

Progress: A. Results from the Employment Development Department (EDD) conducted in 2015 indicate that 2,175 persons served ages 16-64 had earned income. In 2016, 2,085 persons served ages 16-64 had earned income.

A. Number of persons served ages 16-64 with earned income.

	RCOC	Statewide Avg.
2013	1,207	839
2014	1,754	906
2015	2,175	962
2016	2,085	1,033
2017	2,058	1,108

Progress: B. Results from the Employment Development Department in 2015 indicate that 27% of persons served ages 16-64 reported having earned income. In 2016, the percentage of persons served ages 16-64 reporting earned income was 19.8%.

B. Percentage of people ages 16-64 reporting earned income.

	RCOC	Statewide Avg.
2013	12.80%	12%
2014	17.90%	13.10%
2015	27%	16%
2016	19.80%	14.20%
2017	18.60%	14.50%

Progress: C. Results from the Employment Development Department in 2015 indicate that average annual wage for persons served ages 16-64 was \$5,681. In 2016, the average annual wage for persons served ages 16-64 was \$5,975.

C. Annual earnings of age group 16-64 as compared with all persons served with disabilities in California.

	RCOC	Statewide Avg.
2013	\$6,691	\$6,697
2014	\$6,086	\$7,044
2015	\$5,681	\$7,248
2016	\$5,975	\$7,631
2017	\$7,385	\$8,698



Progress: D. In FY 2016-2017, RCOC began working with service providers to place individuals into Paid Internship Program (PIP) opportunities to help develop employment interests, and lead into opportunities for competitive integrated employment. The PIP was initiated in FY 2016-2017. RCOC currently has 5 individuals within a paid internship.

D. Number of adults placed in competitive, integrated employment following participation in a Paid Internship Program.

	Total
2016-2017	0
2017-2018	

*Note: Individuals have participated in PIP for less than 12 months total.



Progress: E. RCOC will obtain data related to the overall percentage of adults participating in a paid internship who transition into a competitive employment setting. This program began in FY 2016-17 and has been in place less than 12 months total.

E. Percentage of adults who transitioned from internship to competitive employment.

	% of Adults
2016-2017	NA
2017-2018	

*Note: PIP has been in place less than 12 months, no transitions have currently been made.



Progress: F. RCOC will monitor the hourly/salaried wages and hours worked per week for persons served who participate in a paid internship. Hours and wages will be competitively based on the job type and market rate for each setting.

F. Average hourly wage and weekly hours worked in Paid Internship Program.

	Hours Wk.	Wage
2016-2017	18	\$10.13
2017-2018		

Performance Contract 2018

IX. Reducing Disparities and Improving Equity in Purchase of Service Expenditures.

Statement: RCOC works to ensure that support services are flexible and innovative in meeting the family's needs as they evolve over time; are tailored to the preferences of the individual family; and are consistent with their cultural norms and customs.

Objective: RCOC service coordinators will work with persons served and families to develop IPP goals and objectives to address their choices of living situations. RCOC will work to develop services in the community that meet the cultural and background preferences of persons served and family members to ensure the availability of resources. RCOC will continue outreach efforts within our community to overcome potential cultural barriers when identifying appropriate services. RCOC is working to expand family outreach and support options by developing new resources within our community. RCOC will continue to develop community programs that allow for a range of options for persons served when selecting those services. RCOC service coordinators will receive initial and ongoing training related to IPP development that ensures meaningful participation of persons served and their families and will focus on Person Centered Thinking skills and outcomes. RCOC will be working to simplify and translate important documents. RCOC continues to outreach with outside agencies such as parent support group leaders, family support groups, social services agencies, faith-based organizations and educational agencies, as well as providing information via e-mail in the primary language of the family.

Progress: A. Review of fiscal year 2015-16 purchase of service data and client master file (CMF). Initial data generation will be compared to subsequent FY information.

Progress: A. Review of fiscal year 2015-16 purchase of service data and client master file (CMF). Initial data generation will be compared to subsequent FY information.

A. Percent of total annual purchase of service expenditures by individual's ethnicity and age: Birth to age 2; Age 3-21; 22 and older.

Birth to 2 Years Old

Ethnicity	Total Persons	Percentage of Expenditures	Total POS (authorized)	Percent Utilized
Asian	719	19.93%	\$6,297,111	66.30%
Black/African American	56	1.79%	\$564,963	62.30%
Filipino	62	1.55%	\$489,944	60.50%
Hispanic	1,819	33.10%	10,459,545	61.20%
Native American	7	0.11%	\$34,855	46.40%
Other	993	23.13%	\$7,309,267	62.20%
Polynesian	7	0.12%	\$38,154	55.50%
White	1,001	20.27%	\$6,406,818	61.00%
		100.00%	\$31,600,657	

Age 3 Years to 21 Years

Ethnicity	Total Persons	Percentage of Expenditures	Total POS (authorized)	Percent Utilized
Asian	1,417	20.16%	\$20,068,764	67.50%
Black/African-American	165	3.22%	\$3,207,943	70.70%
Filipino	196	1.91%	\$1,902,950	67.30%
Hispanic	3,458	34.60%	\$34,444,272	65.70%
Native American	7	0.04%	\$34,855	46.40%
Other	993	7.34%	\$7,309,267	62.20%
Polynesian	7	0.04%	\$38,154	58.70%
White	2,290	32.69%	\$32,546,533	67.60%
		100.00%	\$99,552,738	

Age 22 Years and Older

Ethnicity	Total Persons	Percentage of Expenditures	Total POS (authorized)	Percent Utilized
Asian	932	8.68%	\$20,447,051	83.70%
Black/African-American	197	2.31%	\$5,441,913	84.00%
Filipino	143	1.58%	\$3,719,368	84.90%
Hispanic	2,022	18.35%	\$43,217,311	81.70%
Native American	15	0.30%	\$718,146	93%
Other	642	7.66%	\$18,052,715	85.50%
Polynesian	7	0.07%	\$175,576	78.80%
White	4,356	61.04%	\$143,800,987	85.70%
		100.00%	\$235,573,067	

Progress: B. Review of fiscal year 2015-16 purchase of service data and regional center caseload data. Initial data generation will be compared to subsequent FY information.

B. Number of individuals receiving only case management services by age and ethnicity: Birth to age 2; Age 3-21; 22 and older.

Birth to 2 Years Old

Ethnicity	Total Eligible	Case Management	% of Total Caseload
Asian	719	23	3.20%
Black/African-American	56	1	1.80%
Filipino	62	2	3.20%
Hispanic	1,819	111	6.10%
Native American	7	0	0.00%
Other	993	39	3.90%
Polynesian	7	0	0.00%
White	1,001	50	5.00%

Age 3 Years to 21 Years

Ethnicity	Total Eligible	Case Management	% of Total Caseload
Asian	1,417	257	18.10%
Black/African-American	165	48	29.10%
Filipino	196	62	31.60%
Hispanic	3,458	1,164	33.70%
Native American	13	2	15.40%
Other	1,496	355	23.70%
Polynesian	8	3	37.50%
White	2,290	538	23.50%

Age 22 Years and Older

Ethnicity	Total Eligible	Case Management	% of Total Caseload
Asian	932	192	20.60%
Black/African-American	197	33	16.80%
Filipino	143	11	7.70%
Hispanic	2,022	457	22.60%
Native American	15	3	20%
Other	642	105	16.40%
Polynesian	7	0	0.00%
White	4,356	498	11.40%

Progress: B. Review of fiscal year 2015-16 purchase of service data and Client Master File. Initial data generation will be compared to subsequent FY information.

C. Per capita purchase of service expenditures by individual's primary language for all ages (30 or more people with language).

Primary Language	Total People	POS Authorized Per Capita	Percent Utilized
English	16,474	\$18,699	78.10%
Spanish	4,177	\$11,567	73.40%
Mandarin Chinese	45	\$17,881	73.10%
Vietnamese	1,012	\$13,309	76%
Korean	117	\$23,093	79.80%
Tagalog	30	\$20,762	83.70%
Arabic	30	\$14,973	71.30%

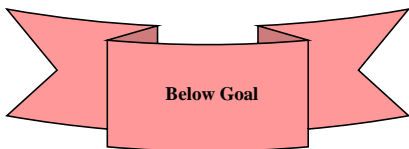
Performance Contract Summary

RCOC 10/01/18	All	RCOC #	Goal	Percentage	# Attained
Developmental Center (DC)	21,438	57	0	0.27%	-57
Children in Foster Homes (FH)	10,313	205	215	1.99%	-10
Children Own Home Parent/Guardian	10,313	10,032	10,100	97.28%	-68
Total # Children (FH,Parent/Guardian)	10,313	10,237	10,315	99.26%	-78
Adult FHA	11,068	94	101	0.85%	-7
Independent Living (IL)	11,068	840	851	7.59%	-11
Adults Residing Own Home - Parent	11,068	7,166	7,250	64.75%	-84
Supported Living (SL)	11,068	471	477	4.26%	-6
Total # Adults (FHA, IL,Parent/Guardian, SL)	11,068	8,571	8,679	77.44%	-108
Children Residing in a CCF (7+ beds)	10,313	3	0	0.03%	-3
Children Residing in a ICF (7+ beds)	10,313	2	0	0.02%	-2
Children Residing in a Nursing Facility (7+ beds)	10,313	0	0	0.00%	0
Total Children Residing in 7+ bed facilities	10,313	5	0	0.05%	-5
Adults Residing in a CCF (7+ beds)	11,068	156	145	1.41%	-11
Adults Residing in a ICF (7+ beds)	11,068	80	55	0.72%	-25
Adults Residing in a Nursing Facility (7+ beds)	11,068	85	80	0.77%	-5
Total Adults Residing in 7+ bed facilities	11,068	321	280	2.90%	-41
Total Individuals Over Age 3 with <=120 days	242	237	100.00%	100.00%	97.93%
Total Individuals Over Age 3 with 121-240 days	242	5	0.00%	2.07%	2.07%
Total Individuals Over Age 3 Over 240 days	242	0	0.00%	0.00%	0.00%
Adults with Integrated Employment Goal	11,068	47%	50%		
Total Number of Incentive Payments Made	11,068				
Avg. Wage and Hour After Incentive Payment	11,068				
Number of 16-64 Earned Income	11,068	2,058			
Percentage of 16-64 Earned Income	11,068	18.60%			
Annual Earnings of 16-64	11,068	\$7,385			
Number of Adults in CIE After Paid Intern	11,068				
Percentage Adults Transitioned Internship to CIE	11,068				
Total Annual Expenditures Residence/Ethnicity	21,438				
Number and Percent Race/Ethnicity Satisfied with Services	21,438				
Number and Percent Families by Race/Ethnicity IPP/IFSP Includes Needed Services	21,438				

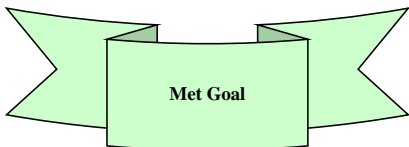
Performance Contract 2018 Cover Sheet



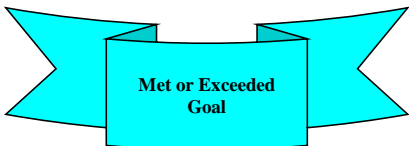
= Better than Statewide Average



= Below Regional Center of Orange County Goal



= Met Regional Center of Orange County Goal



= 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

Performance Contract 2018

A. Regional Center of Orange County will maintain compliance in the following areas based upon criteria set forth in RCOC's contract with the Department of Developmental Services.

Compliance Measure	Outcome
Unqualified audit with no material findings	Yes
Substantial compliance with DDS fiscal audit	Yes
Accuracy percent of POS fiscal projections	Yes
Operates within OPS budget	Yes
Certified to participate in Waiver	Yes
Compliance with vendor audit requirements per contract, Article III, sec. 10	Met
CDER/ESR current	99.88
Intake/Assessment and IFSP (0-2)	99.52
IPP development biennial	Annual, 99.46
IFSP development	69.28

Performance Contract 2018

I. Developmental Center

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

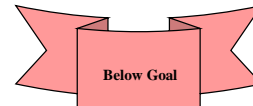
	Percentage	All consumers	Consumers in DC			
Statewide Average	0.16%	326,687	525			
RCOC Public Hearing 8/15 /18	0.28%	21,293	59	Goal	%	# Attained
RCOC 10/01/18	0.27%	21,438	57	0	0.27%	-57
Analysis as of Public Hearing	RCOC % of DD population		6.52%	RCOC % of DC population		11.24%

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 2017-2018 and 2018-2019.

Progress: In FY 2017-2018, RCOC moved 13 persons served from Developmental Centers into the community. During Public Meetings in August 2018, RCOC had 59 persons served, or 0.28%, in Developmental Centers. During this period, RCOC's overall caseload grew as a result of families and residents requesting a case transfer in order to continue residing in Orange County.



Number of Persons Served Residing DCs

	Total Active Caseload	Goal	DC	%	Number Attained
Jan-18	20,936	56	67	0.32%	-11
Feb-18	20,943	56	66	0.32%	-10
Mar-18	21,070	56	62	0.29%	-6
Apr-18	21,049	56	61	0.29%	-5
May-18	21,201	56	59	0.28%	-3
Jun-18	21,264	56	59	0.28%	-3
Jul-18	21,376	56	59	0.27%	-3
Aug-18	21,373	56	59	0.28%	-3
Sep-18	21,438	0	57	0.27%	-57
Oct-18		0			
Nov-18		0			
Dec-18		0			

Performance Contract 2018

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 and services for persons served 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 effort to support programs, trainings and services designed to provide equal access to child care for families of children with special needs (autism).
- Continue to develop innovative resources for children 0-3 years old (i.e., respite placement).
- RCOC will ensure that persons served 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 persons served and what types of services are available.
- RCOC will assure that persons served and their caregivers receive complete assessments and have the opportunity to ask questions, advocate, and access to services. To be evaluated and monitored by a National Core Indicators (NCI) survey of persons served and their caregivers.

Progress: A. During public meetings, RCOC had 186, or 1.81%, children in foster homes.

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

	Percentage	All children	Children in FH			
Statewide Average	2.69%	162,096	4,368			
RCOC Public Hearing 8/15 /18	1.81%	10,270	186	Goal	%	# Attained
RCOC 10/01/18	1.99%	10,313	205	215	1.99%	-10
Analysis as of Public Hearing	RCOC % of DD population		6.34%	RCOC % of FH population		4.26%

**Below
Goal**

	Total Children Status 1&2	Goal	Children in Foster Homes	%	Number Attained
Jan-18	10,052	175	144	1.43%	-31
Feb-18	10,041	175	151	1.50%	-24
Mar-18	10,128	175	165	1.63%	-10
Apr-18	10,154	175	176	1.73%	1
May-18	10,218	175	180	1.76%	5
Jun-18	10,292	175	187	1.82%	12
Jul-18	10,311	175	185	1.79%	10
Aug-18	10,278	175	191	1.86%	16
Sep-18	10,313	215	205	1.99%	-10
Oct-18		215			
Nov-18		215			
Dec-18		215			

Progress: B. During public meetings, RCOC had 10,001, or 97.38%, of children in own home-parent/guardian.

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

	Percentage	All children	Children in own home Parent/Guardian			
Statewide Average	96.65%	162,096	156,660			
RCOC Public Hearing 8/15 /18	97.38%	10,270	10,001	Goal	%	# Attained
RCOC 10/01/18	97.28%	10,313	10,032	10,315	97.28%	-283
Analysis as of Public Hearing	RCOC % of DD population		6.34%	RCOC % of FH population		6.38%

Below Goal



	Total Children Status 1&2	Goal	Children in own home Parent/Guardian	%	Number Attained
Jan-18	10,052	9,800	9,832	97.81%	32
Feb-18	10,041	9,800	9,813	97.73%	13
Mar-18	10,128	9,800	9,889	97.64%	89
Apr-18	10,154	9,800	9,900	97.50%	100
May-18	10,218	9,800	9,959	97.47%	159
Jun-18	10,292	9,800	10,023	97.39%	223
Jul-18	10,311	9,800	10,046	97.43%	246
Aug-18	10,278	9,800	10,009	97.38%	209
Sep-18	10,313	10,100	10,032	97.28%	-68
Oct-18		10,100			
Nov-18		10,100			
Dec-18		10,100			

Progress: C. During public meetings, RCOC had 10,187, or 99.19%, of children in homes.

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

	Percentage	All children	Total Number Children in Homes			
Statewide Average	99.34%	162,096	161,028			
RCOC Public Hearing 8/15 /18	99.19%	10,270	10,187	Goal	%	# Attained
RCOC 10/01/18	99.26%	10,313	10,237	10,315	99.26%	-78
Analysis as of Public Hearing	RCOC % of DD population		6.34%	RCOC % of FH population		6.33%



	Total Children Status 1&2	Goal	Total Number Children in Homes	%	Number Attained
Jan-18	10,052	9,975	9,976	99.24%	1
Feb-18	10,041	9,975	9,964	99.23%	-11
Mar-18	10,128	9,975	10,054	99.27%	79
Apr-18	10,154	9,975	10,076	99.23%	101
May-18	10,218	9,975	10,139	99.23%	164
Jun-18	10,292	9,975	10,210	99.20%	235
Jul-18	10,311	9,975	10,231	99.22%	256
Aug-18	10,278	9,975	10,200	99.24%	225
Sep-18	10,313	10,315	10,237	99.26%	-78
Oct-18		10,315			
Nov-18		10,315			
Dec-18		10,315			

Performance Contract 2018

III. Adults Residing in Home Settings

Planned Activities

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

Objective: Using the Person Centered Thinking (PCT) Individual Program Planning process, Service Coordinators will continue to identify regional center adult persons served 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 persons served are provided opportunities for safety awareness training on a regular and as needed basis.
- RCOC will review and revise services, e.g. respite and family support.
- RCOC will assure that persons served and their caregivers receive complete assessments and have opportunity to ask questions, advocate, and access services. To be evaluated and monitored by an NCI survey of persons served and their caregivers.

Progress: A. During public meetings, RCOC had 92, or 0.84%, of adults residing in Adult FHA.

A. Total number and % of regional center adult caseload residing in an Adult Family Home Agency (FHA).

	Percentage	Total Adults status 2	Adults in FHA			
Statewide Average	0.97%	164,066	1,588			
RCOC Public Hearing 8/15 /18	0.84%	10,964	92	Goal	%	# Attained
RCOC 10/01/18	0.85%	11,068	94	101	0.85%	-7
Analysis as of Public Hearing	RCOC % of DD population 6.68%		RCOC % of FH population 5.79%			

Below
Goal

	Total Adults Status 2	Goal	Adults in FHA	%	Number Attained
Jan-18	10,817	100	94	0.87%	-6
Feb-18	10,836	100	99	0.86%	-7
Mar-18	10,880	100	92	0.85%	-8
Apr-18	10,895	100	88	0.81%	-12
May-18	10,924	100	91	0.83%	-9
Jun-18	10,972	100	92	0.84%	-8
Jul-18	11,006	100	90	0.82%	-10
Aug-18	11,036	100	92	0.83%	-8
Sep-18	10,068	101	94	0.85%	-7
Oct-18		101			
Nov-18		101			
Dec-18		101			

Progress: B. During public meetings, RCOC had 835, or 7.62%, of adults residing in independent living.

Total number and % of regional center adults residing in independent living.

	Percentage	Total Adults status 2	Adults in Independent Living			
Statewide Average	10.56%	164,066	17,325			
RCOC Public Hearing 8/15 /18	7.62%	10,964	835	Goal	%	# Attained
RCOC 10/01/18	7.59%	11,068	840	851	7.59%	-11
Analysis as of Public Hearing	RCOC % of DD population		6.68%	RCOC % of FH population		4.82%

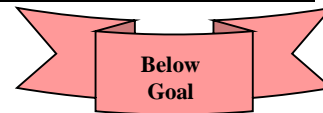


	Total Adults Status 2	Goal	Adults in Independent Living	%	Number Attained
Jan-18	10,817	850	835	7.72%	-15
Feb-18	10,836	850	830	7.66%	-20
Mar-18	10,880	850	839	7.71%	-11
Apr-18	10,895	850	842	7.73%	-8
May-18	10,924	850	835	7.64%	-15
Jun-18	10,972	850	836	7.62%	-14
Jul-18	11,006	850	837	7.60%	-13
Aug-18	11,036	850	841	7.62%	-9
Sep-18	11,068	851	840	7.59%	-11
Oct-18		851			
Nov-18		851			
Dec-18		851			

Progress: C. During public meetings, RCOC had 7,069, or 64.47%, of adults residing in own home-parent.

Total number and % of regional center adults residing in own home-parent.

	Percentage	Total Adults status 2	Adults Residing Own Home - Parent			
Statewide Average	62.93%	164,066	103,243			
RCOC Public Hearing 8/15 /18	60.89%	10,964	6,676	Goal	%	# Attained
RCOC 10/01/18	64.75%	11,068	7,166	7,250	64.75%	-84
Analysis as of Public Hearing	RCOC % of DD population		6.68%	RCOC % of FH population		6.47%



	Total Adults Status 2	Goal	Adults Residing Own Home - Parent	%	Number Attained
Jan-18	10,817	6,985	6,924	64.01%	-61
Feb-18	10,836	6,985	6,947	64.11%	-38
Mar-18	10,880	6,985	6,977	64.13%	-8
Apr-18	10,895	6,985	7,000	64.25%	15
May-18	10,924	6,985	7,028	64.34%	43
Jun-18	10,972	6,985	7,073	64.46%	88
Jul-18	11,006	6,985	7,102	64.53%	117
Aug-18	11,036	6,985	7,138	64.48%	153
Sep-18	11,068	7,250	7,166	64.75%	-84
Oct-18		7,250			
Nov-18		7,250			
Dec-18		7,250			

Progress: D. During public meetings, RCOC had 478, or 4.36%, of adults residing in supported living.

Total number and % of regional center adults residing in supported living.

	Percentage	Total Adults status 2	Adults Residing Supported Living			
Statewide Average	5.45%	164,066	8,940			
RCOC Public Hearing 8/15 /18	4.36%	10,964	478	Goal	%	# Attained
RCOC 10/01/18	4.26%	11,068	471	477	4.26%	-6
Analysis as of Public Hearing	RCOC % of DD population		6.68%	RCOC % of FH population		5.35%

Below

	Total Adults Status 2	Goal	Adults Residing Supported Living	%	Number Attained
Jan-18	10,817	471	471	4.35%	0
Feb-18	10,836	471	472	4.36%	1
Mar-18	10,880	471	474	4.36%	3
Apr-18	10,895	471	474	4.35%	3
May-18	10,924	471	481	4.40%	10
Jun-18	10,972	471	479	4.37%	8
Jul-18	11,006	471	479	4.35%	8
Aug-18	11,036	471	471	4.29%	2
Sep-18	11,068	477	471	4.26%	-6
Oct-18		477			
Nov-18		477			
Dec-18		477			

Progress: E. During public meetings, RCOC had 8,474, or 77.29%, of adults 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 Adults status 2	Total Number Adults in Home Settings			
Statewide Average	79.90%	164,066	131,096			
RCOC Public Hearing 8/15 /18	77.29%	10,964	8,474	Goal	%	# Attained
RCOC 10/01/18	77.44%	11,068	8,571	8,679	77.44%	-108
Analysis as of Public Hearing	RCOC % of DD population		6.68%	RCOC % of FH population		6.46%

	Total Adults Status 2	Goal	Total Number Adults in Home Settings	%	Number Attained
Jan-18	10,817	8,406	8,324	76.95%	-82
Feb-18	10,836	8,406	8,342	76.98%	-64
Mar-18	10,880	8,406	8,382	77.04%	-24
Apr-18	10,895	8,406	8,404	77.14%	-2
May-18	10,924	8,406	8,435	77.22%	29
Jun-18	10,972	8,406	8,480	77.29%	74
Jul-18	11,006	8,406	8,508	77.30%	102
Aug-18	11,036	8,406	8,544	77.42%	138
Sep-18	11,068	8,679	8,571	77.44%	-108
Oct-18		8,406			
Nov-18		8,406			
Dec-18		8,406			

Performance Contract 2018

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

Planned Activities

Statement: RCOC provides for the needs of children with medical issues or challenging behaviors in seven or greater bed facilities for limited time 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 persons served.
- RCOC will adhere to Trailer Bill Language relating to the use of larger facilities to ensure the least restrictive environment is supported.

Progress: A. During public meetings, RCOC had 4, or 0.04%, of children residing in a Community Care Facility (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 residing in a CCF (7+ beds).

	Percentage	Total Children status 1 & 2	Children Residing in a CCF (7+ beds)			
Statewide Average	0.02%	162,096	34			
RCOC Public Hearing 8/15 /18	0.04%	10,270	4	Goal	%	# Attained
RCOC 10/01/18	0.03%	10,313	3	0	0.03%	-3
Analysis as of Public Hearing	RCOC % of DD population		6.34%	RCOC % of FH population		11.76%

**Below
Goal**

	Total Children status 1&2	Goal	Children Residing in a CCF (7+ beds)	%	Number Attained
Jan-18	10,052	0	3	0.03%	-3
Feb-18	10,041	0	2	0.02%	-2
Mar-18	10,128	0	2	0.02%	-2
Apr-18	10,154	0	3	0.03%	-3
May-18	10,218	0	4	0.04%	-4
Jun-18	10,292	0	4	0.04%	-4
Jul-18	10,311	0	4	0.04%	-4
Aug-18	10,278	0	4	0.04%	-4
Sep-18	10,313	0	3	0.03%	-3
Oct-18		0			
Nov-18		0			
Dec-18		0			

Progress: B. During public meetings, RCOC had 2, or 0.02% of children residing in an Immediate Care Facility (CCF)(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 residing in an ICF (7+ beds).

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

	Percentage	Total Children status 1 & 2	Children Residing in an ICF (7+ beds)	Goal	%	# Attained
Statewide Average	0.02%	162,096	34			
RCOC Public Hearing 8/15 /18	0.02%	10,270	2			
RCOC 10/01/18	0.02%	10,313	2	0	0.02%	-2
Analysis as of Public Hearing	RCOC % of DD population		6.34%	RCOC % of FH population		5.88%



	Total Children status 1&2	Goal	Children Residing in a ICF (7+ beds)	%	Number Attained
Jan-18	10,052	0	2	0.02%	-2
Feb-18	10,041	0	2	0.02%	-2
Mar-18	10,128	0	2	0.02%	-2
Apr-18	10,154	0	2	0.02%	-2
May-18	10,218	0	2	0.02%	-2
Jun-18	10,292	0	2	0.02%	-2
Jul-18	10,311	0	2	0.02%	-2
Aug-18	10,278	0	2	0.02%	-2
Sep-18	10,313	0	2	0.02%	-2
Oct-18		0			
Nov-18		0			
Dec-18		0			

Progress: C. During public meetings, RCOC had no children 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 residing in a nursing facility.

Total number and % of regional center adult case load residing in own

	Percentage	Total Children status 1 & 2	Residing in a Nursing Facility (7+ beds)			
Statewide Average	0.00%	162,096	7			
RCOC Public Hearing 8/15 /18	0.00%	10,270	0	Goal	%	# Attained
RCOC 10/01/18	0.00%	10,313	0	0	0.00%	0
Analysis as of Public Hearing	RCOC % of DD population		6.34%	RCOC % of FH population		0.00%

Met Goal



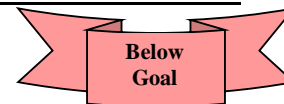
	Total Children status 1&2	Goal	Children Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-18	10,052	0	0	0.00%	0
Feb-18	10,041	0	0	0.00%	0
Mar-18	10,128	0	0	0.00%	0
Apr-18	10,154	0	0	0.00%	0
May-18	10,218	0	0	0.00%	0
Jun-18	10,292	0	0	0.00%	0
Jul-18	10,311	0	0	0.00%	0
Aug-18	10,278	0	0	0.00%	0
Sep-18	10,313	0	0	0.00%	0
Oct-18		0			
Nov-18		0			
Dec-18		0			

Progress: D. During public meetings, RCOC had 3, or 0.03%, of children 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 residing in a facility with 7+ beds (This is a total of sections A, B and C above).

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

	Percentage	Total Children status 1 & 2	Total Children Residing in 7+ bed facilities	Goal	%	# Attained
Statewide Average	0.05%	162,096	75			
RCOC Public Hearing 8/15 /18	0.06%	10,270	6			
RCOC 10/01/18	0.05%	10,313	5	0	0.05%	-5
Analysis as of Public Hearing	RCOC % of DD population		6.34%	RCOC % of FH population		8.00%



	Total Children status 1&2	Goal	Total Children Residing in 7+ bed facilities	%	Number Attained
Jan-18	10,052	0	5	0.05%	-5
Feb-18	10,041	0	4	0.04%	-4
Mar-18	10,128	0	4	0.04%	-4
Apr-18	10,154	0	4	0.05%	-5
May-18	10,218	0	6	0.06%	-6
Jun-18	10,292	0	6	0.06%	-6
Jul-18	10,311	0	6	0.06%	-6
Aug-18	10,278	0	6	0.06%	-6
Sep-18	10,313	0	5	0.05%	-5
Oct-18		0			
Nov-18		0			
Dec-18		0			

Performance Contract 2018

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

Planned Activities

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

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 persons served 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 persons served.
- RCOC will adhere to Trailer Bill Language relating to the use of larger residential facilities to ensure the least restrictive environment is supported.

Progress: A. During public meetings, RCOC had 158, or 1.49%, of adults 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 Community Care Facility (CCF)(7+ beds).

	Percentage	Total Adults status 2	Adults Residing in a CCF (7+ beds)	Goal	%	# Attained
Statewide Average	1.12%	164,066	1,831			
RCOC Public Hearing 8/15 /18	1.41%	10,964	155			
RCOC 10/01/18	1.40%	11,068	156	145	1.40%	-11
Analysis as of Public Hearing	RCOC % of DD population 6.68%		RCOC % of FH population 8.47%			



	Total Adults Status 2	Goal	Adults Residing in a CCF (7+ beds)	%	Number Attained
Jan-18	10,817	149	158	1.46%	-9
Feb-18	10,836	149	156	1.44%	-7
Mar-18	10,880	149	156	1.43%	-7
Apr-18	10,895	149	154	1.41%	-5
May-18	10,924	149	155	1.42%	-6
Jun-18	10,972	149	155	1.41%	-6
Jul-18	11,006	149	155	1.14%	-6
Aug-18	11,036	149	155	1.40%	-6
Sep-18	11,068	145	156	1.40%	-11
Oct-18		145			
Nov-18		145			
Dec-18		145			

Progress: B. During public meetings, RCOC had 80, or 0.73%, of adults residing in an Intermediate Care Facility (ICF)(7+ beds). Placements to 7+ bed facilities are at family request and/or due to specialized services.

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

Statewide Average

RCOC Public Hearing 8/15 /18

RCOC 10/01/18

Analysis as of Public Hearing

Percentage	Total Adults status 2	Adults Residing in a ICF (7+ beds)	Goal	%	# Attained
0.61%	164,066	1,008			
0.73%	10,964	80			
0.72%	11,068	80	55	0.72%	-25
RCOC % of DD population		6.68%	RCOC % of FH population		7.94%

**Below
Goal**

	Total Adults Status 2	Goal	Adults Residing in a ICF (7+ beds)	%	Number Attained
Jan-18	10,817	88	80	0.74%	8
Feb-18	10,836	88	81	0.75%	7
Mar-18	10,880	88	81	0.74%	7
Apr-18	10,895	88	81	0.74%	7
May-18	10,924	88	81	0.74%	7
Jun-18	10,972	88	80	0.73%	8
Jul-18	11,006	88	81	0.74%	7
Aug-18	11,036	88	80	0.72%	8
Sep-18	11,068	55	80	0.72%	-25
Oct-18		88			
Nov-18		88			
Dec-18		88			

Progress: C. During public meetings, RCOC had 78, or .71%, of adults 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 Adults status 2	Adults Residing in a Nursing Facility (7+ beds)	Goal	%	# Attained
Statewide Average	0.66%	164,066	1,081			
RCOC Public Hearing 8/15 /18	0.78%	10,964	85			
RCOC 10/01/18	0.77%	11,068	85	80	0.77%	-5
Analysis as of Public Hearing	RCOC % of DD population		6.68%	RCOC % of FH population		7.86%



	Total Adults Status 2	Goal	Adults Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-18	10,817	83	92	0.85%	-9
Feb-18	10,836	83	85	0.78%	-2
Mar-18	10,880	83	84	0.77%	-1
Apr-18	10,895	83	81	0.74%	2
May-18	10,924	83	80	0.73%	3
Jun-18	10,972	83	78	0.71%	5
Jul-18	11,006	83	80	0.73%	3
Aug-18	11,036	83	82	0.74%	1
Sep-18	11,068	80	85	0.77%	-5
Oct-18		80			
Nov-18		80			
Dec-18		80			

Progress: D. During public meetings, RCOC had 337, or 3.19%, of adults 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 adults residing in a facility with 7+ beds
(This is a total of sections A, B and C above).

	Percentage	Total Adults status 2	Total Adults Residing in 7+ bed facilities			
Statewide Average	2.39%	164,066	3,920			
RCOC Public Hearing 8/15 /18	2.85%	10,964	313	Goal	%	# Attained
RCOC 10/01/18	2.90%	11,068	321	280	2.90%	-41
Analysis as of Public Hearing	RCOC % of DD population 6.68%		RCOC % of FH population 7.98%			

Below

	Total Adults Status 2	Goal	Total Adults Residing in 7+ bed facilities	%	Number Attained
Jan-18	10,817	320	330	3.05%	-10
Feb-18	10,836	320	322	2.97%	-2
Mar-18	10,880	320	321	2.95%	-1
Apr-18	10,895	320	316	2.90%	4
May-18	10,924	320	316	2.89%	4
Jun-18	10,972	320	313	2.85%	7
Jul-18	11,006	320	316	2.87%	4
Aug-18	11,036	320	317	2.87%	3
Sep-18	11,068	280	321	2.90%	-41
Oct-18		320			
Nov-18		320			
Dec-18		320			

Performance Contract 2018

VI. Intake Duration

Planned Activities

Statement: Management and Service Coordinator staff receive a monthly report on the duration of individuals ages 3 and over who 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 persons served 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 221, or 99.10%, of regional center individuals over age 3 with <=120 days.

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

Statewide Average
RCOC Public Hearing 8/15/18
RCOC 10/01/18

Percentage	Total # Age 3 or Over	Total # Over Age 3 with <=120 days	Goal	% Attained
99.12%	6,028	5,975		
99.10%	223	221	Goal	% Attained
98.78%	242	237	100.00%	97.93%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with <=120 days	% Attained
Jan-18	178	100.00%	178	100.00%
Feb-18	179	100.00%	179	100.00%
Mar-18	196	100.00%	196	100.00%
Apr-18	226	100.00%	225	99.56%
May-18	225	100.00%	223	99.11%
Jun-18	224	100.00%	224	99.11%
Jul-18	228	100.00%	227	99.56%
Aug-18	245	100.00%	242	98.78%
Sep-18	242	100.00%	237	97.93%
Oct-18		100.00%		
Nov-18		100.00%		
Dec-18		100.00%		

Progress: B. During public meetings, RCOC had 2, or 0.90%, 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.

Statewide Average

RCOC Public Hearing 8/15/18

RCOC 10/01/18

Percentage	Total Number Individuals Age 3 or Over	Total Number Individuals Over Age 3 with 121-240 days	Goal	% Attained
0.76%	6,028	46		
0.90%	223	2		
2.07%	242	5	0.00%	2.07%

Below
Goal

	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with 121-240 days	%
Jan-18	178	0.00%	0	0.00%
Feb-18	179	0.00%	0	0.00%
Mar-18	196	0.00%	0	0.00%
Apr-18	226	0.00%	1	0.44%
May-18	225	0.00%	1	0.44%
Jun-18	224	0.00%	2	0.89%
Jul-18	228	0.00%	1	0.44%
Aug-18	245	0.00%	3	1.22%
Sep-18	242	0.00%	5	2.07%
Oct-18		0.00%		
Nov-18		0.00%		
Dec-18		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.

Statewide Average

RCOC Public Hearing 8/15/18

RCOC 10/01/18

Percentage	Total Number Individuals Age 3 or Over	Total Number Individuals Over Age 3 Over 240 days		
0.12%	6,028	7		
0.00%	223	0	Goal	%
0.00%	242	0	0.00%	0.00%

Met Goal



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 Over 240 days	% Attained
Jan-18	178	0.00%	0	0.00%
Feb-18	179	0.00%	0	0.00%
Mar-18	196	0.00%	0	0.00%
Apr-18	226	0.00%	0	0.00%
May-18	225	0.00%	1	0.44%
Jun-18	224	0.00%	0	0.00%
Jul-18	228	0.00%	0	0.00%
Aug-18	245	0.00%	0	0.00%
Sep-18	242	0.00%	0	0.00%
Oct-18		0.00%		
Nov-18		0.00%		
Dec-18		0.00%		

Performance Contract 2018

VII. National Core Indicators (NCI) Employment

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 persons served 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. RCOC will make incentive payments to vendors who assist individuals obtain competitive, integrated employment and maintain those positions over time.

Progress: A. Results from the National Core Indicator Surveys conducted in FY 2011-2012, 46% of the people interviewed who did not have a job in the community, reported wanting one. In FY 2014-2015, 47% of those interviewed indicating a desire for work in the community.

A. Percentage of adults who reported having integrated employment as a goal in their IPPs.

	Percentage	
RCOC FY 2010-11	40%	
RCOC FY 2011-12	46%	Goal
RCOC FY 2014-15*	47%	50%

*NOTE: Surveys are being conducted again in FY 2017-18



Progress: B. RCOC will authorize incentive payments to service providers who assist individuals obtaining competitive integrated employment. RCOC will make initial payments based upon hire date, and additional payments will be made upon subsequent milestones related to length of employment.

B. Total number of \$1,000, \$1,250, and \$1,500 incentive payments made within the fiscal year.

Fiscal Year	\$1,000	\$1,250	\$1,500
2016-2017	95	38	0
2017-2018			

*NOTE: Incentive payments started in FY 2016-17, partial year data



Progress: C. RCOC will work with local employment agencies and businesses to assist individuals obtain desired hours of employment on a weekly/monthly basis. Individuals will review this during the initial hiring phase when incentive payments are being sought.

C. Average wages and hours worked for adults engaged in competitive, integrated employment when incentive payments have been made on their behalf.

Fiscal Year	Hours Week	Wage
2016-2017	17	\$10.77
2017-2018		

Performance Contract 2018

VIII. Employment Development Department (EDD) Employment

Planned Activities

Statement: RCOC service coordinators and vendors are implementing RCOC's Employment First Policy of integrated competitive employment as the first option for people with intellectual disabilities.

Objective: RCOC service coordinators will implement the Employment First Policy by providing persons served and families information on job preparation and procurement at annual Individual Transition Meetings through the school and Individual Program Planning meetings through RCOC. RCOC will continue to work on development of new programs that will emphasize a focus on competitive employment as a primary outcome. RCOC will work with service providers and employers to move individuals participating in Paid Internship Program (PIP) into Competitive Integrated Employment (CIE).

Progress: A. Results from the Employment Development Department (EDD) conducted in 2016 indicate that 2,085 persons served ages 16-64 had earned income. In 2017, 2,058 persons served ages 16-64 had earned income.

A. Number of persons served ages 16-64 with earned income.

	RCOC	Statewide Avg.
2013	1,207	839
2014	1,754	906
2015	2,175	962
2016	2,085	1,033
2017	2,058	1,108

Progress: B. Results from the Employment Development Department in 2016 indicate that 19.8% of persons served ages 16-64 reported having earned income. In 2017, the percentage of persons served ages 16-64 reporting earned income was 18.6%.

B. Percentage of people ages 16-64 reporting earned income.

	RCOC	Statewide Avg.
2013	12.80%	12%
2014	17.90%	13.10%
2015	27%	16%
2016	19.80%	14.20%
2017	18.60%	14.50%

Progress: C. Results from the Employment Development Department in 2016 indicate that average annual wage for persons served ages 16-64 was \$5,975. In 2017, the average annual wage for persons served ages 16-64 was \$7,385.

C. Annual earnings of age group 16-64 as compared with all persons served with disabilities in California.

	RCOC	Statewide Avg.
2013	\$6,691	\$6,697
2014	\$6,086	\$7,044
2015	\$5,681	\$7,248
2016	\$5,975	\$7,631
2017	\$7,385	\$8,698



Progress: D. In FY 2016-2017, RCOC began working with service providers to place individuals into Paid Internship Program (PIP) opportunities to help develop employment interests, and lead into opportunities for competitive integrated employment. The PIP was initiated in FY 2016-2017. RCOC currently has 5 individuals within a paid internship.

D. Number of adults placed in competitive, integrated employment following participation in a Paid Internship Program.

	Total
2016-2017	0
2017-2018	

*Note: Individuals have participated in PIP for less than 12 months total.



Progress: E. RCOC will obtain data related to the overall percentage of adults participating in a paid internship who transition into a competitive employment setting. This program began in FY 2016-17 and has been in place less than 12 months total.

E. Percentage of adults who transitioned from internship to competitive employment.

	% of Adults
2016-2017	NA
2017-2018	

*Note: PIP has been in place less than 12 months, no transitions have currently been made.



Progress: F. RCOC will monitor the hourly/salaried wages and hours worked per week for persons served who participate in a paid internship. Hours and wages will be competitively based on the job type and market rate for each setting.

F. Average hourly wage and weekly hours worked in Paid Internship Program.

	Hours Wk.	Wage
2016-2017	18	\$10.13
2017-2018		

Performance Contract 2018

IX. Reducing Disparities and Improving Equity in Purchase of Service Expenditures.

Statement: RCOC works to ensure that support services are flexible and innovative in meeting the family's needs as they evolve over time; are tailored to the preferences of the individual family; and are consistent with their cultural norms and customs.

Objective: RCOC service coordinators will work with persons served and families to develop IPP goals and objectives to address their choices of living situations. RCOC will work to develop services in the community that meet the cultural and background preferences of persons served and family members to ensure the availability of resources. RCOC will continue outreach efforts within our community to overcome potential cultural barriers when identifying appropriate services. RCOC is working to expand family outreach and support options by developing new resources within our community. RCOC will continue to develop community programs that allow for a range of options for persons served when selecting those services. RCOC service coordinators will receive initial and ongoing training related to IPP development that ensures meaningful participation of persons served and their families and will focus on Person Centered Thinking skills and outcomes. RCOC will be working to simplify and translate important documents. RCOC continues to outreach with outside agencies such as parent support group leaders, family support groups, social services agencies, faith-based organizations and educational agencies, as well as providing information via e-mail in the primary language of the family.

Progress: A. Review of fiscal year 2015-16 purchase of service data and client master file (CMF). Initial data generation will be compared to subsequent FY information.

Progress: A. Review of fiscal year 2016-17 purchase of service data and client master file (CMF). Initial data generation will be compared to subsequent FY information.

A. Percent of total annual purchase of service expenditures by individual's ethnicity and age: Birth to age 2; Age 3-21; 22 and older.

Birth to 2 Years Old

Ethnicity	Total Persons	Percentage of Expenditures	Total Authorized	Utilized
American Indian or Alaska N	4	0.1%	\$34,936	53.6%
Asian	917	22.4%	\$8,493,919	66.2%
Black/African American	68	1.4%	\$514,483	62.6%
Hispanic	2,043	33.9%	\$12,872,918	61.1%
Native Hawaiian or Other P	2	0.0%	\$5,111	70.4%
Other Ethnicity or Race / Mu	1,170	23.3%	\$8,822,287	60.3%
White	1,048	18.9%	\$7,176,339	59.7%
Totals	5,252	100.0%	\$37,919,994	61.8%

Age 3 Years to 21 Years

Ethnicity	Total Persons	Percentage of Expenditures	Total Authorized	Utilized
American Indian or Alaska N	15	0.2%	\$196,822	78.5%
Asian	1,630	17.8%	\$17,945,068	65.2%
Black/African American	167	2.7%	\$2,760,959	75.5%
Hispanic	3,561	31.8%	\$32,082,238	64.2%
Native Hawaiian or Other P	6	0.0%	\$12,865	27.2%
Other Ethnicity or Race / Mu	1,608	17.8%	\$17,994,675	61.6%
White	2,230	29.7%	\$30,053,352	69.2%
Totals	9,217	100.0%	\$101,045,979	65.7%

Age 22 Years and Older

Ethnicity	Total Persons	Percentage of Expenditures	Total Authorized	Utilized
American Indian or Alaska N	15	0.3%	\$725,240	89.3%
Asian	1,146	10.8%	\$31,038,803	82.4%
Black/African American	210	2.8%	\$7,963,856	79.2%
Hispanic	2,130	17.9%	\$51,260,419	81.6%
Native Hawaiian or Other P	5	0.1%	\$188,232	79.3%
Other Ethnicity or Race / Mu	701	7.6%	\$21,688,093	83.9%
White	4,450	60.6%	\$173,372,959	85.1%
Totals	8,657	100.0%	\$286,237,603	83.9%

Progress: B. Review of fiscal year 2016-17 purchase of service data and regional center caseload data. Initial data generation will be compared to subsequent FY information.

B. Number of individuals receiving only case management services by age and ethnicity: Birth to age 2; Age 3-21; 22 and older.

Birth to 2 Years Old

Ethnicity	Total Eligible	Case Management	Percent No Services
American Indian or Alaska Native	4	0	0.0%
Asian	917	27	2.9%
Black/African American	68	0	0.0%
Hispanic	2,043	105	5.1%
Native Hawaiian or Other Pacific Islander	2	1	50.0%
Other Ethnicity or Race / Multi-Cultural	1,170	40	3.4%
White	1,048	50	4.8%
Totals	5,252	223	4.2%

Age 3 Years to 21 Years

Ethnicity	Total Eligible	Case Management	Percent No Services
American Indian or Alaska Native	15	4	26.7%
Asian	1,630	373	22.9%
Black/African American	167	49	29.3%
Hispanic	3,561	1,324	37.2%
Native Hawaiian or Other Pacific Islander	6	2	33.3%
Other Ethnicity or Race / Multi-Cultural	1,608	426	26.5%
White	2,230	542	24.3%
Totals	9,217	2,720	29.5%

Age 22 Years and Older

Ethnicity	Total Eligible	Case Management	Percent No Services
American Indian or Alaska Native	15	2	13.3%
Asian	1,146	218	19.0%
Black/African American	210	37	17.6%
Hispanic	2,130	474	22.3%
Native Hawaiian or Other Pacific Islander	5	0	0.0%
Other Ethnicity or Race / Multi-Cultural	701	125	17.8%
White	4,450	524	11.8%
Totals	8,657	1,380	15.9%

Progress: B. Review of fiscal year 2016-17 purchase of service data and Client Master File. Initial data generation will be compared to subsequent FY information.

C. Per capita purchase of service expenditures by individual's primary language for all ages (30 or more people with language).

Primary Language	Total People	POS Authorized Per Capita	Percentage Utilized
English	17,389	\$20,224	78.30%
Spanish	4,286	\$11,926	72.90%
Mandarin Chinese	58	\$15,219	70.10%
Vietnamese	1,069	\$13,037	75.00%
Korean	119	\$25,681	79.00%
Tagalog	31	\$24,582	76.20%
Arabic	37	\$12,828	68.70%

**Regional Center of Orange County
Board Recruitment and Training Committee
September 10, 2018
Teleconference Minutes**

Committee Members Present: Alan Martin, Chair
Cristina Alba
Sylvia Delgado
Hilda Mendez

RCOC Staff Present: Larry Landauer, Executive Director
Jerrod Bonner, Information Technology Director
Patrick Ruppe, Director of Services and Supports
Stacy Wong, Director of Human Services (*arrived at 6:02 p.m.*)

Mr. Alan Martin called the teleconference meeting to order at 6:00 p.m.

I. Community Forum

No community members were present at the meeting.

II. Board Recruitment

A. Review Board Members' Terms of Office and Upcoming Turnover

Mr. Alan Martin reviewed the current Terms of Office and the Committee discussed upcoming turnover. Mr. Martin announced that Mr. Peter Kuo will complete his seven-year term on July 11, 2019.

B. Discuss Recruitment Needs

The Committee discussed recruitment efforts and confirmed that the Board continues to be in compliance with the composition requirements of the Lanterman Act. Much discussion ensued about recruitment efforts by individual Board members and the possibility of acquiring new Board applicants.

The Committee reviewed and discussed Ms. Meena Chockalingam's appointment to RCOC's Board of Directors for a one-year term commencing January 1, 2019 and ending December 31, 2019.

M/S/C to recommend to the Executive Committee to recommend the appointment of Meena Chockalingam to RCOC's Board of Directors for a one-year term commencing January 1, 2019 and ending December 31, 2019.

***Board Recruitment and Training Committee Minutes
September 10, 2018***

The Committee reviewed and discussed Mr. Fernando Peña's appointment to RCOC's Board of Directors for a one-year term commencing January 1, 2019 and ending December 31, 2019.

M/S/C to recommend to the Executive Committee to recommend the appointment of Fernando Peña to RCOC's Board of Directors for a one-year term commencing January 1, 2019 and ending December 31, 2019.

C. Discuss Board Applicant – Ms. Mine Hagen

Mr. Martin discussed the results of an interview with Ms. Mine Hagen as a potential Board applicant. The Committee agreed that Ms. Hagen will be interviewed in October for a possible recommendation to the Executive Committee for an appointment to RCOC's Board of Directors for a one-year term commencing January 1, 2019 and ending December 31, 2019.

III. Board Development and Training

A. Discuss Board Training Schedule and Topics for Fiscal Year 2018-19

Mr. Martin reminded the Committee that the upcoming Board training on Thursday, October 4, 2018, will be on RCOC's Virtual Chart system. The Committee discussed potential topics for trainings and expressed interest in a presentation on California's legislative process.

Mr. Martin adjourned the meeting at 6:21 p.m.

Recorder: Sandra Lomeli

**Regional Center of Orange County
Board Recruitment and Training Committee
October 8, 2018
Teleconference Minutes**

Committee Members Present: Alan Martin, Chair
Sylvia Delgado
Hilda Mendez

Committee Members Absent: Cristina Alba

RCOC Staff Present: Larry Landauer, Executive Director
Christina Petteruto, General Counsel

Mr. Alan Martin called the teleconference meeting to order at 5:01 p.m.

I. Community Forum

No community members were present at the meeting.

II. Board Recruitment

A. Review Board Members' Terms of Office and Upcoming Turnover

Mr. Alan Martin reviewed the current Terms of Office and the Committee discussed upcoming turnover.

B. Discuss Recruitment Needs

The Committee discussed recruitment efforts and confirmed that the Board continues to be in compliance with the composition requirements of the Lanterman Act. Much discussion ensued about recruitment efforts by individual Board members and the possibility of acquiring new Board applicants.

C. Discuss Board Applicant – Ms. Mine Hagen

Mr. Martin reminded the Committee that Ms. Hagen will be interviewed on October 24, 2018, for a possible appointment to RCOC's Board of Directors for a one-year term commencing January 1, 2019 and ending December 31, 2019.

***Board Recruitment and Training Committee Minutes
October 8, 2018***

III. Board Development and Training

A. Discuss Board Training Schedule and Topics for Fiscal Year 2018-19

The Committee discussed potential topics and agreed that the next Board training would be on California's legislative process. The training is scheduled for Thursday, February 2, 2019.

Mr. Martin adjourned the meeting at 5:08 p.m.

Recorder: Sandra Lomeli

**Regional Center of Orange County
Board Recruitment and Training Committee
October 24, 2018
Minutes**

Committee Members Present: Cristina Alba
Sylvia Delgado
Hilda Mendez

Committee Members Absent: Alan Martin, Chair

Board Member Present: Clifford Amsden

RCOC Staff Present: Larry Landauer, Executive Director

In Mr. Alan Martin's absence, Mr. Clifford Amsden called the meeting to order at 1:36 p.m.

I. Board Recruitment

A. Discuss Board Applicant Interview

A Board applicant was interviewed on October 24, 2018. The Committee discussed the applicant within the context of the Board's current composition and needs and recommends the applicant for Board membership.

M/S/C to recommend appointment of Mine Hagen to RCOC's Board of Directors for a one-year term commencing January 1, 2019 and ending December 31, 2019. Recommendation will be made at the Board of Directors' meeting on November 1, 2018.

II. Community Form

No community members were present at the meeting.

Mr. Amsden adjourned the meeting at 1:38 p.m.

Recorder: Sandra Lomeli

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: November 1, 2018

TO: RCOC Board of Directors

FROM: Alan Martin, Chair
Board Recruitment and Training Committee

ACTION	X
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	

SUBJECT: **Approval of Board Membership for Meena Chockalingam Bedekar for New One-Year Term Commencing January 1, 2019 and Ending December 31, 2019**

BACKGROUND:

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

REASON FOR CURRENT ITEM:

RCOC received an application for Board Membership from Ms. Meena Chockalingam Bedekar (see attached). The Committee has reviewed Ms. Chockalingam Bedekar's application and completed an interview with Ms. Chockalingam Bedekar. The committee feels that Ms. Chockalingam Bedekar's membership will be beneficial to RCOC's constituents and be in compliance with the balance, diversity and expertise requirements set forth in the Lanterman Act.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

That the Board approve Board membership for Meena Chockalingam Bedekar for new one-year term commencing January 1, 2019 and ending December 31, 2019.

Regional Center of Orange County

P.O. Box 22010

Santa Ana, CA 92702-2010

Board Member Application

Date: 10/02/2018

Name: Meena Chockalingam Bedekar

Home Phone: [REDACTED]

Home Address: [REDACTED]

City: [REDACTED]

Zip: [REDACTED]

Occupation: Project Manager

Employer: Capital Group of Companies

Work Phone: [REDACTED]

Email Address: [REDACTED]

How did you develop your interest in or knowledge of developmental disabilities? Describe your employment, education or other activities which demonstrate your interest or knowledge.

I have a 14 year old son with developmental delay (Angelman Syndrome). With him we got introduced to the world of disabilities. In 2006 I completed a formal Partners in Policy Making training program. Served in RCOC Board from 2010-2017. Serving in the City of Irvine, Disability Advisory Board (IRDAB) since 2011-Present.

Please describe your current or past membership in community and/or professional organizations.

Angelman Syndrome Foundation: My husband and I organize the LA area, yearly walk-a-thon for the Angelman community since 2012.

Jeena: Non-profit parent support group for Asian Indian parents with special needs

Please describe your current or past membership and offices (if any) held on other boards.

RCOC Board - 2011-2017

IRDAB Board - 2012-Present; Vice Chair 2017-Present

Jeena Board - 2016 - Present

Please describe your hobbies and interests.

Reading and Walking

Do you have any of the following special skills? If so, please check and describe more fully below.

- | | | |
|---|---|--|
| <input checked="" type="checkbox"/> Business/Management | <input type="checkbox"/> Financial Analysis | <input type="checkbox"/> Legal |
| <input type="checkbox"/> Marketing/Public Relations | <input type="checkbox"/> Political Activism | <input checked="" type="checkbox"/> Other: |

I have been a Project Manager for the past 4 years and have a fair amount of knowledge and experience in Project Management
I hold a degree in Business Management

Other: I have worked extensively in Information Technology for over 15 years and have good experience in that space

Are you currently employed by an organization providing services to people with developmental disabilities? ☐ Yes ☒ No If yes, please explain:

Are you a member of the governing board of any organization providing service to people with developmental disabilities? ☒ Yes ☐ No If yes, please explain:

IRDAB - Advisory board for the Irvine City on behalf of the residents with disabilities

Are you a: (Please check one)

- ☐ Person with a developmental disability
- ☒ Parent or family member of a person with a developmental disability
- ☐ Representative of the general public

Ethnic Background (optional):

- | | | |
|---|---|--|
| <input type="checkbox"/> African-American | <input type="checkbox"/> Asian/Pacific Islander | <input type="checkbox"/> Caucasian |
| <input type="checkbox"/> Hispanic | <input type="checkbox"/> Native American/Indian | <input checked="" type="checkbox"/> Other (please specify: <u>Asian Indian</u>) |

If you are a person with a developmental disability or the parent or family member of a person with a developmental disability, please indicate the type of disability (e.g., intellectual disability, autism, cerebral palsy, epilepsy or other).

Intellectual Disability (Angelman Syndrome)

Please provide the following information for two people who know you well and can provide a personal and/or professional reference.

Name: [REDACTED] Relationship: [REDACTED]

Complete Address: [REDACTED]

Phone Number: [REDACTED] Best Time to Call: [REDACTED]

Name: [REDACTED] Relationship: [REDACTED]

Complete Address: [REDACTED]

Phone Number: [REDACTED] Best Time to Call: [REDACTED]

- ☒ After reviewing the Board Service Roles and Responsibilities Sheet, I understand what my duties would be as an RCOC Board Member.
- ☒ I am willing to serve and have attached a statement saying why I wish to serve on the RCOC Board of Directors and why I believe I am qualified.
- ☒ After reviewing the RCOC Conflict of Interest Governance Policy and the Title 17 Conflict of Interest Standards and Procedures, I assert that I do not have a potential conflict of interest.

Signature: *Meena*

Date: 10/2/18

Please return completed form to: Executive Office
Regional Center of Orange County
P.O. Box 22010
Santa Ana, CA 92702-2010

If you have questions, please call: 714-796-5205

Regional Center of Orange County Board Member Roles and Responsibilities Information Sheet

Roles

The primary role of an RCOC Board Member is to (1) contribute to the defining of the organization's mission and governing the fulfillment of that mission, and (2) to carry out the functions of the office of board member and/or officer as stated in the bylaws.

The RCOC Board of Directors has adopted the Carver Model of governance. Therefore, the role of an RCOC Board member is to focus on the development of broad policies that govern the implementation of institutional plans and purposes. This role is separate and distinct from the role of the Executive Director, who determines the means of implementation. A document explaining the underlying principles of the Carver Model will be sent to Board applicants upon receipt of their application.

Responsibilities

1. Attend all meetings of the board and committees on which the member serves.
2. Be prepared to discuss the issues and business to be addressed at scheduled meetings, having read the agenda and all background information.
3. Work with and respect the opinions of others who serve on the board, and to leave personal prejudices out of all board discussions.
4. Act for the good of the RCOC and represent the interests of the people served by RCOC.
5. Represent the RCOC in a positive and supportive manner at all times.
6. Observe the parliamentary procedures and display courteous conduct in all board, committee and task force meetings.
7. Refrain from intruding on administrative and/or operational issues that are the responsibility of management except to monitor results.
8. Avoid conflicts of interest between the board member position and one's personal life. This includes using the board member position for the advantage of family, friends and business associates. If such a conflict does arise, declare that conflict before the board and refrain from voting on matters in which there is a conflict.
9. Support in a positive manner all actions taken by the board of directors even when in a minority position on such actions.
10. Participate in (1) any scheduled strategic planning or other retreats, (2) board self-evaluation processes, and (3) board development activities that enhance board member skills.
11. Keep confidential information confidential.
12. Never exercise authority as a board member except when acting in a meeting with the full board or as delegated by the board.

Personal Statement

**Please describe why you wish to serve on the RCOC Board of Directors
and why you believe you are qualified**

My journey with the developmentally disabled started with the birth of our son (14years ago). From the beginning I've been fortunate to be supported by other parents, friends, care providing agencies and providers. RCOC has been the foundation of our support system. So I choose to give my time back to RCOC and assist/add value in any way possible to the betterment of the people we serve.

Being part of the Asian Indian Parent support group will allow me to bring grass roots information and strengthen partnership between RCOC and Asian Indian community.

Having served in the RCOC board before, my learning curve is minimal. This will allow me to start contributing early on.

Thank you!

Signature

Meena

Date

10/2/18

Conflict of Interest Information

We would like to identify any potential conflicts of interests before you complete the application process.

Are you or a family member a director, officer, owner, partner, employee, or shareholder of an organization that is a regional center provider? No

Family member includes all of the following:

your spouse,
domestic partner,
parents,
stepparents,
grandparents,
siblings,
stepsiblings,
children,
stepchildren,
grandchildren,
parent-in-laws,
brother-in-laws,
sister-in-laws,
son-in-laws and
daughter-in-laws.

You may search a list of organizations that are regional center providers at:

<http://www.rcocdd.com/consumers/resources/> or, you may provide the organization's name and RCOC will notify you if the organization is a regional center provider.

If the answer is yes, you have a potential conflict of interest.

If you have a potential conflict of interest, please call RCOC's Executive Office at 714-796-5205 and we will let you know if you should proceed with the application.

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: November 1, 2018

TO: RCOC Board of Directors

FROM: Alan Martin, Chair
Board Recruitment and Training Committee

ACTION	X
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	

SUBJECT: **Approval of Board Membership for Fernando Peña for New One-Year Term Commencing January 1, 2019 and Ending December 31, 2019**

BACKGROUND:

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

REASON FOR CURRENT ITEM:

RCOC received an application for Board Membership from Mr. Fernando Peña (see attached). The Committee has reviewed Mr. Peña's application and completed an interview with Mr. Peña. The committee feels that Mr. Peña's membership will be beneficial to RCOC's constituents and be in compliance with the balance, diversity and expertise requirements set forth in the Lanterman Act.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

That the Board approve Board membership for Fernando Peña for new one-year term commencing January 1, 2019 and ending December 31, 2019.

Regional Center of Orange County

P.O. Box 22010

Santa Ana, CA 92702-2010

Board Member Application

Date: 6/6/18

Name: Fernando Peña

Home Phone: [REDACTED]

Home Address: [REDACTED]

City: [REDACTED]

Zip: [REDACTED]

Occupation: _____

Employer: _____

Work Phone: _____

Email Address: [REDACTED]

How did you develop your interest in or knowledge of developmental disabilities? Describe your employment, education or other activities which demonstrate your interest or knowledge.

I developed interest

Please describe your current or past membership in community and/or professional organizations.

ABG - Adult day Programs - I attend Regional center and we call SC to come to meetings and they talk about different programs for consumers that's the way I learn about day programs which help consumers.

Please describe your current or past membership and offices (if any) held on other boards.

Please describe your hobbies and interests.

I collect toy cars, play video games and watch my favorite shows on TV.

Do you have any of the following special skills? If so, please check and describe more fully below.

☐ Business/Management
Marketing/Public Relations

☐ Financial Analysis
☐ Political Activism

☐ Legal

☐ Other: _____

☐

None

Are you currently employed by an organization providing services to people with developmental disabilities?

☐ Yes

☒ No

If yes, please explain:

Are you a member of the governing board of any organization providing service to people with developmental disabilities? ☐ Yes ☒ No If yes, please explain:

Are you a: (Please check one)

☒

Person with a developmental disability

☐

Parent or family member of a person with a developmental disability

☐

Representative of the general public

Ethnic Background (optional):

☐

African-American

☐

Asian/Pacific Islander

☐

Caucasian

☒

Hispanic

☐

Native American/Indian

☐

Other (please specify:)

If you are a person with a developmental disability or the parent or family member of a person with a developmental disability, please indicate the type of disability (e.g., intellectual disability, autism, cerebral palsy, epilepsy or other).

mild intellectual disability,
cerebral palsy

Please provide the following information for two people who know you well and can provide a personal and/or professional reference.

Name: [REDACTED] Relationship: [REDACTED]
Complete Address: [REDACTED]
Phone Number: [REDACTED] Best Time to Call: [REDACTED]
Name: [REDACTED] Relationship: [REDACTED]
Complete Address: [REDACTED]
Phone Number: [REDACTED] Best Time to Call: [REDACTED]

- ☒ After reviewing the Board Service Roles and Responsibilities Sheet, I understand what my duties would be as an RCOC Board Member.
- ☒ I am willing to serve and have attached a statement saying why I wish to serve on the RCOC Board of Directors and why I believe I am qualified.
- ☐ After reviewing the RCOC Conflict of Interest Governance Policy and the Title 17 Conflict of Interest Standards and Procedures, I assert that I do not have a potential conflict of interest.

Signature: Fernando Peña Date: 8-27-18

Please return completed form to: Executive Office
Regional Center of Orange County
P.O. Box 22010
Santa Ana, CA 92702-2010

If you have questions, please call: 714-796-5206

Personal Statement

Please describe why you wish to serve on the RCOC Board of Directors
and why you believe you are qualified

This will be a learning experience for
me to serve on the Board. I would like to
serve on the Board also to serve as an advocate
for consumers. I believe I am qualified to serve on
the Board because I attend regular ARG meetings and
I am very familiar with the RCOC's mission. I am also
a very trustworthy and a confidential person.

Fernando Pena

Signature

Date

6-27-18

Regional Center of Orange County Board Member Roles and Responsibilities Information Sheet

Roles

The primary role of an RCOC Board Member is to (1) contribute to the defining of the organization's mission and governing the fulfillment of that mission, and (2) to carry out the functions of the office of a board member and/or officer as stated in the Bylaws.


The RCOC Board of Directors has adopted the Carver Model of governance. Therefore, the role of an RCOC Board member is to focus on the development of broad policies that govern the implementation of institutional plans and purposes. This role is separate and distinct from the role of the Executive Director, who determines the means of implementation. A document explaining the underlying principles of the Carver Model will be sent to Board applicants upon receipt of their application.

Responsibilities

1. Attend all meetings of the board and committees on which the member serves.
2. Be prepared to discuss the issues and business to be addressed at scheduled meetings, having read the agenda and all background information.
3. Work with and respect the opinions of others who serve on the board, and to leave personal prejudices out of all board discussions.
4. Act for the good of RCOC and represent the interests of the people served by RCOC.
5. Represent RCOC in a positive and supportive manner at all times.
6. Observe the parliamentary procedures and display courteous conduct in all board, committee and task force meetings.
7. Refrain from intruding on administrative and/or operational issues that are the responsibility of management except to monitor results.
8. Avoid conflicts of interest between the board member position and one's personal life. This includes using the board member position for the advantage of family, friends and business associates. If such a conflict does arise, declare that conflict before the board and refrain from voting on matters in which there is a conflict.
9. Support in a positive manner all actions taken by the board of directors even when in a minority position on such actions.
10. Participate in (1) any scheduled strategic planning or other retreats, (2) board self-evaluation processes, and (3) board development activities that enhance board member skills.
11. Keep confidential information confidential.
12. Never exercise authority as a board member except when acting in a meeting with the full board or as delegated by the board.

Conflict of Interest Information

We would like to identify any potential conflicts of interests before you complete the application process.

Are you or a family member a director, officer, owner, partner, employee, or shareholder of an organization that is a regional center provider? 

Family member includes all of the following:

your spouse,
domestic partner,
parents,
stepparents,
grandparents,
siblings,
stepsiblings,
children,
stepchildren,
grandchildren,
parent-in-laws,
brother-in-laws,
sister-in-laws,
son-in-laws and
daughter-in-laws.

You may search a list of organizations that are regional center providers at: <http://www.rcocdd.com/consumers/resources/> or, you may provide the organization's name and RCOC will notify you if the organization is a regional center provider.

If the answer is yes, you have a potential conflict of interest.

If you have a potential conflict of interest, please call RCOC's Executive Office at 714-796-5206 and we will let you know if you should proceed with the application.

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: November 1, 2018

TO: RCOC Board of Directors

FROM: Alan Martin, Chair
Board Recruitment and Training Committee

ACTION	X
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	

SUBJECT: **Approval of Board Membership for Mine Hagen for New One-Year Term Commencing January 1, 2019 and Ending December 31, 2019**

BACKGROUND:

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

REASON FOR CURRENT ITEM:

RCOC received an application for Board Membership from Ms. Mine Hagen (see attached). The Committee has reviewed Ms. Hagen's application and completed an interview with Ms. Hagen. The committee feels that Ms. Hagen's membership will be beneficial to RCOC's constituents and be in compliance with the balance, diversity and expertise requirements set forth in the Lanterman Act.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

That the Board approve Board membership for Mine Hagen for new one-year term commencing January 1, 2019 and ending December 31, 2019.

Regional Center of Orange County

P.O. Box 22010

Santa Ana, CA 92702-2010

Board Member Application

Date: 8/13/2018

Name: Mine Hagen

Home Phone: [REDACTED]

Home Address: [REDACTED]

City: [REDACTED]

Zip: [REDACTED]

Occupation: Retired Engineer

Employer: Raytheon

Work Phone: [REDACTED]

Email Address: [REDACTED]

How did you develop your interest in or knowledge of developmental disabilities? Describe your employment, education or other activities which demonstrate your interest or knowledge.

I have an Autistic Son who is 27 years old.
All of my knowledge regarding special needs individuals and their support
is derived from raising our Autistic son and working with professionals,
PYUSD teachers & staff and regional center.
For employment/education, please see attached resume.

Please describe your current or past membership in community and/or professional organizations.

None

Please describe your current or past membership and offices (if any) held on other boards.

None

Please describe your hobbies and interests.

Hiking, sports

Do you have any of the following special skills? If so, please check and describe more fully below.

- | | | |
|--|--|---------------------------------------|
| <input checked="" type="checkbox"/> Business/Management | <input checked="" type="checkbox"/> Financial Analysis | <input type="checkbox"/> Legal |
| <input checked="" type="checkbox"/> Marketing/Public Relations | <input type="checkbox"/> Political Activism | <input type="checkbox"/> Other: _____ |

I have been a functional and cost
account manager. Please see resume.

Are you currently employed by an organization providing services to people with developmental disabilities? ☐ Yes ☒ No If yes, please explain: _____

Are you a member of the governing board of any organization providing service to people with developmental disabilities? ☐ Yes ☒ No If yes, please explain: _____

Are you a: (Please check one)

- ☐ Person with a developmental disability
☒ Parent or family member of a person with a developmental disability
☐ Representative of the general public

Ethnic Background (optional):

- | | | |
|---|---|--|
| <input type="checkbox"/> African-American | <input type="checkbox"/> Asian/Pacific Islander | <input type="checkbox"/> Caucasian |
| <input type="checkbox"/> Hispanic | <input type="checkbox"/> Native American/Indian | <input checked="" type="checkbox"/> Other (please specify: <u>Middle Eastern</u>) |

If you are a person with a developmental disability or the parent or family member of a person with a developmental disability, please indicate the type of disability (e.g., intellectual disability, autism, cerebral palsy, epilepsy or other). Autism

Please provide the following information for two people who know you well and can provide a personal and/or professional reference.

Name:

Relationship:

Complete Address:

Phone Number:

Best Time to Call:

Name:

Relationship:

Complete Address:

Phone Number:

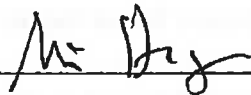
Best Time to Call:

☒ After reviewing the Board Service Roles and Responsibilities Sheet, I understand what my duties would be as an RCOC Board Member.

☒ I am willing to serve and have attached a statement saying why I wish to serve on the RCOC Board of Directors and why I believe I am qualified.

☒ After reviewing the RCOC Conflict of Interest Governance Policy and the Title 17 Conflict of Interest Standards and Procedures, I assert that I do not have a potential conflict of interest.

Signature:



Date:

8/13/2018

Please return completed form to:

Executive Office
Regional Center of Orange County
P.O. Box 22010
Santa Ana, CA 92702-2010

If you have questions, please call: 714-796-5205

Regional Center of Orange County Board Member Roles and Responsibilities Information Sheet

Roles

The primary role of an RCOC Board Member is to (1) contribute to the defining of the organization's mission and governing the fulfillment of that mission, and (2) to carry out the functions of the office of board member and/or officer as stated in the bylaws.

The RCOC Board of Directors has adopted the Carver Model of governance. Therefore, the role of an RCOC Board member is to focus on the development of broad policies that govern the implementation of institutional plans and purposes. This role is separate and distinct from the role of the Executive Director, who determines the means of implementation. A document explaining the underlying principles of the Carver Model will be sent to Board applicants upon receipt of their application.

Responsibilities

1. Attend all meetings of the board and committees on which the member serves.
2. Be prepared to discuss the issues and business to be addressed at scheduled meetings, having read the agenda and all background information.
3. Work with and respect the opinions of others who serve on the board, and to leave personal prejudices out of all board discussions.
4. Act for the good of the RCOC and represent the interests of the people served by RCOC.
5. Represent the RCOC in a positive and supportive manner at all times.
6. Observe the parliamentary procedures and display courteous conduct in all board, committee and task force meetings.
7. Refrain from intruding on administrative and/or operational issues that are the responsibility of management except to monitor results.
8. Avoid conflicts of interest between the board member position and one's personal life. This includes using the board member position for the advantage of family, friends and business associates. If such a conflict does arise, declare that conflict before the board and refrain from voting on matters in which there is a conflict.
9. Support in a positive manner all actions taken by the board of directors even when in a minority position on such actions.
10. Participate in (1) any scheduled strategic planning or other retreats, (2) board self-evaluation processes, and (3) board development activities that enhance board member skills.
11. Keep confidential information confidential.
12. Never exercise authority as a board member except when acting in a meeting with the full board or as delegated by the board.

Personal Statement

Please describe why you wish to serve on the RCOC Board of Directors
and why you believe you are qualified

I wish to serve on the RCOC Board of Directors to give back to the organization that provided and provide much needed support to individuals with special needs and their families. As a parent I am immensely grateful to RCOC for what they do for special needs community, and it would be an honor to provide my individual support

I am qualified due to following:

- From 25 years of experience raising an autistic son and being very pro-active I have a very good understanding of how the system works at every level. I would use this knowledge to the benefit of the community
- I have an excellent organizational skills from 34 years of corporate management experience
- I have sincere compassion for the special needs community

Signature

Date

Conflict of Interest Information

We would like to identify any potential conflicts of interests before you complete the application process.

Are you or a family member a director, officer, owner, partner, employee, or shareholder of an organization that is a regional center provider? **NO**

Family member includes all of the following:

your spouse,
domestic partner,
parents,
stepparents,
grandparents,
siblings,
stepsiblings,
children,
stepchildren,
grandchildren,
parent-in-laws,
brother-in-laws,
sister-in-laws,
son-in-laws and
daughter-in-laws.

You may search a list of organizations that are regional center providers at:

<http://www.rcocdd.com/consumers/resources/> or, you may provide the organization's name and RCOC will notify you if the organization is a regional center provider.

If the answer is yes, you have a potential conflict of interest.

If you have a potential conflict of interest, please call RCOC's Executive Office at 714-796-5205 and we will let you know if you should proceed with the application.

**Regional Center of Orange County
Policies and Outcomes Committee
October 15, 2018
Minutes**

Committee Members Present: Cliff Amsden, Chairperson
Alan Martin

Committee Members Absent: Cristina Alba

Board Members Present: Liza Krassner (*on the phone until 6:43 p.m.*)
John “Chip” Wright (*on the phone*)

RCOC Staff Members Present: Larry Landauer, Executive Director
Bette Baber, Chief Financial Officer
Christina Petteruto, General Counsel
Patrick Ruppe, Director of Services and Supports
Stacy Wong, Human Resources Director

Corporate Counsel Present: David Lester, Esq.

Mr. Cliff Amsden called the teleconference meeting to order at 6:29 p.m.

I. Governance Policies

A. Review Proposed Revisions to the Conflict of Interest Policy

The Committee reviewed the proposed revisions to the policy.

M/S/C to recommend that the Board approve revisions to the Conflict of Interest Policy as discussed.

B. Review Proposed Revisions to the Zero Tolerance Policy Regarding Abuse and Neglect of Those We Serve

The Committee reviewed the proposed revisions to the policy.

M/S/C to recommend that the Board approve revisions to the Zero Tolerance Policy Regarding Abuse and Neglect of Those We Serve as discussed.

C. Discussion Regarding Adoption of Policy Requiring Background Checks for Vendors

Ms. Petteruto commented on vendors' current practices regarding background checks for their direct care staff, and the presentation that she and Mr. David Lester, RCOC's Corporate Counsel, gave at the Vendor Advisory Committee meeting on September 11, 2018, regarding risk management. Since that meeting, Mr. Sean Watson, RCOC's Risk Management QA Manager, has started meeting with all the VAC's subcommittees to discuss the issue; he will finish meeting with all the subcommittees in November. This will give all vendors an opportunity to comment. Although most vendors are completing background checks for direct care staff, and include this information in their program designs, RCOC sees a governance obligation, as well as an administrative benefit, in making it a Board policy. The policy would require vendors to complete background checks for direct care employees who are hired after the effective date of the policy. Ms. Petteruto stated that she will have a draft of the policy for the Committee to review at its next meeting which is scheduled for Tuesday, February 19, 2019.

II. Outcomes

A. Person Centered Thinking Update

Mr. Patrick Ruppe, RCOC's Director of Services and Supports, reported that 151 employees of RCOC's vendors have completed the two-day Person Centered Thinking (PCT) training. In 2019, PCT trainings for vendors will continue but on a more regular schedule. Mr. Ruppe also reported that PCT training for families has been delayed; he will provide the Committee with training dates as they are scheduled.

B. Health and Wellness Project Update

Ms. Petteruto reported that Dr. Sam Ho, RCOC's Clinical Pharmacist, has reported that the new *Healthy Life, Happy Life!* program will begin on January 1, 2019. The program will have approximately 80 to 100 participants, including participants who are returning from the pilot program. Ms. Petteruto also reported that the program will have three new student-volunteers who will assist. The students are all currently enrolled in the Master of Science in Health Science program at Western University.

C. National Core Indicators (NCI) Update

Mr. Larry Landauer reported that there is no new information on NCI; however, he did report on the Individual and Family Rates Survey that the Department of Developmental Services (DDS) developed. This survey asks persons served, family members and others to rate regional centers on in-home support services, day programs, employment, eligibility and case management. Mr. Landauer mentioned that the survey was poorly prepared and it was difficult to see how this survey would be informational regarding

RCOC Policies and Outcomes Committee Minutes
October 15, 2018

rates. Mr. Landauer added that NCI has administered a similar survey and collected valuable data regarding regional center services. Mr. Landauer reported that the survey will be addressed at the next Association of Regional Centers Agencies (ARCA) meeting in San Diego on October 18-19, 2018.

III. Community Forum

No community members were present.

Mr. Amsden adjourned the meeting at 6:59 p.m.

Recorder: Sandra Lomeli

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: November 1, 2018

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 the Conflict of Interest 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 annually or biennially reviewing policies for their continued usefulness and clarity. At its meeting on Monday, October 15, 2018, the Policies and Outcomes Committee reviewed and discussed the Conflict of Interest Policy.

REASON FOR CURRENT ITEM:

After review, the Policies and Outcomes Committee recommends that the Board approve revisions to the Conflict of Interest Policy as indicated in the attachment.

FISCAL IMPACT:

None.

RECOMMENDATION:

That the Board approve the revisions to the Conflict of Interest Policy as presented.

AGENDA ITEM III.H.1.

XIII. CONFLICT OF INTEREST POLICY

Background And Purpose

The purpose of this Conflict of Interest Policy is to protect the interests of Regional Center of Orange County, Inc. (RCOC) and ensure that ~~the~~ RCOC complies with all applicable laws prohibiting conflicts of interest.

In 2011 the Lanterman Act was amended to provide revised conflict of interest (COI) obligations for regional centers. The current provisions regarding ~~conflicts of interest~~ COI in regional centers are set forth in Welfare & Institutions Code (WIC), Sections 4626, 4626.5, and 4627. In addition, ~~on August 24, 2012, the Department of Developmental Services (DDS) announced that new conflict of interest (COI) regulations became effective on August 15, 2012.~~ The new regulations and are found at Title 17 California Code of Regulations, Sections 54500 through 54535. These regulations implement the 2011 changes in the Lanterman Act that modified the COI obligations for regional centers.

This policy is intended to supplement but not replace ~~any~~ applicable ~~state and federal~~ laws and regulations governing COI ~~applicable to the RCOC~~.

General Scope of Conflict Laws

~~The~~ RCOC shall comply with the ~~new~~ regulations (Title 17, Sections 54500-54535) that contain COI rules and obligations that apply to regional centers:

- (1) executive directors,
- (2) governing board members,
- (3) advisory committee board members,
- (4) employees,
- (5) contractors,
- (6) agents, and
- (7) consultants.

Governing Board Members

The provisions for handling COI Statements and conflicts by Board Members are contained in WIC, Sections 4626(a), 4626(g), and Title 17, Sections 54532, 54533, and 54534.

Executive Directors

The provisions for handling COI Statements and Conflicts by an Executive Director are also similar to those for Board Members. The precise provisions are contained in WIC, Sections 4626(a), 4626(g), and Title 17, Sections 54532, 54533, and 54534.

Advisory Committee Board Members

The new regulations also identify possible conflicts for Advisory Committee Board Members. Title 17, Section 54521 states that there is a COI when a regional center advisory committee board member (appointed pursuant to WIC, Sections 4622(i)) is in any of the following positions for a business entity, entity, or provider:

(a) a member of the governing board, (b) a board committee member, (c) an owner, (d) a partner, (e) a shareholder, (f) an agent, (g) a manager, (h) an employee, (i) a contractor, or (j) a consultant, for a business entity, entity or provider from which the regional center purchases, obtains or secures consumer services and that person (a) serves as an officer of the RC board or (b) votes on any fiscal manner affecting purchase of services from any RC provider or (c) votes on any matters where the member has a financial interest.

An “advisory committee board member,” as a board member, is required to complete a COI Reporting Statement just like all other board members (Title 17, Sections 54532, 54533, and 54534).

Employees

The provisions prohibiting conflicts of interest for employees are contained at Title 17, Sections 54526, 54527, 54528, 54529, and 54530. The basic concept is that regional center employees cannot place themselves in a position where their private, personal interests may conflict with their official duties (Title 17, Section 54529). Employees must be guided solely by the interests of the regional center and those we serve. They may not place themselves in a situation that creates a dilemma about advancing their personal interests instead of acting in the best interests of the regional center.

The new regulations generally provide that the only employees who will have a conflict are employees with “decision or policy making authority” (Title 17, Section 54526). This is generally defined to include all employees except those with purely secretarial or clerical duties. Service Coordinators are deemed to be employees with “decision or policy making authority.”

Contractors, Agents and Consultants

The provisions for handling COI Statements and Conflicts for Contractors, Agents and Consultants are also similar to those for employees. Title 17, Sections 54526, 54527, 54528, 54529, and 54530 identify what will constitute a conflict.

Finally, Title 17, Section 54533 addresses resolution of such conflicts.

Definitions

Decision or Policy Making Authority

The definition of “Decision or Policy-Making Authority” in Title 17, Section 54505(d) states that employees have such authority if they exercise judgment in making decisions that are not solely secretarial or clerical, including employees who make final decisions, compel decisions, make substantive recommendations, vote on obligations, or vote to approve selection of any director, trustee, agent, employee, contractor, or consultant for his or her entity.

The law deems Service Coordinators to have “decision or policy-making authority.” This is because they generally participate on planning teams that make decisions, they make decisions about which programs and services to recommend to those we serve and finally, Service Coordinators are listed in WIC, Section 4626(e), as persons who must complete the COI Reporting Statements.

Family Members

The regulations prohibit both the employee and a family member from holding certain positions and having certain financial interests, so the definition of a “family member” is critical. Most conflicts under these rules occur with family members. Title 17, Section 54505(f) states that the term “Family Member” includes the individual’s:

“spouse, domestic partner, parents, stepparents, grandparents, siblings, step-siblings, children, stepchildren, grandchildren, and parents-in-law, brothers-in-law, sisters-in-law, sons-in-law, and daughters-in-law.” Cousins, aunts, uncles, nieces and nephews are not considered family members.

~~The~~ RCOC’s employees should avoid conflicts before they occur. The best way to do so is to ensure that a family member does not accept a position that will create a conflict. If a family member does take such a position, it may threaten the position of the employee by creating a conflict.

Business Entity. Entity or Provider

Business Entity, Entity or Provider is defined as:

“...any individual, business venture, or state or local governmental entity from whom or from which the regional center purchases, obtains, or secures goods or services to conduct its operations. These entities or providers include, but are not limited to, residential facilities, intermediate care facilities, skilled nursing facilities, supported and independent living services, hospitals, medical groups, activity centers, housing providers,

entities formed in support of the regional center, infant programs, clinics, laboratories, pharmacies, drug stores, ambulance services, furniture stores,

equipment and supply stores, physicians, psychologists, nurses, therapists, teachers, social workers, and contract case managers. For purposes of these conflict-of-interest regulations “business entity, entity or provider” does not include a consumer or family member of a consumer who receives vouchers for consumer services.”

Prohibited Conflicts

Conflict By Holding Position With Provider

A conflict exists when:

a Board Member,
~~-an~~ Executive Director,
or a family member of such person (Title 17, Section 54520),
an employee with decision making authority,
a Contractor,
an Agent,
a Consultant,
or family member of such person (Title 17, Section 54526),

is any of the following for a provider:

- (1) a governing board member,
- (2) a board committee member,
- (3) a director,
- (4) an officer,
- (5) an owner,
- (6) a partner,
- (7) a shareholder,
- (8) a trustee,
- (9) an employee,
- (10) an agent,
- (11) a contractor,
- (12) a consultant,
- (13) holds any position of management, or
- (14) has decision or policy making authority.

Conflicts By Financial Interest in Provider

A conflict exists if a Board Member, Executive Director, employee, contractor, agent or consultant attempts to make or influence a decision in which the person, or a family member, has an interest.

A financial interest is defined in Title 17, Sections 54522 and 54527 as follows:

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 the prior 12 months.
- (6) future interest for compensation of five hundred dollars (\$500) or more.
- (7) personal finances of two hundred fifty dollars (\$250) or more.

Conflict Making Contract in which Financially Interested

Under Title 17, Sections 54523 and 54528, Board Members, Executive Directors, and employees, contractors, agents, and consultants, shall not be guided by personal interests and shall not be financially interested in any contract they make in their official capacity. Such persons shall not make any contract which financially benefits a family member, unless benefits associated with the contract are available to regional center individuals we serve or their families generally. In interpreting and applying this section, the common law doctrine against COI and the authorities interpreting the doctrine shall govern.

General Prohibitions Against Conflicts

Board Members, Executive Directors, employees, contractors, agents and consultants must also avoid the general prohibitions against conflicts in Title 17, Sections 54524 and 54529, which are:

General Integrity – Must discharge their responsibilities with integrity and fidelity, and must not place themselves in a position where their private, personal interests conflict with their official duties.

Perform with Diligence – Must exercise powers conferred on the employee with disinterested skill, zeal and diligence for the benefit of regional center individuals.

Conflicts Not Addressed by Regulations - When a person becomes aware of a present or personal COI regarding a particular transaction that the regulations do not address, action must be taken. In that situation, the person must not participate in any discussion and must refrain from making any recommendation

or decision regarding the present or potential COI that has not been specifically addressed in the regulations.

Conflicts Working with Family Members

Under Title 17, Section 54530(a), a COI exists where a regional center employee participates in the evaluation of an application for employment or bid for position or contract at the regional center, submitted by a family member. Under Title 17, Section 54530(b) a potential COI also exists when a regional center employee supervises his or her family member.

Obligations For a Regional Center To Identify Conflicts

New COI Reporting Statement (Form DS 6016)

As required by WIC, Section 4626(e), DDS also issued a ~~new~~ DDS COI Reporting Statement that ~~the~~ RCOC ~~will~~ use~~s~~.

Persons Who Must Submit Conflict Statements

WIC, Section 4626(e), provides that this statement must be completed annually by;

“...each regional center governing board member and each regional center employee specified in the regulations, including, at a minimum, the executive director, every administrator, every program director, every service coordinator, and every employee who has decisionmaking or policymaking authority or authority to obligate the regional center’s resources.”

Further, Section 54531(b) of Title 17 provides:

“Each regional center employee, contractor, agent, and consultant, who has authority to act on behalf of the regional center, or who has decision or policy-making authority.., shall complete and file an annual COI Reporting Statement with his or her respective regional center, whether or not the individual has identified a present or potential COI, by August 1 of each year.”

Since some of the conflicts identified do not depend on having “decision making” authority, all employees of the RCOC must complete the COI Reporting Statement.

Process For Submission of Statements

Annually: Regional Center Board Members, the Executive Director, and employees, contractors, agents and consultants shall complete and file an

annual COI Statement by August 1 of each year (Title 17, Sections 54532(a) and 54531(b)). The statute mandates this for every employee referenced in WIC, Section 4626(e) (WIC, Section 4626(g)).

New Board Members, Executive Directors, Employees, Contractors, Agents and Consultants: Such new persons shall file a COI statement within 30 days of assuming the position (Title 17, Sections 54532(c) and 54531(c); WIC, Section 4626(f)).

Change in Status: Board Members, Executive Directors and regional center employees, contractors, agents and consultants shall complete and file a COI Reporting Statement with the regional center within 30 days of any change in status that creates a COI under Title 17, Sections 54532(d) and 54531(d). “Change in status includes, but is not limited to, a change in financial interests, legal commitment, regional center or board position or duties, or both, or outside position or duties, or both, whether compensated or not” (WIC, Section 4626(h)).

Executive Director Review: The Executive Director shall review each COI Reporting Statement that is submitted and within ten (10) working days of receipt of the statement shall determine whether a COI exists (Title 17, Sections 54531(e); WIC, Section 4626 (k)). Under Title 17, Section 54532, statements submitted by Board Members and the Executive Director must be submitted to DDS within ten (10) working days of receipt.

Obligations When COI Discovered: When a present or potential COI is identified for a Board member, Executive Director, employee, agent or consultant, RCOC must either (1) require the employee or other person to eliminate the conflict, or (2) mitigate and manage the conflict through a Conflict Resolution Plan, or the individual shall resign (Title 17, Section 54533(a)).

RCOC Must Submit Conflict Resolution Plan to DDS: When a present or potential COI has been identified and RCOC decides to mitigate and manage the conflict through a Conflict Resolution Plan, it must submit a copy of the completed COI Reporting Statement and a proposed Conflict Resolution Plan to DDS within 30 calendar days of receipt of the statement (Title 17, Section 54533(a) and (b)).

Submission of COI Policy to DDS and Posting on Website

The regional center must submit a COI policy to DDS by July 1, 2011, and shall post the policy on its website by August 1, 2011 (WIC, Section 4626.5).

Obligation to Resolve Identified Conflicts

When a conflict is identified either through a COI Reporting Statement or by notification of DDS, the Executive Director then has a specific obligation to resolve the matter, and to take certain action.

Executive Director Reviews Conflict Statements

Under Title 17, Section 54531(e), a regional center Executive Director is required to review the completed COI Reporting Statement of each employee within ten (10) working days of receipt and determine whether a present or potential conflict exists.

Regional Center Must Eliminate Conflict or File Conflict Resolution Plan

Under Title 17, Section 54533(a) a Board member, Executive Director, employee, contractor, agent or consultant with a present or potential COI must eliminate the conflict, or if the regional center permits, manage and mitigate the conflict through a Conflict Resolution Plan, or the individual shall resign. There is no legal obligation to submit a Conflict Resolution Plan, since it is merely an option the regional center may choose to select. The regional center has every right to simply require that the conflict be eliminated.

Submission of Conflict Resolution Plan

Whether the Executive Director learns of a conflict either through review of submitted COI Reporting Statements, or from DDS, under Title 17, Section 54533(b) the Executive Director shall either require the conflict to be eliminated, or shall submit an employee's COI Reporting Statement and proposed Conflict Resolution Plan to DDS (1) within 30 days of receipt of the COI Reporting Statement or (2) within 30 days of receipt of DDS' notification of a conflict.

Content of Conflict Resolution Plan

Title 17, Section 54533(g) identifies the requirements of Conflict Resolution Plan. It must describe the precise nature of the conflict, including the type of conflict, the relationship between the individuals involved (when a family member is involved), and the roles and identity of each person, i.e., the employee and the family member (Title 17, Section 54533(g)(1)).

Under Title 17, Section 54533(g)(2) the plan must then identify the actions the regional center will take to eliminate or mitigate and manage the conflict. This can involve either, resignation of the family member creating the conflict, refraining from participation in a certain category of matters that create the conflict, a change of position, duties, or assignment, or a divestiture of financial interests.

Further, the plan must “provide a detailed explanation of how each of the proposed actions will eliminate, mitigate or manage the conflict (Title 17, Section 54533(g)(3)). The Plan must provide the name, position, and duties of the individuals who will be responsible for monitoring the plan, (Title 17, Section 54533(g)(4)), and the Plan must be signed by the individuals subject to the Plan under Title 17, Section 54533(g)(4).

Posting on Web Site of Conflict

Under Title 17, Section 54533(f), the regional center shall post on the internet each COI Reporting Statement that identifies a present/potential COI that cannot be resolved within 30 calendar days. This posting shall continue until the conflict has either been eliminated or the individual has resigned.

Prohibitions While Conflict Still Pending

Under Title 17, Section 54525, when a conflict has been identified for a governing board member or executive director, a regional center may not refer any individual to any business entity involved in the conflict, unless the individual has eliminated the conflict of interest or obtained an approved Conflict Resolution Plan.

Further, no regional center governing board member or executive director shall continue to serve in violation of these provisions, unless the individual has eliminated the conflict of interest or obtained an approved Conflict Resolution Plan.

Role Of DDS In Monitoring Conflicts

Review of Conflict Resolution Plan by Department

Under Title 17, Section 54534(f), DDS shall issue a modification, approval or denial of the proposed Conflict Resolution Plan in writing to the regional center governing board or regional center designated party within 30 calendar days of receipt of a proposed Conflict Resolution Plan.

Title 17, Section 54534(g) provides that if DDS denies a Conflict Resolution Plan, the individual shall have 30 calendar days to eliminate the conflict or to resign.

If a Conflict Resolution Plan is approved, the employee shall fully comply with all the elements set forth in the approved Conflict Resolution Plan (Title 17, Section 54534(j)).

In addition, under Section 54534(k), a new Conflict Resolution Plan shall be submitted to DDS on an annual basis, and upon any change of status that creates a COI.

Submission of Conflict Resolution Plan Does Not Authorize Continued Activities that Create Conflict

The submission of a Conflict Resolution Plan does not authorize the employee to engage in the activities that created the conflict. In the words of the regulation, “Individuals shall not engage in activities in which there is a present or potential COI except in accordance with the terms of an approved Conflict Resolution Plan” (Title 17, Section 54534(d)).

Sanctions

The RCOC will be vigilant to eliminate and resolve conflicts, since if DDS finds a violation of these provisions, it can provide 30 days to eliminate or resolve the violation. If the violation is not so resolved or eliminated, DDS may “take immediate action to commence procedures for termination or nonrenewal of the regional center contract pursuant to W&I Code, Section 4635.”

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: November 1, 2018

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 the Zero Tolerance Policy Regarding Abuse and Neglect of Those We Serve**

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 or biennially reviewing policies for their continued usefulness and clarity. At its meeting on Monday, October 15, 2018, the Policies and Outcomes Committee reviewed and discussed the Zero Tolerance Policy Regarding Abuse and Neglect of Those We Serve.

REASON FOR CURRENT ITEM:

After review, the Policies and Outcomes Committee recommends that the Board approve revisions to the Zero Tolerance Policy Regarding Abuse and Neglect of Those We Serve as indicated in the attachment.

FISCAL IMPACT:

None.

RECOMMENDATION:

That the Board approve the revisions to the Zero Tolerance Policy Regarding Abuse and Neglect of Those We Serve as presented.

XIX. ZERO TOLERANCE POLICY REGARDING ABUSE AND NEGLECT OF THOSE WE SERVE

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 abuse and neglect of those we serve.

POLICY

Abuse of individuals we serve 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 person served will be subject to severe discipline, up to and including discharge, and will be referred to appropriate authorities. Any abuse found to have been committed by employees of RCOC vendors, or employees of licensees, 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.

All RCOC employees who are mandated reporters pursuant to the California Penal Code, and all employees of RCOC vendors and 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 abuse of individuals we serve to the applicable governmental authorities immediately or as soon as practicable after his or her discovery or reasonable belief that abuse has occurred.

RCOC, all RCOC vendors, and all licensees who operate long-term health care facilities serving RCOC population shall ensure their employees are fully informed upon hire and annually thereafter regarding RCOC's Zero Tolerance Policy Regarding Abuse and Neglect of Those We Serve and the mandatory abuse and neglect reporting laws. Each employee must be knowledgeable of their responsibility to protect our population 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 Abuse and Neglect of Those We Serve will be incorporated into any new or revised contract, vendorization or other agreement for services.

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

GUIDING PRINCIPLES

- Persons served are in safe and supportive settings that promote a life of independence, acknowledge diverse cultural perspectives and that respect the inherent risks and valuable learning experiences that come from living in the community.
- 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, intermediate care facility/developmentally disabled, 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
Vendor Advisory Committee
September 11, 2018
Minutes**

Members:

Adult Behavior Management Programs

Chair, Maryam Abedi, present

Co-Chair, Atrem Behmanesh, present (*left at 2:25 p.m.*)

Adult Day Programs

Chair, Rick Perez, present

Co-Chair, Member Pending

Adult Family Home/Foster Family Agency

Chair, Mark Antenucci, present

Co-Chair, Marie Sañudo, present

Behavior Services

Chair, Junie Lazo-Pearson, present

Co-Chair, Cindy Hebert, absent

Community Care Facilities

Chair, Noel Villegas, Gilbert Care Homes, present

Co-Chair, Boyd Bradshaw, HCDD, Inc., present

Early Intervention

Chair, Tiffany Bauer, present

Co-Chair, Tina Russi, absent

Habilitation

Chair, Roland Fernandez, present

Co-Chair, Member Pending

Independent/Supported Living

Chair, Janice Retz, present

Co-Chair, Member Pending

Intermediate Care Facilities

Chair, Rich Mraule, present (*arrived at 2:07 p.m.*)

Co-Chair, Member Pending

Support Services/Allied Health

Chair, Lizette Ceja, absent

Co-Chair, Yvette Staggs, present

Liaisons:

CalOptima

Michael German, absent

Fairview Developmental Center

Larry DuBord, absent

Orange County Transit Authority

Jack Garate, present

Christina Blanco, present

RCOC Staff Present: Larry Landauer, Executive Director
Bette Baber, Chief Financial Officer
Christina Petteruto, General Counsel
Patrick Ruppe, Director of Services and Supports
Bonnie Ivers, Clinical Director
Stacy Wong, Human Resources Director
Arturo Cazares, Associate Director of Employment
Jack Stanton, Associate Director of Housing
Marta Vasquez, Associate Finance Director
Veronica Flores, Accounting Manager
Sean Watson, Manager, Risk Management, QA
Jyusse Corey, Peer Advocate (*left at 2:48 p.m.*)

Corporate Counsel Present: David Lester, Esq.

I. Call to Order

Ms. Tiffany Bauer welcomed all attendees and called the meeting to order at 2:01 p.m. She then asked all Committee members and guests to introduce themselves.

II. Risk Management Presentation

Ms. Christina Petteruto, RCOC's General Counsel and Mr. David Lester, RCOC's Corporate Counsel, led a discussion on the importance of vendors requiring background checks for direct care employees. Ms. Petteruto shared some information about a case involving abuse and how it could have been prevented. As mandated reporters, vendors and their staff must report any suspected abuse or neglect. Ms. Petteruto said that RCOC is considering a new Board Governance policy which would require vendors to obtain background checks. Vendors will have an opportunity to discuss the issue at all of the VAC subcommittees before any action is taken.

III. RCOC Update

Mr. Landauer shared that the National Direct Support Professional Recognition Week is September 9th-15th. Mr. Landauer mentioned that both he and Ms. Tiffany Bauer will be attending a joint meeting of the Southern California Regional Center Directors and the Los Angeles Coalition of Service Providers at the Harbor Regional Center on Thursday, September 13, 2018. Additional information will be provided at the next VAC meeting.

Mr. Landauer reported that the DDS Vendor Rate Study received responses representing 50% of all services, surpassing the initial goal of 40%. The results of the full study are due to the Legislature by March 1, 2019.

Mr. Landauer reported that the regional center system is projecting a surplus in the prior fiscal year between \$67.7 and \$58.1 million.

Mr. Landauer also reported that the total number of people served by RCOC increased by 821 in the prior fiscal year which represented a caseload growth of 4%.

IV. Board Report

Ms. Bauer reported that at the Board of Directors meeting on September 6, 2018, the 2019 Performance Contract was presented by Mr. Jack Stanton, RCOC's Associate Director of Housing, and Ms. Cristina Mercado, RCOC's Person Centered Thinking (PCT) Coordinator, reported that the beta version of the PCT Individual Program Plan (IPP) will be released on September 14, 2018.

V. Community Forum

Ms. Christine Tolbert from the State Council on Developmental Disabilities (SCDD), Orange County Office, informed the Committee that SCDD will hold an all-day professional training by Mr. Michael Whaling on October 23, 2018.

VI. Peer Advisory Committee (PAC) Report

Mr. Jyusse Corey reported that the Committee will meet on Wednesday, September 19, 2018. Mr. Corey reported that the Centers for Medicare & Medicaid Services (CMS) have approved the Self-Determination Program. On October 1, 2018, the Department of Developmental Services (DDS) will select from the approximately 500 persons who enrolled, 151 persons to participate in the Self-Determination Program for Orange County. Mr. Corey also reported that the California Achieving a Better Life Experience (CalABLE) program has also scheduled their program launch for December 2018.

VII. Liaison Reports

A. CalOptima – Michael German (absent)

Mr. Michael German was not present and no report was provided.

B. Fairview Developmental Center (FDC) – Larry DuBord (absent)

Mr. Larry DuBord was not present and no report was provided.

C. Orange County Transportation Authority (OCTA) – Mr. Jack Garate (present)

Mr. Jack Garate reported that OCTA will start OC Flex in October in the following zones: Huntington/Westminster and Alisa Viejo/Laguna Niguel/Mission Viejo. OC Flex is OCTA's new on-demand, curb-to-curb shuttle service serving two zones in Orange County, seven days a week, as part of a pilot program. Inside each OC Flex zone, unlimited rides are \$4.50 per day with the OC Flex mobile app, or \$5 per day if paying with cash onboard. Mr. Garate also reported on OCTA's Same-Day Taxi Service which is a non-ADA service to all OC ACCESS customers. Riders pay the OC ACCESS base fare of \$3.60 for a five-mile ride and OCTA subsidizes the rest of the trip. Any additional costs incurred by travelling beyond the five-mile trip are to be paid by the OC ACCESS rider.

Mr. Garate also mentioned OCTA's Telephone Town Hall on Wednesday, September 12, 2018, which seeks input on Orange County's transportation needs for the next 20 years. It is part of OCTA's Long Range Transportation Plan (LRTP).

Another part of OCTA's LRTP will be an open house in the parking lot at OCTA headquarters on Saturday, September 22, 2018, from 9:00 a.m. to noon. The public may also complete a survey to let OCTA know what transportation improvements are important to them at <http://www.octaLRTP.com>.

VIII. Member Reports

- A. Adult Behavior Management – Maryam Abedi (present)**
- B. Adult Day Programs – Rick Perez (present)**

Dr. Maryam Abedi reported that she did not attend the last subcommittee meeting. Mr. Rick Perez reported that the two subcommittees met and discussed staffing issues, the incorporation of the One-Page Description and the Competitive Integrated Employment (CIE) program. The subcommittee also discussed the Home and Community-Based Services (HCBS) Regulations for Provider Funding Concepts. Regional center vendors may receive funding to make changes toward meeting the requirements of the Centers for Medicare & Medicaid Services (CMS) Home and Community-Based Services (HCBS) final regulations/rules. In order to be considered for funding, vendors must complete the Concept Proposal and the Provider Compliance Evaluation form to the regional center with which it has primary vendorization.

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

Mr. Mark Antenucci announced that he has resigned as the VAC Co-Chair and as Chair of the AFHA/FFA subcommittee. Ms. Marie Sañudo has been nominated by the subcommittee to serve as the new Chair.

- D. Behavior Services – Junie Lazo-Pearson (present)**

Ms. Junie Lazo-Pearson reported that Edwin Poon, Ph.D., CalOptima's Director of Behavioral Health Services, attended their last subcommittee meeting and led a discussion on CalOptima's additional two phases for the transition from RCOC funding to CalOptima.

Ms. Lazo-Pearson stated that their next subcommittee meeting will be held on October 4, 2018.

- E. Community Care Facilities (CCF) – Noel Villegas (present)**

Mr. Noel Villegas reported that their subcommittee group did not meet.

F. Early Intervention – Tiffany Bauer (present)

Ms. Bauer reported that their subcommittee met on July 19, 2018. The subcommittee continues to address concerns that providers have about the differences between insurance authorizations and RCOC's authorizations. Insurance companies authorize assessment and treatment separately; RCOC does not. At this time, it is not necessary for RCOC to separate assessment and treatment authorizations because RCOC does not process and audit provider invoices in the same way that insurance companies do. RCOC's Early Start specialists also addressed the need for higher level staff to administer the Developmental Assessment of Young Children (DAYC) measure, which most service providers use as an assessment instrument for their semi-annual progress reports. Ms. Bauer also reported that vendors are in the planning stages of organizing an Early Start Fair for Service Coordinators in October.

G. Habilitation – Roland Fernandez (present)

Mr. Roland Fernandez reported that their subcommittee did not meet this month. The subcommittee did meet in August and nominated Mr. Tim Chervenak as the Co-Chair of the Habilitation subcommittee. The subcommittee also discussed the new registration requirements of the Property Services Workers Protection Act. The Act is intended to protect janitorial employees from harassment and wage theft. The law requires that all janitorial employers register each year with the state labor commissioner and pay a \$500 non-refundable application fee. The penalty for a company that fails to register is \$100 for every day the business is unregistered. The law also requires the state to develop a sexual violence and harassment prevention training program for janitorial employers and employees, effective January 1, 2019.

H. Independent Living/Supported Living (IL/SL) – Janice Retz (present)

Ms. Janice Retz reported that Ms. Leah Saitz, RCOC's Supported & Independent Living Coordinator, led a discussion on the training of Person Centered Thinking. Their subcommittee also discussed added costs for vendors such as, mileage and telephone reimbursements.

I. Intermediate Care Facilities (ICF) – Rich Mraule (present)

Mr. Mraule reported that their subcommittee did not meet.

J. Respite and Allied Health – Lizette Ceja (absent)

In Ms. Lizette Ceja's absence, Ms. Yvette Staggs reported that they are coordinating their semi-annual Respite Vendor Fair that they hope will be held in October 2018. They are also finalizing their frequently asked questions (FAQs) on respite for RCOC's Service Coordinators. The FAQs will cover topics such as reasons why vendors would not accept a referral, shift requirements from LVN's and medical respite vs. standard respite.

IX. Other

Mr. Landauer mentioned that Integrity House will be hosting their Annual Self-Determination Conference on Saturday, October 13, 2018, from 9:00 a.m. to 2:00 p.m. There will be a cover charge of \$5.00 that will include a continental breakfast, lunch and raffle tickets. The conference topic is *See Something? Say Something!* The key speaker will be Planned Parenthood and a dialogue will be led by members from the community sharing their personal and uplifting stories about overcoming and coping with the effects of abuse and unhealthy relationships. Flyers were made available to Committee members for distribution.

X. Adjournment

Ms. Bauer adjourned the meeting at 3:04 p.m.

The next VAC meeting is scheduled for Tuesday, October 9, 2018.

Recorder: Sandra Lomeli

**Regional Center of Orange County
Vendor Advisory Committee
October 9, 2018
Minutes**

Members:

Adult Behavior Management Programs

Chair, Maryam Abedi, absent

Co-Chair, Atrem Behmanesh, present

Adult Day Programs

Chair, Rick Perez, present

Co-Chair, Member Pending

Adult Family Home/Foster Family Agency

Chair, Mark Antenucci, present

Co-Chair, Marie Sañudo, present

Behavior Services

Chair, Junie Lazo-Pearson, present

Co-Chair, Cindy Hebert, absent

Community Care Facilities

Chair, Noel Villegas, Gilbert Care Homes, present

Co-Chair, Boyd Bradshaw, HCDD, Inc., absent

Early Intervention

Chair, Tiffany Bauer, present

Co-Chair, Tina Russi, absent

Habilitation

Chair, Roland Fernandez, present

Co-Chair, Member Pending

Independent/Supported Living

Chair, Janice Retz, absent

Co-Chair, Member Pending

Intermediate Care Facilities

Chair, Rich Mraule, present

Co-Chair, Member Pending

Support Services/Allied Health

Chair, Lizette Ceja, present

Co-Chair, Yvette Staggs, absent

Liaisons:

CalOptima

Michael German, absent

Fairview Developmental Center

Larry DuBord, absent

Orange County Transit Authority

Jack Garate, absent

Christina Blanco, present

RCOC Staff Present: Larry Landauer, Executive Director
Bette Baber, Chief Financial Officer
Bonnie Ivers, Clinical Director
Arturo Cazares, Associate Director of Employment
Jack Stanton, Associate Director of Housing (*left at 3:00 p.m.*)
Marta Vasquez, Associate Finance Director
Veronica Flores, Accounting Manager
Sean Watson, Manager, Risk Management, QA
Jyusse Corey, Peer Advocate (*left at 2:49 p.m.*)

I. Call to Order

Ms. Tiffany Bauer welcomed all attendees and called the meeting to order at 2:01 p.m. She then asked all Committee members and guests to introduce themselves.

II. RCOC Update

Mr. Larry Landauer reported that the Department of Developmental Services (DDS) released a Consumer and Family Survey, DDS has since retitled it to the Individual and Family Rates Survey, that asks persons served, family members and others to rate regional centers on in-home support services, day programs, employment, eligibility and case management. The survey will be available in sixteen languages and can be completed until October 28, 2018. Mr. Landauer mentioned that the survey was poorly prepared and it was difficult to see how this survey would be informative regarding rates. Mr. Landauer added that NCI has administered a similar survey and collected credible data regarding regional center services. Mr. Landauer reported that the survey will be addressed at the next Association of Regional Centers Agencies (ARCA) meeting.

Mr. Landauer also reported that Ms. Tiffany Bauer and he attended a joint meeting of the Southern California Regional Center Directors and the Los Angeles Coalition of Service Providers at Harbor Regional Center on September 13, 2018. Vendor rates were the focus for this meeting. Mr. Landauer stated that due to the dire need for higher rates, the plan is to petition the state for an 8% rate increase in fiscal year 2019-20.

III. Revisions to Certification of Insurance Requirements

Ms. Marta Vasquez presented an overview of the revisions to the Certification of Insurance requirements effective December 1, 2018. RCOC will mail a notice to all vendors on October 15, 2018, regarding the COI requirements.

IV. Board Report

Ms. Bauer reported that the Board of Directors had a training this month on RCOC's Virtual Chart software.

V. Community Forum

Ms. Christine Tolbert from the State Council on Developmental Disabilities (SCDD), Orange County Office, informed the Committee that SCDD will hold an informational meeting about Supplemental Security Income (SSI) benefits for children. The meeting will be presented by the Social Security Administration on Wednesday, November 14, 2018, from 10:00 a.m. to 12:00 p.m. at Project Youth, Orange County Bar Foundation, in Santa Ana. A flyer for the meeting was made available to the Committee.

A representative from the California Association for Adult Day Services (CAADS) stated that they will hold their fall conference and annual meeting on the topic of *Health, Hope and Healing: The Promise of Adult Day Services*. The conference will be held in Anaheim for three days, November 6th - 8th. For more information, go to www.caads.org.

VI. Peer Advisory Committee (PAC) Report

Mr. Jyusse Corey informed the Committee that PAC will not meet until Wednesday, October 17, 2018.

Mr. Corey commented on the Supported Life Conference, *Bridges to Meaningful Inclusion*, which he attended in Sacramento on October 4th and 5th. Mr. Corey shared that there were sessions on employment, community living and Person Centered Thinking (PCT), as well as understanding your rights as a person with a developmental disability. Mr. Corey also shared that he had the opportunity to speak with Mr. Dante Allen, Executive Director of CalABLE, who indicated that the CalABLE's launch date should be sometime in December 2018.

VII. Liaison Reports

A. CalOptima – Michael German (absent)

Mr. Michael German was not present and no report was provided.

B. Fairview Developmental Center (FDC) – Larry DuBord (absent)

Mr. Larry DuBord was not present and no report was provided.

C. Orange County Transportation Authority (OCTA) – Mr. Jack Garate (absent)

In Mr. Jack Garate's absence, Ms. Cristina Blanco reported that OCTA kicked off its OC Flex Program. The program is OCTA's new pilot program that is an on-demand, curb-to-curb shuttle service serving two zones in Orange County. Zone 1 will launch October 15, 2018, and includes parts of Huntington Beach and Westminster. Zone 2 will launch October 20, 2018, and includes parts of Aliso Viejo, Laguna Niguel and Mission Viejo. The program will be available seven days a week with unlimited rides inside each OC Flex zone for \$4.50 per day with the OC Flex mobile app, or \$5.00 per day if paying with cash onboard.

VIII. Member Reports

A. Adult Behavior Management – Maryam Abedi (absent)

B. Adult Day Programs – Rick Perez (present)

Mr. Rick Perez reported that the two Committees met and discussed completing background checks and the liability issues for their businesses. The group also reviewed privacy issues and clients' rights regarding photographs taken of them by vendors. Mr. Perez also commented on the proposed classification changes that had been submitted to the Workers' Compensation Insurance Rating Bureau of California. These proposed classification changes could quadruple workers' compensation insurance premiums for day program vendors.

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

Co-Chair Ms. Marie Sañudo reported that their subcommittee reviewed the AFHA vendor referral packet and procedures and the PCT One-Page Description.

D. Behavior Services – Junie Lazo-Pearson (present)

Ms. Junie Lazo-Pearson reported that their subcommittee met on October 4, 2018, where Dr. Bonnie Ivers, RCOC's Clinical Director, reviewed the use of restrictive procedures and reporting guidelines. The subcommittee also continued their discussion on the transition of RCOC's persons served to CalOptima.

E. Community Care Facilities (CCF) – Noel Villegas (present)

Mr. Noel Villegas reported that the subcommittee met today and discussed the lack of program support due to the rate issues.

F. Early Intervention – Tiffany Bauer (present)

Ms. Bauer reported that their subcommittee meeting is scheduled for October 25, 2018.

G. Habilitation – Roland Fernandez (present)

Mr. Roland Fernandez reported that their subcommittee did not meet.

H. Independent Living/Supported Living (IL/SL) – Janice Retz (present)

Ms. Janice Retz reported that the subcommittee met this morning and discussed creative new ideas to recruit new staff. The subcommittee also discussed a Worker's Compensation Board audit of a vendor and the proposed classification changes that had been submitted to the Workers' Compensation Insurance Rating Bureau of California.

I. Intermediate Care Facilities (ICF) – Rich Mraule (present)

Mr. Rich Mraule reported that their subcommittee met on October 2, 2018. The group discussed life and safety issues, an outbreak of scabies and how to handle it in an ICF setting and, how to correctly file a Special Incident Report.

J. Respite and Allied Health – Lizette Ceja (present)

Ms. Lizette Ceja reported that a Respite Vendor Fair will be held on November 27, 2018, at RCOC's Santa Ana office and on November 29, 2018, at the Cypress location. The subcommittee also discussed the Self-Determination Program with Mr. Jack Stanton, RCOC's Associate Director of Housing. Ms. Ceja reported that they also discussed reaching out to parent support groups and providing them with a presentation on respite services.

IX. Adjournment

Ms. Bauer adjourned the meeting at 3:04 p.m.

The next VAC meeting is scheduled for Tuesday, November 13, 2018.

Recorder: Sandra Lomelí

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: November 1, 2018

TO: RCOC Board of Directors

FROM: Tiffany M. Bauer
Chair, Vendor Advisory Committee

ACTION	
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	X

SUBJECT: **Resignation of Mark Antenucci as Co-Chair of the Vendor Advisory Committee**

BACKGROUND:

RCOC's Board of Directors appoints the members of the Vendor Advisory Committee, pursuant to Welfare and Institutions Code §4622(i), which states:

"The governing board shall appoint an advisory committee composed of a wide variety of persons representing the various categories of providers from which the regional center purchases client services. The advisory committee shall provide advice, guidance, recommendations, and technical assistance to the regional center board in order to assist the regional center in carrying out its mandated functions. The advisory committee shall designate one of its members to serve as a member of the regional center board."

REASON FOR CURRENT ITEM:

Mr. Mark Antenucci has resigned from his position as Co-Chair of the Vendor Advisory Committee and as Chair of the Adult Family Home Agency/Foster Family Agency subcommittee, see Agenda Item III. I. 2. His term as Co-Chair began on July 1, 2018. The Vendor Advisory Committee will nominate a new Co-Chair at its next meeting to complete the remainder of his term. This nomination will be presented to the Board for appointment at its meeting on January 10, 2019.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

This is presented to the Board of Directors as information.

REGIONAL CENTER OF ORANGE COUNTY
BOARD OF DIRECTORS
AGENDA ITEM DETAIL SHEET

DATE: November 1, 2018

TO: RCOC Board of Directors

FROM: Tiffany M. Bauer
Chair, Vendor Advisory Committee

ACTION	X
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	

SUBJECT: **Approval of Vendor Advisory Committee Members Marie Sañudo as Chair of AFHA/FFA Subcommittee and Tim Chervenak as Co-Chair of Habilitation Subcommittee**

BACKGROUND:

RCOC's Board of Directors appoints the members of the Vendor Advisory Committee, pursuant to Welfare and Institutions Code §4622(i), which states:

"The governing board shall appoint an advisory committee composed of a wide variety of persons representing the various categories of providers from which the regional center purchases client services. The advisory committee shall provide advice, guidance, recommendations, and technical assistance to the regional center board in order to assist the regional center in carrying out its mandated functions. The advisory committee shall designate one of its members to serve as a member of the regional center board."

REASON FOR CURRENT ITEM:

Mr. Mark Antenucci, Chair of the Adult Family Home Agency (AFHA)/Foster Family Agency (FFA) subcommittee of RCOC's Vendor Advisory Committee (VAC) was appointed by the Board on June 1, 2017 for a two-year term beginning June 1, 2017 and ending May 30, 2019.

Mr. Antenucci has resigned as Chair. Ms. Maria Sañudo, the subcommittee's current Co-Chair has been nominated as Chair (see attachment). Ms. Sañudo's term as Chair will begin on November 1, 2018 and end on May 30, 2019.

The Habilitation subcommittee of RCOC's Vendor Advisory Committee has nominated Tim Chervenak as Co-Chair (see attachment). Mr. Chervenak's term as Co-Chair will begin on November 1, 2018 and end on May 30, 2019.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

That the Board approve the Vendor Advisory Committee memberships as presented.

Attachment for Agenda Item III.I.2.

VENDOR ADVISORY COMMITTEE

NOMINATIONS FOR MEMBERSHIP

ADULT FAMILY HOMES (AFHA)/FOSTER FAMILY AGENCY (FFA)

Marie Sañudo, Chair
OCAAC

Ms. Sañudo currently serves as the Assistant Vice President for Orange County Adult Achievement Center's, DBA My Day Counts, Family Connections, Family Home Agency, Independent Living and Parenting Skills programs. She has been in her current role for the past several years. Ms. Sañudo continues to work towards the expansion of services under the agency's model, as it is an empowerment for individuals to maximize their independence in a supportive and safe environment.

HABILITATION

Tim Chervenak, Co-Chair
Project Independence

Mr. Chervenak is the Director of Employment Services for Project Independence. He has worked in the field for over 20 years, and has worked at Project Independence since 2003. He oversees the Supported Employment program which serves almost 200 people who are employed in jobs throughout Orange County. Mr. Chervenak has served as the Habilitation Subcommittee Co-Chair and Chair of the Orange County Disability Services Association. He believes in and works to support the rights of people with disabilities to live in the community and to exercise freedom and personal choice over their lives.

**Regional Center of Orange County
Peer Advisory Committee
September 19, 2018
Minutes**

Committee Members Present: Sylvia Delgado, Chairperson
Marcell Bassett (*arrived at 4:16 p.m.*)
Amy Jessee
Peter Kuo
Jyusse Corey, Peer Advocate
Sam Durbin
John Godlasky
Yvonne Kluttz
Fernando Peña
Sean Sullivan

Committee Members Absent: Steven Gersten
Steven Mesinas

RCOC Staff Members Present: Larry Landauer, Executive Director (*arrived at 4:31 p.m.*)
Cristina Mercado, Person Centered Thinking Coordinator

Guests: Cathy DeMello, Alliance of Abilities
Minaya Wright, Alliance of Abilities

Ms. Sylvia Delgado called the meeting to order at 4:04 p.m.

I. Welcome and Introductions

Ms. Delgado welcomed everyone to the Peer Advisory Committee (PAC) Meeting and asked members and guests to introduce themselves.

The Committee then read RCOC's Mission and Vision Statement.

II. RCOC Peer Advocate Report

Mr. Jyusse Corey reported that the Centers for Medicare & Medicaid Services (CMS) have approved funding for California's Self-Determination Program (SDP). On October 1, 2018, the Department of Developmental Services (DDS) will select, from the approximately 500 persons who enrolled, 151 persons to participate in the Self-Determination Program for Orange County. Mr. Corey also reported that the California Achieving a Better Life Experience (CalABLE) program has scheduled their program launch for December 2018.

III. Summer Break 2018

Committee members and RCOC staff shared their pictures and experiences about what they did over their summer break.

IV. Community Forum

Ms. Cathy DeMello and Ms. Minaya Wright, from Alliance of Abilities, shared that Integrity House will be hosting their Annual Self-Determination Conference on Saturday, October 13, 2018, from 9:00 a.m. to 2:00 p.m. There will be a cover charge of \$5.00 that will include a continental breakfast, lunch and raffle tickets. The conference topic is *See Something? Say Something!* The key speaker will be Planned Parenthood and a dialogue will be led by members from the community sharing their personal and uplifting stories about overcoming and coping with the effects of abuse and unhealthy relationships.

V. Brainstorming: Committee Topics for Fiscal Year 2018-19

Committee members discussed potential topics for upcoming PAC meetings. The Committee expressed interest in a presentation by Mr. Arturo Cazares, RCOC's Associate Director of Employment, on Competitive Integrated Employment (CIE), a presentation by Ms. Cristina Mercado, RCOC's PCT Coordinator, on the Person Centered Thinking IPP, and a presentation by Mr. Jack Stanton, RCOC's Associate Director of Housing, on the 2019 Performance Contract.

VI. Next Scheduled Meeting

The next PAC meeting is scheduled for Wednesday, October 17, 2018, from 4:00 p.m. to 5:30 p.m.

The meeting was adjourned at 4:57 p.m.

Recorder: Sandra Lomeli

**Regional Center of Orange County
Peer Advisory Committee
October 17, 2018
Minutes**

Committee Members Present: Sylvia Delgado, Chairperson
Marcell Bassett (*arrived at 4:12 p.m.*)
Amy Jessee
Peter Kuo
Jyusse Corey, Peer Advocate
John Godlasky
Fernando Peña

Committee Members Absent: Sam Durbin
Steven Gersten
Steven Mesinas
Sean Sullivan

RCOC Staff Members Present: Cristina Mercado, Person Centered Thinking Coordinator
Suzanne Butler, Insurance and Benefits Specialist

Guests: LaQuanda Hill, Social Services Supervisor I, IHSS
Stephanie Hooker, Social Worker II, IHSS

Ms. Sylvia Delgado called the meeting to order at 4:03 p.m.

I. Welcome and Introductions

Ms. Delgado welcomed everyone to the Peer Advisory Committee (PAC) Meeting and asked members and guests to introduce themselves.

The Committee then read RCOC's Mission and Vision Statement.

II. RCOC Peer Advocate Report

Mr. Jyusse Corey, RCOC's Peer Advocate, shared information from the Annual Self-Determination Conference *See Something? Say Something!*, which was held on Saturday, October 13, 2018, at Alliance of Abilities' Integrity House. Mr. Corey shared that Planned Parenthood was the keynote speaker at the event and members from the community shared their personal and uplifting stories about overcoming and coping with the effects of abuse and unhealthy relationships. PAC's Committee member, Mr. Sean Sullivan also shared his emotional story about abuse. Mr. Corey stated that the conference was a very informative and an emotional event.

III. In-Home Supportive Services Presentation

Ms. LaQuanda Hill and Ms. Stephanie Hooker from In-Home Supportive Services (IHSS) presented on the IHSS program which helps pay for services provided to low-income elderly, blind or disabled individuals, including children, so that they can remain safely in their own homes and avoid the need for out-of-home care. Ms. Hooker reviewed IHSS's application process, paramedical services, authorized and non-authorized services and care provider requirements. Ms. Hill then reviewed an IHSS recipient's rights, what to do if the recipient has a complaint and how to file a state hearing if the recipient disagrees with a county's action on benefits or services.

IV. Community Forum

No community members were present at the meeting.

V. Other

Ms. Delgado discussed ways to give back to the community for the holiday season such as, a food drive with the Orange County Rescue Mission. Ms. Delgado will contact the Orange County Rescue Mission about a possible food drive and will report back to the Committee. Ms. Delgado also mentioned that the Committee could donate to the Family Resource Center's (FRC's) Toy Collection. Ms. Cristina Mercado, RCOC's Person Centered Thinking Coordinator, stated that the toys collected will be primarily for children under the age of three, though some may have older siblings. Both Ms. Delgado and Ms. Mercado suggested keeping the cost of the toys at \$10.00.

Ms. Amy Jessee mentioned that the Pacific Marine Mammal Center will hold an educational presentation at Integrity House on Wednesday, October 24, 2018, at 10:00 a.m.

VI. Next Scheduled Meeting

The next PAC meeting is scheduled for Wednesday, November 21, 2018, from 4:00 p.m. to 5:30 p.m.

The meeting was adjourned at 5:01 p.m.

Recorder: Sandra Lomeli

**Regional Center of Orange County
Legislative and Community Awareness Committee
October 4, 2018
Minutes**

Committee Members Present: Liza Krassner, Chairperson
Cliff Amsden
Hilda Mendez

Committee Members Absent: Tiffany Bauer
Alan Martin

RCOC Staff Members Present: Larry Landauer, Executive Director
Bette Baber, Chief Financial Office
Jerrod Bonner, Information Technology Director (*left at 4:54p.m.*)
Bonnie Ivers, Clinical Director
Patrick Ruppe, Director of Services and Supports
Stacy Wong, Director of Human Resources
Kathleen McFarlin, Manager, Family Support and
Community Outreach

Guests: Maritza Bravo, Community Member
Linda Blankenship, RCOC Consultant (*via phone*)
Anh Nguyen, RCOC Consultant

Ms. Liza Krassner called the meeting to order at 4:07 p.m.

I. Public Relations

A. Dialogue – Fall Issue

Ms. Linda Blankenship reported that the fall issue of the *Dialogue* will be mailed in late October 2018. The theme of this issue will be about young families, safety and back-to-school. The *Dialogue* will also include the relaunch of Safety Stu's Corner, a column by Stuart Haskin of GET SAFE to share safety tips and information, the PCT training for service providers and families and the backpack giveaway event. This issue will be sent to over 20,000 stakeholders, including every family served by RCOC, service providers and the entire Orange County state legislative delegation. It will also be mailed to Orange County Supervisors and individual Costa Mesa City Council Members.

B. News Media Outreach

Ms. Blankenship reviewed RCOC's public relations strategy and how it supports the strategic goals such as, cost effectively leveraging RCOC's content investments, combining efforts through social media, legislative efforts and outreach. Ms. Blankenship shared recent

successes such as the back-to-school backpack and school supplies giveaway. Ms. Blankenship also shared future public relation opportunities such as email interviews with CAREERS & the disABLED Magazine and Board member, Peter Kuo, regarding his employment with Northrop Grumman and noted the article in Autism Parenting Magazine with Board member, John “Chip” Wright, and his wife.

C. Social Media

Ms. Anh Nguyen reported that RCOC’s social media strategy continues to be a very successful tool for reaching out to the community, being a credible source of relevant and timely information for stakeholders, sharing activities and promoting RCOC in general. Ms. Nguyen shared media highlights from *Facebook, Twitter and Instagram* featuring RCOC’s person served. Ms. Nguyen also mentioned that she has included many of the community events that Ms. McFarlin has shared with her on RCOC’s social media and public relations platforms.

II. Legislation

A. Relationships with RCOC’s Legislative Delegation

Ms. Nguyen reported that Assembly members Phillip Chen (R55) and Matthew Harper (R74) have requested a tour of the Fairview Developmental Center (FDC). Both Assembly members are interested in FDC and the land use as proposed by Orange County Board Supervisor Shawn Nelson and having it serve as a temporary shelter for homeless people in Orange County. Ms. Nguyen stated that she has proposed a tour that includes an in-home early intervention visit, a stop at the offices of service provider, Intervention Center for Early Childhood (ICEC) in Irvine, a visit to a few persons served who are working in the community and then to FDC, which would include Harbor Village, the new crisis homes on Mark Lane and the future site of Shannon’s Mountain.

B. Legislation Affecting People with Developmental Disabilities

Ms. Nguyen reported that Governor Jerry Brown signed Senate Bill 134 (SB 134). This will amend Welfare and Institutions Code, Section 4629.5, to include the posting of salaries, wages, and employee benefits for all managerial positions for which the primary purpose is the administrative management of the regional center, including, but not limited to, directors and chief executive officers.

III. Community Outreach

A. Disparity – Focused Activities

Mr. Patrick Ruppe reported that RCOC is in the process of determining where to focus its outreach efforts and how it will be able to validate the success of those efforts. Mr. Ruppe presented a PowerPoint on the change in ethnicity for those who are eligible for Lanterman services from fiscal year 2011-12 to 2017-18 and compared it to the change in ethnicity for Orange County’s population over the same time period. This will help RCOC focus its

***RCOC Legislative and Community Awareness Committee Minutes
October 4, 2018***

efforts on those ethnicities which are the most underserved. Mr. Ruppe also reported that the monthly Operations Report will be revised to include the ethnicity of those who receive developmental screenings and the ethnicity of those who reside in licensed residential facilities. A new page will be added for the number of family notifications that RCOC sends each month and in which language.

Mr. Ruppe stated that efforts continue to reach underserved communities and develop more ways to address disparity issues.

B. Employer/Business Community

Mr. Ruppe reported that the *Breakfast of Business Champions* will be held on Friday, October 12, 2018, at 7:30 a.m. at the Center Club Orange County in Costa Mesa. The event will honor 11 businesses that have employed persons with developmental disabilities.

IV. Holiday-Focused Activity

Ms. Kathleen McFarlin reported that community events are now posted on RCOC's website. The Family Resource Center (FRC) is in the process of collecting new toys which will be gift wrapped and distributed throughout the holidays to the families who are most in need.

V. Outreach: Developing Metrics to Assess Impact

Ms. Krassner tabled the topic until the next Committee meeting.

VI. Community Forum

No community members were present at the meeting.

Ms. Krassner adjourned the meeting at 5:02 p.m.

Recorder: Sandra Lomeli