



REGIONAL CENTER OF ORANGE COUNTY BOARD OF DIRECTORS' MEETING AGENDA

Date: **Thursday, May 6, 2021**

Time: **5:30 p.m. – 7:00 p.m.**

Place: via electronic means

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	John "Chip" Wright
	B.	Budget and Finance Committee	Mine Hagen
	C.	Consent Calendar*	John "Chip" Wright
		1. Approval of Board of Directors' Minutes for March 4, 2021** 2. Budget and Finance Committee** a. Approval of Monthly Sufficiency of Allocation Report, February 2021** b. Approval of Monthly Sufficiency of Allocation Report, March 2021** c. Approval of Budget Amendment E-5, Fiscal Year 2018-19 d. Approval of Audited Financial Statements for the Year Ended June 30, 2020** e. Review of Draft Form 990, Return of Organization Exempt from Income Tax for the Year Ended June 30, 2020** f. Review of the Department of Developmental Services' (DDS') Audit Report for the Fiscal Years Ended June 30, 2018 and 2019** g. Approval of Budget Amendment	
	D.	Executive Director's Report	Larry Landauer
		1. Operations Report – February 2021** 2. Operations Report – March 2021** 3. Performance Contract – February 2021** 4. Performance Contract – March 2021** 5. Employment Update 6. Hy-Lond Update 7. Housing Update	Arturo Cazares Keli Radford Jack Stanton
	E.	Community Forum***	John "Chip" Wright
	F.	Executive Committee	John "Chip" Wright
		1. Approval of Renewal of Board Membership for Clifford Amsden for a Three-Year Term Commencing July 1, 2021 and Ending June 30, 2024	
	G.	Board Recruitment and Training Committee**	John "Chip" Wright
	H.	Policies and Outcomes Committee**	Cliff Amsden
		1. Policies on Governance** 2. Policy on Executive Performance and Monitoring** 3. Approval of Revisions to the Executive Limitations Policy** 4. Approval of Revisions to the Communications Policy**	
	I.	Vendor Advisory Committee**	Tiffany Bauer
		1. Approval of Vendor Advisory Committee Members**	
	J.	Peer Advisory Committee**	Sylvia Delgado
	K.	Legislative and Community Awareness Committee**	Liza Krassner
	L.	ARCA Report	Liza Krassner
	M.	Chairperson's Report	John "Chip" Wright

IV.	Adjournment	John “Chip” Wright
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**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
March 4, 2021
Videoconference Minutes**

Board Members Present: John "Chip" Wright, Chairperson
Cliff Amsden
Marcell Bassett
Sylvia Delgado
Mine Hagen
Frances Hernandez
Amy Jessee (*joined at 5:40 p.m.*)
Sandy Martin
Chinh Nguyen
Fernando Peña

Board Members Absent: Tiffany Bauer
Meena Chockalingam
Liza Krassner

Corporate Counsel Present: David Lester, Esq.

I. General Session

Mr. Chip Wright called the meeting to order at 5:30 p.m.

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

Mr. Marcell Bassett led attendees in a recitation of the Pledge of Allegiance.
Ms. Sylvia Delgado read RCOC's Mission and Vision Statement.

B. Budget and Finance Committee

Ms. Mine Hagen reported that the Committee met, reviewed and recommends for approval all of its items on the consent calendar.

C. Consent Calendar

1. Approval of Board of Directors' Minutes for March 4, 2021
2. Budget and Finance Committee
 - a. Approval of Monthly Sufficiency of Allocation Report, December 2020
 - b. Approval of Monthly Sufficiency of Allocation Report, January 2021

- c. Approval of Budget Amendment B-2, Fiscal Year 2020-21
- d. Approval of Line of Credit for Fiscal Year 2020-21

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:

- *Federal News.* Mr. Landauer reported that the Federal Communications Commission (FCC) will launch an Emergency Broadband Benefit Program. The Consolidated Appropriations Act of 2021 included a new \$3.2 billion Emergency Broadband Benefit Program to help low-income consumers access the Internet. To participate in the program, a telecommunications provider must elect to participate and either be designated as an eligible telecommunications carrier or be approved by the commission. Participating providers will make available to eligible households a monthly discount of up to \$50 off the standard rate for Internet service and associated equipment. Participating providers will receive reimbursement from the Emergency Broadband Benefit Program for the discounts provided. Participating providers that also supply an eligible household with a laptop, desktop computer, or tablet (connected device) for use during the emergency period may receive a single reimbursement of up to \$100 for the connected device.

Mr. Landauer mentioned that because most regional center services are included in federal waivers, vendors who received Paycheck Protection Program (PPP) loans must ensure that they were also not paid by RCOC for the same service hour. If there was a duplication of payment, vendors must reimburse the regional center.

- *Statewide News.* Mr. Landauer reported that California will provide the Golden State Stimulus payments to California residents who qualify. This is a one-time \$600 or \$1,200 payment. Californians may receive this payment if they receive the [California Earned Income Tax Credit \(CalEITC\)](#) or file with an Individual Taxpayer Identification Number (ITIN). The Golden State Stimulus aims to support low-income Californians and help those facing hardship due to COVID-19.
- *Coronavirus Disease 2019 (COVID-19).* Mr. Landauer reported that the number of positive cases in Orange County continues to decline due to many individuals who have been vaccinated.

Mr. Landauer also reported that by March 15, 2021, persons served from ages 16 to 64 years of age will be eligible to be vaccinated.

***RCOC Board of Directors' Meeting Minutes
March 4, 2021***

- *Developmental Services (DS) Task Force.* Mr. Landauer reported that the DS Task Force workgroups continue to hold monthly meetings, which are designed to explore ways to strengthen community services.
- *Purchase of Service (POS) Expenditures for Fiscal Year 2020-21.* Mr. Landauer reported that there is a projected deficit system-wide.
- *Person Centered Thinking (PCT).* Mr. Landauer reported that RCOC continues to provide PCT trainings.
- *Employment.* Mr. Landauer reported that Mr. Arturo Cazares, RCOC's Associate Director of Employment, presented RCOC's employment data at the DDS Task Force Community Resources meeting on February 22, 2021.

Mr. Cazares reported that RCOC will host a series of transition workshops from March to June 2021.

- *Closure of Hy-Lond.* Ms. Keli Radford, RCOC's Director of Services and Supports, reported on the Hy-Lond residents who are currently residing outside of Orange County until their new ResCare home is ready for occupancy.
- *Housing.* Mr. Jack Stanton, RCOC's Associate Director of Housing, reported that the ten units at the Salerno Apartments in Irvine have been leased to persons served and will be available soon for occupancy.

Ms. Christina Petteruto, RCOC's General Counsel, reported that the agreement with Brilliant Corners approved by the Board on January 9, 2020, has been amended and requires Board approval. Ms. Petteruto also reported that DDS changed the project number from 1920-3 to 1920-2.

1. Approval of Amendment to Property Renovation Agreement with Non-Profit Housing Corporation, Brilliant Corners, for the Development of a Specialized Residential Facility (CDRP No. 1920-2)

M/S/C to approve the Amendment to Property Renovation Agreement with Non-Profit Housing Corporation, Brilliant Corners, for the Development of a Specialized Residential Facility (CDRP No. 1920-2), as recommended

- *Legislative and Community Awareness.* Mr. Landauer reviewed media highlights and mentioned that Board member Ms. Chinh Nguyen will be interviewed for a feature in *Parenting OC* Parent magazine. Mr. Landauer also mentioned that the 2021 Spotlight Awards will be held virtually on Monday, March 8, 2021 at 6:00 p.m.
- *Health and Wellness.* Dr. Bonnie Ivers, RCOC's Clinical Director, reported that the Abuse Awareness Taskforce will meet in March 2021, to address safety

concerns related to persons served, families, staff and vendors.

Dr. Sam Ho, RCOC's Consulting Pharmacist, provided a presentation on the *Healthy Life, Happy Life* program, which launched its virtual program in January 2021 with 107 participants.

- *RCOC News.* Mr. Landauer reported that RCOC continues to conduct its virtual community meetings every other week with translation services available in Spanish and Vietnamese. Mr. Landauer stated that Dr. Peter Himber, RCOC's Medical Director, continues to provide updates and vital information on COVID-19 and vaccines. Additionally, Dr. Himber and Dr. Ivers continue to be active partners with the Orange County Health Care Agency.
- *Purchase of Service (POS) Expenditure Data.* Mr. Landauer reported that RCOC's virtual POS Expenditure Data public meeting will be on March 24, 2021 at 6:30 p.m.
- *Self-Determination Program (SDP).* Mr. Landauer reported that the next SDP Local Advisory Committee will be held virtually at 6:30 p.m. on April 12, 2021.
- *ARCA Academy.* Mr. Landauer reported that the fourth ARCA Academy training webinar is scheduled for Saturday, March 13, 2021, from 1:00 p.m. to 2:30 p.m. The trainings are available for all regional center Board members.

E. Community Forum

There were no speakers for community forum.

F. Executive Committee

Mr. Wright reported that the next Committee meeting will be held at 5:00 p.m. on March 15, 2021.

Mr. Cliff Amsden presented the following agenda item from the Executive Committee for approval.

2. Approval of Renewal of Board Membership for John "Chip" Wright for a Three-Year Term Commencing May 1, 2021 and Ending April 30, 2021

M/S/C to approve the Renewal of Board Membership for John "Chip" Wright for a Three-Year Term Commencing May 1, 2021 and Ending April 30, 2021, as recommended

G. Board Recruitment and Training

Mr. Wright reported that the Committee met on February 8, 2021, and discussed recruitment efforts. The next Committee meeting will be held on April 12, 2021.

Mr. Wright also reported that the Board held a virtual training on *Abuse Awareness* on February 4, 2021. The next Board training is scheduled for April 1, 2021, and the topic will be on *Transportation*.

H. Policies and Outcomes Committee

Mr. Amsden stated that the Committee met and reviewed the Executive Leadership Succession Policy, the Policy on Background Check Requirements for Providers and the Document Retention and Destruction Policy. Revisions were proposed for the Executive Leadership Succession Policy and the Document Retention and Destruction Policy.

Mr. Amsden presented revisions to the Executive Leadership Succession Policy and the Document Retention and Destruction Policy, as recommended by the Policies and Outcomes Committee.

1. Approval of Revisions to the Executive Leadership Succession Policy

M/S/C to approve revisions to the Executive Leadership Succession Policy as recommended

2. Approval of Revisions to the Document Retention and Destruction Policy

M/S/C to approve revisions to the Document Retention and Destruction Policy as recommended

The next Committee meeting is scheduled for March 15, 2021.

I. Vendor Advisory Committee

In Ms. Tiffany Bauer's absence, Mr. Landauer reported that the Committee met on February 9, 2021, and discussed concerns about billing Alternative Services. The Committee also elected VAC Member, Mr. Mark Antenucci, as VAC Co-Chair.

Mr. Landauer also reported that the Committee recommends for approval the following agenda item:

1. Approval of Vendor Advisory Committee Member Andrew Velasco as Co-Chair of the Support Services/Allied Health Subcommittee

M/S/C to approve Vendor Advisory Committee Member Andrew Velasco as Co-Chair of the Support Services/Allied Health Subcommittee

J. Peer Advisory Committee

Ms. Sylvia Delgado reported that the Committee met on February 17, 2021, and Dr. Ho gave a presentation on the *Healthy Life, Happy Life* program.

The next PAC meeting is scheduled for March 17, 2021.

K. Legislative and Community Awareness Report

In Ms. Krassner's absence, Mr. Landauer reported that the next Committee meeting is scheduled for April 13, 2021.

L. ARCA Report

Mr. Landauer reported that ARCA continues to advocate for provider rate increases.

M. Chairperson's Report

Mr. Wright reminded everyone that the virtual 2021 Spotlight Awards will be on Monday, March 8, 2021, at 6:30 p.m.

II. Adjournment

Mr. Wright adjourned the meeting at 7:02 p.m.

Sylvia Delgado, Secretary

Recorder: Sandra Lomelí

**Regional Center of Orange County
Budget & Finance Committee
Videoconference Minutes
March 4, 2021**

Committee Members Present: Mine Hagen, Chair
Cliff Amsden
Marcell Bassett
Amy Jessee (*left at 4:46 p.m.*)
Sandy Martin
Chinh Nguyen
John “Chip” Wright

Committee Members Absent: Fernando Peña

RCOC Staff Present: Bette Baber, Chief Financial Officer
Larry Landauer, Executive Director
Arturo Cazares, Associate Director of Employment
Liliana Castillo, Accounting Manager, POS
Nancy Franco, Accounting Manager, Operations
Raudel Perez, Administrator
Linda Pham, Fiscal Analyst
Keli Radford, Director of Services and Supports
Marta Vasquez, Associate Finance Director
Stacy Wong, Human Resources Director

The meeting was called to order at 4:01 p.m.

1. Approval of Monthly Sufficiency of Allocation Reports, December 2020 and January 2021

Ms. Marta Vasquez reported that RCOC is projecting a deficiency of \$8.3 million, a reduction of \$2.3 million from the previous projection. RCOC’s projected surplus will be less than \$100,000, if all \$8.4 million of the State Plan Amendment receivables are paid.

Although there are many factors that will increase expenditures significantly, including rate increases and the additional services authorized while day programs and schools are closed due to the pandemic, the change from absence billing to Alternative Service has reduced billing. The Department of Developmental Services (DDS) authorized absence billing until August 31, 2021. Effective September 1, 2020, DDS authorized payment for Alternative Service, which is intended to meet the needs of the persons served, sustain the developmental services provider network and continue receipt of federal reimbursement.

RCOC Budget and Finance Committee Minutes
March 4, 2021

Billing Alternative Service requires vendors to complete more processes prior to billing; and, this delay in billing by some vendors has disrupted expenditure trends and made it more difficult to project expenditures for the fiscal year.

M/S/C to approve the monthly SOARs.

2. Approval of Budget Amendment B-2, Fiscal Year 2020-21

Ms. Bette Baber reported that DDS will allocate an additional \$614,530 in the B-2 amendment.

3. Approval of Line of Credit for Fiscal Year 2020-21

Ms. Baber reported that Union Bank has committed \$44.5 million to RCOC for its line of credit.

There was also a discussion on the decline in the number of Early Start cases.

The meeting adjourned at 4:50 p.m.

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION X
ACTION/CONSENT
DISCUSSION
INFO ONLY

DATE: May 6, 2021

TO: Board of Directors

FROM: Budget and Finance Committee

SUBJECT: **Approval of Monthly Sufficiency of Allocation Report, February 2021**

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: April 28, 2021

To: Board of Directors

From: Budget and Finance Committee

Subject: Highlights – February 2021 Sufficiency of Allocation Report (SOAR)

Purchase of Services (POS)

RCOC is projecting a deficit of \$2.2 million, a reduction of \$6.2 million over the previous projection. RCOC will have a projected surplus of \$6.2 million if all \$8.4 million of the State Plan Amendment receivables are paid.

The projection includes the fiscal impact of prior years' and current year's rate increases:

- the continuation of minimum wage increases effective every year from January 1, 2016 to January 1, 2020,
- the new minimum wage increase effective January 1, 2021, and
- the continuation of supplemental rate increases effective January 1, 2020.

It also includes the projected cost of 492 persons served who will graduate from school to regional center-funded adult day programs.

The challenge continues to be projecting the fiscal impact of COVID-19. As reported at the last Budget and Finance Committee meeting, DDS' authorization to pay vendors for absences that were the direct result of COVID-19 ended on August 31, 2020. Effective September 1, 2020, DDS authorized payment for Alternative Service, which is intended to meet the needs of the persons served, sustain the developmental services provider network and continue receipt of federal reimbursement. Billing Alternative Service requires vendors to complete more processes prior to billing; and, this delay in billing by some vendors has disrupted expenditure trends and made it more difficult to project expenditures for the fiscal year.

It is unknown at this time how successful Alternative Service will be in meeting the needs of persons served and how long the Centers for Medicare & Medicaid will approve Alternative Service.

Year to date, RCOC's caseload has increased by three persons for an annualized caseload growth of 0.0%; the regional center system increased by 3,328 persons for an annualized caseload growth of 1.3%.

Operations

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

Monthly Sufficiency of Allocation Report
As of February 28, 2021

	A	B	C	D	E	F	G	H
				SOAR		VARIANCE		
	B-2	ACTUAL	PROJECTED	PROJECTED	(column A-D)/A	(column A-D)	CHANGE	
PURCHASE OF SERVICE	ALLOCATION	SPENT	EXPENDITURES	EXPENDITURES	%	AMOUNT	FROM PRIOR	SPENT
		YEAR TO DATE	AT "RUN RATE"	(4/10/2021)	YEAR TO DATE		MO. REPORTED	PRIOR YEAR
(1) Licensed Residential Care	\$150,655,328	\$99,382,836	\$149,456,477	\$152,843,077	-1%	-\$2,187,749	\$6,152,326	\$123,187,413
(2) Day Care	3,099,487	1,563,660	2,568,376	3,099,487	0%	\$0	0	2,991,856
(3) Day Training	64,058,837	38,529,492	57,794,238	64,058,837	0%	\$0	0	64,544,654
(4) Habilitation	8,486,789	5,263,679	7,895,519	8,486,789	0%	\$0	0	8,588,066
(5) Transportation	16,397,167	4,233,386	13,729,901	16,397,167	0%	\$0	0	16,323,331
(6) Respite	44,142,900	26,684,365	43,208,768	44,142,900	0%	\$0	0	35,811,872
(7) Supported Living	45,782,867	29,455,731	45,003,158	45,782,867	0%	\$0	0	42,199,888
(8) Non-medical	16,522,410	9,562,984	14,344,476	16,522,410	0%	\$0	0	14,330,856
(9) Medical	8,558,053	4,442,784	6,664,176	8,558,053	0%	\$0	0	5,558,951
(10) Other	97,638,454	63,344,448	96,622,435	97,638,454	0%	\$0	0	94,473,554
(11) Early Start (Age 0-3)	22,415,310	14,418,093	21,627,140	22,415,310	0%	\$0	0	27,620,704
(12) Community Placement Plan	2,233,494	0	0	2,233,494	0%	0	0	5,446,002
(13) Purchase of Service Total	479,991,096	296,881,458	458,914,663	482,178,845	0%	-2,187,749	6,152,326	441,077,147
OPERATIONS						\$6,245,841	* If all SPA receivables are paid.	
(14) Operating Expense (Gross)	7,600,000	4,331,347	6,497,021	7,600,000	0%	0	0	6,550,972
(15) Less Interest Income and SPA Fees	-300,000	-92,032	-138,048	-300,000	0%	0	0	-363,356
(16) Operating Expense (Net)	7,300,000	4,239,315	6,358,973	7,300,000	0%	0	0	6,187,616
(17) Personal Services	42,119,543	25,069,591	37,604,386	42,119,543	0%	0	0	37,466,345
(18) Family Resource Center/Services	269,299	113,526	170,289	269,299	0%	0	0	190,842
(19) Operations Total	49,688,842	29,422,432	44,133,648	49,688,842	0%	0	0	43,844,802
(20) Total	\$529,679,938	\$326,303,890	\$503,048,310	\$531,867,687	0%	-\$2,187,749	\$6,152,326	\$484,921,949

* 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.

STATEMENT OF ASSETS, LIABILITIES AND FUND BALANCES
AS OF FEBRUARY 28, 2021

ASSETS	GENERAL FUND	CUSTODIAL FUND
CURRENT ASSETS		
Petty cash	\$300.00	
Checking	45,142,404.29	
Savings	42,103.22	\$393,155.07
Money market	0.00	
Payroll	257,604.65	
Donations	179,488.36	
Unemployment	553,703.18	
Certificate of deposit	0.00	
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Total current assets	46,175,603.70	393,155.07
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RECEIVABLES		
State claim	79,594,375.70	
Client support revenue	194,267.26	34,125.39
Due from State - prior years	21,868,060.16	
Due from ICF - ICF Supplemental Services	6,451,911.69	
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Total receivables	108,108,614.81	34,125.39
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PREPAID ITEMS		
Deposits	289,582.86	
Prepaid expense	0.00	
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Total prepaid items	289,582.86	0.00
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OTHER ASSETS		
Tenant improvements	467,122.64	
Building acquisition	63,613.98	
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Total other assets	530,736.62	0.00
	-----	-----
TOTAL ASSETS	\$155,104,537.99	\$427,280.46
	=====	=====
LIABILITIES AND FUND BALANCES		
LIABILITIES		
Accounts payable	\$22,332,019.12	\$194,267.26
Due to State - ICF Supplemental Services	52,522.57	
Loans payable	0.00	
Cash advance	131,986,804.76	
Unemployment insurance	553,703.18	
	-----	-----
Total liabilities	154,925,049.63	194,267.26
	-----	-----
FUND BALANCES		
General	0.00	
Donations	179,488.36	
Custodial		233,013.20
	-----	-----
TOTAL LIABILITIES AND FUND BALANCES	\$155,104,537.99	\$427,280.46
	=====	=====

REGIONAL CENTER OF ORANGE COUNTY
BRIAN'S FUND
FEBRUARY 28, 2021

Beginning Balance		\$179,438.36
Donations	\$0.00	
Loan Payments	50.00	
Interest	0.00	
Disbursements	<u>0.00</u>	.
Net Increase (Decrease)		<u>50.00</u>
Ending Balance		<u><u>\$179,488.36</u></u>

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION X
ACTION/CONSENT
DISCUSSION
INFO ONLY

DATE: May 6, 2021

TO: Board of Directors

FROM: Budget and Finance Committee

SUBJECT: **Approval of Monthly Sufficiency of Allocation Report, March 2021**

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: April 28, 2021

To: Board of Directors

From: Budget and Finance Committee

Subject: Highlights – March 2021 Sufficiency of Allocation Report (SOAR)

Purchase of Services (POS)

RCOC is projecting a deficit of \$2.2 million, a reduction of \$6.2 million over the previous projection. RCOC will have a projected surplus of \$6.2 million if all \$8.4 million of the State Plan Amendment receivables are paid.

The projection includes the fiscal impact of prior years' and current year's rate increases:

- the continuation of minimum wage increases effective every year from January 1, 2016 to January 1, 2020,
- the new minimum wage increase effective January 1, 2021, and
- the continuation of supplemental rate increases effective January 1, 2020.

It also includes the projected cost of 492 persons served who will graduate from school to regional center-funded adult day programs.

The challenge continues to be projecting the fiscal impact of COVID-19. As reported at the last Budget and Finance Committee meeting, DDS' authorization to pay vendors for absences that were the direct result of COVID-19 ended on August 31, 2020. Effective September 1, 2020, DDS authorized payment for Alternative Service, which is intended to meet the needs of the persons served, sustain the developmental services provider network and continue receipt of federal reimbursement. Billing Alternative Service requires vendors to complete more processes prior to billing; and, this delay in billing by some vendors has disrupted expenditure trends and made it more difficult to project expenditures for the fiscal year.

It is unknown at this time how successful Alternative Service will be in meeting the needs of persons served and how long the Centers for Medicare & Medicaid will approve Alternative Service.

Year to date, RCOC's caseload has increased by three persons for an annualized caseload growth of 0.0%; the regional center system increased by 3,328 persons for an annualized caseload growth of 1.3%.

Operations

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

Monthly Sufficiency of Allocation Report
As of March 31, 2021

		A	B	C	D	E	F	G	H
					SOAR	VARIANCE			
		B-2	ACTUAL	PROJECTED	PROJECTED	(column A-D)/A	(column A-D)	CHANGE	
		ALLOCATION	SPENT	EXPENDITURES	EXPENDITURES	%	AMOUNT	FROM PRIOR	SPENT
PURCHASE OF SERVICE			YEAR TO DATE	AT "RUN RATE"	(4/10/2021)	YEAR TO DATE		MO. REPORTED	PRIOR YEAR
(1)	Licensed Residential Care	\$150,655,328	\$108,862,726	\$149,152,133	\$152,843,077	-1%	-\$2,187,749	\$6,152,326	\$123,187,413
(2)	Day Care	3,099,487	1,604,460	2,567,136	3,099,487	0%	\$0	0	2,991,856
(3)	Day Training	64,058,837	42,427,093	57,379,123	64,058,837	0%	\$0	0	64,544,654
(4)	Habilitation	8,486,789	5,407,540	7,878,911	8,486,789	0%	\$0	0	8,588,066
(5)	Transportation	16,397,167	4,309,822	12,929,466	16,397,167	0%	\$0	0	16,323,331
(6)	Respite	44,142,900	26,687,212	43,021,435	44,142,900	0%	\$0	0	35,811,872
(7)	Supported Living	45,782,867	32,537,220	44,878,924	45,782,867	0%	\$0	0	42,199,888
(8)	Non-medical	16,522,410	9,804,305	14,082,694	16,522,410	0%	\$0	0	14,330,856
(9)	Medical	8,558,053	4,819,704	7,053,225	8,558,053	0%	\$0	0	5,558,951
(10)	Other	97,638,454	63,424,613	95,136,920	97,638,454	0%	\$0	0	94,473,554
(11)	Early Start (Age 0-3)	22,415,310	16,064,074	21,683,158	22,415,310	0%	\$0	0	27,620,704
(12)	Community Placement Plan	2,233,494	0	0	2,233,494	0%	0	0	5,446,002
(13)	Purchase of Service Total	479,991,096	315,948,769	455,763,124	482,178,845	0%	-2,187,749	6,152,326	441,077,147
OPERATIONS							\$6,245,841	* If all SPA receivables are paid.	
(14)	Operating Expense (Gross)	7,600,000	4,690,642	6,254,190	7,600,000	0%	0	0	6,550,972
(15)	Less Interest Income and SPA Fees	-300,000	-108,641	-144,855	-300,000	0%	0	0	-363,356
(16)	Operating Expense (Net)	7,300,000	4,582,001	6,109,335	7,300,000	0%	0	0	6,187,616
(17)	Personal Services	42,119,543	27,761,981	37,015,975	42,119,543	0%	0	0	37,466,345
(18)	Family Resource Center/Services	269,299	134,429	179,238	269,299	0%	0	0	190,842
(19)	Operations Total	49,688,842	32,478,411	43,304,548	49,688,842	0%	0	0	43,844,802
(20)	Total	\$529,679,938	\$348,427,180	\$499,067,673	\$531,867,687	0%	-\$2,187,749	\$6,152,326	\$484,921,949

* 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.

STATEMENT OF ASSETS, LIABILITIES AND FUND BALANCES
AS OF MARCH 31, 2021

ASSETS	GENERAL FUND	CUSTODIAL FUND
CURRENT ASSETS		
Petty cash	\$300.00	
Checking	51,517,864.42	
Savings	27,869.17	\$365,581.06
Money market	0.00	
Payroll	260,189.12	
Donations	182,041.75	
Unemployment	538,034.71	
Certificate of deposit	0.00	
	-----	-----
Total current assets	52,526,299.17	365,581.06
	-----	-----
RECEIVABLES		
State claim	80,317,062.01	
Client support revenue	123,210.55	34,995.35
Due from State - prior years	13,919,775.01	
Due from ICF - ICF Supplemental Services	7,453,196.92	
	-----	-----
Total receivables	101,813,244.49	34,995.35
	-----	-----
PREPAID ITEMS		
Deposits	289,582.86	
Prepaid expense	0.00	
	-----	-----
Total prepaid items	289,582.86	0.00
	-----	-----
OTHER ASSETS		
Tenant improvements	467,122.64	
Building acquisition	63,613.98	
	-----	-----
Total other assets	530,736.62	0.00
	-----	-----
TOTAL ASSETS	\$155,159,863.14	\$400,576.41
	=====	=====
LIABILITIES AND FUND BALANCES		
LIABILITIES		
Accounts payable	\$22,400,459.35	\$123,210.55
Due to State - ICF Supplemental Services	52,522.57	
Loans payable	0.00	
Cash advance	131,986,804.76	
Unemployment insurance	538,034.71	
	-----	-----
Total liabilities	154,977,821.39	123,210.55
	-----	-----
FUND BALANCES		
General	0.00	
Donations	182,041.75	
Custodial		277,365.86
	-----	-----
TOTAL LIABILITIES AND FUND BALANCES	\$155,159,863.14	\$400,576.41
	=====	=====

REGIONAL CENTER OF ORANGE COUNTY
BRIAN'S FUND
MARCH 31, 2021

Beginning Balance		\$179,488.36
-------------------	--	--------------

Donations:

Anfield Capital Management, LLC.	\$100.00
Healthful Insurance Agency	<u>800.00</u>

Subtotal Donations	\$900.00
--------------------	----------

Loan Payments	1,631.29
---------------	----------

Interest	22.10
----------	-------

Disbursements	<u>0.00</u>
---------------	-------------

Net Increase (Decrease)	<u>2,553.39</u>
-------------------------	-----------------

Ending Balance	<u><u>\$182,041.75</u></u>
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REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION X
ACTION/CONSENT _____
DISCUSSION _____
INFO ONLY _____

DATE: May 6, 2021

TO: Board of Directors

FROM: Budget and Finance Committee

SUBJECT: **Approval of Budget Amendment E-5, Fiscal Year 2018-19**

BACKGROUND:

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

REASON FOR CURRENT ITEM:

The Department of Developmental Services (DDS) will allocate additional funds to RCOC for its Community Placement Plan. It has taken some time for DDS to finalize the allocation. This item was on the Board agenda in June 2020; but, DDS did not provide the allocation numbers until April 2021. Due to the long interval between June 2020 and now, the item is on agenda again.

FISCAL IMPACT:

Community Placement Plan.....\$141,006

RECOMMENDATION:

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

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION X
ACTION/CONSENT _____
DISCUSSION _____
INFO ONLY _____

DATE: May 6, 2021

TO: Board of Directors

FROM: Budget and Finance Committee

SUBJECT: **Approval of Audited Financial Statements for the Year Ended June 30, 2020**

BACKGROUND:

Audited financial statements are required in California's Welfare and Institutions Code Section 4639, and Article III, section 8 of RCOC's contract with the Department of Developmental Services.

REASON FOR CURRENT ITEM:

Compliance with the requirements as stated above.

FISCAL IMPACT:

None

RECOMMENDATION:

That the Board approve the independent audit firm's financial statements as presented.

Agenda Item III.C.-2.d.

April 22, 2021

To the Members of the Budget and Finance Committee of
Regional Center of Orange County, Inc.

We have audited the financial statements of Regional Center of Orange County, Inc. (the “Center”) for the year ended June 30, 2020, and have issued our report thereon dated April 22, 2021. Professional standards require that we provide you with information about our responsibilities under generally accepted auditing standards, *Government Auditing Standards* and the Uniform Guidance, as well as certain information related to the planned scope and timing of our audit.

Our Responsibility Under U.S. Generally Accepted Auditing Standards and the Uniform Guidance

As stated in our engagement letter dated August 10, 2020, our responsibility, as described by professional standards, is to express an opinion about whether the financial statements prepared by management with your oversight are fairly presented, in all material respects, in conformity with U.S. generally accepted accounting principles (“U.S. GAAP”). Our audit of the financial statements does not relieve you or management of your responsibilities.

Our responsibility, as prescribed by professional standards, is to plan and perform our audit to obtain reasonable, rather than absolute, assurance about whether the financial statements are free of material misstatement. An audit of financial statements includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the organization’s internal control over financial reporting. Accordingly, as part of our audit, we considered the internal control of the organization’s solely for the purpose of determining our audit procedures and not to provide any assurance concerning such internal control.

Our responsibility for the supplementary information accompanying the financial statements, as described by professional standards, is to evaluate the presentation of the supplementary information in relation to the financial statements as a whole and to report on whether the supplementary information is fairly stated, in all material respects, in relation to the financial statements as a whole.

An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements; therefore, our audit involved judgment about the number of transactions to be examined and the areas to be tested.

Our audit included obtaining an understanding of the Center and its environment, including internal control, sufficient to assess the risks of material misstatement of the financial statements and to design the nature, timing, and extent of further audit procedures.

Professional standards also require that we communicate to you the following information related to our audit.

Significant Audit Findings

Qualitative Aspects of Accounting Practices

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by Center are described in Note 1 to the financial statements. Except for the following recently adopted accounting pronouncements, no new accounting policies were adopted and the application of existing policies was not changed during the year ended June 30, 2020.

- In May 2014, the Financial Accounting Standards Board (“FASB”) issued Accounting Standards Update (“ASU”) 2014-09, *Revenue from Contracts with Customers (Topic 606)* related to revenue recognition. Subsequently, FASB issued several ASUs: 2016-08, 2016-10, 2016-12, 2016-20, and 2017-05 to clarify certain matters related to *Topic 606*. These updates introduce the new 5-step revenue recognition guidance under *Topic 606*, which supersedes the revenue recognition requirements under *Topic 605, Revenue Recognition*. The new guidance establishes the principles to report useful information to users of financial statements about the nature, timing, and uncertainty of revenue from contracts with customers. The Center adopted ASC 606 effective July 1, 2019, which had no material impact on the financial statements.
- On June 21, 2018, the FASB issued ASU 2018-08, *Not-for-Profit Entities (Topic 958) Clarifying the Scope and the Accounting Guidance for Contributions Received and Contributions Made*. This update provides clarifying guidance on accounting for the grants and contracts of nonprofit organizations as they relate to the new revenue standard (ASU 2014-09 *Revenue from Contracts with Customers*), and aims to minimize diversity in the classification of grants and contracts that exists under current guidance. Under this new guidance, nonprofits will need to recognize revenues either as exchange (reciprocal) transactions or non-exchange (nonreciprocal) transactions. The Center adopted ASU 2018-08 effective July 1, 2019, which had no material impact on the financial statements.

We noted no transactions entered into by the Center during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period.

Accounting estimates are an integral part of the financial statements prepared by management and are based on management’s knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected. The most sensitive estimates affecting the financial statements were:

- Management's estimate of the recoverability of the contract receivables including billed claims and those for the contract reimbursable costs incurred but not billed yet. Management believes that all receivables for costs incurred but not billed, are related to the contract with the Department of Development Services ("DDS"). Further, management believes that these receivables are valid and expected to be fully collectible based on the past experience and been historically billed in compliance with the terms of the past and current contracts with DDS.
- Management's estimate of the unfunded liability of for its participation in the California Public Employees' Retirement System defined benefit pension plan. Management uses an independent actuary to prepare such valuation of this liability in conformity with FASB Accounting Standards Codification 715-30, *Defined Benefit Plans – Pension*. Significant actuarial assumptions include, but are not limited to, discount rate, long-term rate of return, salary scale, and benefit and annual compensation increases.

We evaluated the key factors and assumptions used to develop the above estimates in determining that they are reasonable in relation to the financial statements taken as a whole.

Certain financial statement disclosures are particularly sensitive because of their significance to financial statement users. The most sensitive disclosures affecting the financial statements was were:

- The disclosure of the unbilled reimbursable contract costs receivables and the defined benefit pension plan in Notes 3 and 8 to the financial statements, respectively. These disclosures include substantial balances of unbilled costs receivables for pension benefit liabilities. Such costs are to be billed for reimbursement by DDS when actually paid by the Center.
- The disclosure of risks and uncertainty related to COVID-19 in Note 11.

The financial statement disclosures are neutral, consistent, and clear.

Independence

During the year ended June 30, 2020, we were engaged to assist in the preparation of the financial statements and prepare the Center's tax-exempt returns. We reviewed the nature of the requested work, our role and management's role and determined that our independence would not be impaired, in fact or appearance.

Difficulties Encountered in Performing the Audit

We encountered no significant difficulties in dealing with management in performing and completing our audit.

Corrected and Uncorrected Misstatements

Professional standards require us to accumulate all misstatements identified during the audit, other than those that are clearly trivial, and communicate them to the appropriate level of management.

We did not identify any material misstatements as a result of our audit procedures that were recorded by management or any uncorrected misstatements.

Disagreements with Management

For purposes of this letter, a disagreement with management is a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditors' report. We are pleased to report that no such disagreements arose during the course of our audit.

Management Representations

We have requested certain representations from management that are included in the management representation letter dated April 22, 2021.

Management Consultations with Other Independent Accountants

In some cases, management may decide to consult with other accountants about auditing and accounting matters, similar to obtaining a "second opinion" on certain situations. If a consultation involves application of an accounting principle to the Center's financial statements or a determination of the type of auditors' opinion that may be expressed on those statements, our professional standards require the consulting accountant to check with us to determine that the consultant has all the relevant facts. To our knowledge, there were no such consultations with other accountants.

Other Audit Findings or Issue

We generally discuss a variety of matters, including the application of accounting principles and auditing standards, with management each year prior to retention as the Center's auditors. However, these discussions occurred in the normal course of our professional relationship and our responses were not a condition to our retention.

Other Matters

With respect to the supplementary information accompanying the financial statements, we made certain inquiries of management and evaluated the form, content, and methods of preparing the information to determine that the information complies with U.S. GAAP, the method of preparing it has not changed from the prior period, and the information is appropriate and complete in relation to our audit of the financial statements. We compared and reconciled the supplementary information to the underlying accounting records used to prepare the financial statements or to the financial statements themselves.

Regional Center of Orange County, Inc.

April 22, 2021

Page 5

This information is intended solely for the use of Budget and Finance Committee, Board of Directors and management of Regional Center of Orange County, Inc. and is not intended to be, and should not be, used by anyone other than these specified parties.

Very truly yours,

A handwritten signature in black ink that reads "Marcum LLP". The script is cursive and fluid, with the letters "M", "L", and "P" being particularly prominent.

Marcum LLP



REGIONAL CENTER
OF ORANGE COUNTY

FINANCIAL STATEMENTS AND SUPPLEMENTARY INFORMATION
AS OF AND FOR THE YEAR ENDED JUNE 30, 2020
(WITH SUMMARIZED COMPARATIVE FINANCIAL INFORMATION FOR 2019)

REGIONAL CENTER OF ORANGE COUNTY, INC.

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INDEPENDENT AUDITORS' REPORT

To the Board of Directors of
Regional Center of Orange County, Inc.

Report on the Financial Statements

We have audited the accompanying financial statements of Regional Center of Orange County, Inc. (the "Center"), which comprise the statement of financial position as of June 30, 2020, and the related statements of activities and changes in net assets, functional expenses, and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Regional Center of Orange County, Inc. as of June 30, 2020, and the changes in its net assets and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matters

Supplementary Information

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying Schedule of Expenditures of Federal Awards, as required by Title 2 U.S., *Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* is presented as supplementary information for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the supplementary information is fairly stated, in all material respects, in relation to the financial statements as a whole.

Report on Summarized Comparative Information

We have previously audited the Center's 2019 financial statements and we expressed an unmodified audit opinion on those audited financial statements in our report dated July 14, 2020. In our opinion, the summarized comparative information presented herein as of and for the year ended June 30, 2019, is consistent, in all material respects, with the audited financial statements from which it has been derived.

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report dated April 22, 2021, on our consideration of the Center's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Center's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Center's internal control over financial reporting and compliance.

Marcum LLP

San Francisco, California
April 22, 2021

REGIONAL CENTER OF ORANGE COUNTY, INC.

STATEMENT OF FINANCIAL POSITION

JUNE 30, 2020
(WITH SUMMARIZED COMPARATIVE FINANCIAL INFORMATION
AS OF JUNE 30, 2019)

	2020	2019
Assets		
Cash	\$ 16,307,630	\$ 11,170,138
Cash held for clients	366,597	453,299
Contract receivables - State of California	147,190,387	130,753,946
Intermediate care facilities vendor receivables	5,853,534	5,097,857
Receivables held for clients	--	20,971
Deposits and prepaid expenses	570,887	619,550
Other assets	635,933	630,487
Unbilled reimbursable contract costs receivables - State of California	<u>128,563,682</u>	<u>95,502,233</u>
Total Assets	<u><u>\$ 299,488,650</u></u>	<u><u>\$ 244,248,481</u></u>
Liabilities and Net Assets		
Liabilities		
Accounts payable	\$ 53,165,356	\$ 42,679,815
Contract advance - State of California	117,209,654	105,392,831
Due to State of California	52,523	52,523
Net assets held for clients	326,399	444,701
Accrued vacation and other leave benefits	2,273,758	1,931,849
Deferred rent liability	4,865,802	4,898,449
Unfunded pension benefit obligations	<u>121,424,122</u>	<u>88,671,935</u>
Total Liabilities	299,317,614	244,072,103
Net Assets Without Donor Restrictions	<u>171,036</u>	<u>176,378</u>
Total Liabilities and Net Assets	<u><u>\$ 299,488,650</u></u>	<u><u>\$ 244,248,481</u></u>

The accompanying notes are an integral part of these financial statements.

REGIONAL CENTER OF ORANGE COUNTY, INC.

STATEMENT OF ACTIVITIES AND CHANGES IN NET ASSETS

FOR THE YEAR ENDED JUNE 30, 2020
(WITH SUMMARIZED COMPARATIVE FINANCIAL INFORMATION
FOR THE YEAR ENDED JUNE 30, 2019)

	2020	2019
Support and Revenue		
Contracts - State of California	\$ 512,416,318	444,164,203
Federal awards	929,701	1,141,456
Intermediate care facilities	9,153,586	11,101,141
Interest income	233,874	231,848
Contributions	9,717	154,161
Total Support and Revenue	<u>522,743,196</u>	<u>456,792,809</u>
Expenses		
Program services	480,928,987	425,026,877
Management and general	11,841,961	12,389,927
Total Expenses	<u>492,770,948</u>	<u>437,416,804</u>
Change in Net Asset Before Changes in Pension Benefit Obligations	29,972,248	19,376,005
Change in Pension Benefit Other Than Periodic Benefit Costs	<u>(29,977,590)</u>	<u>(19,246,123)</u>
Change in Net Assets	(5,342)	129,882
Net Assets Without Donor Restrictions - Beginning	<u>176,378</u>	<u>46,496</u>
Net Assets Without Donor Restrictions - Ending	<u>\$ 171,036</u>	<u>\$ 176,378</u>

The accompanying notes are an integral part of these financial statements.

REGIONAL CENTER OF ORANGE COUNTY, INC.

STATEMENT OF FUNCTIONAL EXPENSES

FOR THE YEAR ENDED JUNE 30, 2020
(WITH SUMMARIZED COMPARATIVE FINANCIAL INFORMATION
FOR THE YEAR ENDED JUNE 30, 2019)

	Program Services	Management and General	2020 Total	2019 Total
Purchase of Services				
Community and intermediate care facilities	\$ 122,868,659	\$ --	\$ 122,868,659	\$ 100,580,353
Day training and day program services	97,193,289	--	97,193,289	103,575,009
Transportation services	16,364,980	--	16,364,980	17,110,280
Respite care services	35,131,809	--	35,131,809	34,238,714
Medical care services	9,438,669	--	9,438,669	9,683,148
Nonmedical services	15,276,630	--	15,276,630	20,048,633
Other purchased services	<u>145,370,869</u>	<u>--</u>	<u>145,370,869</u>	<u>103,815,813</u>
Total Purchase of Services	<u>441,644,905</u>	<u>--</u>	<u>441,644,905</u>	<u>389,051,950</u>
Operating				
Salaries and related expenses	39,250,406	3,721,132	42,971,538	39,767,331
Office occupancy	--	3,208,713	3,208,713	3,186,673
Data processing	--	1,440,753	1,440,753	904,734
Office expenses	--	834,340	834,340	317,242
Communications	--	724,881	724,881	789,294
Other operating expenses	<u>33,676</u>	<u>1,912,142</u>	<u>1,945,818</u>	<u>3,399,580</u>
Total Operating	<u>39,284,082</u>	<u>11,841,961</u>	<u>51,126,043</u>	<u>48,364,854</u>
Total Expenses	<u>\$ 480,928,987</u>	<u>\$ 11,841,961</u>	<u>\$ 492,770,948</u>	<u>\$ 437,416,804</u>

The accompanying notes are an integral part of these financial statements.

REGIONAL CENTER OF ORANGE COUNTY, INC.

STATEMENT OF CASH FLOWS

FOR THE YEAR ENDED JUNE 30, 2020
(WITH SUMMARIZED COMPARATIVE FINANCIAL INFORMATION
FOR THE YEAR ENDED JUNE 30, 2019)

	2020	2019
Cash Flows From Operating Activities		
Change in net assets	\$ (5,342)	\$ 129,882
Adjustments to reconcile changes in net assets to net cash provided by operating activities:		
Changes in operating assets and liabilities:		
Contract receivables - State of California	(16,436,441)	(44,548,815)
Intermediate care facilities vendor receivables	(755,677)	178,551
Receivables held for clients	20,971	218,582
Deposits and prepaid expenses	48,663	(6,735)
Other assets	(5,446)	148,950
Accounts payable	10,485,541	5,313,046
Contract advance - State of California	11,816,823	48,335,241
Net assets held for clients	(118,302)	(394,005)
Net Cash Provided by Operating Activities	<u>5,050,790</u>	<u>9,374,697</u>
Cash and Cash Held for Clients - Beginning	<u>11,623,437</u>	<u>2,248,740</u>
Cash and Cash Held for Clients - Ending	<u>\$ 16,674,227</u>	<u>\$ 11,623,437</u>
Statement of Financial Position Presentation		
Cash	\$ 16,307,630	\$ 11,170,138
Cash held for clients	<u>366,597</u>	<u>453,299</u>
Total Cash and Cash Held for Clients	<u>\$ 16,674,227</u>	<u>\$ 11,623,437</u>

The accompanying notes are an integral part of these financial statements.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 1 - ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

PURPOSE AND ORGANIZATION

Organization

Regional Center of Orange County, Inc. (the “Center”), a California nonprofit public benefit corporation under contract with the State of California Department of Developmental Services (“DDS”), was formed in 1977 to administer programs for individuals with developmental disabilities and their families, which includes diagnosis, counseling, education services, and dissemination of information on developmental disabilities to the public. The Center is one of 21 regional centers within California and serves Orange County.

Governance

The Center was organized in accordance with the provision of the Lanterman Developmental Disabilities Services Act (the “Lanterman Act”) of the Welfare and Institutions Code of the State of California. The Lanterman Act includes governance provisions regarding the composition of the Center’s Board of Directors. The Lanterman Act states that the Board shall be comprised of individuals with demonstrated interest in, or knowledge of, developmental disabilities, and other relevant characteristics, and requires that a minimum of 50 percent of the governing board be persons with developmental disabilities or their parents or legal guardians; and that no less than 25 percent of the members of the governing board shall be persons with developmental disabilities. In addition, a member of a required advisory committee composed of persons representing the various categories of providers from which the Center purchases client services, shall serve as a member of the Board. To comply with the Lanterman Act, the Board of Directors includes persons with developmental disabilities, or their parents or legal guardians, who receive services through the Center and a client service provider of the Center.

STATE OF CALIFORNIA CONTRACT

The Center operates under an annual cost-reimbursement contract with DDS under the Lanterman Act. The maximum expenditures under the contract are limited to the contract amount plus interest earned. The Center is required to maintain accounting records in accordance with the Regional Center Fiscal Manual, issued by DDS, and is required to have DDS approval for certain expenses. In the event of termination or nonrenewal of the contract, the State of California maintains the right to assume control of the Center’s operation and the obligation of its liabilities.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 1 - ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

BASIS OF ACCOUNTING

The Center prepares its financial statements in accordance with accounting principles generally accepted in the United States of America ("U.S. GAAP"), which involves the application of the accrual method of accounting; consequently, revenues and gains are recognized when earned, and expenses and losses are recognized when incurred regardless of the timing of cash flows.

CLASSIFICATION OF NET ASSETS

U.S. GAAP requires that the Center report information regarding its financial position and activities according to two classes of net assets: without donor restrictions and with donor restrictions. Accordingly, the net assets of the Center are classified and reported as follows:

Without Donor Restrictions

Those net assets and activities which represent expendable funds for operations related to the DDS contract. These accounts also record the activities of a federally-funded program.

With Donor Restrictions

Those net assets and activities which are donor-restricted for holdings of (a) support of specific operating activities; (b) investment for a specified term; (c) use in a specified future period; (d) the acquisition of long-lived assets; (e) assets donated with stipulations that they be used for a specified purpose, be preserved, and not be sold; or (f) assets donated with stipulations that they be invested to provide a permanent source of income.

As of June 30, 2020, and for the year then ended, the Center did not have any net assets or activities with donor restrictions.

FAIR VALUE OF FINANCIAL INSTRUMENTS

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The carrying amounts of receivables and accounts payable approximate fair value because of the short maturity of these instruments.

ESTIMATES

The preparation of financial statements in conformity with U.S. GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the reporting period. Actual results could differ from those estimates.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 1 - ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

CASH

Cash is defined as cash in demand deposit accounts as well as cash on hand. The Center considers all financial instruments with a maturity of three months or less when purchased to be cash equivalents. As of June 30, 2020, and for the year then ended, the Center did not have any cash equivalents.

CONTRACT RECEIVABLES

Contract receivables represent claims billed according to the terms of the contract for costs incurred through the end of the year. Management believes that these receivables are fully collectible and, therefore, has not provided an allowance for doubtful accounts.

STATE EQUIPMENT

Pursuant to the terms of the contract with DDS, equipment purchases become the property of the State of California and, accordingly, are charged as expenses when incurred. The Center tracks items, which cost more than \$5,000 and have an estimated useful life of more than one year. For the year ended June 30, 2020, there were no equipment purchases, and the equipment disposals were \$35,293. The aggregate equipment costs at June 30, 2020, totaled \$2,142,394.

LEASEHOLD IMPROVEMENTS

Leasehold improvements not reimbursed by DDS are capitalized and are amortized over the shorter of the asset's life or the term of the lease. As of June 30, 2020, leasehold improvements net of amortization were \$635,933 and are included in other assets on the statement of financial position.

CLIENT TRUST ASSETS AND LIABILITIES

The Center serves as a representative payee for a portion of its clients. In this fiduciary capacity, it receives social security benefits and other sources of income and makes payments on behalf of certain developmentally disabled clients who are deemed unable to administer the funds themselves. Client Trust transactions are not considered revenue or expenses of the Center. The cash that is received and outstanding receivables, net of inter-fund liabilities, are reported as a liability, net assets held for others, until it is distributed to the respective clients.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 1 - ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

ACCRUED VACATION AND OTHER LEAVE BENEFITS

The Center has accrued a liability for vacation and sick leave benefits earned which are reimbursable costs under the contract with DDS; however, such benefits are reimbursed only when actually paid, therefore, these deferred costs are recognized as unbilled reimbursable contract costs receivables - State of California on the statement of financial position. The Center accrues earned vacation up to 320 hours. When the employee separates from service, the employee will receive the unused vacation.

DEFERRED RENT

The Center leases office facilities under lease agreements that are subject to scheduled acceleration of rental payments. The scheduled rent increases are amortized evenly over the term of the lease in accordance with U.S. GAAP. The deferred rent liability of \$4,865,802 at June 30, 2020, represents the accumulated difference between the cash payments made and the amount expensed since inception of the lease. The DDS reimburses the Center for rent cost after it is paid. Therefore, deferred rent is recognized on the statement of financial position as part of the unbilled reimbursable contract costs receivables - State of California.

REVENUE RECOGNITION – STATE OF CALIFORNIA GRANTS

The Center has a five-year cost-reimbursement contract with Department of Development Service of state of California (“DDS”) which will expire June 30, 2024. The Center is obligated to provide direct consumer services to persons with developmental disabilities and is reimbursed by DDS for contract related costs based on predetermined rates and budgeted costs. Revenue and expenses are recognized equal to the costs incurred when the Center satisfies its performance obligation by delivering the contracted services to the eligible customers. Any supplemental funds or increases on the current existing contract are accounted for as prospective or cumulative catch-up adjustments. All eligible contract costs that are incurred but not paid, therefore not billed yet, are recognized as revenue and expense on accrual basis. Such billable costs are recorded as receivables in statement of financial position as the contract with DDS will not be canceled. The contract advance represents the funds received at the inception of each contract and are yet to be exhausted against the costs of services expected to be performed and delivered. At the conclusion of each contract, total costs and revenues are reviewed and a final financial settlement is made with DDS. Depending on the date of the service, claims are classified and charged to the appropriate contract as follows:

- Current year
- Prior year
- Second prior year

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 1 - ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

CONTRIBUTIONS

The Center recognizes all contributions when they are received or unconditionally promised, regardless of compliance with restrictions. Contributions are recognized based on the existence or absence of donor-imposed restrictions. Contributions with donor-imposed restrictions may be expandable or are required to be held in perpetuity.

The satisfaction of a donor-imposed restriction on a contribution is recognized in the period in which the restriction expires. This occurs by increasing one class of net assets and decreasing another in the statement of activities and changes in net assets. These transactions are reported as net assets released from restrictions in the statement of activities and changes in net assets and are reported separately from other transactions.

FEDERAL GRANTS

Revenue from federal grants is recognized when the Center satisfied its performance obligation by carrying out the activities stipulated in the grant agreement. The Center is a sub-recipient to DDS with regard to the following grant:

U.S. Department of Education

The Special Education Grants for Infants and Families, which provides funding for early intervention services for infants and toddlers, through age three, as authorized by Public Law 102-119.

INCOME TAXES

The Center is a qualified organization exempt from federal income taxes under §501(c)(3) of the Internal Revenue Code (“IRC”) and franchise taxes under §23701d of the California Revenue and Taxation Code. Accordingly, it is exempt from federal and California income taxes and is not liable for federal unemployment taxes.

Management evaluated the Center’s tax positions and concluded that they maintained their tax exempt status and had taken no uncertain tax positions that would require adjustment to the financial statements.

Therefore, no provision or liability for income taxes has been included in the financial statements. The 2016 through 2019 tax returns of the Center remain subject to examination by the Internal Revenue Service. In addition, the 2015 through 2019 tax returns remain subject to examination by the California Franchise Tax Board. However, there are currently no examinations pending or in progress.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 1 - ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

DEFINED BENEFIT PENSION PLAN

The Center records the unfunded liability of its defined benefit pension plan with California Public Employees' Retirement System ("CalPERS") on the statement of financial position and recognizes the changes in the funded status on the statement of activities and changes in net assets in the year in which the change occurs. The Center's share in the unfunded projected pension benefits obligations is determined in accordance with the provisions of Financial Accounting Standards Board ("FASB") Standards Codification (ASC) 715, *Defined Benefit Plans - Pension*. The Center recognized the incurred but unpaid pension benefits costs as part of the unbilled reimbursable contract cost receivables - State of California on the statement of financial position. Pension benefits costs are billed to DDS when paid by the Center to CalPERS.

FUNCTIONAL EXPENSES ALLOCATION

The costs of providing the various programs and activities have been summarized on a functional basis in the statements of activities and changes in net assets and functional expenses. Purchase of services, salaries and related expenses are allocated to the program services or general and administrative classes on a direct-cost basis. All other operating expenses are allocated to general and administrative service.

CONCENTRATIONS OF RISKS

Credit Risk

Financial instruments, which potentially subject the Center to a concentration of credit risk, principally consist of cash, contract receivable, and receivables from vendors. The Center places cash in deposit accounts, which may at times, exceed the federally insured limit. Through its contract with DDS, the Center is reimbursed for its expenses. The ability of DDS to honor its obligations and to continue funding is dependent upon the overall economic well-being of the State of California. The Center has not experienced any losses in these accounts and believes it is not exposed to any significant credit risk.

SUMMARIZED COMPARATIVE FINANCIAL INFORMATION

The financial statements include certain prior year summarized comparative information in total but not by net asset class. Such information does not include sufficient detail to constitute a presentation in conformity with U.S. GAAP. Accordingly, such information should be read in conjunction with the Center's financial statements as of June 30, 2019, and for the year then ended, from which the summarized information was derived. Certain reclassifications have been made to the 2019's comparative information to conform to the presentation of the current financial statements. The reclassifications have no effect on the classes of net assets or the change in net assets for 2019.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 1 - ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

RECENTLY ADOPTED ACCOUNTING PRONOUNCEMENTS

In May 2014, the Financial Accounting Standards Board (“FASB”) issued Accounting Standards Update (“ASU”) 2014-09, *Revenue from Contracts with Customers (Topic 606)* related to revenue recognition. Subsequently, FASB issued several ASUs: 2016-08, 2016-10, 2016-12, 2016-20, and 2017-05 to clarify certain matters related to *Topic 606*. These updates introduce the new 5-step revenue recognition guidance under *Topic 606*, which supersedes the revenue recognition requirements under *Topic 605, Revenue Recognition*. The new guidance establishes the principles to report useful information to users of financial statements about the nature, timing, and uncertainty of revenue from contracts with customers. The Center adopted ASC 606 effective July 1, 2019, which had no material impact on the financial statements.

On June 21, 2018, the FASB issued ASU 2018-08, *Not-for-Profit Entities (Topic 958) Clarifying the Scope and the Accounting Guidance for Contributions Received and Contributions Made*. This update provides clarifying guidance on accounting for the grants and contracts of nonprofit organizations as they relate to the new revenue standard (ASU 2014-09 *Revenue from Contracts with Customers*), and aims to minimize diversity in the classification of grants and contracts that exists under current guidance. Under this new guidance, nonprofits will need to recognize revenues as either exchange (reciprocal) transactions or non-exchange (nonreciprocal) transactions. The Center adopted ASU 2018-08 effective July 1, 2019, which had no material impact on the financial statements.

RECENT ACCOUNTING PRONOUNCEMENTS

In February 2016, the FASB issued ASU 2016-02, *Leases (Topic 842)*. ASU 2016-02 will require lessees to recognize for all leases (with terms of more than 12 months) at the commencement date the following: a) a lease liability, which is a lessee’s obligation to make lease payments arising from a lease, measured on a discounted basis, and b) a right-of-use asset, which is an asset that represents the lessee’s right to use, or control the use of, a specified asset for the lease term.

The new lease guidance also simplified the accounting for sale and leaseback transactions primarily because lessees must recognize lease assets and lease liabilities. This ASU’s effective date had two one-year delays and is now effective for fiscal years beginning after December 15, 2021; and early application is permitted. Management is evaluating the impact of this guidance.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 2 - CONTRACT RECEIVABLES – STATE OF CALIFORNIA

Under the terms of DDS contracts, funded expenditures are not to exceed \$482,228,402, \$429,388,063, and \$401,334,581 for the fiscal years 2019/20, 2018/19, and 2017/18, respectively. As of June 30, 2020, actual net expenditures under the 2019/20, 2018/19, and 2017/18 contracts were \$473,876,935, \$415,430,141, and \$396,831,693, respectively.

Contract receivables as of June 30, 2020, consist of the following:

Claims submitted:

Current year	\$ 144,918,029
Prior year and second prior year	<u>2,219,031</u>

Total	<u>\$ 147,137,060</u>
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NOTE 3 - UNBILLED REIMBURSABLE CONTRACT COSTS RECEIVABLES – STATE OF CALIFORNIA

The contract with DDS stipulates that if the contract is terminated with approval from DDS, the DDS shall pay the accrued benefits and existing contracts. Accrued benefits shall include vacation, sick leave, and any other benefits. The Center's management, based on the fact that DDS has paid all claims of such benefits and costs that have been claimed by the Center since its inception of operation, believes that the entire balance of the receivables is collectible.

Unbilled reimbursable contract costs receivables as of June 30, 2020, consist of the following:

Unfunded defined benefit plan obligations	\$ 121,424,122
Deferred costs for rent liability	4,865,802
Deferred costs for accrued vacation and other leave benefits	<u>2,273,758</u>

Total	<u>\$ 128,563,682</u>
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REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 4 - INTERMEDIATE CARE FACILITIES – STATE PLAN AMENDMENT

During the year ended June 30, 2011, various legislative changes were made to the California Welfare and Institutions Code retroactive to July 1, 2007, making Intermediate Care Facility (“ICF”) providers responsible for billing and receiving payment for day programs and transportation services; and ultimately, making such services eligible for reimbursement under California’s Home and Community Based Services Program, which is funded by the Medicaid Waiver grant (“Medicaid”).

Previously, such services provided to the residents were not reimbursable by Medicaid because the funds were not directly billed and received by the ICFs. The legislative changes allow for DDS to bill these services to Medicaid and capture federal funds.

DDS directs the Center to prepare billings for these services on behalf of the ICFs. The billings include a 5.5% Quality Assurance fee for the State of California Department of Health Care Services, a 1.5% administrative fee for the ICFs and a 1.5% administration fee for the Center.

Effective July 1, 2012, DDS directed the Center to prepare billings for these services on behalf of the ICFs and submit a separate state claim report for these services in addition to paying the ICFs directly for their services. The Center was directed to reduce the amount of their regular state claim to DDS by the dollar amount of these services. Reimbursement for these services will be received from the ICFs. DDS advances the amount according to the state claim to the ICFs. The ICFs are then required to pass on the payments received, as well as the Center’s administrative fee to the Center within 30 days of receipt of funds from the State Controller’s Office.

The receivable from ICFs in the amount of \$5,853,534 represents the amount DDS paid or will pay to the ICFs net of the ICF’s administrative fee and Quality Assurance fee in relation to the billings prepared beginning July 1, 2012, and the payable to DDS of \$52,523, represents the amount expected to be paid net of the Center’s fee in relation to the billings prepared on or before June 30, 2012. Revenue from ICFs for the year ended June 30, 2020, was \$9,153,586.

NOTE 5 - CONTRACT ADVANCE – STATE OF CALIFORNIA

Contract advance represents in advance payments from DDS to the Center at the beginning of each fiscal year to provide interest-free working capital. DDS uses its discretion in determining the balance on a month-to-month basis. It is DDS’ sole discretion whether the advance will be paid by offsetting the contract receivable partially or in full. Due to the lack of mutuality offsetting rights, the contract advance is presented separately from the contract receivables on the statement of financial position. As of June 30, 2020, contract advance balance was \$117,209,654.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 6 - LINE OF CREDIT

The Center had a revolving line of credit with MUFG Union Bank, N.A. whereby it may borrow up to \$44,500,000 through the maturity date, September 30, 2020. In March 2021, the line of credit was renewed and matures on September 30, 2021, and is secured by substantially all of the Center's assets with interest at the bank's reference rate. At the closing of business on June 30, 2020, the interest rate was 3.25% per annum. During the year ended June 30, 2020, the Center had not drawn on the line of credit.

NOTE 7 - NET ASSETS HELD FOR CLIENTS

The changes in net assets held for clients for the year consist of the following:

Beginning Balance	\$ 444,701
Client support received	1,978,875
Less: purchase of services and disbursements	<u>(2,097,177)</u>
Ending Balance	<u><u>\$ 326,399</u></u>

NOTE 8 - DEFINED BENEFIT PENSION PLAN

The Center contributes to CalPERS for retirement benefits. CalPERS is an agent multiple-employer public employee retirement system that acts as a common investment and administrative agent for participating public entities within California. Substantially all of the Center's employees participate in CalPERS.

FASB ASC 715-30, *Defined Benefit Plans – Pension*, requires the Center to recognize the funded status of a defined benefit retirement plan as an asset or liability in its statement of financial position and to recognize changes in that funded status in net assets without donor-imposed restrictions in the year in which the change occurs.

The Center has two retirement plans with CalPERS. The first plan is a 2%-at-age-55 formula, which closed as of December 31, 2012. All eligible employees hired prior to January 1, 2013, participate in this plan. The second plan is a 2%-at-age-62 formula, which was established by the Public Employees' Pension Reform Act of 2013; and, all eligible employees hired on or after January 1, 2013 participate in this plan. The total required employee contributions are 7% of earnings for the 2%-at-age-55 plan and 6.25% of earnings for the 2%-at-age-62 plan. The Center is required to contribute the remaining amounts necessary to fund the benefits for its employees, using the actuarial basis adopted by the CalPERS Board of Administration.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 8 - DEFINED BENEFIT PENSION PLAN (CONTINUED)

The CalPERS Board of Administration adopted changes to the demographic assumptions based on the most recent experience study. The most significant of these is acknowledgement that members are living longer and that this trend will continue. The actuarial assumptions and methods used in CalPERS public agency valuation are approved by the Board of Administration upon the recommendation of the Chief Actuary.

The excess of the total actuarial accrued liability over the market value of plan assets is the unfunded actuarial accrued liability. Funding requirements are determined by adding the normal cost and an amortization of the unfunded liability as a level percentage of assumed future payoffs.

Net periodic benefit cost for the year ended June 30, 2020, is as follows:

Service cost	\$ 10,553,291
Interest cost	6,547,527
Expected return on plan assets	<u>(6,671,728)</u>
Net Periodic Benefit Cost	<u>\$ 10,429,090</u>

Net periodic benefit cost is included in salaries and benefits expenses on the statement of activities and changes in net assets.

Pension benefit changes other than net periodic benefit costs during the year ended June 30, 2020, are as follows:

Assumption changes	\$ 28,072,144
Investment experience	<u>1,905,446</u>
Changes Other Than Net Periodic Benefit Costs	<u>\$ 29,977,590</u>

Benefit obligation and funded status as of June 30, 2020, are as follows:

Benefit obligation	\$ 223,745,937
Market value of assets	<u>(102,321,815)</u>
Unfunded Liability	<u>\$ 121,424,122</u>

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 8 - DEFINED BENEFIT PENSION PLAN (CONTINUED)

Changes in benefit obligation and funded status during the year ended June 30, 2020, are as follows:

Change in Benefit Obligation

Benefit Obligation - Beginning	\$ 181,737,206
Service cost	10,553,291
Interest cost	6,547,527
Actuarial (gain) loss	28,072,144
Benefits and expenses paid	<u>(3,164,231)</u>
Benefit Obligation - Ending	<u>223,745,937</u>

Change in Fair Value of Plan Assets

Fair Value of Plan Assets - Beginning	93,065,271
Actual return on plan assets	4,766,282
Total contributions	7,654,493
Benefit and expenses paid	<u>(3,164,231)</u>
Fair Value of Plan Assets - Ending	<u>102,321,815</u>

Unfunded Pension Benefit Obligations	<u><u>\$ 121,424,122</u></u>
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The discount rate was derived from the Above Median FTSE Pension Discount Curve as of June 30, 2020, using the expected payouts from the plan. The rate used as of the beginning of the fiscal year (used to calculate the expense for the year) was 2.97%. Below is a comparison of the effect on the benefit obligation with a 1% change in the discount rate:

<u>Change in Assumption</u>	<u>Projected Pension Benefit Obligations</u>
Current discount rate falls 1% to 1.97%	\$ 283,054,408
Current discount rate rises 1% to 3.97%	\$ 180,464,665

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 8 - DEFINED BENEFIT PENSION PLAN (CONTINUED)

The assumptions used in the measurement of the benefit obligations at June 30, 2020, are as follows:

Discount Rate	2.97%
Long-term rate of return	7.00%
Salary scale	4.00%
Maximum benefit and annual compensation limit increases	2.50%

CalPERS long-term rate of return on plan assets is 7% which is determined in consultation with CalPERS investment staff and advisors. The annual pension expense under ASC 715 is based on the expected return on plan assets during the fiscal year.

For the mortality rate, the actuary used the male and female, Pri-2012 Total Dataset Mortality Tables projected forward using Mortality Improvement Scale MP-2020 on a generation basis. This assumption is expected to be a best estimate of future mortality experience, being based on the latest published study by the Society of Actuaries, which was finalized in October 2020.

The Plan is reported as a pension trust fund, and is accounted for using the accrual basis of accounting. Contributions to the plan are recognized in the period in which the contributions are due pursuant to legal requirements. Member contribution rates are defined by law and depend on the respective employer's benefit formulas. Member and employer contribution rates are determined by periodic actuarial valuations. Actuarial valuations are based on the benefit provisions and employee groups of each employer. Benefits and refunds are recognized when currently due and payable in accordance with the terms of each rate plan.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 8 - DEFINED BENEFIT PENSION PLAN (CONTINUED)

The actual allocations for the pension assets and target allocations by asset class as of June 30, 2020, are as follows:

Asset Class	Percentage of	
	Plan Assets	Target Allocation
Global equity	53.1%	50.0%
Private equity	6.3%	8.0%
Global fixed income	28.2%	28.0%
Liquidity	0.9%	1.0%
Real assets	11.3%	13.0%
Multi-asset class	0.2%	0.0%
Total	100%	100%

U.S. GAAP establishes a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value.

The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (Level 1 measurements) and the lowest priority to unobservable inputs (Level 3 measurements). The three levels of the fair value hierarchy are described as follows:

Level 1

Inputs are unadjusted quoted prices for identical assets or liabilities in active markets that the Center has the ability to access.

Level 2

Inputs include quoted prices for similar assets or liabilities in active markets, quoted prices from those willing to trade in markets that are not active, or other inputs that are observable or can be corroborated by market data for the term of the instrument. Such inputs include market interest rates and volatilities, spreads and yield curves. If the asset or liability has a specified (contractual) term, the Level 2 input must be observable for substantially the full term of the asset or liability.

Level 3

Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 8 - DEFINED BENEFIT PENSION PLAN (CONTINUED)

The fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs.

Plan assets of \$102,321,815 are held in a pooled investment account managed by CalPERS and are considered Level 3 investments.

The following benefit payments, which reflect expected future service, as appropriate, are expected to be paid in the fiscal years ending June 30:

Fiscal Year	Expected Payment
2021	\$ 3,508,341
2022	3,823,927
2023	4,191,235
2024	4,511,055
2025	4,926,441
2026-2030 Aggregate	<u>31,530,267</u>
Total	<u><u>\$ 52,491,266</u></u>

NOTE 9 - COMMITMENTS AND CONTINGENCIES

LEASE COMMITMENTS

The Center is obligated under certain non-cancellable operating leases for field and main office facilities. The leases' terms expire in various years through December 2030. The terms of the leases provide for payment of minimum annual rentals, insurance, and property taxes. All leases are classified as operating leases. Rental expense was \$3,064,618 for the year ended June 30, 2020.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 9 - COMMITMENTS AND CONTINGENCIES (CONTINUED)

LEASE COMMITMENTS (CONTINUED)

Future minimum lease payments for leases in effect at June 30, 2020, are as follows:

For the Years Ending June 30,	Amount
2021	\$ 3,110,015
2022	3,190,290
2023	3,285,998
2024	3,384,578
2025	3,486,116
Thereafter	<u>18,928,355</u>
Total	<u>\$ 35,385,352</u>

CONTINGENCIES

The majority of the Center's funding is provided under an annual contract with DDS. If a significant reduction in the level of funding provided by DDS were to occur, it may have an effect on the Center's programs and activities.

The Center's contract with DDS provides funding for services under the Lanterman Act. In the event that the operations of the Center result in a deficit position at the end of the contract year, DDS may reallocate surplus funds within the State of California system to supplement the Center's funding. If a system-wide deficit occurs, DDS is required to report to the Governor of California and the appropriate fiscal committee of the State Legislature and recommend actions to secure additional funds or reduce expenditures. DDS' recommendations are subsequently reviewed by the Governor and the Legislature and a decision is made with regard to specific actions, including the possible suspension of the entitlement.

The Center's revenue, which is derived from restricted funding provided by DDS, is subject to audit by DDS. According to the terms of the contract with the DDS, an audit may be performed by authorized DDS representatives. Should such an audit disclose any unallowable costs, the Center may be liable to DDS for reimbursement of such costs. In the opinion of the Center's management, the potential effect of any disallowed costs would be immaterial to the financial statements as of June 30, 2020.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 9 - COMMITMENTS AND CONTINGENCIES (CONTINUED)

CONTINGENCIES (CONTINUED)

The Center has elected to self-insure its unemployment insurance using the prorated cost-of-benefits method. Under this method, the Center is required to reimburse the State of California Employment Development Department for the benefits paid to certain former employees. As of June 30, 2020, the Center had \$586,306 in a reserve cash account to pay any potential unemployment claims.

The Center is involved in various claims and lawsuits arising in the normal conduct of its operations. The Center's management believes it has adequate defenses and insurance coverage for these actions and, thus, has made no provision in the financial statements for any costs relating to the settlement of such claims.

NOTE 10 - LIQUIDITY AND FINANCIAL RESOURCES

The Center has various sources of liquidity at its disposal, including cash and contact receivables, which are available for general expenditures, liabilities and other obligations as they come due. Management regularly reviews the cash flow needs and focuses on maintaining sufficient liquidity throughout the year. To help manage unexpected liquidity needs, the Center has obtained a line of credit of \$44,500,000.

The Center's financial assets available within one year of the statement of financial position date for general expenditures at June 30, 2020, were as follows:

Financial Assets

Cash	\$ 16,307,630
Contract reimbursement receivable, net of contract advance	29,980,733
Receivable from Intermediate Care Facilities	<u>5,853,534</u>

Financial Assets Available to Meet

General Expenditure Within One Year	<u><u>\$ 52,141,897</u></u>
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REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO FINANCIAL STATEMENTS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 11 - RISK AND UNCERTAINTY

The global economy has been impacted by a pandemic outbreak of the COVID-19 virus, including the United States of America during March 2020. This has resulted in many businesses temporarily closing or working in remote environments. The Center does not yet know the full extent of the potential impact, if any, this may have on their business operations, no specific material adverse matters have been identified or estimable. The Center will continue to monitor the COVID-19 situation closely and revise their estimates in future periods, as necessary. The Center believes that no disclosures in or adjustments to the financial statements are required as a result of these matters.

NOTE 12 - SUBSEQUENT EVENTS

The Center has evaluated all subsequent events through April 22, 2021, the date the financial statements were available to be issued. Except for the matter discussed in Note 6, no events requiring recognition or disclosure in the financial statements have been identified.

**INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER
FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS
BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN
ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS***

To the Board of Directors of
Regional Center of Orange County, Inc.

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of Regional Center of Orange County, Inc. (the "Center"), which comprise the statement of financial position as of June 30, 2020, and the related statements of activities and changes in net assets, functional expenses, and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated April 22, 2021.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the Center's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Center's internal control. Accordingly, we do not express an opinion on the effectiveness of the Center's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies and therefore, material weaknesses or significant deficiencies may exist that have not been identified. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the Center's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the financial statements. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Center's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Center's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

A handwritten signature in black ink that reads "Marcum LLP". The script is cursive and fluid, with the letters "M", "a", "r", "c", "u", "m" connected together, followed by "LLP" in a slightly more upright but still cursive style.

San Francisco, California
April 22, 2021

**INDEPENDENT AUDITORS' REPORT ON COMPLIANCE FOR
EACH MAJOR FEDERAL PROGRAM AND REPORT ON INTERNAL CONTROL
OVER COMPLIANCE REQUIRED BY THE UNIFORM GUIDANCE**

To the Board of Directors of
Regional Center of Orange County, Inc.

Report on Compliance for Each Major Federal Program

We have audited Regional Center of Orange County Inc.'s (the "Center") compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on the Center's major federal program for the year ended June 30, 2020. The Center's major federal program is identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

Auditors' Responsibility

Our responsibility is to express an opinion on compliance for the Center's major federal program based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S., *Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Award* ("Uniform Guidance"). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the Center's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for the major federal program. However, our audit does not provide a legal determination of the Center's compliance.

Opinion on Each Major Federal Program

In our opinion, the Center complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on its major federal program for the year ended June 30, 2020.

Report on Internal Control Over Compliance

Management of the Center is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the Center's internal control over compliance with the types of requirements that could have a direct and material effect on the major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for the major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Center's internal control over compliance.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. *A significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

Marcum LLP

San Francisco, California
April 22, 2021

REGIONAL CENTER OF ORANGE COUNTY, INC.

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

FOR THE YEAR ENDED JUNE 30, 2020

Federal Grantor/ Pass-Through Grantor/ Program or Cluster Title	Federal CFDA Number	Pass- Through Entity Identifying Number	Passed Through to Subrecipients	Total Federal Expenditures
Office of Special Education and Rehabilitative Services of the U.S. Department of Education passed-through the State of California Department of Developmental Services:				
Early Intervention Services:				
Special Education- Grants for Infants and Families with Disabilities	84.181	HD149014	\$ --	\$ 929,701
Total Expenditures of Federal Awards			\$ --	\$ 929,701

See independent auditors' report and notes to the Schedule of Expenditures of Federal Awards.

REGIONAL CENTER OF ORANGE COUNTY, INC.

NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

FOR THE YEAR ENDED JUNE 30, 2020

NOTE 1 - BASIS OF PRESENTATION

The accompanying schedule of expenditures of federal awards (the "Schedule") includes the federal grant activities of Regional Center of Orange County, Inc. The information in this Schedule is presented in accordance with the requirements of Title 2 U.S., *Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* ("Uniform Guidance"). Because the Schedule presents only a selected portion of the operations of the Center, it is not intended to, and does not present the financial position, changes in net assets, or cash flows of the Center.

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Expenditures reported on the Schedule are reported on the accrual basis of accounting. Such expenditures are recognized following the cost principles contained in the Uniform Guidance, wherein certain types of expenditures are not allowable or are limited as a reimbursement.

NOTE 3 - INDIRECT COST RATE

The Center has elected not to use the 10% de minimis indirect cost rate.

REGIONAL CENTER OF ORANGE COUNTY, INC.

SCHEDULE OF FINDINGS AND QUESTIONED COSTS

FOR THE YEAR ENDED JUNE 30, 2020

SECTION I - SUMMARY OF THE AUDITORS' RESULTS

Financial Statements

Type of auditors' report issued on whether the financial statements audited were prepared in accordance with U.S. GAAP:

Unmodified

Internal control over financial reporting:

Material weaknesses identified:

No

Significant deficiencies identified:

None reported

Noncompliance material to financial statements:

No

Federal Awards

Internal control over major federal programs:

Material weaknesses identified:

No

Significant deficiencies identified:

None reported

Type of auditors' report issued on compliance for major federal programs:

Unmodified

Any audit findings disclosed that are required to be reported in accordance with 2 CFR 200.516(a)?

No

Identification of major federal programs:

CFDA Number

Name of Federal Program/Cluster

84.181

Special Education - Grants for Infants and Families

Dollar threshold used to distinguish between Type A and Type B programs:

\$750,000

Auditee qualified as low-risk auditee:

No

REGIONAL CENTER OF ORANGE COUNTY, INC.

SCHEDULE OF FINDINGS AND QUESTIONED COSTS (CONTINUED)

FOR THE YEAR ENDED JUNE 30, 2020

SECTION II - FINANCIAL STATEMENT FINDINGS

No matters reported.

SECTION III - FEDERAL AWARD FINDINGS AND QUESTIONED COSTS

No matters reported.

SECTION IV - STATUS OF PRIOR YEAR AUDIT FINDINGS

None.

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION _____
ACTION/CONSENT _____
DISCUSSION _____
INFO ONLY X _____

DATE: May 6, 2021

TO: RCOC Board of Directors

FROM: Budget and Finance Committee

SUBJECT: **Review of Draft Form 990, Return of Organization Exempt from
Income Tax for the Year Ended June 30, 2020**

BACKGROUND:

Most organizations that are exempt from income tax are required to file Form 990 each year with the Internal Revenue Service.

REASON FOR CURRENT ITEM:

Best practice is for the boards of tax-exempt organizations to receive a draft of Form 990 prior to filing. The filing deadline is May 17, 2021.

FISCAL IMPACT:

None

RECOMMENDATION:

That the Board review the draft of Form 990.

Agenda Item III.C.-2.e.

Caution: Forms printed from within Adobe Acrobat products may not meet IRS or state taxing agency specifications. When using Acrobat, select the "Actual Size" in the Adobe "Print" dialog.

CLIENT'S COPY

***** THIS IS NOT A FILEABLE COPY *****

IRS e-file Signature Authorization
for an Exempt Organization

OMB No. 1545-1878

Form **8879-EO**For calendar year 2019, or fiscal year beginning JUL 1, 2019, and ending JUN 30, 2020**2019**Department of the Treasury
Internal Revenue Service▶ Do not send to the IRS. Keep for your records.
▶ Go to www.irs.gov/Form8879EO for the latest information.

Name of exempt organization

Employer identification number

REGIONAL CENTER OF ORANGE COUNTY, INC.

95-3119548

Name and title of officer

BETTE BABER

CHIEF FINANCIAL OFFICER

Part I Type of Return and Return Information (Whole Dollars Only)

Check the box for the return for which you are using this Form 8879-EO and enter the applicable amount, if any, from the return. If you check the box on line **1a**, **2a**, **3a**, **4a**, or **5a**, below, and the amount on that line for the return being filed with this form was blank, then leave line **1b**, **2b**, **3b**, **4b**, or **5b**, whichever is applicable, blank (do not enter -0-). But, if you entered -0- on the return, then enter -0- on the applicable line below. **Do not** complete more than one line in Part I.

1a Form 990 check here ▶ <input checked="" type="checkbox"/>	b Total revenue , if any (Form 990, Part VIII, column (A), line 12)	1b <u>522,743,196.</u>
2a Form 990-EZ check here ▶ <input type="checkbox"/>	b Total revenue , if any (Form 990-EZ, line 9)	2b _____
3a Form 1120-POL check here ▶ <input type="checkbox"/>	b Total tax (Form 1120-POL, line 22)	3b _____
4a Form 990-PF check here ▶ <input type="checkbox"/>	b Tax based on investment income (Form 990-PF, Part VI, line 5)	4b _____
5a Form 8868 check here ▶ <input type="checkbox"/>	b Balance Due (Form 8868, line 3c)	5b _____

Part II Declaration and Signature Authorization of Officer

Under penalties of perjury, I declare that I am an officer of the above organization and that I have examined a copy of the organization's 2019 electronic return and accompanying schedules and statements and to the best of my knowledge and belief, they are true, correct, and complete. I further declare that the amount in Part I above is the amount shown on the copy of the organization's electronic return. I consent to allow my intermediate service provider, transmitter, or electronic return originator (ERO) to send the organization's return to the IRS and to receive from the IRS (a) an acknowledgment of receipt or reason for rejection of the transmission, (b) the reason for any delay in processing the return or refund, and (c) the date of any refund. If applicable, I authorize the U.S. Treasury and its designated Financial Agent to initiate an electronic funds withdrawal (direct debit) entry to the financial institution account indicated in the tax preparation software for payment of the organization's federal taxes owed on this return, and the financial institution to debit the entry to this account. To revoke a payment, I must contact the U.S. Treasury Financial Agent at 1-888-353-4537 no later than 2 business days prior to the payment (settlement) date. I also authorize the financial institutions involved in the processing of the electronic payment of taxes to receive confidential information necessary to answer inquiries and resolve issues related to the payment. I have selected a personal identification number (PIN) as my signature for the organization's electronic return and, if applicable, the organization's consent to electronic funds withdrawal.

Officer's PIN: check one box only

☒ I authorize MARCUM LLP to enter my PIN 94104
ERO firm name Enter five numbers, but do not enter all zeros

as my signature on the organization's tax year 2019 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I also authorize the aforementioned ERO to enter my PIN on the return's disclosure consent screen.

☐ As an officer of the organization, I will enter my PIN as my signature on the organization's tax year 2019 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I will enter my PIN on the return's disclosure consent screen.

Officer's signature ▶ ***** THIS IS NOT A FILEABLE COPY *** Date ▶ _____

Part III Certification and Authentication

ERO's EFIN/PIN. Enter your six-digit electronic filing identification number (EFIN) followed by your five-digit self-selected PIN.

94428794104

Do not enter all zeros

I certify that the above numeric entry is my PIN, which is my signature on the 2019 electronically filed return for the organization indicated above. I confirm that I am submitting this return in accordance with the requirements of **Pub. 4163**, Modernized e-File (MeF) Information for Authorized IRS e-file Providers for Business Returns.

ERO's signature ▶ _____ Date ▶ _____

ERO Must Retain This Form - See Instructions
Do Not Submit This Form to the IRS Unless Requested To Do So

LHA For Paperwork Reduction Act Notice, see instructions.

Form **8879-EO** (2019)

923051 10-03-19

EXTENDED TO MAY 17, 2021

Form 990
(Rev. January 2020)
Department of the Treasury
Internal Revenue Service

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

OMB No. 1545-0047

2019

Open to Public Inspection

▶ Do not enter social security numbers on this form as it may be made public.

▶ Go to www.irs.gov/Form990 for instructions and the latest information.**A** For the 2019 calendar year, or tax year beginning **JUL 1, 2019** and ending **JUN 30, 2020****B** Check if applicable:

- ☐ Address change
☐ Name change
☐ Initial return
☐ Final return/terminated
☐ Amended return
☐ Application pending

C Name of organization**REGIONAL CENTER OF ORANGE COUNTY, INC.**

Doing business as

Number and street (or P.O. box if mail is not delivered to street address)

P.O. BOX 22010

Room/suite

City or town, state or province, country, and ZIP or foreign postal code

SANTA ANA, CA 92702-2010**F** Name and address of principal officer: **BETTE BABER****SAME AS C ABOVE****D** Employer identification number**95-3119548****E** Telephone number**(714) 796-5100****G** Gross receipts \$**522,743,196.****H(a)** Is this a group returnfor subordinates? ☐ Yes ☒ No**H(b)** Are all subordinates included? ☐ Yes ☐ No

If "No," attach a list. (see instructions)

H(c) Group exemption number ▶**I** Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) () ◀ (insert no.) ☐ 4947(a)(1) or ☐ 527**J** Website: ▶ **WWW.RCOCDD.COM****K** Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶**L** Year of formation: **1977****M** State of legal domicile: **CA****Part I Summary**

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: REGIONAL CENTER OF ORANGE COUNTY, INC. (THE "CENTER") IS A PRIVATE, NONPROFIT CORPORATION THAT		
	2 Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	3 Number of voting members of the governing body (Part VI, line 1a)	3	13
	4 Number of independent voting members of the governing body (Part VI, line 1b)	4	13
	5 Total number of individuals employed in calendar year 2019 (Part V, line 2a)	5	498
	6 Total number of volunteers (estimate if necessary)	6	15
	7a Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
b Net unrelated business taxable income from Form 990-T, line 39	7b	0.	
Revenue	8 Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year
	9 Program service revenue (Part VIII, line 2g)	445,459,820.	513,355,736.
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)	11,101,141.	9,153,586.
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	231,848.	233,874.
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	0.	0.
Expenses	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)	456,792,809.	522,743,196.
	14 Benefits paid to or for members (Part IX, column (A), line 4)	389,051,950.	441,644,905.
	15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	0.	0.
	16a Professional fundraising fees (Part IX, column (A), line 11e)	39,286,096.	42,971,538.
	b Total fundraising expenses (Part IX, column (D), line 25) ▶ 0.	0.	0.
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	28,324,881.	38,132,095.
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	456,662,927.	522,748,538.
19 Revenue less expenses. Subtract line 18 from line 12	129,882.	-5,342.	
Net Assets or Fund Balances	20 Total assets (Part X, line 16)	Beginning of Current Year	End of Year
	21 Total liabilities (Part X, line 26)	244,248,481.	299,488,650.
	22 Net assets or fund balances. Subtract line 21 from line 20	244,072,103.	299,317,614.
		176,378.	171,036.

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here	Signature of officer	Date			
	BETTE BABER, CHIEF FINANCIAL OFFICER Type or print name and title				
Paid Preparer Use Only	Print/Type preparer's name ROGER BULOSAN	Preparer's signature	Date	Check if self-employed <input type="checkbox"/>	PTIN P00221282
	Firm's name ▶ MARCUM LLP	Firm's EIN ▶ 11-1986323	Phone no. (415) 432-6200		
	Firm's address ▶ 1 MONTGOMERY STREET SUITE 1700 SAN FRANCISCO, CA 94104				

May the IRS discuss this return with the preparer shown above? (see instructions) ☒ Yes ☐ No

Part III Statement of Program Service AccomplishmentsCheck if Schedule O contains a response or note to any line in this Part III ☐**1** Briefly describe the organization's mission:

REGIONAL CENTER OF ORANGE COUNTY, INC. (THE "CENTER") IS A PRIVATE, NONPROFIT CORPORATION THAT PROVIDES SERVICES TO INDIVIDUALS WITH DEVELOPMENTAL DISABILITIES.

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? ☐ Yes ☒ No

If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? ☐ Yes ☒ No

If "Yes," describe these changes on Schedule O.

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code:) (Expenses \$ 221,582,957. including grants of \$ 221,582,957.) (Revenue \$)
 OTHER: PURCHASE OF SERVICES SUCH AS BEHAVIORAL, TRANSPORTATION, RESPITE, OCCUPATIONAL THERAPY, PHYSICAL THERAPY, SPEECH THERAPY, AND SUPPORTED LIVING. APPROXIMATELY 26,700 INDIVIDUALS BENEFITED FROM THESE SERVICES.

4b (Code:) (Expenses \$ 97,193,289. including grants of \$ 97,193,289.) (Revenue \$ 9,153,586.)
 DAY PROGRAMS: PURCHASE OF DAY CARE, DAY ACTIVITY TRAINING, HABILITATION, INFANT DEVELOPMENT AND TRAINING FOR INDEPENDENT LIVING. APPROXIMATELY 10,500 INDIVIDUALS BENEFITED FROM THESE SERVICES.

4c (Code:) (Expenses \$ 122,868,659. including grants of \$ 122,868,659.) (Revenue \$)
 OUT OF HOME PROGRAMS: PURCHASE OF RESIDENTIAL SERVICES. APPROXIMATELY 2,800 INDIVIDUALS BENEFITED FROM THESE SERVICES.

4d Other program services (Describe on Schedule O.)

(Expenses \$ 66,683,599. including grants of \$) (Revenue \$)

4e Total program service expenses ► 508,328,504.

Part IV Checklist of Required Schedules

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A</i>	1 X	
2 Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> ?	2 X	
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I</i>	3	X
4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II</i>	4	X
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III</i>	5	X
6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? <i>If "Yes," complete Schedule D, Part I</i>	6	X
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II</i>	7	X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III</i>	8	X
9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? <i>If "Yes," complete Schedule D, Part IV</i>	9 X	
10 Did the organization, directly or through a related organization, hold assets in donor-restricted endowments or in quasi endowments? <i>If "Yes," complete Schedule D, Part V</i>	10	X
11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.		
a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI</i>	11a	X
b Did the organization report an amount for investments - other securities in Part X, line 12, that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII</i>	11b	X
c Did the organization report an amount for investments - program related in Part X, line 13, that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VIII</i>	11c	X
d Did the organization report an amount for other assets in Part X, line 15, that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX</i>	11d X	
e Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X</i>	11e X	
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X</i>	11f X	
12a Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII</i>	12a X	
b Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional</i>	12b	X
13 Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E</i>	13	X
14a Did the organization maintain an office, employees, or agents outside of the United States?	14a	X
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? <i>If "Yes," complete Schedule F, Parts I and IV</i>	14b	X
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? <i>If "Yes," complete Schedule F, Parts II and IV</i>	15	X
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? <i>If "Yes," complete Schedule F, Parts III and IV</i>	16	X
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I</i>	17	X
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II</i>	18	X
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III</i>	19	X
20a Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H</i>	20a	X
b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?	20b	
21 Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II</i>	21	X

Part IV Checklist of Required Schedules (continued)

	Yes	No
22 Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i>	22 X	
23 Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i>	23 X	
24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a</i>	24a	X
b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b	
c Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	24c	
d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d	
25a Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i>	25a	X
b Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I</i>	25b	X
26 Did the organization report any amount on Part X, line 5 or 22, for receivables from or payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part II</i>	26	X
27 Did the organization provide a grant or other assistance to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity (including an employee thereof) or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III</i>	27	X
28 Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions, for applicable filing thresholds, conditions, and exceptions):		
a A current or former officer, director, trustee, key employee, creator or founder, or substantial contributor? <i>If "Yes," complete Schedule L, Part IV</i>	28a	X
b A family member of any individual described in line 28a? <i>If "Yes," complete Schedule L, Part IV</i>	28b	X
c A 35% controlled entity of one or more individuals and/or organizations described in lines 28a or 28b? <i>If "Yes," complete Schedule L, Part IV</i>	28c	X
29 Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>	29	X
30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>	30	X
31 Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i>	31	X
32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i>	32	X
33 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i>	33	X
34 Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1</i>	34	X
35a Did the organization have a controlled entity within the meaning of section 512(b)(13)?	35a	X
b If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2</i>	35b	
36 Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i>	36	X
37 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i>	37	X
38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19?	38 X	

Note: All Form 990 filers are required to complete Schedule O

Part V Statements Regarding Other IRS Filings and Tax ComplianceCheck if Schedule O contains a response or note to any line in this Part V ☐

	Yes	No
1a Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	1a 1589	
b Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	1b 0	
c Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c	

Part V Statements Regarding Other IRS Filings and Tax Compliance (continued)

	Yes	No
2a Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	2a	498
b If at least one is reported on line 2a, did the organization file all required federal employment tax returns?	2b	X
Note: If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)		
3a Did the organization have unrelated business gross income of \$1,000 or more during the year?	3a	X
b If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation on Schedule O	3b	
4a At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	4a	X
b If "Yes," enter the name of the foreign country		
See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).		
5a Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5a	X
b Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b	X
c If "Yes" to line 5a or 5b, did the organization file Form 8886-T?	5c	
6a Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?	6a	X
b If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	6b	
7 Organizations that may receive deductible contributions under section 170(c).		
a Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?	7a	X
b If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b	
c Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	7c	X
d If "Yes," indicate the number of Forms 8282 filed during the year	7d	
e Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	7e	X
f Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f	X
g If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	7g	
h If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	7h	
8 Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?	8	
9 Sponsoring organizations maintaining donor advised funds.		
a Did the sponsoring organization make any taxable distributions under section 4966?	9a	
b Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?	9b	
10 Section 501(c)(7) organizations. Enter:		
a Initiation fees and capital contributions included on Part VIII, line 12	10a	
b Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b	
11 Section 501(c)(12) organizations. Enter:		
a Gross income from members or shareholders	11a	
b Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)	11b	
12a Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?	12a	
b If "Yes," enter the amount of tax-exempt interest received or accrued during the year	12b	
13 Section 501(c)(29) qualified nonprofit health insurance issuers.		
a Is the organization licensed to issue qualified health plans in more than one state?	13a	
Note: See the instructions for additional information the organization must report on Schedule O.		
b Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	13b	
c Enter the amount of reserves on hand	13c	
14a Did the organization receive any payments for indoor tanning services during the tax year?	14a	X
b If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation on Schedule O	14b	
15 Is the organization subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year?	15	X
If "Yes," see instructions and file Form 4720, Schedule N.		
16 Is the organization an educational institution subject to the section 4968 excise tax on net investment income?	16	X
If "Yes," complete Form 4720, Schedule O.		

Form 990 (2019)

Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes on Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI

☒**Section A. Governing Body and Management**

	1a	1b	Yes	No
1a Enter the number of voting members of the governing body at the end of the tax year If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain on Schedule O.	13			
b Enter the number of voting members included on line 1a, above, who are independent		13		
2 Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?			2	X
3 Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, trustees, or key employees to a management company or other person?			3	X
4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?			4	X
5 Did the organization become aware during the year of a significant diversion of the organization's assets?			5	X
6 Did the organization have members or stockholders?			6	X
7a Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?			7a	X
b Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?			7b	X
8 Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:				
a The governing body?			8a	X
b Each committee with authority to act on behalf of the governing body?			8b	X
9 Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses on Schedule O			9	X

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

	Yes	No
10a Did the organization have local chapters, branches, or affiliates?	10a	X
b If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?	10b	
11a Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?	11a	X
b Describe in Schedule O the process, if any, used by the organization to review this Form 990.		
12a Did the organization have a written conflict of interest policy? If "No," go to line 13	12a	X
b Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	12b	X
c Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done	12c	X
13 Did the organization have a written whistleblower policy?	13	X
14 Did the organization have a written document retention and destruction policy?	14	X
15 Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
a The organization's CEO, Executive Director, or top management official	15a	X
b Other officers or key employees of the organization	15b	X
If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).		
16a Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?	16a	X
b If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?	16b	

Section C. Disclosure

17 List the states with which a copy of this Form 990 is required to be filed ► **CA**

18 Section 6104 requires an organization to make its Forms 1023 (1024 or 1024-A, if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.
☒ Own website ☐ Another's website ☒ Upon request ☐ Other (explain on Schedule O)

19 Describe on Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.

20 State the name, address, and telephone number of the person who possesses the organization's books and records ►
BETTE BABER - (714) 765-5100
1525 N. TUSTIN AVE, SANTA ANA, CA 92705

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent ContractorsCheck if Schedule O contains a response or note to any line in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees****1a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
 - List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
 - List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
 - List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
 - List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.
- See instructions for the order in which to list the persons above.

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) ALAN MARTIN DIRECTOR	1.00	X						0.	0.	0.
(2) CLIFFORD AMSDEN VICE CHAIR	1.00	X		X				0.	0.	0.
(3) SYLVIA DELGADO SECRETARY	1.00	X		X				0.	0.	0.
(4) JOHN WRIGHT CHAIR	1.00	X		X				0.	0.	0.
(5) MARCELL BASSETT DIRECTOR	1.00	X						0.	0.	0.
(6) FRANCES HERNANDEZ DIRECTOR (EFFECTIVE 01/01/2020)	1.00	X						0.	0.	0.
(7) TIFFANY BAUER DIRECTOR	1.00	X						0.	0.	0.
(8) MEENA CHOCKALINGAM DIRECTOR	1.00	X						0.	0.	0.
(9) MINE HAGEN TREASURER	1.00	X		X				0.	0.	0.
(10) AMY JESSEE DIRECTOR	1.00	X						0.	0.	0.
(11) LIZA KRASSNER DIRECTOR	1.00	X						0.	0.	0.
(12) PETER KUO DIRECTOR (THRU 07/11/2019)	1.00	X						0.	0.	0.
(13) HILDA MENDEZ DIRECTOR	1.00	X						0.	0.	0.
(14) FERNANDO PENA DIRECTOR (EFFECTIVE 01/01/2019)	1.00	X						0.	0.	0.
(15) CRISTINA ALBA DIRECTOR (THRU 10/7/2019)	1.00	X						0.	0.	0.
(16) LARRY LANDAUER EXECUTIVE DIRECTOR	40.00			X				219,744.	0.	62,732.
(17) BETTE BABER CHIEF FINANCIAL OFFICER	40.00			X				197,187.	0.	53,618.

Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)

(A) Name and title	(B) Average hours per week (list any hours for related organizations below line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(18) PETER HIMBER MEDICAL DIRECTOR	40.00					X		200,051.	0.	46,474.
(19) IRIS RICHARD PHYSICIAN	40.00					X		193,382.	0.	45,019.
(20) JERROD BONNER IT DIRECTOR	40.00					X		124,623.	0.	52,091.
(21) BONNIE IVERS CLINICAL DIRECTOR	40.00					X		145,130.	0.	46,896.
(22) SAM HO CONSULTING PHARMACIST	40.00					X		142,845.	0.	41,755.
1b Subtotal								1,222,962.	0.	348,585.
c Total from continuation sheets to Part VII, Section A								0.	0.	0.
d Total (add lines 1b and 1c)								1,222,962.	0.	348,585.

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization

12

- 3** Did the organization list any **former** officer, director, trustee, key employee, or highest compensated employee on line 1a? If "Yes," complete Schedule J for such individual
- 4** For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If "Yes," complete Schedule J for such individual
- 5** Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If "Yes," complete Schedule J for such person

	Yes	No
3		X
4	X	
5		X

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

(A) Name and business address	(B) Description of services	(C) Compensation
NO ORDINARY MOMENTS, 16742 GOTHARD STREET #115, HUNTINGTON BEACH, CA 92647	SUPPORTED LIVING	40,506,036.
GOODWILL OF ORANGE COUNTY 410 N. FAIRVIEW STREET, SANTA ANA, CA 92703	DAY PROGRAMS	17,055,242.
PREMIER HEALTHCARE 625 THE CITY DRIVE #395, ORANGE, CA 92868	IN-HOME RESPITE	10,471,178.
24HR HOMECARE 1140 N. HARBOR BLVD, FULLERTON, CA 92835	IN-HOME RESPITE	7,985,443.
WESTVIEW SERVICES, INC. 10522 KATELLA AVENUE, ANAHEIM, CA 92804	DAY PROGRAMS	7,378,241.

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization

1,111

Part VIII Statement of RevenueCheck if Schedule O contains a response or note to any line in this Part VIII ☐

				(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512 - 514
Contributions, Gifts, Grants and Other Similar Amounts	1 a Federated campaigns	1a					
	b Membership dues	1b					
	c Fundraising events	1c					
	d Related organizations	1d					
	e Government grants (contributions)	1e	513,346,019.				
	f All other contributions, gifts, grants, and similar amounts not included above ...	1f	9,717.				
	g Noncash contributions included in lines 1a-1f	1g	\$				
	h Total. Add lines 1a-1f				513,355,736.		
Program Service Revenue	2 a INTERMEDIATE CARE FACILITIES FEE		Business Code 623990	9,153,586.	9,153,586.		
	b						
	c						
	d						
	e						
	f All other program service revenue						
	g Total. Add lines 2a-2f			9,153,586.			
	Other Revenue	3 Investment income (including dividends, interest, and other similar amounts)			233,874.		
4 Income from investment of tax-exempt bond proceeds							
5 Royalties							
6 a Gross rents		6a	(i) Real	(ii) Personal			
b Less: rental expenses ...		6b					
c Rental income or (loss)		6c					
d Net rental income or (loss)							
7 a Gross amount from sales of assets other than inventory		7a	(i) Securities	(ii) Other			
b Less: cost or other basis and sales expenses		7b					
c Gain or (loss)		7c					
d Net gain or (loss)							
8 a Gross income from fundraising events (not including \$ _____ of contributions reported on line 1c). See Part IV, line 18	8a						
b Less: direct expenses	8b						
c Net income or (loss) from fundraising events							
9 a Gross income from gaming activities. See Part IV, line 19	9a						
b Less: direct expenses	9b						
c Net income or (loss) from gaming activities							
10 a Gross sales of inventory, less returns and allowances	10a						
b Less: cost of goods sold	10b						
c Net income or (loss) from sales of inventory							
Miscellaneous Revenue	11 a		Business Code				
	b						
	c						
	d All other revenue						
	e Total. Add lines 11a-11d						
	12 Total revenue. See instructions			522,743,196.	9,153,586.	0.	233,874.

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX ☐

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21 ...				
2 Grants and other assistance to domestic individuals. See Part IV, line 22	441,644,905.	441,644,905.		
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16				
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	533,281.		533,281.	
6 Compensation not included above to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)	42,438,257.	39,250,406.	3,187,851.	
7 Other salaries and wages				
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)				
9 Other employee benefits				
10 Payroll taxes				
11 Fees for services (nonemployees):				
a Management				
b Legal	203,078.		203,078.	
c Accounting	149,774.		149,774.	
d Lobbying				
e Professional fundraising services. See Part IV, line 17				
f Investment management fees				
g Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Sch O.)				
12 Advertising and promotion				
13 Office expenses	1,063,833.		1,063,833.	
14 Information technology				
15 Royalties				
16 Occupancy	3,208,713.		3,208,713.	
17 Travel	318,583.		318,583.	
18 Payments of travel or entertainment expenses for any federal, state, or local public officials ...				
19 Conferences, conventions, and meetings				
20 Interest	44,994.		44,994.	
21 Payments to affiliates				
22 Depreciation, depletion, and amortization				
23 Insurance	298,758.		298,758.	
24 Other expenses. Itemize expenses not covered above (List miscellaneous expenses on line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a CHANGE IN PENSION BENEFIT	29,977,590.	27,399,517.	2,578,073.	
b DATA PROCESSING	1,440,753.		1,440,753.	
c COMMUNICATIONS	724,881.		724,881.	
d CONTRACT AND CONSULTANT	398,543.		398,543.	
e All other expenses	302,595.	33,676.	268,919.	
25 Total functional expenses. Add lines 1 through 24e	522,748,538.	508,328,504.	14,420,034.	0.
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation.				

Check here ☐ if following SOP 98-2 (ASC 958-720)

Part X Balance SheetCheck if Schedule O contains a response or note to any line in this Part X ☐

		(A) Beginning of year		(B) End of year
Assets	1 Cash - non-interest-bearing	300.	1	300.
	2 Savings and temporary cash investments	11,623,137.	2	16,673,927.
	3 Pledges and grants receivable, net	135,851,803.	3	153,043,921.
	4 Accounts receivable, net	20,971.	4	0.
	5 Loans and other receivables from any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons		5	
	6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B)		6	
	7 Notes and loans receivable, net		7	
	8 Inventories for sale or use		8	
	9 Prepaid expenses and deferred charges	619,550.	9	570,887.
	10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a		
	b Less: accumulated depreciation	10b	10c	
	11 Investments - publicly traded securities		11	
	12 Investments - other securities. See Part IV, line 11		12	
	13 Investments - program-related. See Part IV, line 11		13	
	14 Intangible assets		14	
	15 Other assets. See Part IV, line 11	96,132,720.	15	129,199,615.
16 Total assets. Add lines 1 through 15 (must equal line 33)	244,248,481.	16	299,488,650.	
Liabilities	17 Accounts payable and accrued expenses	44,611,664.	17	55,439,114.
	18 Grants payable		18	
	19 Deferred revenue		19	
	20 Tax-exempt bond liabilities		20	
	21 Escrow or custodial account liability. Complete Part IV of Schedule D	444,701.	21	326,399.
	22 Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons		22	
	23 Secured mortgages and notes payable to unrelated third parties		23	
	24 Unsecured notes and loans payable to unrelated third parties		24	
	25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D	199,015,738.	25	243,552,101.
	26 Total liabilities. Add lines 17 through 25	244,072,103.	26	299,317,614.
Net Assets or Fund Balances	Organizations that follow FASB ASC 958, check here <input checked="" type="checkbox"/> and complete lines 27, 28, 32, and 33.			
	27 Net assets without donor restrictions	176,378.	27	171,036.
	28 Net assets with donor restrictions		28	
	Organizations that do not follow FASB ASC 958, check here <input type="checkbox"/> and complete lines 29 through 33.			
	29 Capital stock or trust principal, or current funds		29	
	30 Paid-in or capital surplus, or land, building, or equipment fund		30	
	31 Retained earnings, endowment, accumulated income, or other funds		31	
	32 Total net assets or fund balances	176,378.	32	171,036.
	33 Total liabilities and net assets/fund balances	244,248,481.	33	299,488,650.

Form 990 (2019)

Part XI Reconciliation of Net AssetsCheck if Schedule O contains a response or note to any line in this Part XI ☐

1	Total revenue (must equal Part VIII, column (A), line 12)	1	522,743,196.
2	Total expenses (must equal Part IX, column (A), line 25)	2	522,748,538.
3	Revenue less expenses. Subtract line 2 from line 1	3	-5,342.
4	Net assets or fund balances at beginning of year (must equal Part X, line 32, column (A))	4	176,378.
5	Net unrealized gains (losses) on investments	5	
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain on Schedule O)	9	0.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, column (B))	10	171,036.

Part XII Financial Statements and ReportingCheck if Schedule O contains a response or note to any line in this Part XII ☒

	Yes	No
1 Accounting method used to prepare the Form 990: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.		
2a Were the organization's financial statements compiled or reviewed by an independent accountant? _____ If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both: <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis	2a	X
b Were the organization's financial statements audited by an independent accountant? _____ If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both: <input checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis	2b	X
c If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? _____ If the organization changed either its oversight process or selection process during the tax year, explain on Schedule O.	2c	X
3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133? _____	3a	X
b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why on Schedule O and describe any steps taken to undergo such audits _____	3b	X

Form 990 (2019)

Open to Public Inspection

► Go to www.irs.gov/Form990 for instructions and the latest information.

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ►	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	334785613	374969017	416491013	456406800	522499605	2105152048.
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge						
4 Total. Add lines 1 through 3	334785613	374969017	416491013	456406800	522499605	2105152048.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						
6 Public support. Subtract line 5 from line 4.						2105152048.

Section B. Total Support

Calendar year (or fiscal year beginning in) ►	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
7 Amounts from line 4	334785613	374969017	416491013	456406800	522499605	2105152048.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources	110,845.	132,154.	154,022.	231,848.	233,874.	862,743.
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
11 Total support. Add lines 7 through 10						2106014791.
12 Gross receipts from related activities, etc. (see instructions)					12	
13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here						► <input type="checkbox"/>

Section C. Computation of Public Support Percentage

14 Public support percentage for 2019 (line 6, column (f) divided by line 11, column (f))	14	99.96	%
15 Public support percentage from 2018 Schedule A, Part II, line 14	15	99.96	%
16a 33 1/3% support test - 2019. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization			► <input checked="" type="checkbox"/>
b 33 1/3% support test - 2018. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization			► <input type="checkbox"/>
17a 10% -facts-and-circumstances test - 2019. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization			► <input type="checkbox"/>
b 10% -facts-and-circumstances test - 2018. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization			► <input type="checkbox"/>
18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions			► <input type="checkbox"/>

Schedule A (Form 990 or 990-EZ) 2019

Part III Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ►	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b						
8 Public support. (Subtract line 7c from line 6.)						

Section B. Total Support

Calendar year (or fiscal year beginning in) ►	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
13 Total support. (Add lines 9, 10c, 11, and 12.)						
14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here						

Section C. Computation of Public Support Percentage

15 Public support percentage for 2019 (line 8, column (f), divided by line 13, column (f))	15	%
16 Public support percentage from 2018 Schedule A, Part III, line 15	16	%

Section D. Computation of Investment Income Percentage

17 Investment income percentage for 2019 (line 10c, column (f), divided by line 13, column (f))	17	%
18 Investment income percentage from 2018 Schedule A, Part III, line 17	18	%

19a 33 1/3% support tests - 2019. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization

b 33 1/3% support tests - 2018. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and **stop here**. The organization qualifies as a publicly supported organization

20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions

Part IV Supporting Organizations

(Complete only if you checked a box in line 12 on Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

	Yes	No
1 Are all of the organization's supported organizations listed by name in the organization's governing documents? <i>If "No," describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.</i>		
2 Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? <i>If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).</i>		
3a Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer (b) and (c) below.</i>		
b Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? <i>If "Yes," describe in Part VI when and how the organization made the determination.</i>		
c Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? <i>If "Yes," explain in Part VI what controls the organization put in place to ensure such use.</i>		
4a Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes," and if you checked 12a or 12b in Part I, answer (b) and (c) below.</i>		
b Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? <i>If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.</i>		
c Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? <i>If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.</i>		
5a Did the organization add, substitute, or remove any supported organizations during the tax year? <i>If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in Part VI, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).</i>		
b Type I or Type II only. Was any added or substituted supported organization part of a class already designated in the organization's organizing document?		
c Substitutions only. Was the substitution the result of an event beyond the organization's control?		
6 Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? <i>If "Yes," provide detail in Part VI.</i>		
7 Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (as defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>		
8 Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>		
9a Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? <i>If "Yes," provide detail in Part VI.</i>		
b Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? <i>If "Yes," provide detail in Part VI.</i>		
c Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? <i>If "Yes," provide detail in Part VI.</i>		
10a Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? <i>If "Yes," answer 10b below.</i>		
b Did the organization have any excess business holdings in the tax year? <i>(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)</i>		

Part IV Supporting Organizations (continued)

	Yes	No
11 Has the organization accepted a gift or contribution from any of the following persons?		
a A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?		
11a		
b A family member of a person described in (a) above?		
11b		
c A 35% controlled entity of a person described in (a) or (b) above? If "Yes" to a, b, or c, provide detail in Part VI .		
11c		

Section B. Type I Supporting Organizations

	Yes	No
1 Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? If "No," describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.		
1		
2 Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? If "Yes," explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.		
2		

Section C. Type II Supporting Organizations

	Yes	No
1 Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? If "No," describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).		
1		

Section D. All Type III Supporting Organizations

	Yes	No
1 Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?		
1		
2 Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? If "No," explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).		
2		
3 By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? If "Yes," describe in Part VI the role the organization's supported organizations played in this regard.		
3		

Section E. Type III Functionally Integrated Supporting Organizations

1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions).			
a <input type="checkbox"/> The organization satisfied the Activities Test. Complete line 2 below.			
b <input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete line 3 below.			
c <input type="checkbox"/> The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions).			
2 Activities Test. Answer (a) and (b) below.			
a Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.			
2a			
b Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.			
2b			
3 Parent of Supported Organizations. Answer (a) and (b) below.			
a Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? Provide details in Part VI .			
3a			
b Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? If "Yes," describe in Part VI the role played by the organization in this regard.			
3b			

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations

- 1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI). **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

Section A - Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1	Net short-term capital gain	1	
2	Recoveries of prior-year distributions	2	
3	Other gross income (see instructions)	3	
4	Add lines 1 through 3.	4	
5	Depreciation and depletion	5	
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6	
7	Other expenses (see instructions)	7	
8	Adjusted Net Income (subtract lines 5, 6, and 7 from line 4)	8	

Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):		
a	Average monthly value of securities	1a	
b	Average monthly cash balances	1b	
c	Fair market value of other non-exempt-use assets	1c	
d	Total (add lines 1a, 1b, and 1c)	1d	
e	Discount claimed for blockage or other factors (explain in detail in Part VI):		
2	Acquisition indebtedness applicable to non-exempt-use assets	2	
3	Subtract line 2 from line 1d.	3	
4	Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions).	4	
5	Net value of non-exempt-use assets (subtract line 4 from line 3)	5	
6	Multiply line 5 by .035.	6	
7	Recoveries of prior-year distributions	7	
8	Minimum Asset Amount (add line 7 to line 6)	8	

Section C - Distributable Amount			Current Year
1	Adjusted net income for prior year (from Section A, line 8, Column A)	1	
2	Enter 85% of line 1.	2	
3	Minimum asset amount for prior year (from Section B, line 8, Column A)	3	
4	Enter greater of line 2 or line 3.	4	
5	Income tax imposed in prior year	5	
6	Distributable Amount. Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions).	6	
7	<input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions).		

Schedule A (Form 990 or 990-EZ) 2019

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued)

Section D - Distributions	Current Year
1 Amounts paid to supported organizations to accomplish exempt purposes	
2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
3 Administrative expenses paid to accomplish exempt purposes of supported organizations	
4 Amounts paid to acquire exempt-use assets	
5 Qualified set-aside amounts (prior IRS approval required)	
6 Other distributions (describe in Part VI). See instructions.	
7 Total annual distributions. Add lines 1 through 6.	
8 Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions.	
9 Distributable amount for 2019 from Section C, line 6	
10 Line 8 amount divided by line 9 amount	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2019	(iii) Distributable Amount for 2019
1 Distributable amount for 2019 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2019 (reasonable cause required- explain in Part VI). See instructions.			
3 Excess distributions carryover, if any, to 2019			
a From 2014			
b From 2015			
c From 2016			
d From 2017			
e From 2018			
f Total of lines 3a through e			
g Applied to underdistributions of prior years			
h Applied to 2019 distributable amount			
i Carryover from 2014 not applied (see instructions)			
j Remainder. Subtract lines 3g, 3h, and 3i from 3f.			
4 Distributions for 2019 from Section D, line 7: \$			
a Applied to underdistributions of prior years			
b Applied to 2019 distributable amount			
c Remainder. Subtract lines 4a and 4b from 4.			
5 Remaining underdistributions for years prior to 2019, if any. Subtract lines 3g and 4a from line 2. For result greater than zero, explain in Part VI . See instructions.			
6 Remaining underdistributions for 2019. Subtract lines 3h and 4b from line 1. For result greater than zero, explain in Part VI . See instructions.			
7 Excess distributions carryover to 2020. Add lines 3j and 4c.			
8 Breakdown of line 7:			
a Excess from 2015			
b Excess from 2016			
c Excess from 2017			
d Excess from 2018			
e Excess from 2019			

Schedule A (Form 990 or 990-EZ) 2019

Part VI

Supplemental Information. Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a, and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information.
(See instructions.)

Schedule B(Form 990, 990-EZ,
or 990-PF)Department of the Treasury
Internal Revenue Service**Schedule of Contributors**

- ▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Go to www.irs.gov/Form990 for the latest information.

OMB No. 1545-0047

2019

Name of the organization

Employer identification number

REGIONAL CENTER OF ORANGE COUNTY, INC.

95-3119548

Organization type (check one):

Filers of:**Section:**

Form 990 or 990-EZ

☒ 501(c)(3) (enter number) organization☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation☐ 527 political organization

Form 990-PF

☐ 501(c)(3) exempt private foundation☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation☐ 501(c)(3) taxable private foundationCheck if your organization is covered by the **General Rule** or a **Special Rule**.**Note:** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.**General Rule**

- ☐ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

- ☒ For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of **(1)** \$5,000; or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h; or (ii) Form 990-EZ, line 1. Complete Parts I and II.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 *exclusively* for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
- ☐ For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions *exclusively* for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Don't complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions totaling \$5,000 or more during the year ▶ \$ _____

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization

Employer identification number

REGIONAL CENTER OF ORANGE COUNTY, INC.

95-3119548

Part I Contributors (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	DEPARTMENT OF DEVELOPMENTAL SERVICES 1600 9TH STREET, SUITE 240 SACRAMENTO, CA 95814	\$ 513,346,019.	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
		\$	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)

95-3119548

Part II

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
	_____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
	_____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
	_____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
	_____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
	_____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
	_____ _____ _____	\$ _____	_____
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
	_____ _____ _____	\$ _____	_____

Schedule B (Form 990, 990-EZ, or 990-PF) (2019)

Name of organization

Employer identification number

REGIONAL CENTER OF ORANGE COUNTY, INC.

95-3119548

Part III

Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of exclusively religious, charitable, etc., contributions of \$1,000 or less for the year. (Enter this info. once.) ▶ \$ _____

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee
	(e) Transfer of gift		
	Transferee's name, address, and ZIP + 4		Relationship of transferor to transferee

SCHEDULE D
(Form 990)Department of the Treasury
Internal Revenue Service**Supplemental Financial Statements**▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.**▶ **Attach to Form 990.**▶ **Go to www.irs.gov/Form990 for instructions and the latest information.**

OMB No. 1545-0047

2019**Open to Public Inspection**

Name of the organization

REGIONAL CENTER OF ORANGE COUNTY, INC.

Employer identification number

95-3119548

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts. Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

	(a) Donor advised funds	(b) Funds and other accounts
1 Total number at end of year		
2 Aggregate value of contributions to (during year)		
3 Aggregate value of grants from (during year)		
4 Aggregate value at end of year		
5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? <input type="checkbox"/> Yes <input type="checkbox"/> No		
6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? <input type="checkbox"/> Yes <input type="checkbox"/> No		

Part II Conservation Easements. Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply).
☐ Preservation of land for public use (for example, recreation or education) ☐ Preservation of a historically important land area
☐ Protection of natural habitat ☐ Preservation of a certified historic structure
☐ Preservation of open space

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

	Held at the End of the Tax Year
a Total number of conservation easements	2a
b Total acreage restricted by conservation easements	2b
c Number of conservation easements on a certified historic structure included in (a)	2c
d Number of conservation easements included in (c) acquired after 7/25/06, and not on a historic structure listed in the National Register	2d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶

4 Number of states where property subject to conservation easement is located ▶

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? ☐ Yes ☐ No

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ▶ \$

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? ☐ Yes ☐ No

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under FASB ASC 958, not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide in Part XIII the text of the footnote to its financial statements that describes these items.

b If the organization elected, as permitted under FASB ASC 958, to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:

(i) Revenue included on Form 990, Part VIII, line 1 ▶ \$

(ii) Assets included in Form 990, Part X ▶ \$

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under FASB ASC 958 relating to these items:

a Revenue included on Form 990, Part VIII, line 1 ▶ \$

b Assets included in Form 990, Part X ▶ \$

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule D (Form 990) 2019

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets (continued)

3 Using the organization's acquisition, accession, and other records, check any of the following that make significant use of its collection items (check all that apply):

a ☐ Public exhibition

d ☐ Loan or exchange program

b ☐ Scholarly research

e ☐ Other _____

c ☐ Preservation for future generations

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? ☐ Yes ☒ No

Part IV Escrow and Custodial Arrangements. Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? ☐ Yes ☒ No

b If "Yes," explain the arrangement in Part XIII and complete the following table:

	Amount
c Beginning balance	1c
d Additions during the year	1d
e Distributions during the year	1e
f Ending balance	1f

2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? ☒ Yes ☐ No

b If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII ☒

Part V Endowment Funds. Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance					
b Contributions					
c Net investment earnings, gains, and losses					
d Grants or scholarships					
e Other expenditures for facilities and programs					
f Administrative expenses					
g End of year balance					

2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

a Board designated or quasi-endowment ☐ _____ %

b Permanent endowment ☐ _____ %

c Term endowment ☐ _____ %

The percentages on lines 2a, 2b, and 2c should equal 100%.

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

(i) Unrelated organizations

(ii) Related organizations

b If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R? ☐

	Yes	No
3a(i)		
3a(ii)		
3b		

4 Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings				
c Leasehold improvements				
d Equipment				
e Other				

Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.) ☐ 0.

Schedule D (Form 990) 2019

Part VII Investments - Other Securities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely held equity interests		
(3) Other		
(A)		
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 12.) ▶		

Part VIII Investments - Program Related.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 13.) ▶		

Part IX Other Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1) OTHER ASSETS	635,933.
(2) UNBILLED REIMBURSABLE CONTRACT COSTS -STATE OF CALIFORNIA	128,563,682.
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 15.) ▶	129,199,615.

Part X Other Liabilities.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) DEFERRED RENT LIABILITY	4,865,802.
(3) PENSION BENEFIT OBLIGATIONS	121,424,122.
(4) CONTRACT ADVANCE	117,209,654.
(5) PAYABLE TO DEPARTMENT OF	
(6) DEVELOPMENTAL SERVICES	52,523.
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶	243,552,101.

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FASB ASC 740. Check here if the text of the footnote has been provided in Part XIII ... ☒

Schedule D (Form 990) 2019

Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements	1	522,743,196.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:		
a	Net unrealized gains (losses) on investments	2a	
b	Donated services and use of facilities	2b	
c	Recoveries of prior year grants	2c	
d	Other (Describe in Part XIII.)	2d	
e	Add lines 2a through 2d	2e	0.
3	Subtract line 2e from line 1	3	522,743,196.
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1:		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	
b	Other (Describe in Part XIII.)	4b	
c	Add lines 4a and 4b	4c	0.
5	Total revenue. Add lines 3 and 4c . (This must equal Form 990, Part I, line 12.)	5	522,743,196.

Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered "Yes" on Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements	1	522,748,538.
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:		
a	Donated services and use of facilities	2a	
b	Prior year adjustments	2b	
c	Other losses	2c	
d	Other (Describe in Part XIII.)	2d	
e	Add lines 2a through 2d	2e	0.
3	Subtract line 2e from line 1	3	522,748,538.
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	
b	Other (Describe in Part XIII.)	4b	
c	Add lines 4a and 4b	4c	0.
5	Total expenses. Add lines 3 and 4c . (This must equal Form 990, Part I, line 18.)	5	522,748,538.

Part XIII Supplemental Information.

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

PART IV, LINE 2B:

THE CENTER SERVES AS A REPRESENTATIVE PAYEE FOR A PORTION OF ITS CLIENTS.

IN THIS FIDUCIARY CAPACITY, IT RECEIVES SOCIAL SECURITY BENEFITS AND OTHER SOURCES OF INCOME AND MAKES PAYMENTS ON BEHALF OF CERTAIN DEVELOPMENTALLY DISABLED CLIENTS WHO ARE DEEMED UNABLE TO ADMINISTER THE FUNDS THEMSELVES.

CLIENT TRUST TRANSACTIONS ARE NOT CONSIDERED REVENUE OR EXPENSES OF THE CENTER. THE CASH THAT IS RECEIVED AND OUTSTANDING RECEIVABLES, NET OF INTERFUND LIABILITIES, ARE REPORTED AS A LIABILITY, NET ASSETS HELD FOR OTHERS, UNTIL IT IS DISTRIBUTED TO THE RESPECTIVE CLIENTS.

PART X, LINE 2:

THE CENTER IS A QUALIFIED ORGANIZATION EXEMPT FROM FEDERAL INCOME TAXES

Part XIII Supplemental Information (continued)

UNDER SECTION 501(C)(3) OF THE INTERNAL REVENUE CODE ("IRC") AND FRANCHISE TAXES UNDER SECTION 23701D OF THE CALIFORNIA REVENUE AND TAXATION CODE. ACCORDINGLY, IT IS EXEMPT FROM FEDERAL AND CALIFORNIA INCOME TAXES AND IS NOT LIABLE FOR FEDERAL UNEMPLOYMENT TAXES.

MANAGEMENT EVALUATED THE CENTER'S TAX POSITIONS AND CONCLUDED THAT THEY MAINTAINED THEIR TAX EXEMPT STATUS AND HAD TAKEN NO UNCERTAIN TAX POSITIONS THAT WOULD REQUIRE ADJUSTMENT TO THE FINANCIAL STATEMENTS.

THEREFORE, NO PROVISION OR LIABILITY FOR INCOME TAXES HAS BEEN INCLUDED IN THE FINANCIAL STATEMENTS. THE 2016 THROUGH 2019 TAX RETURNS OF THE CENTER REMAIN SUBJECT TO EXAMINATION BY THE INTERNAL REVENUE SERVICE. IN ADDITION, THE 2015 THROUGH 2019 TAX RETURNS REMAIN SUBJECT TO EXAMINATION BY THE CALIFORNIA FRANCHISE TAX BOARD. HOWEVER, THERE ARE CURRENTLY NO EXAMINATIONS PENDING OR IN PROGRESS.

SCHEDULE D, PART VI

PURSUANT TO THE TERMS OF THE CONTRACT WITH DDS, EQUIPMENT PURCHASES BECOME THE PROPERTY OF THE STATE OF CALIFORNIA AND, ACCORDINGLY, ARE CHARGED AS EXPENSES WHEN INCURRED. THE CENTER TRACKS ITEMS, WHICH COST MORE THAN \$5,000 AND HAVE AN ESTIMATED USEFUL LIFE OF MORE THAN ONE YEAR. FOR THE YEAR ENDED JUNE 30, 2020, THERE WERE NO EQUIPMENT PURCHASES, AND THE EQUIPMENT DISPOSALS WERE \$35,293. THE AGGREGATE EQUIPMENT COSTS AT JUNE 30, 2020, TOTALED \$2,142,394.

SCHEDULE I
(Form 990)

Department of the Treasury
Internal Revenue Service

**Grants and Other Assistance to Organizations,
Governments, and Individuals in the United States**
Complete if the organization answered "Yes" on Form 990, Part IV, line 21 or 22.

▶ **Attach to Form 990.**

▶ **Go to www.irs.gov/Form990 for the latest information.**

OMB No. 1545-0047

2019

**Open to Public
Inspection**

Name of the organization

REGIONAL CENTER OF ORANGE COUNTY, INC.

Employer identification number
95-3119548

Part I **General Information on Grants and Assistance**

- 1** Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ☐ **Yes** ☒ **No**
- 2** Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

Part II **Grants and Other Assistance to Domestic Organizations and Domestic Governments.** Complete if the organization answered "Yes" on Form 990, Part IV, line 21, for any recipient that received more than \$5,000. Part II can be duplicated if additional space is needed.

1 (a) Name and address of organization or government	(b) EIN	(c) IRC section (if applicable)	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of noncash assistance	(h) Purpose of grant or assistance

- 2** Enter total number of section 501(c)(3) and government organizations listed in the line 1 table ▶
- 3** Enter total number of other organizations listed in the line 1 table ▶

LHA **For Paperwork Reduction Act Notice, see the Instructions for Form 990.**

Schedule I (Form 990) (2019)

Part III **Grants and Other Assistance to Domestic Individuals.** Complete if the organization answered "Yes" on Form 990, Part IV, line 22.
Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of noncash assistance
PURCHASED SERVICES FOR DEVELOPMENTALLY CHALLENGED CLIENTS	26788	0.	441,644,905.	FAIR VALUE	PURCHASED SERVICES

Part IV **Supplemental Information.** Provide the information required in Part I, line 2; Part III, column (b); and any other additional information.

PART I, LINE 2:

ALL CLIENTS ARE ASSIGNED A CASE WORKER WHO MONITORS THE SERVICES. THE
CENTER IS MONITORED BY THE DEPARTMENT OF DEVELOPMENTAL SERVICES OF THE
STATE OF CALIFORNIA.

**SCHEDULE J
(Form 990)**Department of the Treasury
Internal Revenue Service**Compensation Information**For certain Officers, Directors, Trustees, Key Employees, and Highest
Compensated Employees

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 23.

▶ Attach to Form 990.

▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2019Open to Public
Inspection

Name of the organization

REGIONAL CENTER OF ORANGE COUNTY, INC.

Employer identification number

95-3119548

Part I Questions Regarding Compensation**1a** Check the appropriate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.☐ First-class or charter travel☐ Housing allowance or residence for personal use☐ Travel for companions☐ Payments for business use of personal residence☐ Tax indemnification and gross-up payments☐ Health or social club dues or initiation fees☐ Discretionary spending account☐ Personal services (such as maid, chauffeur, chef)**b** If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain**2** Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, and officers, including the CEO/Executive Director, regarding the items checked on line 1a?**3** Indicate which, if any, of the following the organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.☐ Compensation committee☐ Written employment contract☐ Independent compensation consultant☐ Compensation survey or study☐ Form 990 of other organizations☒ Approval by the board or compensation committee**4** During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:**a** Receive a severance payment or change-of-control payment?**b** Participate in, or receive payment from, a supplemental nonqualified retirement plan?**c** Participate in, or receive payment from, an equity-based compensation arrangement?

If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.

Only section 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.**5** For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:**a** The organization?**b** Any related organization?

If "Yes" on line 5a or 5b, describe in Part III.

6 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:**a** The organization?**b** Any related organization?

If "Yes" on line 6a or 6b, describe in Part III.

7 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described on lines 5 and 6? If "Yes," describe in Part III**8** Were any amounts reported on Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III**9** If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?

Yes No

1b

2

4a

4b

4c

5a

5b

6a

6b

7

8

9

X

X

X

X

X

X

X

X

X

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990.

Schedule J (Form 990) 2019

Part II Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees. Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported on Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions, on row (ii). Do not list any individuals that aren't listed on Form 990, Part VII.

Note: The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
(1) LARRY LANDAUER	(i)	219,744.	0.	0.	48,298.	14,434.	282,476.	0.
EXECUTIVE DIRECTOR	(ii)	0.	0.	0.	0.	0.	0.	0.
(2) BETTE BABER	(i)	197,187.	0.	0.	40,237.	13,381.	250,805.	0.
CHIEF FINANCIAL OFFICER	(ii)	0.	0.	0.	0.	0.	0.	0.
(3) PETER HIMBER	(i)	200,051.	0.	0.	42,207.	4,267.	246,525.	0.
MEDICAL DIRECTOR	(ii)	0.	0.	0.	0.	0.	0.	0.
(4) IRIS RICHARD	(i)	193,382.	0.	0.	28,685.	16,334.	238,401.	0.
PHYSICIAN	(ii)	0.	0.	0.	0.	0.	0.	0.
(5) JERROD BONNER	(i)	124,623.	0.	0.	29,893.	22,198.	176,714.	0.
IT DIRECTOR	(ii)	0.	0.	0.	0.	0.	0.	0.
(6) BONNIE IVERS	(i)	145,130.	0.	0.	28,685.	18,211.	192,026.	0.
CLINICAL DIRECTOR	(ii)	0.	0.	0.	0.	0.	0.	0.
(7) SAM HO	(i)	142,845.	0.	0.	29,174.	12,581.	184,600.	0.
CONSULTING PHARMACIST	(ii)	0.	0.	0.	0.	0.	0.	0.
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							

Part III	Supplemental Information
-----------------	---------------------------------

Provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II. Also complete this part for any additional information.

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

SCHEDULE O
(Form 990 or 990-EZ)Department of the Treasury
Internal Revenue Service**Supplemental Information to Form 990 or 990-EZ**Complete to provide information for responses to specific questions on
Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.

▶ Go to www.irs.gov/Form990 for the latest information.

OMB No. 1545-0047

2019Open to Public
Inspection

Name of the organization

REGIONAL CENTER OF ORANGE COUNTY, INC.

Employer identification number

95-3119548

FORM 990, PART I, LINE 1, DESCRIPTION OF ORGANIZATION MISSION:

PROVIDES SERVICES TO INDIVIDUALS WITH DEVELOPMENTAL DISABILITIES.

FORM 990, PART IV, QUESTION 27

GOVERNANCE

THE CENTER WAS ORGANIZED IN ACCORDANCE WITH THE PROVISION OF THE
 LANTERMAN DEVELOPMENTAL DISABILITIES SERVICES ACT (THE "LANTERMAN ACT")
 OF THE WELFARE AND INSTITUTIONS CODE OF THE STATE OF CALIFORNIA. THE
 LANTERMAN ACT INCLUDES GOVERNANCE PROVISIONS REGARDING THE COMPOSITION
 OF THE CENTER'S BOARD OF DIRECTORS. THE LANTERMAN ACT STATES THAT THE
 BOARD SHALL BE COMPRISED OF INDIVIDUALS WITH DEMONSTRATED INTEREST IN,
 OR KNOWLEDGE OF, DEVELOPMENTAL DISABILITIES, AND OTHER RELEVANT
 CHARACTERISTICS, AND REQUIRES THAT A MINIMUM OF 50 PERCENT OF THE
 GOVERNING BOARD BE PERSONS WITH DEVELOPMENTAL DISABILITIES OR THEIR
 PARENTS OR LEGAL GUARDIANS; AND THAT NO LESS THAN 25 PERCENT OF THE
 MEMBERS OF THE GOVERNING BOARD SHALL BE PERSONS WITH DEVELOPMENTAL
 DISABILITIES. IN ADDITION, A MEMBER OF A REQUIRED ADVISORY COMMITTEE
 COMPOSED OF PERSONS REPRESENTING THE VARIOUS CATEGORIES OF PROVIDERS
 FROM WHICH THE CENTER PURCHASES CLIENT SERVICES, SHALL SERVE AS A
 MEMBER OF THE BOARD. TO COMPLY WITH THE LANTERMAN ACT, THE BOARD OF
 DIRECTORS INCLUDES PERSONS WITH DEVELOPMENTAL DISABILITIES, OR THEIR
 PARENTS OR LEGAL GUARDIANS, WHO RECEIVE SERVICES THROUGH THE CENTER AND
 A CLIENT SERVICE PROVIDER OF THE CENTER.

FORM 990, PART VI, SECTION B, LINE 11B:

LHA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule O (Form 990 or 990-EZ) (2019)

932211 09-06-19

Name of the organization

REGIONAL CENTER OF ORANGE COUNTY, INC.

Employer identification number

95-3119548

A PDF OF THE FINAL 990 IS DISTRIBUTED TO THE ENTIRE BOARD PRIOR TO FILING.

FORM 990, PART VI, SECTION B, LINE 12C:

THE CENTER IS SUBJECT TO THE CALIFORNIA CODE REGULATIONS, TITLE 17, CONFLICT OF INTEREST REGULATIONS AS WELL AS IT OWNS CONFLICT OF INTEREST POLICY. CONFLICT OF INTEREST REPORTING STATEMENTS ARE COMPLETED ANNUALLY BY AUGUST 1ST OF EACH YEAR BY ALL OFFICERS AND BOARD MEMBERS. THE EXECUTIVE DIRECTOR OR HIS DISGNEE REVIEWS EACH REPORTING STATEMENT THAT IS SUBMITTED WITHIN TEN WORKING DAYS OF RECEIPT AND DETERMINES WHETHER A CONFLICT EXISTS. ANY CONFLICTS THAT ARE IDENTIFIED REQUIRE THE EMPLOYEE OR BOARD MEMEBER TO ELIMINATE THE CONFLICT OR MITIGATE AND MANAGE THE CONFLICT THROUGH A CONFLICT RESOLUTION PLAN OR THE INDIVIDUAL SHALL RESIGN. ANY WAIVER REQUESTS MUST BE SUBMITTED TO THE CALIFORNIA DEPARTMENT OF DEVELOPMENTAL SERVICES FOR APPROVAL, MODIFICATION OR DENIAL. THE MINUTES OF THE BOARD AND ANY APPLICABLE COMMITTEES SHALL CONTAIN DISCUSSIONS REGARDING ANY DISCLOSED OR FOUND CONFLICTS OF INTEREST, WHICH SHALL INCLUDE THE NAMES OF PERSONS, NATURE OF THE CONFLICT, ANY DECISIONS MADE, NAMES OF PERSONS WHO WERE PRESENT FOR DISCUSSIONS, CONTENT OF THE DISCUSSION INCLUDING ANY ALTERNATIVES, AND RECORD OF ANY VOTES TAKEN IN CONNECTION WITH THE PROCEEDINGS.

FORM 990, PART VI, SECTION B, LINE 15A:

THE CENTER'S BOARD HAS APPOINTED AN EXECUTIVE COMMITTEE, COMPOSED OF OFFICERS, I.E., CHAIRPERSON, VICE CHAIRPERSON, SECRETARY, AND TREASURER, NONE OF WHOM HAVE A CONFLICT OF INTEREST WITH RESPECT TO THE COMPENSATION ARRANGEMENT FOR THE EXECUTIVE DIRECTOR, TO BE ACCOUNTABLE FOR SETTING A REASONABLE COMPENSATION PACKAGE FOR THE EXECUTIVE DIRECTOR. CONSISTENT WITH THE ORGANIZATION'S PHILOSOPHY AND PRINCIPLES, THE EXECUTIVE COMMITTEE

Name of the organization	Employer identification number
REGIONAL CENTER OF ORANGE COUNTY, INC.	95-3119548

DEVELOPS THE ANNUAL PERFORMANCE GOALS AND CRITERIA TO BE USED IN
 DETERMINING THE COMPENSATION PACKAGE FOR THE EXECUTIVE DIRECTOR. THE FULL
 BOARD THEN VOTES ON THE EXECUTIVE DIRECTOR'S COMPENSATION.

FORM 990, PART VI, SECTION C, LINE 19:
 A PDF OF THE FINAL 990 IS DISTRIBUTED TO THE ENTIRE BOARD PRIOR TO FILING.

PART VI, SECTION C, LINE 19:
 ALL THE BOARD GOVERNANCE DOCUMENTS, THE CONFLICT OF INTEREST POLICY,
 AND FINANCIAL STATEMETNS ARE AVAIBLE ON THE CENTER'S WEBSITE.

FORM 990, PART IV, QUESTION 27
 THERE IS NO CHANGE TO THE PROCESSS FROM THE PRIOR YEAR.

TAXABLE YEAR

2019

California Exempt Organization Annual Information Return

FORM

199

Calendar Year 2019 or fiscal year beginning (mm/dd/yyyy) 07/01/2019 , and ending (mm/dd/yyyy) 06/30/2020	
Corporation/Organization name REGIONAL CENTER OF ORANGE COUNTY, INC.	California corporation number 0793922
Additional information. See instructions.	FEIN 95-3119548
Street address (suite or room) P.O. BOX 22010	PMB no.
City SANTA ANA	State CA
Foreign country name	ZIP code 92702-2010
Foreign province/state/county	Foreign postal code

<p>A First Return <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>B Amended Return <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>C IRC Section 4947(a)(1) trust <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>D Final Information Return?</p> <p>• <input type="checkbox"/> Dissolved <input type="checkbox"/> Surrendered (Withdrawn) <input type="checkbox"/> Merged/Reorganized</p> <p>Enter date: (mm/dd/yyyy) • _____</p> <p>E Check accounting method: (1) <input type="checkbox"/> Cash (2) <input checked="" type="checkbox"/> Accrual (3) <input type="checkbox"/> Other</p> <p>F Federal return filed? (1) • <input type="checkbox"/> 990T (2) • <input type="checkbox"/> 990PF (3) • <input type="checkbox"/> Sch H (990) (4) <input checked="" type="checkbox"/> Other 990 series</p> <p>G Is this a group filing? See instructions <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>H Is this organization in a group exemption <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," what is the parent's name? _____</p> <p>I Did the organization have any changes to its guidelines not reported to the FTB? See instructions <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>J If exempt under R&TC Section 23701d, has the organization engaged in political activities? See instructions. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>K Is the organization exempt under R&TC Section 23701g? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," enter the gross receipts from nonmember sources \$ _____</p> <p>L If organization is a public charity exempt under R&TC Section 23701d and meets the filing fee exception, check box. No filing fee is required <input checked="" type="checkbox"/></p> <p>M Is the organization a Limited Liability Company? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>N Did the organization file Form 100 or Form 109 to report taxable income? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>O Is the organization under audit by the IRS or has the IRS audited in a prior year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>P Is federal Form 1023/1024 pending? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Date filed with IRS _____</p>
--	---

Part I Complete Part I unless not required to file this form. See General Information B and C.

Receipts and Revenues	1 Gross sales or receipts from other sources. From Side 2, Part II, line 8	•	1	9,387,460	00
	2 Gross dues and assessments from members and affiliates	•	2		00
	3 Gross contributions, gifts, grants, and similar amounts received	•	3	513,355,736	00
	4 Total gross receipts for filing requirement test. Add line 1 through line 3. This line must be completed. If the result is less than \$50,000, see General Information B	•	4	522,743,196	00
	5 Cost of goods sold	•	5		00
	6 Cost or other basis, and sales expenses of assets sold	•	6		00
	7 Total costs. Add line 5 and line 6	•	7		00
	8 Total gross income. Subtract line 7 from line 4	•	8	522,743,196	00
Expenses	9 Total expenses and disbursements. From Side 2, Part II, line 18	•	9	522,748,538	00
	10 Excess of receipts over expenses and disbursements. Subtract line 9 from line 8	•	10	-5,342	00
Filing Fee	11 Total payments	•	11		00
	12 Use tax. See General Information K	•	12		00
	13 Payments balance. If line 11 is more than line 12, subtract line 12 from line 11	•	13		00
	14 Use tax balance. If line 12 is more than line 11, subtract line 11 from line 12	•	14		00
	15 Filing fee \$10 or \$25. See General Information F	•	15	N/A	00
	16 Penalties and Interest. See General Information J	•	16		00
	17 Balance due. Add line 12, line 15, and line 16. Then subtract line 11 from the result	•	17		00
Sign Here	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.				
	Signature of officer	Title CHIEF FINANCIA	Date	• Telephone	
Paid Preparer's Use Only	Preparer's signature	Date	Check if self-employed <input type="checkbox"/>	• PTIN P00221282	
	Firm's name (or yours, if self-employed) and address MARCUM LLP 1 MONTGOMERY STREET SUITE 1700 SAN FRANCISCO, CA 94104				• Firm's FEIN 11-1986323
				• Telephone (415) 432-6200	
	May the FTB discuss this return with the preparer shown above? See instructions <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No				

Part II Organizations with gross receipts of more than \$50,000 and private foundations regardless of amount of gross receipts - complete Part II or furnish substitute information.

Receipts from Other Sources	1	Gross sales or receipts from all business activities. See instructions	•	1		00
	2	Interest	•	2	233,874	00
	3	Dividends	•	3		00
	4	Gross rents	•	4		00
	5	Gross royalties	•	5		00
	6	Gross amount received from sale of assets (See Instructions)	•	6		00
	7	Other income SEE STATEMENT 2	•	7	9,153,586	00
	8	Total gross sales or receipts from other sources. Add line 1 through line 7. Enter here and on Side 1, Part I, line 1	•	8	9,387,460	00
	9	Contributions, gifts, grants, and similar amounts paid	•	9	441,644,905	00
Expenses and Disbursements	10	Disbursements to or for members	•	10		00
	11	Compensation of officers, directors, and trustees SEE STATEMENT 3	•	11	533,281	00
	12	Other salaries and wages	•	12	42,438,257	00
	13	Interest	•	13	44,994	00
	14	Taxes	•	14		00
	15	Rents	•	15	3,208,713	00
	16	Depreciation and depletion (See instructions)	•	16		00
	17	Other Expenses and Disbursements SEE STATEMENT 4	•	17	34,878,388	00
	18	Total expenses and disbursements. Add line 9 through line 17. Enter here and on Side 1, Part I, line 9	•	18	522,748,538	00

Schedule L Balance Sheet

Beginning of taxable year

End of taxable year

Assets	(a)	(b)	(c)	(d)
1 Cash		11,623,437	•	16,674,227
2 Net accounts receivable		20,971	•	
3 Net notes receivable			•	
4 Inventories			•	
5 Federal and state government obligations			•	
6 Investments in other bonds			•	
7 Investments in stock			•	
8 Mortgage loans			•	
9 Other investments			•	
10 a Depreciable assets				
b Less accumulated depreciation	()	()		
11 Land			•	
12 Other assets STMT 5		232,604,073	•	282,814,423
13 Total assets		244,248,481		299,488,650
Liabilities and net worth				
14 Accounts payable		44,611,664	•	55,439,114
15 Contributions, gifts, or grants payable			•	
16 Bonds and notes payable STMT 6		444,701	•	326,399
17 Mortgages payable			•	
18 Other liabilities STMT 7		199,015,738		243,552,101
19 Capital stock or principal fund			•	
20 Paid-in or capital surplus. Attach reconciliation			•	
21 Retained earnings or income fund		176,378	•	171,036
22 Total liabilities and net worth		244,248,481		299,488,650

Schedule M-1 Reconciliation of income per books with income per return

Do not complete this schedule if the amount on Schedule L, line 13, column (d), is less than \$50,000.

1 Net income per books	•	-5,342	7 Income recorded on books this year not included in this return	•
2 Federal income tax	•		8 Deductions in this return not charged against book income this year	•
3 Excess of capital losses over capital gains	•		9 Total. Add line 7 and line 8	
4 Income not recorded on books this year	•		10 Net income per return.	
5 Expenses recorded on books this year not deducted in this return	•		Subtract line 9 from line 6	-5,342
6 Total. Add line 1 through line 5		-5,342		

CA 199

CASH CONTRIBUTIONS
INCLUDED ON PART I, LINE 3

STATEMENT 1

CONTRIBUTOR'S NAME	CONTRIBUTOR'S ADDRESS	DATE OF GIFT	AMOUNT
DEPARTMENT OF DEVELOPMENTAL SERVICES	1600 9TH STREET, SUITE 240 SACRAMENTO, CA 95814		513,346,019.
TOTAL INCLUDED ON LINE 3			513,346,019.

CA 199

OTHER INCOME

STATEMENT 2

DESCRIPTION	AMOUNT
INTERMEDIATE CARE FACILITIES FEE	9,153,586.
TOTAL TO FORM 199, PART II, LINE 7	9,153,586.

CA 199

COMPENSATION OF OFFICERS, DIRECTORS AND TRUSTEES

STATEMENT 3

NAME AND ADDRESS	TITLE AND AVERAGE HRS WORKED/WK	COMPENSATION
ALAN MARTIN P.O. BOX 22010 SANTA ANA, CA 92702-2010	DIRECTOR 1.00	0.
CLIFFORD AMSDEN P.O. BOX 22010 SANTA ANA, CA 92702-2010	VICE CHAIR 1.00	0.
SYLVIA DELGADO P.O. BOX 22010 SANTA ANA, CA 92702-2010	SECRETARY 1.00	0.
JOHN WRIGHT P.O. BOX 22010 SANTA ANA, CA 92702-2010	CHAIR 1.00	0.
MARCELL BASSETT P.O. BOX 22010 SANTA ANA, CA 92702-2010	DIRECTOR 1.00	0.
FRANCES HERNANDEZ P.O. BOX 22010 SANTA ANA, CA 92702-2010	DIRECTOR (EFFECTIVE 01/01/ 1.00	0.
TIFFANY BAUER P.O. BOX 22010 SANTA ANA, CA 92702-2010	DIRECTOR 1.00	0.
MEENA CHOCKALINGAM P.O. BOX 22010 SANTA ANA, CA 92702-2010	DIRECTOR 1.00	0.

REGIONAL CENTER OF ORANGE COUNTY, INC.95-3119548

MINE HAGEN P.O. BOX 22010 SANTA ANA, CA 92702-2010	TREASURER 1.00	0.
AMY JESSEE P.O. BOX 22010 SANTA ANA, CA 92702-2010	DIRECTOR 1.00	0.
LIZA KRASSNER P.O. BOX 22010 SANTA ANA, CA 92702-2010	DIRECTOR 1.00	0.
PETER KUO P.O. BOX 22010 SANTA ANA, CA 92702-2010	DIRECTOR (THRU 07/11/2019) 1.00	0.
HILDA MENDEZ P.O. BOX 22010 SANTA ANA, CA 92702-2010	DIRECTOR 1.00	0.
FERNANDO PENA P.O. BOX 22010 SANTA ANA, CA 92702-2010	DIRECTOR (EFFECTIVE 01/01/ 1.00	0.
CRISTINA ALBA P.O. BOX 22010 SANTA ANA, CA 92702-2010	DIRECTOR (THRU 10/7/2019) 1.00	0.
LARRY LANDAUER P.O. BOX 22010 SANTA ANA, CA 92702-2010	EXECUTIVE DIRECTOR 40.00	282,476.
BETTE BABER P.O. BOX 22010 SANTA ANA, CA 92702-2010	CHIEF FINANCIAL OFFICER 40.00	250,805.
TOTAL TO FORM 199, PART II, LINE 11		<u>533,281.</u>

CA 199	OTHER EXPENSES	STATEMENT 4
DESCRIPTION		AMOUNT
CHANGE IN PENSION BENEF		29,977,590.
DATA PROCESSING		1,440,753.
COMMUNICATIONS		724,881.
CONTRACT AND CONSULTANT		398,543.
LEGAL FEES		203,078.
ACCOUNTING FEES		149,774.
OFFICE EXPENSES		1,063,833.
TRAVEL		318,583.
INSURANCE		298,758.
ALL OTHER EXPENSES		302,595.
TOTAL TO FORM 199, PART II, LINE 17		34,878,388.

CA 199	OTHER ASSETS	STATEMENT 5
DESCRIPTION	BEG. OF YEAR	END OF YEAR
OTHER ASSETS	0.	0.
PLEDGES AND GRANTS RECEIVABLE	135,851,803.	153,043,921.
PREPAID EXPENSES AND DEFERRED CHARGES	619,550.	570,887.
OTHER ASSETS	630,487.	635,933.
UNBILLED REIMBURSABLE CONTRACT COSTS -STATE OF CALIFORNIA	95,502,233.	128,563,682.
TOTAL TO FORM 199, SCHEDULE L, LINE 12	232,604,073.	282,814,423.

CA 199	BONDS AND NOTES PAYABLE	STATEMENT 6
DESCRIPTION	BEG. OF YEAR	END OF YEAR
ESCROW ACCOUNT LIABILITIES	444,701.	326,399.
TOTAL TO FORM 199, SCHEDULE L, LINE 16	444,701.	326,399.

CA 199

OTHER LIABILITIES

STATEMENT 7

DESCRIPTIONBEG. OF YEAREND OF YEAR

DEFERRED RENT LIABILITY

4,898,449.

4,865,802.

PENSION BENEFIT OBLIGATIONS

88,671,935.

121,424,122.

CONTRACT ADVANCE

105,392,831.

117,209,654.

PAYABLE TO DEPARTMENT OF DEVELOPMENTAL SERVICES

52,523.

52,523.

TOTAL TO FORM 199, SCHEDULE L, LINE 18

199,015,738.

243,552,101.

CA 199

FUND BALANCES

STATEMENT 8

DESCRIPTIONBEG. OF YEAREND OF YEAR

NET ASSETS WITHOUT DONOR RESTRICTIONS

176,378.

171,036.

TOTAL TO FORM 199, SCHEDULE L, LINE 21

176,378.

171,036.

022

Date Accepted _____

DO NOT MAIL THIS FORM TO THE FTB

TAXABLE YEAR

2019

California e-file Return Authorization for Exempt Organizations

FORM

8453-EO

Exempt Organization name

Identifying number

REGIONAL CENTER OF ORANGE COUNTY, INC.

95-3119548

Part I Electronic Return Information (whole dollars only)

1	Total gross receipts (Form 199, line 4)	1	522,743,196
2	Total gross income (Form 199, line 8)	2	522,743,196
3	Total expenses and disbursements (Form 199, line 9)	3	522,748,538

Part II Settle Your Account Electronically for Taxable Year 2019

4 ☐ Electronic funds withdrawal 4a Amount 4b Withdrawal date (mm/dd/yyyy)

Part III Banking Information (Have you verified the exempt organization's banking information?)

5 Routing number _____
 6 Account number _____ 7 Type of account: ☐ Checking ☐ Savings

Part IV Declaration of Officer

I authorize the exempt organization's account to be settled as designated in Part II. If I check Part II, Box 4, I authorize an electronic funds withdrawal for the amount listed on line 4a.

Under penalties of perjury, I declare that I am an officer of the above exempt organization and that the information I provided to my electronic return originator (ERO), transmitter, or intermediate service provider and the amounts in Part I above agree with the amounts on the corresponding lines of the exempt organization's 2019 California electronic return. To the best of my knowledge and belief, the exempt organization's return is true, correct, and complete. If the exempt organization is filing a balance due return, I understand that if the Franchise Tax Board (FTB) does not receive full and timely payment of the exempt organization's fee liability, the exempt organization will remain liable for the fee liability and all applicable interest and penalties. I authorize the exempt organization return and accompanying schedules and statements be transmitted to the FTB by the ERO, transmitter, or intermediate service provider. **If the processing of the exempt organization's return or refund is delayed, I authorize the FTB to disclose to the ERO or intermediate service provider the reason(s) for the delay.**

Sign
Here

Signature of officer

Date

CHIEF FINANCIAL OFFICER

Title

Part V Declaration of Electronic Return Originator (ERO) and Paid Preparer.

I declare that I have reviewed the above exempt organization's return and that the entries on form FTB 8453-EO are complete and correct to the best of my knowledge. (If I am only an intermediate service provider, I understand that I am not responsible for reviewing the exempt organization's return. I declare, however, that form FTB 8453-EO accurately reflects the data on the return.) I have obtained the organization officer's signature on form FTB 8453-EO before transmitting this return to the FTB; I have provided the organization officer with a copy of all forms and information that I will file with the FTB, and I have followed all other requirements described in FTB Pub. 1345, 2019 Handbook for Authorized e-file Providers. I will keep form FTB 8453-EO on file for **four** years from the due date of the return or **four** years from the date the exempt organization return is filed, whichever is later, and I will make a copy available to the FTB upon request. If I am also the paid preparer, under penalties of perjury, I declare that I have examined the above exempt organization's return and accompanying schedules and statements, and to the best of my knowledge and belief, they are true, correct, and complete. I make this declaration based on all information of which I have knowledge.

ERO Must Sign	ERO's- signature	Date	Check if also paid preparer <input checked="" type="checkbox"/>	Check if self- employed <input type="checkbox"/>	ERO's PTIN P00221282
	Firm's name (or yours if self-employed) and address	MARCUM LLP 1 MONTGOMERY STREET SUITE 1700 SAN FRANCISCO, CA			Firm's FEIN 11-1986323
					ZIP code 94104

Under penalties of perjury, I declare that I have examined the above organization's return and accompanying schedules and statements, and to the best of my knowledge and belief, they are true, correct, and complete. I make this declaration based on all information of which I have knowledge.

Paid Preparer Must Sign	Paid preparer's signature	Date	Check if self- employed <input type="checkbox"/>	Paid preparer's PTIN
	Firm's name (or yours if self-employed) and address			
	Firm's FEIN			
ZIP code				

For Privacy Notice, get FTB 1131 ENG/SP.

FTB 8453-EO 2019

MAIL TO:
Registry of Charitable Trusts
P.O. Box 903447
Sacramento, CA 94203-4470STREET ADDRESS:
1300 I Street
Sacramento, CA 95814
(916)210-6400WEBSITE ADDRESS:
www.oag.ca.gov/charities**ANNUAL REGISTRATION RENEWAL FEE REPORT
TO ATTORNEY GENERAL OF CALIFORNIA**Section 12586 and 12587, California Government Code
11 Cal. Code Regs. section 301-307, 311 and 312

Failure to submit this report annually no later than four months and fifteen days after the end of the organization's accounting period may result in the loss of tax exemption and the assessment of a minimum tax of \$800, plus interest, and/or fines or filing penalties. Revenue & Taxation Code section 23703; Government Code section 12586.1. IRS extensions will be honored.

(For Registry Use Only)

REGIONAL CENTER OF ORANGE COUNTY, INC.

Name of Organization

List all DBAs and names the organization uses or has used

P.O. BOX 22010

Address (Number and Street)

SANTA ANA, CA 92702-2010

City or Town, State, and ZIP Code

(714) 796-5100

Telephone Number

E-mail Address

Check if:

- ☐
- Change of address
-
- ☐
- Amended report

State Charity Registration Number **CT021075**Corporation or Organization No. **0793922**Federal Employer ID No. **95-3119548****ANNUAL REGISTRATION RENEWAL FEE SCHEDULE (11 Cal. Code Regs. sections 301-307, 311, and 312)**

Make Check Payable to Department of Justice

Gross Annual Revenue	Fee	Gross Annual Revenue	Fee	Gross Annual Revenue	Fee
Less than \$25,000	0	Between \$100,001 and \$250,000	\$50	Between \$1,000,001 and \$10 million	\$150
Between \$25,000 and \$100,000	\$25	Between \$250,001 and \$1 million	\$75	Between \$10,000,001 and \$50 million	\$225
				Greater than \$50 million	\$300

PART A - ACTIVITIESFor your most recent full accounting period (beginning 07/01/2019 ending 06/30/2020) list:Gross Annual Revenue \$ 522,743,196 Noncash Contributions \$ 0 Total Assets \$ 299,488,650
Program Expenses \$ 508,328,504 Total Expenses \$ 522,748,538**PART B - STATEMENTS REGARDING ORGANIZATION DURING THE PERIOD OF THIS REPORT****Note: All questions must be answered. If you answer "yes" to any of the questions below, you must attach a separate page providing an explanation and details for each "yes" response. Please review RRF-1 instructions for information required.**

	Yes	No
1. During this reporting period, were there any contracts, loans, leases or other financial transactions between the organization and any officer, director or trustee thereof, either directly or with an entity in which any such officer, director or trustee had any financial interest?		X
2. During this reporting period, was there any theft, embezzlement, diversion or misuse of the organization's charitable property or funds?		X
3. During this reporting period, were any organization funds used to pay any penalty, fine or judgment?		X
4. During this reporting period, were the services of a commercial fundraiser, fundraising counsel for charitable purposes, or commercial coventurer used?		X
5. During this reporting period, did the organization receive any governmental funding? SEE STATEMENT 9	X	
6. During this reporting period, did the organization hold a raffle for charitable purposes?		X
7. Does the organization conduct a vehicle donation program?		X
8. Did the organization conduct an independent audit and prepare audited financial statements in accordance with generally accepted accounting principles for this reporting period?	X	
9. At the end of this reporting period, did the organization hold restricted net assets, while reporting negative unrestricted net assets?		X

I declare under penalty of perjury that I have examined this report, including accompanying documents, and to the best of my knowledge and belief, the content is true, correct and complete, and I am authorized to sign.**BETTE BABER**

Signature of Authorized Agent

Printed Name

**CHIEF FINANCIAL
OFFICER**

Title

Date

CA RRF-1

INFORMATION REGARDING GOVERNMENTAL FUNDING
PART B, LINE 5

STATEMENT 9

STATE OF CALIFORNIA
DEPARTMENT OF DEVELOPMENTAL SERVICES
1600 9TH STREET, SUITE 240
SACRAMENTO, CA 95814

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

ACTION _____
ACTION/CONSENT _____
DISCUSSION _____
INFO ONLY X _____

DATE: May 6, 2021

TO: Board of Directors

FROM: Budget and Finance Committee

SUBJECT: **Review of the Department of Developmental Services' (DDS') Audit Report for the Fiscal Years Ended June 30, 2018 and 2019**

BACKGROUND:

The Department of Developmental Services (DDS) conducted an audit under the authority of the Welfare and Institutions Code, Section 4780.5.

REASON FOR CURRENT ITEM:

The Board reviews RCOC's compliance with federal and state requirements.

FISCAL IMPACT:

None at this time. RCOC is appealing the finding regarding out-of-state services provided without DDS extension approval.

RECOMMENDATION:

This is an information item for the Board's review.

Agenda Item III.C.-2.f.

DEPARTMENT OF DEVELOPMENTAL SERVICES

1600 NINTH STREET, Room 320, MS-3-9
SACRAMENTO, CA 95814
TTY: 711
(916) 654-1958



April 20, 2021

John "Chip" Wright, Board Chair
Regional Center of Orange County, Inc.
P.O. Box 22010
Santa Ana, CA 92702-2010

Dear Mr. Wright:

The Department of Developmental Services' (DDS) Audit Section has completed the audit of the Regional Center of Orange County (RCOC). The period of review was from July 1, 2017 through June 30, 2019, with follow-up as needed into prior and subsequent periods. The enclosed report discusses the areas reviewed along with the findings and recommendations. The audit report includes the response submitted by RCOC as Appendix A and DDS' reply on page 22.

If there is a disagreement with the audit findings, a written "Statement of Disputed Issues" may be filed with DDS' Audit Appeals Unit, pursuant to California Code of Regulations (CCR), Title 17, Section 50730, Request for Administrative Review (excerpt enclosed). The "Statement of Disputed Issues" must be filed and submitted within 30 days of receipt of this audit report to the address below:

Department of Developmental Services
Audit Appeals Unit
Attn: Carla Castañeda, Chief Deputy Director
1600 Ninth Street, Room 240, MS 2-13
Sacramento, CA 95814

The cooperation of RCOC's staff in completing the audit is appreciated.

Your invoice for the total amount of \$1,006,311 from the current audit findings is enclosed. When making payments to DDS, please refer to the invoice number to ensure that proper credit is given. If you have any questions regarding the payment process, please contact Diane Nanick, Manager, Accounting Section, at (916) 654-2987.

"Building Partnerships, Supporting Choices"

John "Chip" Wright, Board Chair
April 20, 2021
Page two

If you have any questions regarding the audit report, please contact Edward Yan,
Manager, Audit Section, at (916) 651-8207.

Sincerely,

DocuSigned by:

53587E7F39B04DA...

ERICA REIMER SNELL
Deputy Director
Community Services Division

Enclosure(s)

cc: Larry Landauer, RCOC
Bette Baber, RCOC
Bob Sands, DHCS
Carla Castañeda, DDS
Brian Winfield, DDS
LeeAnn Christian, DDS
Pete Cervinka, DDS
Jim Knight, DDS
Ernie Cruz, DDS
Aaron Christian, DDS
Vicky Lovell, DDS
Diane Nanick, DDS
Greg Nabong, DDS
Jonathan Hill, DDS
Nury Enciso, DDS
Edward Yan, DDS
Luciah Ellen Nzima, DDS
Dong Le, DDS

State of California
DEPARTMENT OF DEVELOPMENTAL SERVICES
1600 9th Street
Sacramento, CA 95814

John "Chip" Wright, Board Chair
Regional Center of Orange County, Inc.
P.O. Box 22010
Santa Ana, CA 92702-2010

INVOICE No. **13673**

Date **April 20, 2021**

Headquarters

Please return copy of Invoice with your
remittance and make payable to:

DEPARTMENT OF DEVELOPMENTAL SERVICES
1600 9th Street, Room 310, MS 3-7
Sacramento, CA 95814
Attn: Diane J. Nanik, Chief of Accounting

Vendor no. 0000052957



For: Per final audit report dated April 20, 2021, please reimburse the Department of Developmental Services for the unresolved overpayment of \$1,006,311.00 for Fiscal Years 2017-2018 and 2018-2019.

Amount Due

\$1,006,311.00

DDS ACCOUNTING OFFICE ONLY:

FY	INV DATE	Curr. Doc	Rptg Structure	Svc Loc	Program	Amount	Approp. Ref.	Fund
	04-16-2021	INV13673	43009517	96000	9910	\$1,006,311.00	101	0001

California Code of Regulations
Title 17, Division 2
Chapter 1 - General Provisions
Subchapter 7 - Fiscal Audit Appeals
Article 2 - Administrative Review

§50730. Request for Administrative Review.

a) An individual, entity, or organization which disagrees with any portion or aspect of an audit report issued by the Department or regional center may request an administrative review. The appellant's written request shall be submitted to the Department within 30 days after the receipt of the audit report. The request may be amended at any time during the 30-day period.

(b) If the appellant does not submit the written request within the 30-day period, the appeals review officer shall deny such request, and all audit exceptions or findings in the report shall be deemed final unless the appellant establishes good cause for late filing.

(c) The request shall be known as a "Statement of Disputed Issues." It shall be in writing, signed by the appellant or his/her authorized agent, and shall state the address of the appellant and of the agent, if any agent has been designated. An appellant shall specify the name and address of the individual authorized on behalf of the appellant to receive any and all documents, including the final decision of the Director, relating to proceedings conducted pursuant to this subchapter. The Statement of Disputed Issues need not be formal, but it shall be both complete and specific as to each audit exception or finding being protested. In addition, it shall set forth all of the appellant's contentions as to those exceptions or findings, and the estimated dollar amount of each exception or finding being appealed.

(d) If the appeals review officer determines that a Statement of Disputed Issues fails to state the grounds upon which objections to the audit report are based, with sufficient completeness and specificity for full resolution of the issues presented, he/she shall notify the appellant, in writing, that it does not comply with the requirements of this subchapter.

(e) The appellant has 15 days after the date of mailing of such notice within which to file an amended Statement of Disputed Issues. If the appellant does not amend his/her appeal to correct the stated deficiencies within the time permitted, all audit exceptions or findings affected shall be dismissed from the appeal, unless good cause is shown for the noncompliance.

(f) The appellant shall attach to the Statement of Disputed Issues all documents which he/she intends to introduce into evidence in support of stated contentions. An appellant that is unable to locate, prepare, or compile such documents within the appeal period specified in Subsection (a) above, shall include a statement to this effect in the Statement of Disputed Issues. The appellant shall have an additional 30 days after the expiration of the initial 30-day period in which to submit the documents. Documents that are not submitted within this period shall not be accepted into evidence at any stage of the appeal process unless good cause is shown for the failure to present the documents within the prescribed period.



**AUDIT OF THE
REGIONAL CENTER OF ORANGE COUNTY
FOR FISCAL YEARS 2017-18 AND 2018-19**

Department of Developmental Services

April 20, 2021

This audit report was prepared by the
California Department of Developmental Services
1600 Ninth Street
Sacramento, CA 95814

Jim Knight, Deputy Director, Administration Division
Vicky Lovell, Chief, Research, Audit, and Evaluation Branch
Edward Yan, Manager, Audit Section
Luciah Ellen Nzima, Chief, Regional Center Audit Unit
Dong Le, Supervisor, Regional Center Audit Unit

Audit Staff: Shoua Vue, Ruth Yang, and Rajiv Raman

For more information, please call: (916) 654-3695

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EXECUTIVE SUMMARY

The Department of Developmental Services (DDS) conducted a fiscal compliance audit of the Regional Center of Orange County (RCOC) to ensure RCOC is compliant with the requirements set forth in the Lanterman Developmental Disabilities Services Act and Related Laws/Welfare and Institutions (W&I) Code; the Home and Community-based Services (HCBS) Waiver for the Developmentally Disabled; California Code of Regulations (CCR), Title 17; Federal Office of Management and Budget (OMB) Circulars A-122 and A-133; and the contract with DDS. Overall, the audit indicated that RCOC maintains accounting records and supporting documentation for transactions in an organized manner.

The audit period was July 1, 2017, through June 30, 2019, with follow-up, as needed, into prior and subsequent periods. This report identifies some areas where RCOC's administrative and operational controls could be strengthened. The only finding that would indicate a systemic issue was the need to ensure that vendors provide independent audits or reviews, when applicable. No findings were identified that would constitute major concerns regarding RCOC's operations. Also, a follow-up review was performed to ensure RCOC has taken corrective action to resolve the findings identified in the prior DDS audit report.

Findings that need to be addressed.

Finding 1: Out-of-State Services Provided Without DDS Extension Approval

The review of 20 sampled consumer authorizations revealed RCOC did not request approvals from the DDS Director or her designee to extend three consumers' services after the initial six-month approval to receive services out of state had expired. These three consumers' services were provided in Texas, Florida and New Mexico without approved extensions between April 2016 and March 2020. This resulted in payments to three vendors totaling \$1,006,311. This is not in compliance with W&I Code, Section 4519(a).

Finding 2: Over/Understated Claims

The review of 100 sampled purchase of service (POS) vendor files revealed eight vendors were reimbursed for services provided to consumers at incorrect rates. The rates paid to the vendors were not the same as the rates listed in the contracts or rate letters issued by RCOC and/or by DDS. In addition, RCOC incorrectly applied the 30.44 proration factor for partial-month stays for six vendors. This resulted in over/understated claims totaling \$3,450.99 and \$24,216.04, respectively. This is not in compliance with CCR, Title 17, Sections 57300(c)(2) and 56917(i).

RCOC took corrective action to resolve \$3,450.99 and \$23,428.83 of the over/understated claims, respectively. Therefore, an underpayment of \$787.21 remains outstanding.

Finding 3: Deleted

After further analysis of the additional documentation provided by RCOC in its response to the draft audit report, it has been determined that this was not an issue and the finding has been deleted.

Finding 4: Remaining Trust Balances (Repeat)

The review of the deceased consumer trust accounts revealed RCOC has not taken action to resolve \$11,649.95 remaining in one consumer's trust account. This account has been inactive since May 2014. The trust account should have been closed and the remaining funds forwarded to the consumer's beneficiaries, transferred to the Department of Health Care Services (DHCS) if required by Medicaid, or escheated to the State if unclaimed for over three years. This issue was identified in the past two DDS audit reports. This is not in compliance with the California Code of Civil Procedure, Article 2, Section 1518(a)(1).

Finding 5: Client Trust Balance Over \$2,000 (Repeat)

The review of RCOC's client trust accounts revealed four consumer accounts with balances that exceeded the \$2,000 resource limit. This issue was identified in the prior DDS audit report. This is not in compliance with the Social Security Handbook, Chapter 21, Section 2113.2.

RCOC provided documentation indicating that two consumers were not subject to the \$2,000 resource limit.

Finding 6: Policies and Procedures for Vendor Audits and Reviews

RCOC does not have procedures in place to follow up with vendors who are required to, but have not, submitted an independent audit or independent review report. It was noted that 135 out of 170 vendors who were required to contract with an independent accounting firm for an independent audit or independent review report of their financial statements did not submit an independent audit or independent review report within nine months of the end of the vendor's fiscal year. This is not in compliance with Title 17 Section 54370(a).

BACKGROUND

DDS is responsible, under the W&I Code, for ensuring that persons with developmental disabilities (DD) receive the services and supports they need to lead more independent, productive and integrated lives. To ensure that these services and supports are available, DDS contracts with 21 private, nonprofit community agencies/corporations that provide fixed points of contact in the community for serving eligible individuals with DD and their families in California. These fixed points of contact are referred to as regional centers (RCs). The RCs are responsible under State law to help ensure that such persons receive access to the programs and services that are best suited to them throughout their lifetime.

DDS is also responsible for providing assurance to the Department of Health and Human Services, Centers for Medicare and Medicaid Services (CMS), that services billed under California's HCBS Waiver program are provided and that criteria set forth for receiving funds have been met. As part of DDS' program for providing this assurance, the Audit Section conducts fiscal compliance audits of each RC no less than every two years and completes follow-up reviews in alternate years. Also, DDS requires RCs to contract with independent Certified Public Accountants (CPAs) to conduct an annual financial statement audit. The DDS audit is designed to wrap around the independent CPA's audit to ensure comprehensive financial accountability.

In addition to the fiscal compliance audit, each RC will also be monitored by the DDS Federal Programs Operations Section to assess overall programmatic compliance with HCBS Waiver requirements. The HCBS Waiver compliance monitoring review has its own criteria and processes. These audits and program reviews are an essential part of an overall DDS monitoring system that provides information on RCs' fiscal, administrative, and program operations.

DDS and Regional Center of Orange County, Inc., entered into State Contract HD149014, effective July 1, 2014, through June 30, 2021. This contract specifies that Regional Center of Orange County, Inc. will operate an agency known as the Regional Center of Orange County (RCOC) to provide services to individuals with DD and their families in Orange County. The contract is funded by state and federal funds that are dependent upon RCOC performing certain tasks, providing services to eligible consumers, and submitting billings to DDS.

This audit was conducted at RCOC from January 13, 2020, through February 12, 2020, by the Audit Section of DDS.

AUTHORITY

The audit was conducted under the authority of the W&I Code, Section 4780.5 and Article IV, Section 3 of the State Contract between DDS and RCOC.

CRITERIA

The following criteria were used for this audit:

- W&I Code,
- “Approved Application for the HCBS Waiver for the Developmentally Disabled,”
- CCR, Title 17,
- OMB Circulars A-122 and A-133, and
- The State Contract between DDS and RCOC, effective July 1, 2014.

AUDIT PERIOD

The audit period was July 1, 2017, through June 30, 2019, with follow-up, as needed, into prior and subsequent periods.

OBJECTIVES, SCOPE, AND METHODOLOGY

This audit was conducted as part of the overall DDS monitoring system that provides information on RCs' fiscal, administrative and program operations. The objectives of this audit were:

- To determine compliance with the W&I Code,
- To determine compliance with the provisions of the HCBS Waiver Program for the Developmentally Disabled,
- To determine compliance with CCR, Title 17 regulations,
- To determine compliance with OMB Circulars A-122 and A-133, and
- To determine that costs claimed were in compliance with the provisions of the State Contract between DDS and RCOC.

The audit was conducted in accordance with the Generally Accepted Government Auditing Standards issued by the Comptroller General of the United States. However, the procedures do not constitute an audit of RCOC's financial statements. DDS limited the scope to planning and performing audit procedures necessary to obtain reasonable assurance that RCOC was in compliance with the objectives identified above. Accordingly, DDS examined transactions on a test basis to determine whether RCOC was in compliance with the W&I Code; the HCBS Waiver for the Developmentally Disabled; CCR, Title 17; OMB Circulars A-122 and A-133; and the State Contract between DDS and RCOC.

DDS' review of RCOC's internal control structure was conducted to gain an understanding of the transaction flow and the policies and procedures, as necessary, to develop appropriate auditing procedures.

DDS reviewed the annual audit report that was conducted by an independent CPA firm for Fiscal Year (FY) 2017-18, issued on August 23, 2019. It was noted that no management letter was issued for RCOC. This review was performed to determine the impact, if any, upon the DDS audit and, as necessary, develop appropriate audit procedures.

The audit procedures performed included the following:

I. Purchase of Service

DDS selected a sample of Purchase of Service (POS) claims billed to DDS. The sample included consumer services and vendor rates. The sample also included consumers who were eligible for the HCBS Waiver Program. For POS claims, the following procedures were performed:

- DDS tested the sample items to determine if the payments made to service providers were properly claimed and could be supported by appropriate documentation.
- DDS selected a sample of invoices for service providers with daily and hourly rates, standard monthly rates, and mileage rates to determine if supporting attendance documentation was maintained by RCOC. The rates charged for the services provided to individual consumers were reviewed to ensure compliance with the provision of the W&I Code; the HCBS Waiver for the Developmentally Disabled; CCR, Title 17, OMB Circulars A-122 and A-133; and the State Contract between DDS and RCOC.
- DDS selected a sample of individual Consumer Trust Accounts to determine if there were any unusual activities and whether any account balances exceeded \$2,000, as prohibited by the Social Security Administration. In addition, DDS determined if any retroactive Social Security benefit payments received exceeded the \$2,000 resource limit for longer than nine months. DDS also reviewed these accounts to ensure that the interest earnings were distributed quarterly, personal and incidental funds were paid before the 10th of each month, and proper documentation for expenditures was maintained.
- DDS selected a sample of Uniform Fiscal Systems (UFS) reconciliations to determine if any accounts were out of balance or if there were any outstanding items that were not reconciled.
- DDS analyzed all of RCOC's bank accounts to determine whether DDS had signatory authority, as required by the State Contract with DDS.
- DDS selected a sample of bank reconciliations for Operations (OPS) accounts and Consumer Trust bank accounts to determine if the reconciliations were properly completed on a monthly basis.

II. Regional Center Operations

DDS selected a sample of OPS claims billed to DDS to determine compliance with the State Contract. The sample included various expenditures claimed for

administration that were reviewed to ensure RCOC's accounting staff properly input data, transactions were recorded on a timely basis, and expenditures charged to various operating areas were valid and reasonable. The following procedures were performed:

- A sample of the personnel files, timesheets, payroll ledgers, and other support documents were selected to determine if there were any overpayments or errors in the payroll or the payroll deductions.
- A sample of OPS expenses, including, but not limited to, purchases of office supplies, consultant contracts, insurance expenses, and lease agreements were tested to determine compliance with CCR, Title 17, and the State Contract.
- A sample of equipment was selected and physically inspected to determine compliance with requirements of the State Contract.
- DDS reviewed RCOC's policies and procedures for compliance with the DDS Conflict of Interest regulations, and DDS selected a sample of personnel files to determine if the policies and procedures were followed.

III. Targeted Case Management (TCM) and Regional Center Rate Study

The TCM Rate Study determines the DDS rate of reimbursement from the federal government. The following procedures were performed upon the study:

- Reviewed applicable TCM records and RCOC's Rate Study. DDS examined the months of April 2018 and April 2019 and traced the reported information to source documents.
- Reviewed RCOC's TCM Time Study. DDS selected a sample of payroll timesheets for this review and compared timesheets to the Case Management Time Study Forms (DS 1916) to ensure that the forms were properly completed and supported.

IV. Service Coordinator Caseload Survey

Under the W&I Code, Section 4640.6(e), RCs are required to provide service coordinator caseload data to DDS. The following average service coordinator-to-consumer ratios apply per W&I Code Section 4640.6(c)(1)(2)(3)(A)(B)(C):

- “(c) Contracts between the department and regional centers shall require regional centers to have service coordinator-to-consumer ratios, as follows:
 - (1) An average service coordinator-to-consumer ratio of 1 to 62 for all consumers who have not moved from the developmental centers to

the community since April 14, 1993. In no case shall a service coordinator for these consumers have an assigned caseload in excess of 79 consumers for more than 60 days.

- (2) An average service coordinator-to-consumer ratio of 1 to 45 for all consumers who have moved from a developmental center to the community since April 14, 1993. In no case shall a service coordinator for these consumers have an assigned caseload in excess of 59 consumers for more than 60 days.
- (3) Commencing January 1, 2004, the following coordinator-to-consumer ratios shall apply:
 - (A) All consumers three years of age and younger and for consumers enrolled in the Home and Community-based Services Waiver program for persons with developmental disabilities, an average service coordinator-to-consumer ratio of 1 to 62.
 - (B) All consumers who have moved from a developmental center to the community since April 14, 1993, and have lived continuously in the community for at least 12 months, an average service coordinator-to-consumer ratio of 1 to 62.
 - (C) All consumers who have not moved from the developmental centers to the community since April 14, 1993, and who are not described in subparagraph (A), an average service coordinator-to-consumer ratio of 1 to 66.”

DDS also reviewed the Service Coordinator Caseload Survey methodology used in calculating the caseload ratios to determine reasonableness and that supporting documentation is maintained to support the survey and the ratios as required by W&I Code, Section 4640.6(e).

V. Early Intervention Program (EIP; Part C Funding)

For the EIP, there are several sections contained in the Early Start Plan. However, only the Part C section was applicable for this review.

VI. Family Cost Participation Program (FCPP)

The FCPP was created for the purpose of assessing consumer costs to parents based on income level and dependents. The family cost participation assessments are only applied to respite, day care, and camping services that are included in the child’s Individual Program Plan (IPP)/Individualized Family Services Plan (IFSP). To determine whether RCOC was in compliance with CCR, Title 17, and the W&I Code, Section 4783, DDS performed the following procedures during the audit review:

- Reviewed the list of consumers who received respite, day care, and camping services, for ages 0 through 17 years who live with their parents and are not Medi-Cal eligible, to determine their contribution for the FCPP.
- Reviewed the parents' income documentation to verify their level of participation based on the FCPP Schedule.
- Reviewed copies of the notification letters to verify that the parents were notified of their assessed cost participation within 10 working days of receipt of the parents' income documentation.
- Reviewed vendor payments to verify that RCOC was paying for only its assessed share of cost.

VII. Annual Family Program Fee (AFPF)

The AFPF was created for the purpose of assessing an annual fee of up to \$200 based on the income level of families with children between the ages of 0 through 17 years receiving qualifying services through the RC. The AFPF fee shall not be assessed or collected if the child receives only respite, day care, or camping services from the RC and a cost for participation was assessed to the parents under FCPP. To determine whether RCOC was in compliance with the W&I Code, Section 4785, DDS requested a list of AFPF assessments and verified the following:

- The adjusted gross family income is at or above 400 percent of the federal poverty level based upon family size.
- The child has a DD or is eligible for services under the California Early Intervention Services Act.
- The child is less than 18 years of age and lives with his or her parent.
- The child or family receives services beyond eligibility determination, needs assessment, and service coordination.
- The child does not receive services through the Medi-Cal program.
- Documentation was maintained by the RC to support reduced assessments.

VIII. Parental Fee Program (PFP)

The PFP was created for the purpose of prescribing financial responsibility to parents of children under the age of 18 years who are receiving 24-hour, out-of-home care services through an RC or who are residents of a state hospital or on leave from a state hospital. Parents shall be required to pay a fee depending

upon their ability to pay, but not to exceed (1) the cost of caring for a child without DD at home, as determined by the Director of DDS, or (2) the cost of services provided, whichever is less. To determine whether RCOC is in compliance with the W&I Code, Section 4782, DDS requested a list of PFP assessments and verified the following:

- Identified all children with DD who are receiving the following services:
 - (a) All 24-hour, out-of-home community care received through an RC for children under the age of 18 years;
 - (b) 24-hour care for such minor children in state hospitals. Provided, however, that no ability to pay determination shall be made for services required by state or federal law, or both, to be provided to children without charge to their parents.
- Provided DDS with a listing of new placements, terminated cases, and client deaths for those clients. Such listings shall be provided not later than the 20th day of the month following the month of such occurrence.
- Informed parents of children who will be receiving services that DDS is required to determine parents' ability to pay and to assess, bill, and collect parental fees.
- Provided parents a package containing an informational letter, a Family Financial Statement (FFS), and a return envelope within 10 working days after placement of a minor child.
- Provided DDS a copy of each informational letter given or sent to parents, indicating the addressee and the date given or mailed.

IX. Procurement

The Request for Proposal (RFP) process was implemented to ensure RCs outline the vendor selection process when using the RFP process to address consumer service needs. As of January 1, 2011, DDS requires RCs to document their contracting practices, as well as how particular vendors are selected to provide consumer services. By implementing a procurement process, RCs will ensure that the most cost-effective service providers, amongst comparable service providers, are selected, as required by the Lanterman Act and the State Contract. To determine whether RCOC implemented the required RFP process, DDS performed the following procedures during the audit review:

- Reviewed RCOC's contracting process to ensure the existence of a

Board-approved procurement policy and to verify that the RFP process ensures competitive bidding, as required by Article II of the State Contract, as amended.

- Reviewed the RFP contracting policy to determine whether the protocols in place included applicable dollar thresholds and comply with Article II of the State Contract, as amended.
- Reviewed the RFP notification process to verify that it is open to the public and clearly communicated to all vendors. All submitted proposals are evaluated by a team of individuals to determine whether proposals are properly documented, recorded, and authorized by appropriate officials at RCOC. The process was reviewed to ensure that the vendor selection process is transparent and impartial and avoids the appearance of favoritism. Additionally, DDS verified that supporting documentation is retained for the selection process and, in instances where a vendor with a higher bid is selected, written documentation is retained as justification for such a selection.

DDS performed the following procedures to determine compliance with Article II of the State Contract for contracts in place as of January 1, 2011:

- Selected a sample of Operations, Community Placement Plan (CPP), and negotiated POS contracts subject to competitive bidding to ensure RCOC notified the vendor community and the public of contracting opportunities available.
- Reviewed the contracts to ensure that RCOC has adequate and detailed documentation for the selection and evaluation process of vendor proposals and written justification for final vendor selection decisions and that those contracts were properly signed and executed by both parties to the contract.

In addition, DDS performed the following procedures:

- To determine compliance with the W&I Code, Section 4625.5 for contracts in place as of March 24, 2011: Reviewed to ensure RCOC has a written policy requiring the Board to review and approve any of its contracts of two hundred fifty thousand dollars (\$250,000) or more before entering into a contract with the vendor.
- Reviewed RCOC Board-approved Operations, Start-Up, and POS vendor contracts of \$250,000 or more, to ensure the inclusion of a provision for fair and equitable recoupment of funds for vendors that cease to provide services to consumers; verified that the funds provided were specifically used to establish new or additional services to consumers, the usage of

funds is of direct benefit to consumers, and the contracts are supported with sufficiently detailed and measurable performance expectations and results.

The process above was conducted in order to assess RCOC's current RFP process and Board approval for contracts of \$250,000 or more, as well as to determine whether the process in place satisfies the W&I Code and RCOC's State Contract requirements, as amended.

X. Statewide/Regional Center Median Rates

The Statewide and RC Median Rates were implemented on July 1, 2008, and amended on December 15, 2011 and July 1, 2016, to ensure that RCs are not negotiating rates higher than the set median rates for services. Despite the median rate requirement, rate increases could be obtained from DDS under health and safety exemptions where RCs demonstrate the exemption is necessary for the health and safety of the consumers.

To determine whether RCOC was in compliance with the Lanterman Act, DDS performed the following procedures during the audit review:

- Reviewed sample vendor files to determine whether RCOC is using appropriately vendorized service providers and correct service codes, and that RCOC is paying authorized contract rates and complying with the median rate requirements of W&I Code, Section 4691.9.
- Reviewed vendor contracts to ensure that RCOC is reimbursing vendors using authorized contract median rates and verified that rates paid represented the lower of the statewide or RC median rate set after June 30, 2008. Additionally, DDS verified that providers vendorized before June 30, 2008, did not receive any unauthorized rate increases, except in situations where required by regulation, or health and safety exemptions were granted by DDS.
- Reviewed vendor contracts to ensure that RCOC did not negotiate rates with new service providers for services which are higher than the RC's median rate for the same service code and unit of service, or the statewide median rate for the same service code and unit of service, whichever is lower. DDS also ensured that units of service designations conformed with existing RC designations or, if none exists, ensured that units of service conformed to a designation used to calculate the statewide median rate for the same service code.

XI. Other Sources of Funding from DDS

RCs may receive other sources of funding from DDS. DDS performed sample tests on identified sources of funds from DDS to ensure RCOC's accounting staff were inputting data properly, and that transactions were properly recorded and claimed. In addition, tests were performed to determine if the expenditures were reasonable and supported by documentation. The sources of funding from DDS identified in this audit are:

- Start-Up Funds;
- CPP;
- Part C – Early Start Program;
- Family Resource Center;

XII. Follow-up Review on Prior DDS Audit Findings

As an essential part of the overall DDS monitoring system, a follow-up review of the prior DDS audit findings was conducted. DDS identified prior audit findings that were reported to RCOC and reviewed supporting documentation to determine the degree of completeness of RCOC's implementation of corrective actions.

CONCLUSIONS

Based upon the audit procedures performed, DDS has determined that except for the items identified in the Findings and Recommendations section, RCOC was in compliance with applicable sections of the W&I Code; the HCBS Waiver for the Developmentally Disabled; CCR, Title 17; OMB Circulars A-122 and A-133; and the State Contract between DDS and RCOC for the audit period, July 1, 2017, through June 30, 2019.

The costs claimed during the audit period were for program purposes and adequately supported.

From the review of the two prior audit findings, it has been determined that RCOC has not taken appropriate corrective action to resolve the two findings.

VIEWS OF RESPONSIBLE OFFICIALS

DDS issued the draft audit report on October 23, 2020. The findings in the draft audit report were discussed at a formal exit conference with RCOC on October 28, 2020. The views of RCOC's responsible officials are included in this final audit report.

RESTRICTED USE

This audit report is solely for the information and use of DDS, CMS, Department of Health Care Services, and RCOC. This restriction does not limit distribution of this audit report, which is a matter of public record.

FINDINGS AND RECOMMENDATIONS

Findings that need to be addressed.

Finding 1: Out-of-State Services Provided Without DDS Extension Approval

The review of 20 sampled consumer authorizations revealed RCOC did not request approvals from the DDS Director or her designee to extend three consumers' services after the initial six-month approval to receive services out of state had expired. The three consumers, Unique Consumer Identification (UCI) numbers 5415609, 5684618 and 6856059, received services without approved extensions from June 2018 through October 2019, April 2016 through February 2020, and June 2018 through March 2020, in Texas, Florida and New Mexico, respectively. This resulted in payments totaling \$1,006,311 made to three vendors without approved extensions. RCOC stated that two of the consumers, UCI numbers 5415609 and 5684618, have since relocated and are now receiving services in California. RCOC also stated that it is working diligently to relocate the remaining consumer, UCI number 6856059. In addition, RCOC indicated that it has retroactively requested extensions for the periods each consumer received services out of state without DDS approvals. (See Attachment A)

W&I Code, Section 4519(a) states in part:

“(a) The department shall not expend funds, and a regional center shall not expend funds allocated to it by the department, for the purchase of any service outside the state unless the Director of Developmental Services or the director's designee has received, reviewed, and approved a plan for out-of-state service in the client's individual program plan. ...

The request shall include details regarding all options considered and an explanation of why these options cannot meet the consumer's needs. The department shall authorize for no more than six months the purchase of out-of-state services when the director determines the proposed service or an appropriate alternative, as determined by the director, is not available from resources and facilities within the state. Any extension beyond six months shall be based on a new and complete comprehensive assessment of the consumer's needs, review of available options, and determination that the consumer's needs cannot be met in California. An extension shall not exceed six months.”

Recommendation:

RCOC must reimburse DDS \$1,006,311 for services provided without an extension. In addition, RCOC must ensure it complies with the W&I Code, Section 4519 which requires the Director of DDS or her designee to receive, review and approve extensions for out-of-state services as stated in the consumer's Individual Program Plan.

Finding 2: Over/Understated Claims

The review of 100 sampled POS vendor files revealed eight vendors that were reimbursed for services provided to consumers at incorrect rates. The rates paid to the vendors were not the same as the rates listed in the contracts or rate letters issued by RCOC and/or by DDS. This resulted in over/understated claims totaling \$2,315.28 and \$14,240.19, respectively.

In addition, RCOC incorrectly applied the 30.44 proration factor for partial-month stays for six vendors. This resulted in over/understated claims totaling \$1,135.71 and \$9,975.85, respectively.

The total over/understated claims from incorrect rates and incorrectly applying the 30.44 proration rate were \$3,450.99 and \$24,216.04, respectively.

RCOC took corrective action to resolve \$3,450.99 and \$23,428.83 of the over/understated claims, respectively. Therefore, an underpayment of \$787.21 to one vendor remain outstanding. (See Attachment B)

CCR, Title 17, Section 57300(c)(2) states:

“(c) Regional Centers shall not reimburse vendors:

(2) For services in an amount greater than the rate established pursuant to these regulations.”

CCR, Title 17, Section 56917(i) states:

“(i) The established rate shall be prorated for a partial month of service in all other cases by dividing the established rate by 30.44, then multiplying the number of days the consumer resided in the facility.”

Recommendation:

RCOC must reimburse the underpayment of \$787.21 to the vendor. In addition, RCOC should ensure the rates paid to vendors match the rates

specified in the contracts and/or rate letters and the 30.44 proration factor is applied for any partial-month stays.

Finding 3: Deleted

After further analysis of the additional documentation provided by RCOC in its response to the draft audit report, it has been determined that this was not an issue and the finding has been deleted.

Finding 4: Remaining Trust Balances (Repeat)

The review of the deceased consumer trust accounts revealed RCOC has not taken corrective action to resolve \$11,649.95 remaining in a consumer's account. This trust account has been inactive since May 2014; it should have been closed and the remaining balance forwarded to the consumer's beneficiaries, transferred to the Department of Health Care Services (DHCS) if required by Medicaid, or escheated to the State if unclaimed for more than three years. This issue was also identified in the past two DDS audit reports. RCOC stated it has not taken corrective action to resolve this issue since it is still waiting for feedback from DHCS indicating that there are no outstanding bills to be paid for the consumer. California Code of Civil Procedure (CCP), Article 2, Section 1518(a)(1), states:

“All intangible personal property, including intangible personal property maintained in a deposit or account, and the income or increment on such tangible or intangible property, held in a fiduciary capacity for the benefit of another person escheats to this state if for more than three years after it becomes payable or distributable, the owner has not done any of the following:

- (A) Increased or decreased the principal.
- (B) Accepted payment of principal or income.
- (C) Corresponded in writing concerning the property.
- (D) Otherwise indicated an interest in the property as evidenced by a memorandum or other record on file with the fiduciary.”

Recommendation:

RCOC must follow up to determine whether DHCS will collect the \$11,649.95 from the deceased consumer's trust account. If DHCS is not seeking repayment from the deceased consumer, the funds must be escheated to the State.

Finding 5: Client Trust Balance Over \$2,000 (Repeat)

The review of RCOC's client trust accounts revealed four consumer accounts with balances that exceeded the \$2,000 resource limit. By exceeding the resource limit, consumers are at risk of losing SSI benefits that are used to offset the costs of residential services. Any residential costs not offset by SSI benefits are charged in full to the State. In its prior response, RCOC agreed with the finding and stated that it took corrective action to resolve two of the consumer balances. However, RCOC stated that the current issue occurred because RCOC did not have enough staff to monitor consumer accounts and ensure balances remain below the resource limit.

RCOC provided documentation which indicated that two consumers were not subject to the resource limit. (See Attachment C)

Social Security Handbook, Chapter 21, Section 2113.2 states:

"In order to receive SSI benefits, you cannot own countable real or personal property (including cash) in excess of a specified amount at the beginning of each month. For an individual with an eligible or ineligible spouse, the applicable limit is one and one-half times as much as that for an individual without a spouse. These limits are set by law, and they are not subject to regular cost-of-living adjustments. But they are subject to change. The limits for January 2009 are \$2,000 for an individual and \$3,000 for a couple."

Recommendation:

RCOC should ensure all consumer balances remain within the resource limits established by the Social Security guidelines. If necessary or helpful, consumers or their trust account administrators could be informed about CalABLE accounts (www.calable.ca.gov), which could be used to diminish the risk of exceeding the asset limit.

Finding 6: Policies and Procedures for Vendor Audits and Reviews

RCOC does not have procedures in place to follow up with vendors who are required to, but have not, submitted an annual independent audit or annual independent review report. It was noted that 135 out of 170 vendors who were required to contract with an independent accounting firm for an audit or review of their financial statements did not submit an audit or review within nine months of the end of the vendor's fiscal year. Failure to receive these reports limits RCOC's ability to detect vendor issues that may adversely affect services. RCOC stated it will implement written policies and procedures and ensure follow-ups are conducted.

CCR, Title 17, Section 54370(a) states:

“(a) The vendoring regional center shall be responsible for ensuring that vendors within its service catchment area comply with the vendorization requirements.”

Recommendation:

RCOC should ensure it follows its procedures to follow up with vendors who are required to, but have not, submitted an annual independent audit report or review.

EVALUATION OF RESPONSE

As part of the audit report process, RCOC was provided with a draft audit report and requested to provide a response to the findings. RCOC's response dated November 10, 2020, is provided as Appendix A.

DDS' Audit Section has evaluated RCOC's response and will confirm the appropriate corrective actions have been taken during the next scheduled audit.

Finding 1: Out-of-State Services Provided Without DDS Extension Approval

RCOC stated that it understood the requirement to request approvals from DDS but disagrees with DDS' recommendation to reimburse \$1,006,311. In addition, RCOC questioned how DDS derived the amount of the finding since it provided essential services for the consumers. DDS agrees that RCOC provided essential services for the consumers, but as stated in its response it knowingly failed to request extensions from the DDS' Director or designee, which violates the W&I Code, Section 4519. The amount requested by DDS covers the period when the three consumers (UCI numbers 5415609, 5684618 and 6856059) received services without approved extensions: from June 2018 through October 2019, April 2016 through February 2020, and June 2018 through March 2020, in Texas, Florida and New Mexico, respectively. In addition, RCOC did not provide documentation indicating that it was unable to find appropriate placements in California at the time services were provided. Therefore, RCOC must reimburse \$1,006,311 to DDS for services provided without extensions.

Finding 2: Over/Understated Claims

RCOC agreed with finding and took corrective action to resolve the overstated claims totaling \$3,450.99 and reimbursed \$23,428.83 of the understated claims to its vendors before the issuance of the draft report. As a result, that leaves the remaining underpayment totaling \$787.21 to one vendor.

Finding 3: Deleted

After further analysis of the additional documentation provided by RCOC in its response to the draft audit report, it has been determined that this was not an issue and the finding has been deleted.

Finding 4: Remaining Trust Balances (Repeat)

RCOC agreed with the finding as stated in its prior response. RCOC's current response states it took corrective action but could not find any known

beneficiaries. Further, RCOC claimed again that it submitted another Estate Recovery Questionnaire to DHCS, sent the funds to DHCS and had the check returned. DDS appreciates the efforts RCOC took to resolve this finding. However, if RCOC's efforts have been unsuccessful, rather than repeat the same steps, it should follow DDS' recommendation and escheat the \$11,649.95 remaining in the consumer's account to the State. This will ensure compliance with the California Code of Civil Procedure, Article 2, Section 1518(a)(1).

Finding 5: Client Trust Balance Over \$2,000 (Repeat)

RCOC provided documentation indicating that two consumers were not subject to the \$2,000 resource limit since they received SSA benefits only. RCOC agreed that the remaining two consumers that received SSI benefits were subject to the \$2,000 resource limit. However, RCOC did not provide information on how it will resolve the resource limits. If necessary or helpful, consumers or their trust account administrators could be informed about CalABLE accounts (www.calable.ca.gov), which could be used to diminish the risk of exceeding the asset limit. DDS will conduct a follow-up review during the next scheduled audit to ensure these two consumers are below the resource limit.

Finding 6: Policies and Procedures for Vendor Audits and Reviews

RCOC agreed with the finding and provided follow up procedures for vendors who are required to, but have not, submitted an annual independent audit report or review. RCOC stated that it will send first, second and final notices to vendors that fail to provide CPA audit reports or reviews. In addition, RCOC indicated that it will put the vendors who fail to provide a CPA report or review on a "Do Not Refer" status until the required audit or review are submitted. DDS will conduct a follow-up review during the next scheduled audit to ensure RCOC is enforcing the newly implemented procedures.

**Regional Center of Orange County
Unauthorized Services Provided
Fiscal Years 2017-18 and 2018-19**

No.	Vendor Number	Vendor Name	Service Code	Unique Client Identification Number	Authorization Number	Payment Period	POS Amount
1	PM1115	Adult Community	058	5684618	16602328	201604	\$13,470.00
2	PM1115	Adult Community	058	5684618	16602328	201605	\$13,940.00
3	PM1115	Adult Community	058	5684618	16602328	201606	\$13,470.00
4	PM1115	Adult Community	058	5684618	17602328	201607	\$13,940.00
5	PM1115	Adult Community	058	5684618	17602328	201608	\$13,940.00
6	PM1115	Adult Community	058	5684618	17602328	201609	\$13,470.00
7	PM1115	Adult Community	058	5684618	17602328	201610	\$13,940.00
8	PM1115	Adult Community	058	5684618	17602328	201611	\$13,470.00
9	PM1115	Adult Community	058	5684618	17602328	201612	\$13,940.00
10	PM1115	Adult Community	058	5684618	17644365	201701	\$13,906.00
11	PM1115	Adult Community	058	5684618	17644365	201702	\$12,496.00
12	PM1115	Adult Community	058	5684618	17644365	201703	\$13,906.00
13	PM1115	Adult Community	058	5684618	17644365	201704	\$13,436.00
14	PM1115	Adult Community	058	5684618	17644365	201705	\$13,906.00
15	PM1115	Adult Community	058	5684618	17644365	201706	\$13,436.00
16	PM1115	Adult Community	058	5684618	18644365	201707	\$13,906.00
17	PM1115	Adult Community	058	5684618	18644365	201708	\$13,906.00
18	PM1115	Adult Community	058	5684618	18644365	201709	\$13,436.00
19	PM1115	Adult Community	058	5684618	18644365	201710	\$13,906.00
20	PM1115	Adult Community	058	5684618	18644365	201711	\$13,436.00
21	PM1115	Adult Community	058	5684618	18644365	201712	\$13,906.00
22	PM1115	Adult Community	058	5684618	18644365	201801	\$13,906.00
23	PM1115	Adult Community	058	5684618	18644365	201802	\$12,496.00
24	PM1115	Adult Community	058	5684618	18644365	201803	\$13,906.00
25	PM1115	Adult Community	058	5684618	18644365	201804	\$13,436.00
26	PM1115	Adult Community	058	5684618	18644365	201806	\$13,436.00
27	PM1115	Adult Community	058	5684618	19644365	201807	\$13,906.00
28	PM1115	Adult Community	058	5684618	19644365	201808	\$13,906.00
29	PM1115	Adult Community	058	5684618	19644365	201809	\$13,436.00
30	PM1115	Adult Community	058	5684618	19644365	201810	\$13,906.00
31	PM1115	Adult Community	058	5684618	19644365	201811	\$12,496.00
32	PM1115	Adult Community	058	5684618	19644365	201812	\$13,436.00
33	PM1115	Adult Community	058	5684618	19644365	201901	\$13,906.00
34	PM1115	Adult Community	058	5684618	19644365	201902	\$12,496.00
35	PM1115	Adult Community	058	5684618	19644365	201903	\$13,906.00
36	PM1115	Adult Community	058	5684618	19726881	201904	\$13,436.00

**Regional Center of Orange County
Unauthorized Services Provided
Fiscal Years 2017-18 and 2018-19**

No.	Vendor Number	Vendor Name	Service Code	Unique Client Identification Number	Authorization Number	Payment Period	POS Amount
37	PM1115	Adult Community	058	5684618	19726881	201905	\$13,906.00
38	PM1115	Adult Community	058	5684618	19726881	201906	\$13,436.00
39	PM1115	Adult Community	058	5684618	20726881	201907	\$13,906.00
40	PM1115	Adult Community	058	5684618	20726881	201908	\$13,906.00
41	PM1115	Adult Community	058	5684618	20726881	201909	\$13,436.00
42	PM1115	Adult Community	058	5684618	20726881	201910	\$13,906.00
43	PM1115	Adult Community	058	5684618	20726881	201911	\$13,436.00
44	PM1115	Adult Community	058	5684618	20726881	201912	\$13,906.00
45	PM1115	Adult Community	058	5684618	20726881	202001	\$13,906.00
46	PM1115	Adult Community	058	5684618	20726881	202002	\$746.00
47	PM0808	Devereux Foundation	058	5415609	18686459	201806	\$8,160.00
48	PM0808	Devereux Foundation	058	5415609	19686459	201807	\$8,457.00
49	PM0808	Devereux Foundation	058	5415609	19686459	201808	\$8,457.00
50	PM0808	Devereux Foundation	058	5415609	19686459	201809	\$8,160.00
51	PM0808	Devereux Foundation	058	5415609	19686459	201810	\$8,457.00
52	PM0808	Devereux Foundation	058	5415609	19686459	201811	\$8,160.00
53	PM0808	Devereux Foundation	058	5415609	19686459	201812	\$8,457.00
54	PM0808	Devereux Foundation	058	5415609	19686459	201901	\$8,457.00
55	PM0808	Devereux Foundation	058	5415609	19686459	201902	\$7,566.00
56	PM0808	Devereux Foundation	058	5415609	19686459	201903	\$8,457.00
57	PM0808	Devereux Foundation	058	5415609	19722741	201904	\$8,160.00
58	PM0808	Devereux Foundation	058	5415609	19722741	201905	\$8,457.00
59	PM0808	Devereux Foundation	058	5415609	19722741	201906	\$8,160.00
60	PM0808	Devereux Foundation	058	5415609	20722741	201907	\$8,457.00
61	PM0808	Devereux Foundation	058	5415609	20722741	201908	\$8,457.00
62	PM0808	Devereux Foundation	058	5415609	20722741	201909	\$8,160.00
63	PM0808	Devereux Foundation	058	5415609	20722741	201910	\$8,316.00
64	PM0601	A Better Way	058	6856059	18663080	201806	\$11,340.00
65	PM0601	A Better Way	058	6856059	19701591	201807	\$11,718.00
66	PM0601	A Better Way	058	6856059	19702768	201808	\$11,718.00
67	PM0601	A Better Way	058	6856059	19702768	201809	\$11,340.00
68	PM0601	A Better Way	058	6856059	19702768	201810	\$11,718.00
69	PM0601	A Better Way	058	6856059	19702768	201811	\$11,340.00
70	PM0601	A Better Way	058	6856059	19702768	201812	\$11,718.00
71	PM0601	A Better Way	058	6856059	19702768	201901	\$11,718.00
72	PM0601	A Better Way	058	6856059	19702768	201902	\$10,584.00

**Regional Center of Orange County
Unauthorized Services Provided
Fiscal Years 2017-18 and 2018-19**

No.	Vendor Number	Vendor Name	Service Code	Unique Client Identification Number	Authorization Number	Payment Period	POS Amount
73	PM0601	A Better Way	058	6856059	19702768	201903	\$11,718.00
74	PM0601	A Better Way	058	6856059	19702768	201904	\$11,340.00
75	PM0601	A Better Way	058	6856059	19702768	201905	\$11,718.00
76	PM0601	A Better Way	058	6856059	19702768	201906	\$11,340.00
77	PM0601	A Better Way	058	6856059	20735971	201907	\$11,718.00
78	PM0601	A Better Way	058	6856059	20735971	201908	\$11,718.00
79	PM0601	A Better Way	058	6856059	20735971	201909	\$11,340.00
80	PM0601	A Better Way	058	6856059	20735971	201910	\$11,718.00
81	PM0601	A Better Way	058	6856059	20735971	201911	\$11,340.00
82	PM0601	A Better Way	058	6856059	20735971	201912	\$11,718.00
83	PM0601	A Better Way	058	6856059	20753354	202001	\$10,935.00
84	PM0601	A Better Way	058	6856059	20753354	202002	\$10,962.00
85	PM0601	A Better Way	058	6856059	20753354	202003	\$10,935.00
Total POS Amount of Unauthorized Services							\$1,006,311.00

**Regional Center of Orange County
Over and Understated Claims
Fiscal Years 2017-18 and 2018-19**

No.	Vendor Number	Unique Client Identification Number	Service Code	Sub Code	Authorization	Service Month	POS Amount	Under/Over Payments	Resolved	Outstanding Balance
Overstated Claims										
1	H13779	6810642	915		19651015	October 2018	\$2,170.63	\$494.00	\$494.00	\$0.00
2	HM0833	6877166	920		18654169	April 2018	\$7,197.35	\$9.31	\$9.31	\$0.00
3	HM0173	6815316	920		18629863	July 2017 - September 2017	\$33,714.00	\$1,284.00	\$1,284.00	\$0.00
		6889492	920		18674068	September 2017 - October 2017	\$13,468.25	\$512.70	\$512.70	\$0.00
4	H13842	6802752	904		19725303	April 2019	\$3,219.22	\$15.27	\$15.27	\$0.00
	Total Overstated Claims Due to Incorrect Rates							\$2,315.28	\$2,315.28	\$0.00
5	HM1178	6924661	113		18671444	September 2017	\$6,914.52	\$891.51	\$891.51	\$0.00
6	HM0713	6815316	920	L14S	18629863	October 2017	\$2,584.26	\$98.39	\$98.39	\$0.00
7	HM0578	6876015	920	L4I	18682494	January 2018	\$579.52	\$145.81	\$145.81	\$0.00
Total Overstated Claims Due to Incorrect 30.44 Proration								\$1,135.71	\$1,135.71	\$0.00
Grand Total Overstated Claims								\$3,450.99	\$3,450.99	\$0.00

Understated Claims										
8	HM0695	1947084	510		19531554	January 2019 - April 2019	\$5,708.32	(\$15.23)	(\$15.23)	\$0.00
		1947480	510		19582565	January 2019 - April 2019	\$4,913.53	(\$13.07)	(\$13.07)	\$0.00
		1998806	510		19505189	January 2019 - April 2019	\$5,419.28	(\$14.47)	(\$14.47)	\$0.00
		4820015	510		19535345	January 2019 - April 2019	\$5,455.43	(\$14.55)	(\$14.55)	\$0.00
		4880630	510		19345463	January 2019 - April 2019	\$4,769.00	(\$12.70)	(\$12.70)	\$0.00
		4881335	510		19665440	January 2019 - April 2019	\$4,624.50	(\$12.30)	(\$12.30)	\$0.00
		4881799	510		19476957	January 2019 - April 2019	\$5,816.69	(\$15.54)	(\$15.54)	\$0.00
		5022587	510		19440023	January 2019 - April 2019	\$6,069.62	(\$16.18)	(\$16.18)	\$0.00
		5023031	510		19572638	January 2019 - April 2019	\$3,974.15	(\$10.60)	(\$10.60)	\$0.00
		5364914	510		19560670	January 2019 - April 2019	\$4,732.89	(\$12.59)	(\$12.59)	\$0.00
		5418058	510		19380545	January 2019 - April 2019	\$5,491.55	(\$14.65)	(\$14.65)	\$0.00
		5500566	510		19367963	January 2019 - April 2019	\$5,888.97	(\$15.71)	(\$15.71)	\$0.00
		5553037	510		19379500	January 2019 - April 2019	\$5,997.35	(\$16.00)	(\$16.00)	\$0.00

**Regional Center of Orange County
Over and Understated Claims
Fiscal Years 2017-18 and 2018-19**

No.	Vendor Number	Unique Client Identification Number	Service Code	Sub Code	Authorization	Service Month	POS Amount	Under/Over Payments	Resolved	Outstanding Balance
8	HM0695	5579032	510		19593224	January 2019 - April 2019	\$5,816.72	(\$15.51)	(\$15.51)	\$0.00
		5622402	510		19724852	April 2019	\$1,517.40	(\$4.05)	(\$4.05)	\$0.00
		5637673	510		19383269	January 2019 - April 2019	\$5,961.22	(\$15.91)	(\$15.91)	\$0.00
		5683545	510		19720356	February 2019 - April 2019	\$3,396.09	(\$9.06)	(\$9.06)	\$0.00
		5707898	510		19488709	January 2019 - April 2019	\$5,636.08	(\$15.02)	(\$15.02)	\$0.00
		5843701	510		19719588	February 2019 - April 2019	\$3,034.80	(\$8.10)	(\$8.10)	\$0.00
		5843800	510		19720398	February 2019 - April 2019	\$3,685.13	(\$9.82)	(\$9.82)	\$0.00
		5844105	510		19343536	January 2019 - April 2019	\$5,491.56	(\$14.64)	(\$14.64)	\$0.00
		5940341	510		19343492	January 2019 - April 2019	\$5,997.38	(\$15.97)	(\$15.97)	\$0.00
		6008791	510		19362309	January 2019 - April 2019	\$6,105.74	(\$16.29)	(\$16.29)	\$0.00
		6020283	510		19343528	January 2019 - April 2019	\$5,852.87	(\$15.58)	(\$15.58)	\$0.00
		6023014	510		19693855	January 2019 - April 2019	\$5,997.37	(\$15.98)	(\$15.98)	\$0.00
		6041107	510		19619507	January 2019 - April 2019	\$6,141.88	(\$16.37)	(\$16.37)	\$0.00
		6097552	510		19708211	January 2019	\$72.33	(\$0.12)	(\$0.12)	\$0.00
		6214290	510		19510589	January 2019 - April 2019	\$6,069.61	(\$16.19)	(\$16.19)	\$0.00
		6216114	510		19553148	January 2019 - April 2019	\$5,780.61	(\$15.39)	(\$15.39)	\$0.00
		6529697	510		19707166	January 2019 - April 2019	\$5,961.24	(\$15.89)	(\$15.89)	\$0.00
		6702866	510		19343538	January 2019 - April 2019	\$5,563.82	(\$14.83)	(\$14.83)	\$0.00
		6800147	510		19687369	January 2019 - April 2019	\$5,997.37	(\$15.98)	(\$15.98)	\$0.00
		6800579	510		19343539	January 2019 - February 2019	\$2,962.57	(\$7.88)	(\$7.88)	\$0.00
		6800717	510		19563440	January 2019 - April 2019	\$5,852.85	(\$15.60)	(\$15.60)	\$0.00
		6800942	510		19571833	January 2019 - March 2019	\$3,181.99	(\$5.81)	(\$5.81)	\$0.00
		6801002	510		19578358	January 2019 - April 2019	\$5,563.82	(\$14.83)	(\$14.83)	\$0.00
		6801208	510		19703323	January 2019 - April 2019	\$5,563.81	(\$14.84)	(\$14.84)	\$0.00
		6801518	510		19665442	January 2019 - April 2019	\$6,141.88	(\$16.37)	(\$16.37)	\$0.00
		6801570	510		19343503	January 2019 - April 2019	\$5,347.05	(\$14.25)	(\$14.25)	\$0.00
		6801767	510		19559908	January 2019 - February 2019	\$1,880.27	(\$3.43)	(\$3.43)	\$0.00

**Regional Center of Orange County
Over and Understated Claims
Fiscal Years 2017-18 and 2018-19**

No.	Vendor Number	Unique Client Identification Number	Service Code	Sub Code	Authorization	Service Month	POS Amount	Under/Over Payments	Resolved	Outstanding Balance
8	HM0695	6802095	510		19687468	January 2019 - April 2019	\$6,069.62	(\$16.18)	(\$16.18)	\$0.00
		6802446	510		19399078	January 2019 - April 2019	\$6,141.88	(\$16.37)	(\$16.37)	\$0.00
		6802563	510		19343544	January 2019 - April 2019	\$6,033.49	(\$16.09)	(\$16.09)	\$0.00
		6802887	510		19726889	April 2019	\$144.53	(\$0.37)	(\$0.37)	\$0.00
		6802923	510		19561227	January 2019 - April 2019	\$5,202.53	(\$13.87)	(\$13.87)	\$0.00
		6802986	510		19343551	January 2019 - April 2019	\$5,274.81	(\$14.04)	(\$14.04)	\$0.00
		6803151	510		19602956	January 2019 - April 2019	\$3,688.22	(\$6.73)	(\$6.73)	\$0.00
		6803397	510		19601507	January 2019 - April 2019	\$5,672.19	(\$15.14)	(\$15.14)	\$0.00
		6803733	510		19343500	January 2019 - April 2019	\$6,141.88	(\$16.37)	(\$16.37)	\$0.00
		6803992	510		19557653	January 2019 - April 2019	\$4,624.50	(\$12.30)	(\$12.30)	\$0.00
		6804025	510		19427908	January 2019 - April 2019	\$4,985.76	(\$13.29)	(\$13.29)	\$0.00
		6804059	510		19675843	January 2019 - April 2019	\$6,141.88	(\$16.37)	(\$16.37)	\$0.00
		6804356	510		19572980	January 2019 - March 2019	\$2,529.01	(\$6.74)	(\$6.74)	\$0.00
		6804545	510		19539791	January 2019 - April 2019	\$6,105.75	(\$16.28)	(\$16.28)	\$0.00
		6804770	510		19343531	January 2019 - April 2019	\$4,949.63	(\$13.20)	(\$13.20)	\$0.00
		6805033	510		19656327	January 2019 - April 2019	\$6,069.61	(\$16.19)	(\$16.19)	\$0.00
		6805093	510		19687942	January 2019 - April 2019	\$6,069.61	(\$16.19)	(\$16.19)	\$0.00
		6805151	510		19479902	January 2019 - April 2019	\$5,636.07	(\$15.03)	(\$15.03)	\$0.00
		6805189	510		19693062	January 2019 - April 2019	\$6,141.88	(\$16.37)	(\$16.37)	\$0.00
		6805650	510		19560617	January 2019 - April 2019	\$4,335.44	(\$11.56)	(\$11.56)	\$0.00
		6805941	510		19343523	January 2019 - April 2019	\$5,780.58	(\$15.42)	(\$15.42)	\$0.00
		6806096	510		19509430	January 2019 - April 2019	\$6,141.88	(\$16.37)	(\$16.37)	\$0.00
		6806599	510		19692856	January 2019 - April 2019	\$5,491.55	(\$14.65)	(\$14.65)	\$0.00
		6807743	510		19565250	January 2019 - April 2019	\$5,744.45	(\$15.33)	(\$15.33)	\$0.00
		6807821	510		19684597	January 2019 - April 2019	\$5,708.32	(\$15.23)	(\$15.23)	\$0.00
		6807840	510		19559396	January 2019 - April 2019	\$3,649.00	(\$9.73)	(\$9.73)	\$0.00
		6808097	510		19603907	January 2019 - February 2019	\$2,169.55	(\$3.95)	(\$3.95)	\$0.00

**Regional Center of Orange County
Over and Understated Claims
Fiscal Years 2017-18 and 2018-19**

No.	Vendor Number	Unique Client Identification Number	Service Code	Sub Code	Authorization	Service Month	POS Amount	Under/Over Payments	Resolved	Outstanding Balance
8	HM0695	6808219	510		19581930	January 2019 - April 2019	\$5,997.38	(\$15.97)	(\$15.97)	\$0.00
		6808229	510		19554440	January 2019 - April 2019	\$6,002.41	(\$10.94)	(\$10.94)	\$0.00
		6808679	510		19343546	January 2019 - April 2019	\$5,419.31	(\$14.44)	(\$14.44)	\$0.00
		6808791	510		19687811	January 2019 - April 2019	\$5,889.01	(\$15.67)	(\$15.67)	\$0.00
		6808810	510		19597770	January 2019 - April 2019	\$6,069.61	(\$16.19)	(\$16.19)	\$0.00
		6808866	510		19634747	January 2019 - April 2019	\$5,997.35	(\$16.00)	(\$16.00)	\$0.00
		6809006	510		19668328	January 2019 - April 2019	\$5,997.37	(\$15.98)	(\$15.98)	\$0.00
		6809572	510		19672852	January 2019 - April 2019	\$5,383.15	(\$14.38)	(\$14.38)	\$0.00
		6810535	510		19432403	January 2019 - April 2019	\$6,141.88	(\$16.37)	(\$16.37)	\$0.00
		6811355	510		19509240	January 2019 - April 2019	\$6,069.62	(\$16.18)	(\$16.18)	\$0.00
		6811378	510		19557662	January 2019 - April 2019	\$5,852.82	(\$15.63)	(\$15.63)	\$0.00
		6811440	510		19710274	January 2019 - April 2019	\$3,649.01	(\$9.72)	(\$9.72)	\$0.00
		6816797	510		19560665	January 2019 - April 2019	\$5,816.71	(\$15.52)	(\$15.52)	\$0.00
		6822604	510		19679179	January 2019 - April 2019	\$5,708.32	(\$15.23)	(\$15.23)	\$0.00
		6837780	510		19554353	January 2019 - April 2019	\$4,443.83	(\$11.85)	(\$11.85)	\$0.00
		6855426	510		19580212	January 2019 - April 2019	\$5,744.45	(\$15.33)	(\$15.33)	\$0.00
		6855564	510		19692026	January 2019 - April 2019	\$3,468.40	(\$9.20)	(\$9.20)	\$0.00
		6859957	510		19647706	January 2019 - April 2019	\$5,852.85	(\$15.60)	(\$15.60)	\$0.00
		6863591	510		19685704	January 2019 - April 2019	\$5,888.98	(\$15.70)	(\$15.70)	\$0.00
		6869394	510		19555003	January 2019 - April 2019	\$5,708.32	(\$15.23)	(\$15.23)	\$0.00
		6870259	510		19699907	January 2019 - April 2019	\$4,624.50	(\$12.30)	(\$12.30)	\$0.00
		6873202	510		19343513	January 2019 - April 2019	\$5,491.60	(\$14.60)	(\$14.60)	\$0.00
		6873865	510		19670270	January 2019 - April 2019	\$4,985.77	(\$13.28)	(\$13.28)	\$0.00
		6878406	510		19384388	January 2019 - April 2019	\$3,974.16	(\$10.59)	(\$10.59)	\$0.00
		6885277	510		19625843	January 2019 - April 2019	\$5,599.98	(\$14.90)	(\$14.90)	\$0.00
		6892458	510		19506601	January 2019 - April 2019	\$5,455.42	(\$14.56)	(\$14.56)	\$0.00
		6892846	510		19506598	January 2019 - April 2019	\$3,865.79	(\$10.29)	(\$10.29)	\$0.00

**Regional Center of Orange County
Over and Understated Claims
Fiscal Years 2017-18 and 2018-19**

No.	Vendor Number	Unique Client Identification Number	Service Code	Sub Code	Authorization	Service Month	POS Amount	Under/Over Payments	Resolved	Outstanding Balance
8	HM0695	6892977	510		19665444	January 2019 - April 2019	\$5,708.35	(\$15.20)	(\$15.20)	\$0.00
		6893731	510		19543091	January 2019 - April 2019	\$4,805.15	(\$12.78)	(\$12.78)	\$0.00
		6893758	510		19621341	January 2019 - April 2019	\$5,925.08	(\$15.82)	(\$15.82)	\$0.00
		6893834	510		19582818	January 2019 - April 2019	\$6,141.88	(\$16.37)	(\$16.37)	\$0.00
		6894059	510		19435937	January 2019 - April 2019	\$5,563.82	(\$14.83)	(\$14.83)	\$0.00
		6894129	510		19571824	January 2019 - April 2019	\$5,383.18	(\$14.35)	(\$14.35)	\$0.00
		6894399	510		19560597	January 2019 - April 2019	\$5,238.66	(\$13.97)	(\$13.97)	\$0.00
		6895781	510		19627367	January 2019 - April 2019	\$5,780.59	(\$15.41)	(\$15.41)	\$0.00
		6896687	510		19692600	January 2019 - April 2019	\$4,190.91	(\$11.19)	(\$11.19)	\$0.00
		6898019	510		19352731	January 2019 - April 2019	\$5,852.87	(\$15.58)	(\$15.58)	\$0.00
		6898055	510		19695043	January 2019 - April 2019	\$5,997.35	(\$16.00)	(\$16.00)	\$0.00
		6898992	510		19530348	January 2019 - April 2019	\$6,141.88	(\$16.37)	(\$16.37)	\$0.00
		6899018	510		19596640	January 2019 - April 2019	\$5,347.03	(\$14.27)	(\$14.27)	\$0.00
		6899420	510		19684145	January 2019 - April 2019	\$5,058.00	(\$13.50)	(\$13.50)	\$0.00
		6994192	510		19553400	January 2019 - April 2019	\$5,852.84	(\$15.61)	(\$15.61)	\$0.00
		7301097	510		19343494	January 2019 - March 2019	\$3,254.32	(\$5.93)	(\$5.93)	\$0.00
		7305408	510		19393705	January 2019 - April 2019	\$5,563.82	(\$14.83)	(\$14.83)	\$0.00
		7404548	510		19717680	February 2019 - April 2019	\$4,118.68	(\$10.97)	(\$10.97)	\$0.00
		7406684	510		19694549	January 2019 - April 2019	\$5,274.81	(\$14.04)	(\$14.04)	\$0.00
		7520133	510		19664936	January 2019 - April 2019	\$5,455.45	(\$14.53)	(\$14.53)	\$0.00
		7521057	510		19681975	January 2019	\$687.01	(\$1.26)	(\$1.26)	\$0.00
		7526296	510		19571862	January 2019 - April 2019	\$5,636.08	(\$15.02)	(\$15.02)	\$0.00
		7541451	510		19343549	January 2019 - April 2019	\$6,069.61	(\$16.19)	(\$16.19)	\$0.00
		7543994	510		19343493	January 2019 - April 2019	\$5,202.50	(\$13.90)	(\$13.90)	\$0.00
		7546914	510		19343529	January 2019 - April 2019	\$6,033.49	(\$16.09)	(\$16.09)	\$0.00
		7568758	510		19614829	January 2019 - April 2019	\$4,732.88	(\$12.60)	(\$12.60)	\$0.00
		7581590	510		19719493	February 2019 - April 2019	\$3,612.87	(\$9.63)	(\$9.63)	\$0.00

**Regional Center of Orange County
Over and Understated Claims
Fiscal Years 2017-18 and 2018-19**

No.	Vendor Number	Unique Client Identification Number	Service Code	Sub Code	Authorization	Service Month	POS Amount	Under/Over Payments	Resolved	Outstanding Balance
8	HM0695	7597343	510		19646753	January 2019 - April 2019	\$4,190.95	(\$11.15)	(\$11.15)	\$0.00
		7601575	510		19558457	January 2019 - April 2019	\$6,141.88	(\$16.37)	(\$16.37)	\$0.00
		7610881	510		19705280	January 2019 - April 2019	\$6,105.75	(\$16.28)	(\$16.28)	\$0.00
		7623284	510		19666300	January 2019 - April 2019	\$4,732.87	(\$12.61)	(\$12.61)	\$0.00
		7704376	510		19448510	January 2019 - April 2019	\$5,491.59	(\$14.61)	(\$14.61)	\$0.00
		7834559	510		19343525	January 2019 - April 2019	\$5,672.19	(\$15.14)	(\$15.14)	\$0.00
9	HM1178	6896568	113		18661236	January 2018	\$14,413.58	(\$715.91)	(\$715.91)	\$0.00
		6924661	113		18671444	January 2018 - February 2018	\$24,069.76	(\$4,110.48)	(\$4,110.48)	\$0.00
10	HM1157	5187125	915		18695401	May 2018 - June 2018	\$2,680.64	(\$787.21)	\$0.00	(\$787.21)
11	H13779	6801347	915		19651185	November 2018	\$827.28	(\$28.44)	(\$28.44)	\$0.00
12	H04278	6806599	915		18387569	December 2017	\$1,719.79	(\$930.21)	(\$930.21)	\$0.00
		6896827	915		18601304	July 2017	\$1,933.15	(\$716.85)	(\$716.85)	\$0.00
13	H13842	7542913	904		18643718	October 2017	\$6,327.63	(\$94.37)	(\$94.37)	\$0.00
14	HM0173	6812317	920		19664898	July 2018 - October 2018	\$43,240.00	(\$1,712.00)	(\$1,712.00)	\$0.00
		6889492	920		19674068	July 2018 - October 2018	\$43,240.00	(\$1,712.00)	(\$1,712.00)	\$0.00
		7580432	920		19693763	July 2018 - October 2018	\$43,240.00	(\$1,712.00)	(\$1,712.00)	\$0.00
Total Understated Claims Due to Incorrect Rates								(\$14,240.19)	(\$13,452.98)	(\$787.21)
15	HM1315	6801459	113	14	19714952	December 2018	\$5,135.13	(\$9,823.27)	(\$9,823.27)	\$0.00
16	HM1157	6899695	915	L4I	18687755	March 2018	\$4,608.50	(\$141.91)	(\$141.91)	\$0.00
17	HM0173	7580432	920	L14	18671978	July 2017	\$8,024.50	(\$10.68)	(\$10.68)	\$0.00
Total Understated Claims Due to Incorrect 30.44 Proration								(\$9,975.85)	(\$9,975.85)	\$0.00
Grand Total Understated Claims								(\$24,216.04)	(\$23,428.83)	(\$787.21)

**Regional Center of Orange County
Client Trust Balance Over \$2,000
Fiscal Years 2017-18 and 2018-19**

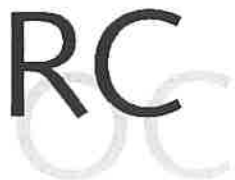
No.	Unique Client Identification Number	Balance as of February 2020
1	6808982	\$4,623.89
2	6892792	\$3,072.51

APPENDIX A

REGIONAL CENTER OF ORANGE COUNTY

RESPONSE TO AUDIT FINDINGS

(Certain documents provided by the Regional Center of Orange County as attachments to its response are not included in this report due to the detailed and sometimes confidential nature of the information.)



REGIONAL CENTER
OF ORANGE COUNTY

November 10, 2020

Mr. Edward Yan, Manager
Audit Branch
Department of Developmental Services
1600 Ninth Street, Room 230, MS 2-10
Sacramento, CA 95814

Dear Mr. Yan:

The Regional Center of Orange County's (RCOC's) response to the draft report of the audit conducted by the Department of Developmental Services (DDS) is as follows for the fiscal years ended June 30, 2018 and 2019.

There were no findings or exceptions noted in the following areas:

- Uniform Fiscal Systems reconciliations
- Signatory authority
- Bank reconciliations
- Regional Center Operations, including
 - Personnel files,
 - Time sheets,
 - Payroll ledgers,
 - Equipment inventory and
 - Conflict of Interest.
- Targeted Case Management and Regional Center Rate Study
- Service Coordinator Caseload Survey calculations
- Early Intervention Program (Part C funding)
- Family Cost Participation Program
- Annual Family Program Fee
- Parental Fee Program (PFP)
- Procurement
- Board approval of contracts over \$250,000
- Statewide/Regional Center Median rates, and

- Other Sources of Funding from DDS, including Start-Up Funds, Community Placement Plan, and the Family Resource Center.

There were findings in the following six areas.

DDS Finding 1: Out-of-State Services Provided without DDS Extension Approval

“The review of 20 sample consumer authorizations revealed RCOC did not request approvals from the DDS Director or her designee to extend three consumers’ services after the initial six-month approval to receive services out of state had expired. These three consumers' services were provided in Texas, Florida and New Mexico without approved extensions between April 2016 and March 2020. This resulted in payments to three vendors totaling \$1,006,311. This is not in compliance with W&I Code, Section 4519(a).”

RCOC's Response to Finding 1

RCOC understands the requirement to request approvals from DDS to extend out-of-state services. RCOC questions how DDS derived the amount of the finding. Audit findings are paid from regional centers' Operations allocations. The Operations allocation is approximately 10% of the Purchase of Services (POS) allocation. To equate the POS cost to the amount of the audit finding for an administrative error appears to be punitive and perhaps not the best use of RCOC's resources.

From an Operations perspective, RCOC did not meet the requirement. From a POS perspective, RCOC was unable to find appropriate placements in California at the time services were provided. If RCOC had submitted the requests, DDS would have approved them. This is a case where RCOC authorized needed services, vendors provided said services, and RCOC paid for these out-of-state placement services. Because this is not a POS finding, RCOC respectfully asks that DDS determine an appropriate pecuniary punishment for a procedural error.

RCOC will appeal the amount of the finding.

DDS Finding 2: Over/Understated Claims

“The review of 100 sampled purchase of service (POS) vendor files revealed eight vendors were reimbursed for services provided to consumers at incorrect rates. The rates paid to the vendors were not the same as the rates listed in the contracts or rate letters issued by RCOC and/or by DDS. In addition, RCOC incorrectly applied the 30.44 proration factor for partial-month stays for six vendors. This resulted in over/understated claims totaling \$3,450.99 and \$24,216.04, respectively. This is not in compliance with CCR, Title 17, Sections 57300(c)(2) and 56917(i).”

RCOC's Response to Finding 2

RCOC agrees with the amounts in the finding. RCOC has paid all the underpayments, except for one which is from a closed fiscal year, and recovered all the overpayments.

DDS Finding 3: Rental Leases - Security Deposit Not Returned

"The review of four lease agreements revealed RCOC did not recover the remaining security deposit from one of its landlords, Crestview Partners, after its lease ended in October 2016. The remaining security deposit amounted to \$3,282.27 after building maintenance expenses incurred by the landlord totaling \$15,844.13 were deducted from the original security deposit amount of \$19,126.40. This is not in compliance with State Contract, Article III, Sections 4 and W&I Code, Section 4631 (b)."

RCOC's Response to Finding 3

RCOC disagrees with the finding. RCOC returned the space "broom clean," completed a walk through and gave the keys to the landlord's representative on October 13, 2016. Crestview contended that RCOC was in holdover; RCOC disputed that and refused to pay for holdover, parking and late charges which Crestview continued to bill to RCOC. Rather than litigate the holdover, which would have been expensive, RCOC waited to see if Crestview Partners would pursue legal action; it did not. In 2019, the building was sold. No demands were made in escrow; there is no further obligation between Crestview Partners and RCOC.

DDS Finding 4: Remaining Trust Balances (Repeat)

"The review of the deceased consumer trust accounts revealed RCOC has not taken action to resolve \$11,649.95 remaining in one of its consumer's trust account. This account has been inactive since May 2014. The trust account should have been closed and the remaining funds forwarded to the consumer's beneficiaries or escheated to the State if unclaimed for over three years. This issue was identified in the past two DDS audit reports. This is not in compliance with the California Code of Civil Procedure, Article 2, Section 1518(a)(1)."

RCOC's Response to Finding 4

RCOC agrees with the finding in the general; however, there are no beneficiaries known to RCOC. RCOC has taken corrective action. RCOC submitted the Estate Recovery Questionnaire (Notice of Death) to the Department of Health Care Services, Estate Recovery Section, earlier this year and did not receive a response; RCOC resubmitted the Notice of Death in November. RCOC sent the funds to California Department of Health Care Services; DHCS returned RCOC's check.

DDS Finding 5: Client Trust Balance Over \$2,000 (Repeat)

"The review of RCOC's client trust accounts revealed four consumer accounts with balances that exceeded the \$2,000 resource limit. This issue was identified in the prior DDS audit report. This is not in compliance with the Social Security Handbook, Chapter 21, Section 2113.2."

RCOC's Response to Finding 5

RCOC does not agree with the finding as drafted. Two of the persons served receive only Social Security Administration (earned) benefits; there is no resource limit for SSA benefits. RCOC agrees with the finding for the two persons served who receive Supplementary Security Income (unearned) benefits and are subject to the resource limit.

DDS Finding 6: Policies and Procedures for Vendor Audits and Reviews

"RCOC does not have procedures in place to follow up with vendors who are required to, but have not, submitted an independent audit or independent review report. It was noted that 135 out of 170 vendors who were required to contract with an independent accounting firm for an independent audit or independent review report of their financial statements did not submit an independent audit or independent review report within nine months of the end of the vendor's fiscal year. This is not in compliance with Title 17 Section 54370(a)."

RCOC's Response to Finding 6

RCOC developed the procedure and sent it to DDS.

Please call me if you have any questions at (714) 796-5296.

Sincerely,



Bette Baber
CFO

c: Larry Landauer
Marta Vasquez
Raudel Perez
Liliana Castillo
Linda Pham

Summary of Information About Persons Served - February 2021

NUMBER OF PERSONS SERVED	20,592	100%
Children - Birth to Age Three Receiving Early Start Services	3,038	15%
Children - Ages Three to 17 Receiving Lanterman Services	7,290	35%
Adults - Ages 18 and Older Receiving Lanterman Services	10,264	50%

Children - Birth to Age Three Receiving Prevention Resource and Referral Services	478
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Children and Adults - Ages Three and Older Receiving Lanterman Services with the Following Diagnoses:

Intellectual Disability	11,724	61%
Epilepsy	2,882	15%
Cerebral Palsy	2,577	13%
Autism	8,166	42%
Fifth Category*	1,580	8%

* 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	353
Early Start / Under Age Three / 45 days to complete determination	303
Lanterman / Over Age Three / 120 days to complete determination	50

NUMBER OF PERSONS DETERMINED ELIGIBLE	21
Children - Birth to Age Three Eligible for Early Start Services	0
Children and Adults - Ages Three and Older Eligible for Lanterman Services	19
<ul style="list-style-type: none"> Number of children who received Early Start services 	21
<ul style="list-style-type: none"> Number of children who received Early Start services and had a diagnosis of autism 	19
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	235
Children - Age Three No Longer Eligible for Early Start Services	150
Children - Age Three No Longer Eligible for Prevention Resource and Referral Services	4

REGIONAL CENTER OF ORANGE COUNTY



OPERATIONS REPORT

FEBRUARY 2021 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 2020-21

Type and Number of Reviews	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Annual Review	0	0	1	5	3	5
Unannounced	0	0	8	4	2	4
Total Number of Reviews	0	0	9	9	5	9

Provider Trainings	0	0	0	0	0	0
Technical Support	79	73	36	62	52	65
Corrective Action Plans	2	1	1	4	0	1
Special Incident Investigations*	23	15	24	13	15	18
COVID-19 Checklist	101	85	71	81	62	71

Type and Number of Reviews	Jan.	Feb.	Mar.	Apr.	May	June	Total
Annual Review	1	1					16
Unannounced	6	4					28
Total Number of Reviews	7	5					44

Provider Trainings	0	0					0
Technical Support	52	56					475
Corrective Action Plans	0	1					10
Special Incident Investigations*	7	14					129

* 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)

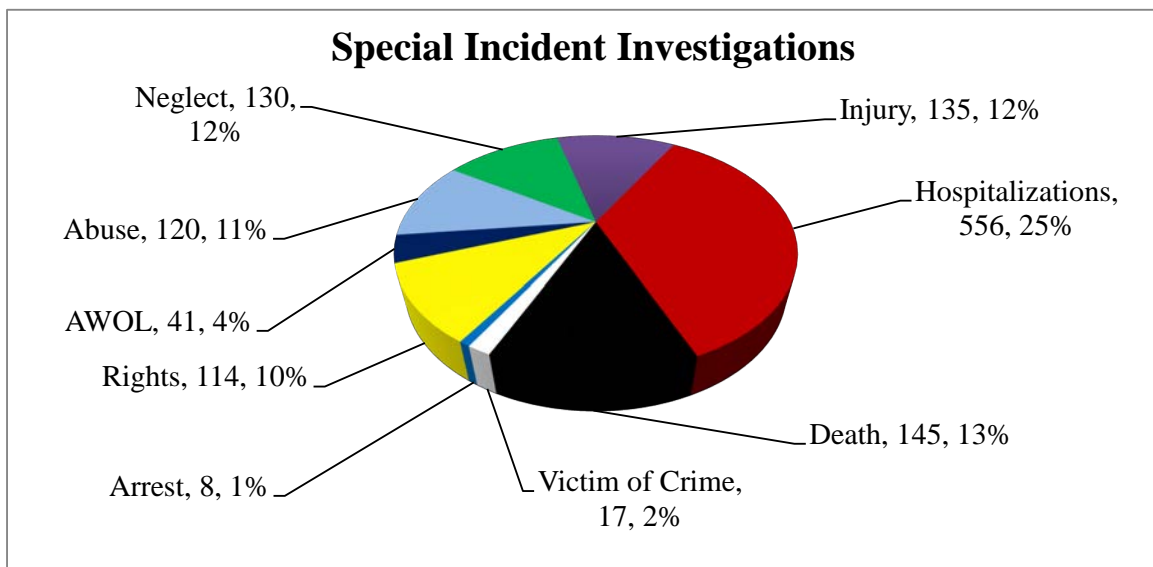
- (A) The consumer is missing and the vendor or long-term health care facility has filed a missing persons report with a law enforcement agency;
- (B) Reasonably suspected abuse/exploitation including:
 - 1. Physical;
 - 2. Sexual;
 - 3. Fiduciary;
 - 4. Emotional/mental; or
 - 5. Physical and/or chemical 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 2020-21

Type of Incident	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
AWOL	5	4	0	9	5	7
Abuse	21	29	14	15	13	12
Neglect	23	18	12	17	15	19
Injury	8	20	21	16	18	17
Hospitalizations - Total	54	40	36	37	41	52
<i>Psychiatric</i>	10	8	7	8	6	6
<i>Medical</i>	44	32	29	29	35	46
Death	12	15	6	13	17	35
Victim of crime	2	2	0	5	3	1
Arrest	4	1	1	0	1	0
Rights	11	5	46	14	20	7
Total	140	134	136	114	124	150

Type of Incident	Jan.	Feb.	Mar.	Apr.	May	June	Total
AWOL	4	7					41
Abuse	11	5					120
Neglect	15	11					130
Injury	17	18					135
Hospitalizations - Total	70	58					388
<i>Psychiatric</i>	6	2					53
<i>Medical</i>	64	56					335
Death	28	19					145
Victim of Crime	4	0					17
Arrest	0	1					8
Rights	7	4					114
Total	156	123					1,098



COMMUNITY LIFE continued

Provider Audits
Fiscal Year 2020-21

Number of Audits / Appeals / Recoveries

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

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

State Appeal	0	0	0	0	0	0
Recovery	0	0	0	1	0	0

Audit Findings (Dollar Amount)

Amount of Recovery	\$0.00	\$0.00	\$0.00	\$342.48	\$0.00	\$0.00
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Type of Audit	Jan.	Feb.	Mar.	Apr.	May	June	Total
Service Billing	1	3					5
Staffing	0	0					0
Level 4I Consultant	0	0					0
P&I (consumer funds)	0	2					2
Total Number of Audits	1	5					7

Number of Appeals / Recoveries

State Appeal	0	0					0
Recovery	1	5					7

Audit Findings (Dollar Amount)

Amount of Recovery	\$197.54	\$2,464.27					\$3,004.29
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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.*

Fiscal Year 2020-21

Number of Authorizations for Voucher Services

Type of Service	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Day Care - Family Member	118	123	134	126	124	116
Diapers - Family Member	1	0	0	0	0	0
Nursing Service - Family Member	64	66	65	63	65	65
Respite Service - Family Member	539	579	584	583	599	591
Transportation - Family Member	144	141	130	123	118	115
Total Number of Voucher Authorizations	866	909	913	895	906	887

Number of Authorizations for Voucher Services

Type of Service	Jan.	Feb.	Mar.	Apr.	May	June
Day Care - Family Member	114	115				
Diapers - Family Member	0	0				
Nursing Service - Family Member	67	67				
Respite Service - Family Member	601	600				
Transportation - Family Member	110	108				
Total Number of Voucher Authorizations	892	890	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 2020-21

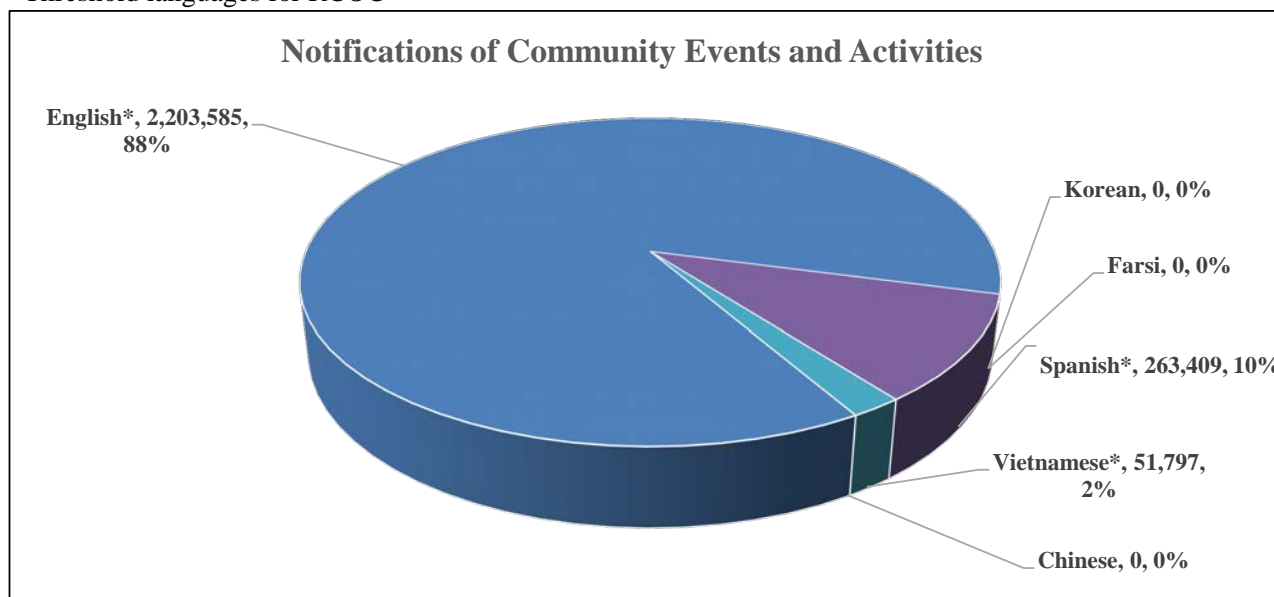
Number of Notifications

Language	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
English*	366,027	256,675	156,079	319,106	304,436	259,368
Farsi						
Korean						
Spanish*	48,802	25,874	17,168	51,804	28,192	31,505
Vietnamese*	12,469	9,091	2,504	4,596	4,901	5,765
Total Number of Notifications	427,298	291,640	175,751	375,506	337,529	296,638

Number of Notifications

Language	Jan.	Feb.	Mar.	Apr.	May	June	Total
English*	308,530	233,364					2,203,585
Farsi							0
Korean							0
Spanish*	24,155	35,909					263,409
Vietnamese*	5,065	7,406					51,797
Chinese							0
Total Number of Notifications	337,750	276,679	0	0	0	0	2,518,791

* 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 2020-21

Number of Outreach Events

Type of Outreach / Language	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
In Person						
English		3	6	6	5	2
Spanish	1	4	1	1		
Vietnamese	2	2				
Other Languages						
In Print						
English	1		1	1	1	
Spanish					1	
Vietnamese				1	1	
Other Languages						
TV / Radio						
English			1			1
Spanish						
Vietnamese						
Other Languages						
Total Number of Outreach Events	4	9	8	9	8	3

Number of Outreach Events

Language	Jan.	Feb.	Mar.	Apr.*	May*	June*	Total
In Person							
English	2	10					34
Spanish							7
Vietnamese							4
Other Languages							0
In Print							
English		2					6
Spanish							1
Vietnamese							2
Other Languages							0
TV / Radio							
English							2
Spanish							0
Vietnamese							0
Other Languages							0
Total Number of Outreach Events	2	12	0	0	0	0	56

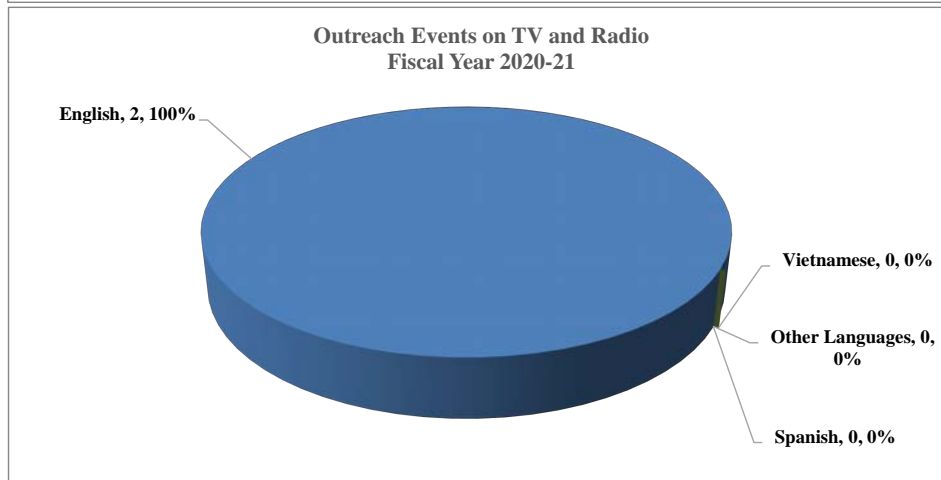
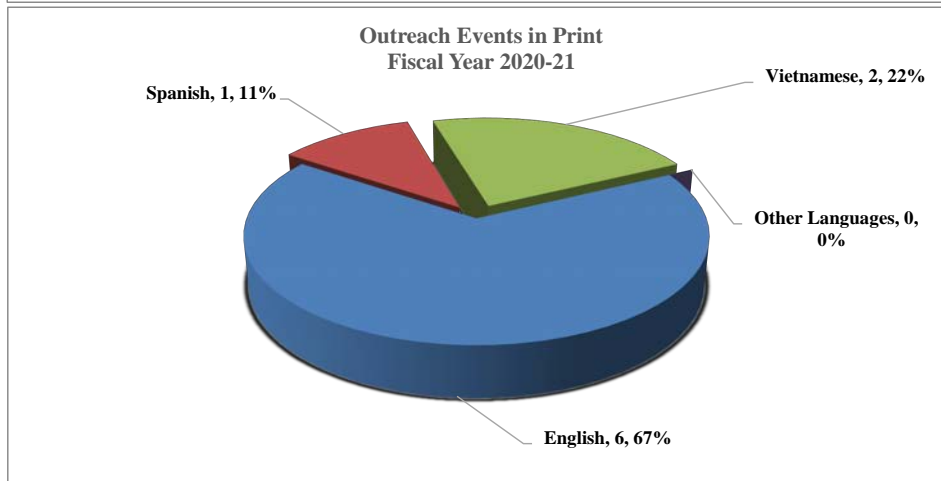
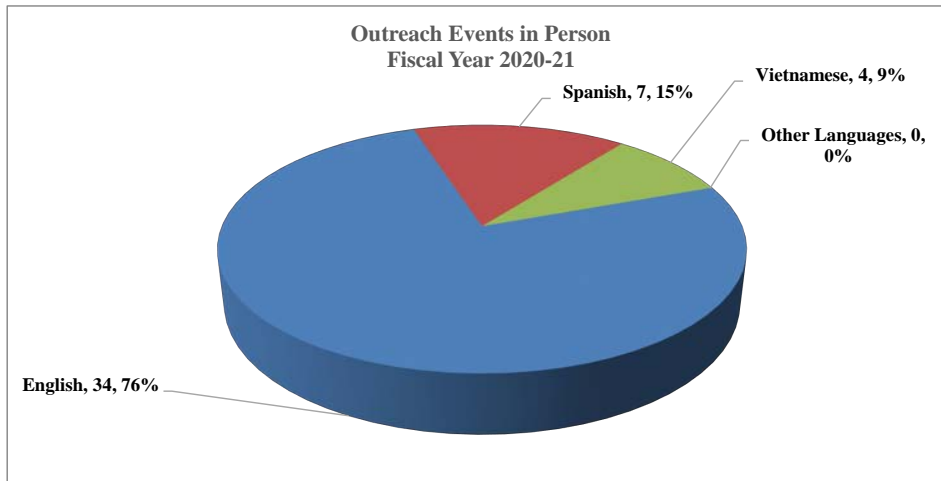
* Virtual Meetings

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 Events in Person, in Print, on TV and Radio Fiscal Year 2020-21



EARLY INTERVENTION / PREVENTION

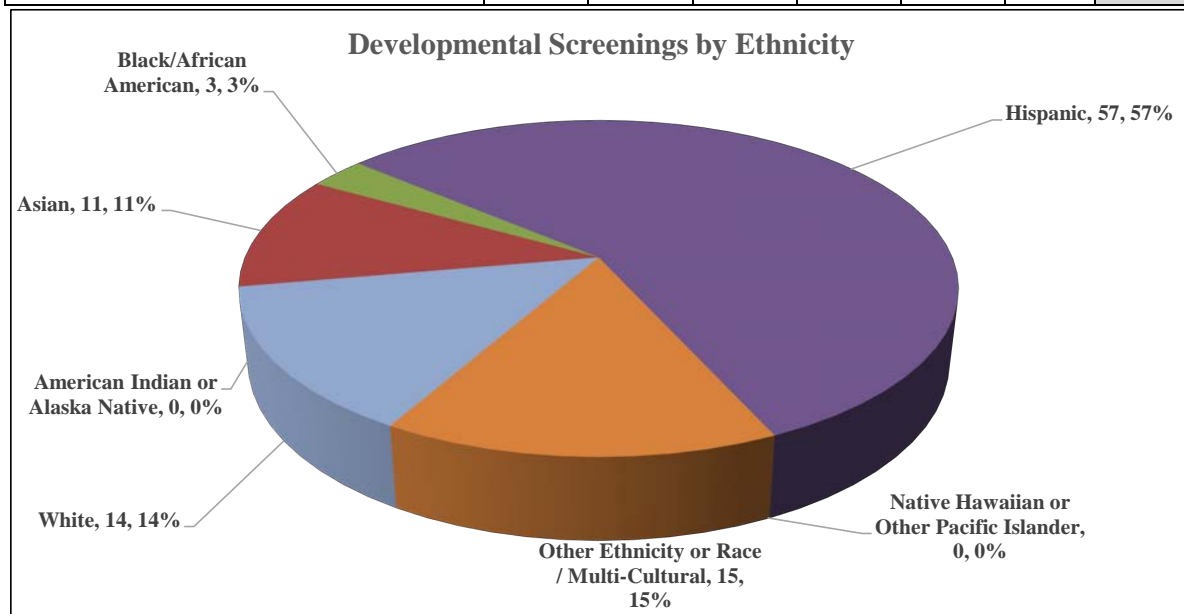
Related Guiding Principles

- 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 2020-21

Developmental Screenings by Ethnicity	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
American Indian or Alaska Native	0	0	0	0	0	0
Asian	1	4	0	1	0	0
Black/African American	0	0	0	3	0	0
Hispanic	5	14	0	21	0	0
Native Hawaiian or Other Pacific Islander	0	0	0	0	0	0
Other Ethnicity or Race / Multi-Cultural	2	2	0	8	0	0
White	1	6	0	3	0	0
Total Number Screened	9	26	0	36	0	0
Total Number Referred to RCOC	6	15	0	14	0	0

Developmental Screenings by Ethnicity	Jan.	Feb.	Mar.	Apr.	May	June	Total
American Indian or Alaska Native	0	0					0
Asian	2	3					11
Black/African American	0	0					3
Hispanic	4	13					57
Native Hawaiian or Other Pacific Islander	0	0					0
Other Ethnicity or Race / Multi-Cultural	0	3					15
White	4	0					14
Total Number Screened	10	19					100
Total Number Referred to RCOC	0	5					40



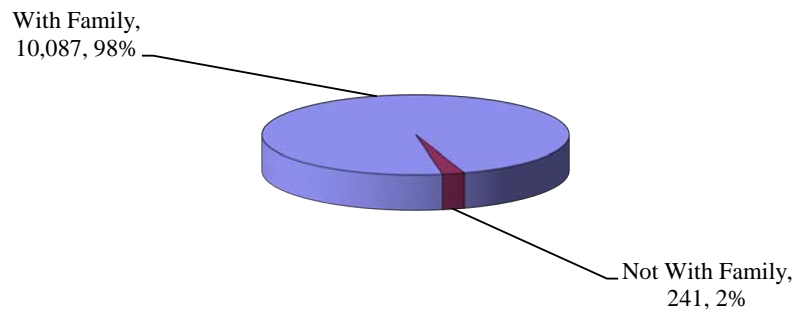
LIVING OPTIONS

Related Guiding Principles

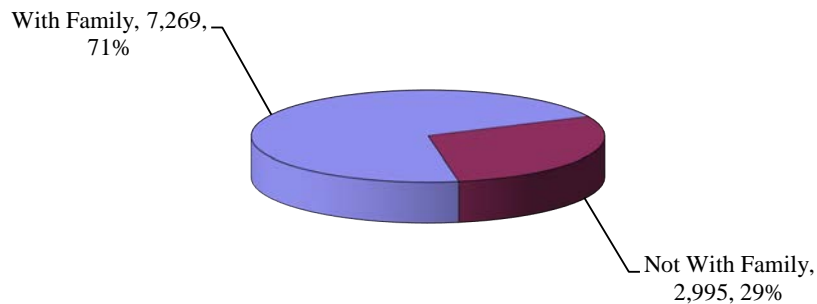
- *Culturally-sensitive services and supports are provided so that persons served can make informed choices on where and with whom they live, including owning or renting their own homes.*
- *Families whose minor or adult children choose to remain in the family home are supported through available resources.*
- *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	17,356	10,087	7,269
Not With Family	3,236	241	2,995
Totals	20,592	10,328	10,264

Where Persons Served Under 18 Live



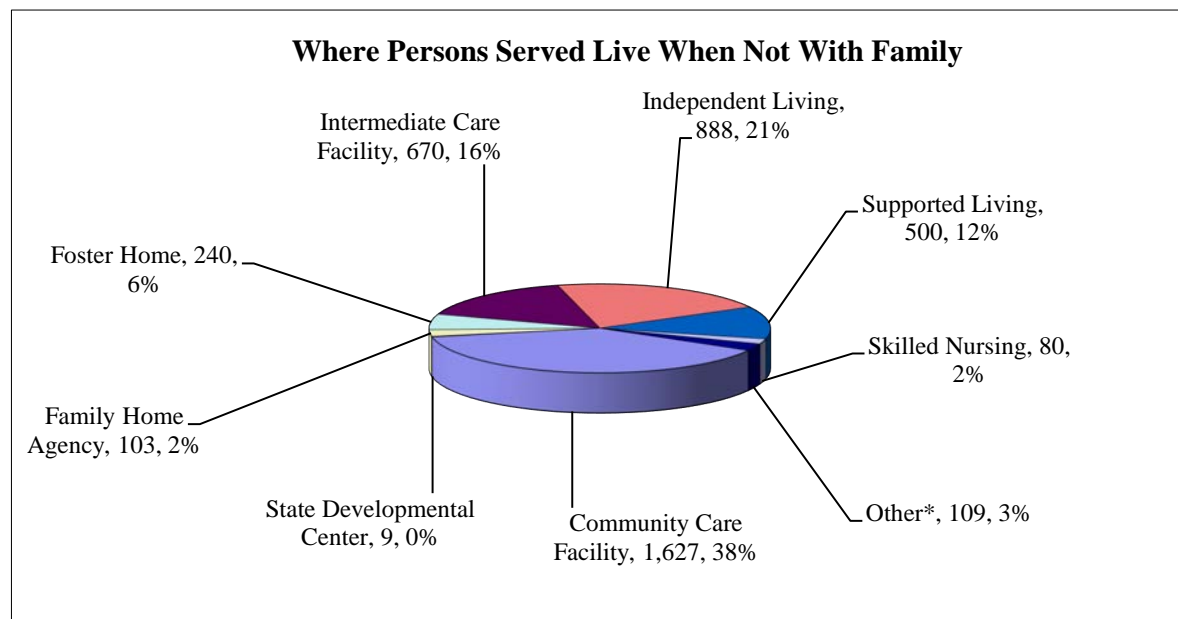
Where Persons Served Over 18 Live



LIVING OPTIONS, continued

Where Persons Served Live	All Persons Served	Persons Served Under 18	Persons Served Over 18
Family Home	18,117	9,945	8,172
Community Care Facility	1,627	31	1,596
State Developmental Center	9	0	9
Family Home Agency	103	0	103
Foster Home	240	234	6
Intermediate Care Facility	670	5	665
Independent Living	888	0	888
Supported Living	500	0	500
Skilled Nursing	80	0	80
Other*	109	26	77
Total	22,343	10,241	12,096

Other*			
Acute General Hospital	4	0	4
California Youth Authority	0	0	0
Community Treatment	4	2	2
Correctional Institution	0	0	0
County Jail	1	0	1
Other	0	0	0
Out of State	2	0	2
Psychiatric Treatment	10	0	10
Rehabilitation Center	5	1	4
SDC / State Hospital	1	0	1
Sub-Acute	46	20	26
Transient / Homeless	15	0	15
Total, Other*	88	23	65



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.

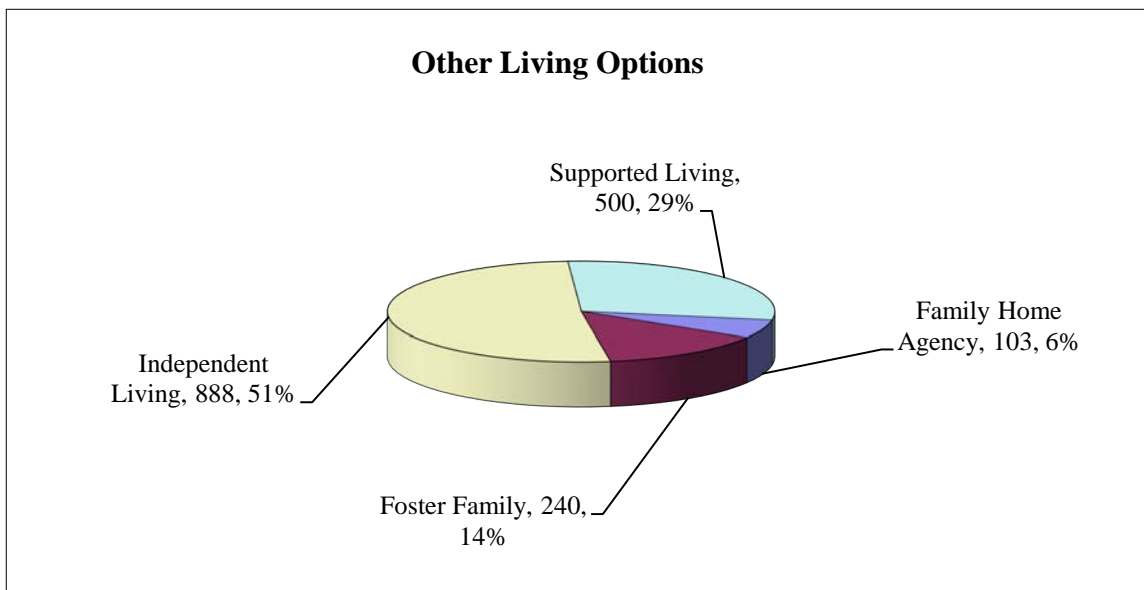
Independent Living

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	103	0	103
Foster Family	240	234	6
Independent Living	888	0	888
Supported Living	500	0	500
Total	1,731	234	1,497



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 2020-21*

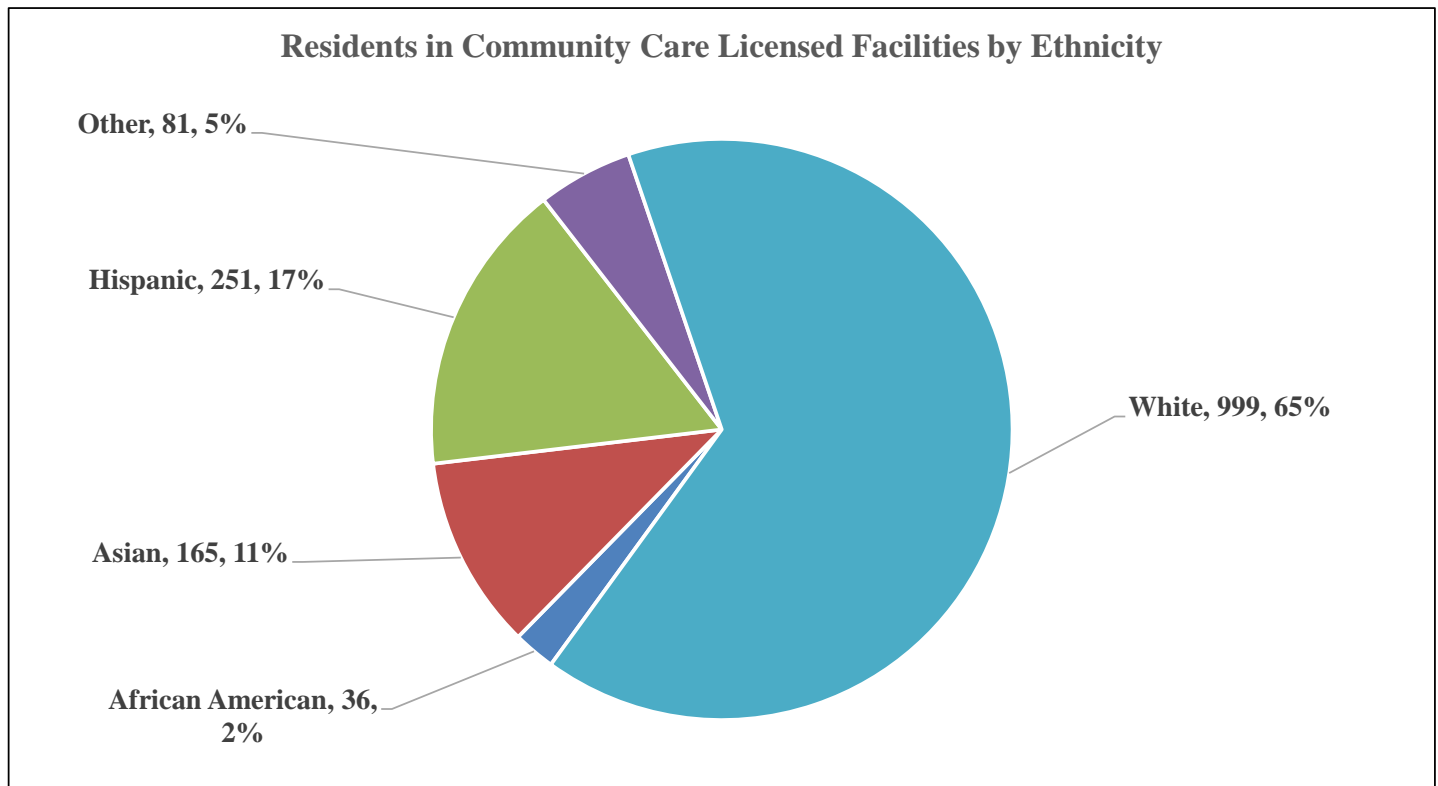
Licensed Facilities	Total	Over 18	Under 18
Level 2	234	234	0
Level 3	305	305	0
Level 4A	36	36	0
Level 4B	4	4	0
Level 4C	51	51	0
Level 4D	34	34	0
Level 4E	23	23	0
Level 4F	66	66	0
Level 4G	31	31	0
Level 4H	4	4	0
Level 4I	349	342	7
Elderly	1	1	0
ICF/DD-H	11	11	0
ICF/DD-N	3	3	0
ICF/DD	0	0	0
Skilled Nursing	0	0	0
Total	1,152	1,145	7

Licensed Facilities Summary	Total	Over 18	Under 18
Level 2	234	234	0
Level 3	305	305	0
Level 4	598	591	7
ICF/DD-H	11	11	0
ICF/DD-N	3	3	0
Elderly	1	1	0
Skilled Nursing	0	0	0
Total	1,152	1,145	7

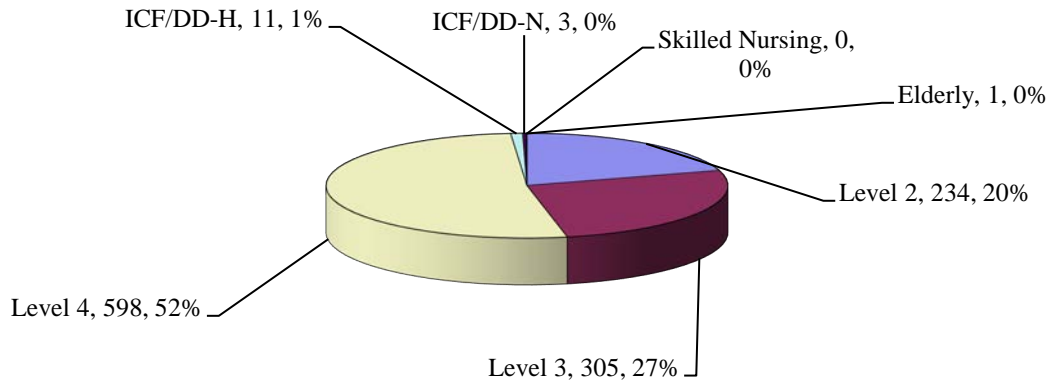
LIVING OPTIONS, continued

Persons Served Who Reside in Licensed Facilities Funded by RCOC by Ethnicity Fiscal Year 2020-21

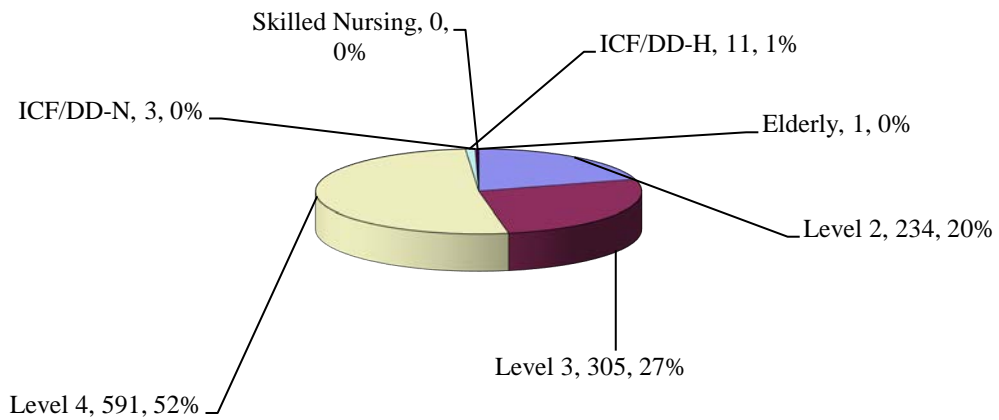
Licensed Facilities	African American	Asian	Hispanic	Other	White	Total
Level 2	6	27	52	12	242	339
Level 3	12	32	61	19	259	383
Level 4A	0	5	6	2	25	38
Level 4B	0	1	0	0	7	8
Level 4C	1	9	11	2	50	73
Level 4D	0	7	6	3	29	45
Level 4E	0	4	8	3	18	33
Level 4F	3	12	10	1	48	74
Level 4G	0	7	5	2	29	43
Level 4H	0	0	3	1	2	6
Level 4I	14	61	89	36	290	490
Total	36	165	251	81	999	1,532



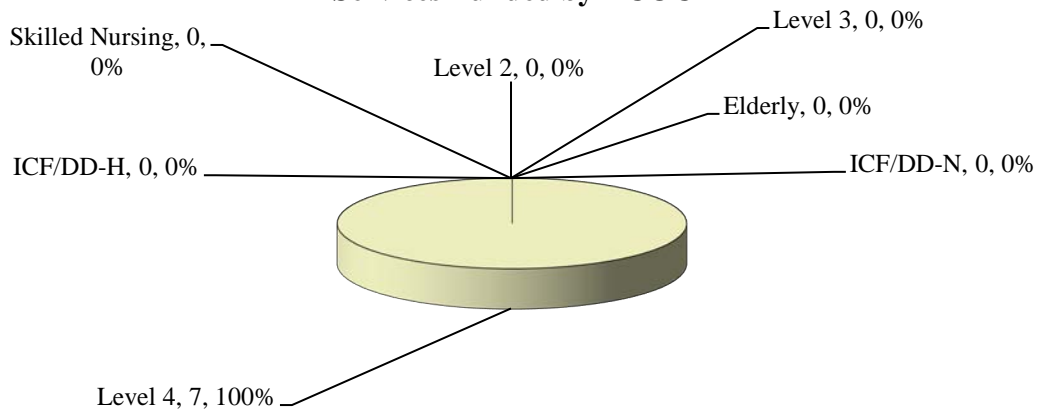
**Persons Served Who Reside in Licensed Facilities
Services Funded by RCOC**



**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**

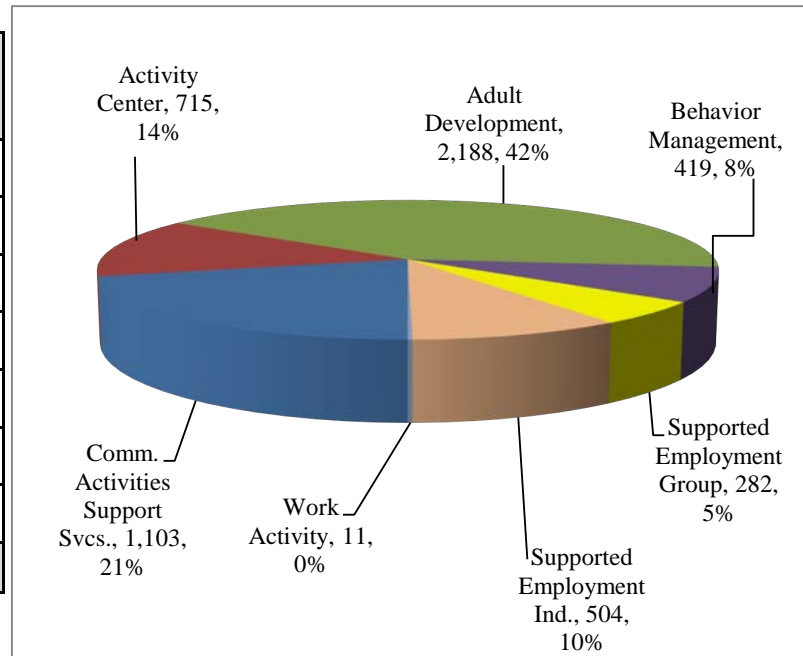


WORK

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.	1,103
Activity Center	715
Adult Development	2,188
Behavior Management	419
Supported Employment Group	282
Supported Employment Ind.	504
Work Activity	11
Total	5,222



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 2020-21

Service Coordination:	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Number of Service Coordinators (SC)	307.0	305.0	304.0	301.0	300.0	299.0
Number of Case-Carrying SCs	277.3	275.3	274.3	271.3	270.3	269.3
Number of Intake SCs	29.7	29.7	29.7	29.7	29.7	29.7
Number of State Developmental Center SCs	0.0	0.0	0.0	0.0	0.0	0.0
Number of Active Persons Served	22,336	22,330	22,335	22,354	22,381	22,355
Caseload Ratio, # of Active Persons Served/SCs	80.5	81.1	81.4	82.4	82.8	83.0

Service Coordination:	Jan.	Feb.	Mar.	Apr.	May	June
Number of Service Coordinators (SC)	298.9	296.8				
Number of Case-Carrying SCs	270.2	269.2				
Number of Intake SCs	28.7	27.7				
Number of State Developmental Center SCs	0.0	0.0				
Number of Active Persons Served	22,325	22,304				
Caseload Ratio, # of Active Persons Served/SCs	82.6	82.9				

SERVICE PLANNING AND COORDINATION continued

Fair Hearings

Fiscal Year 2020-21

	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	June
Number of Unsettled Hearing Requests*	18	20	27	28	28	25	27	24				
Eligibility - Lanterman	8	7	8	6	6	3	0	1				
Behavioral services	2	1	1	2	3	2	2	6				
Respite	4	6	9	9	7	10	5	4				
Day Care	1	1	1	0	0	0	11	0				
ILS/SLS	0	0	0	0	0	0	0	0				
Personal Assistance	0	1	1	1	2	1	1	3				
Other**	3	4	7	10	10	9	8	10				

* 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*	10	6	11	7	4	5	5	8				
Eligibility - Lanterman	4	1	3	0	1	0	0	1				
Eligibility - Early Start	0	0	0	0	0	0	0	0				
Behavioral services	2	0	1	1	1	0	3	0				
Respite	2	1	4	2	1	5	2	0				
Day Care	0	0	1	0	0	0	0	0				
Social/Recreational	0	0	0	0	0	0	0	0				
Personal Assistance	0	1	0	0	1	0	0	0				
Other**	2	3	2	4	0	0	0	7				

* 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	2	8	5	6	7	2	5	5				
Number of Informal Meetings Held	2	4	3	4	2	2	2	2				
Number of Mediations Held	0	2	1	1	4	0	2	2				
Number of SLFHs Held	0	2	1	1	1	0	1	1				

Number of Requests in Scheduling*	3	7	16	18	17	20	13	14				
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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	2	0	1	0	0	0	0				
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* State Level Fair Hearing (SLFH) held but awaiting decision.

Number of Requests Settled	3	3	6	3	4	3	9	5				
Withdrawn by Person Served/Family	0	0	0	0	1	0	0	0				
Settled in Informal	2	2	1	0	0	0	0	0				
Settled after further follow-up by RCOC	1	0	2	2	2	3	6	3				
Settled in Mediation	0	1	0	1	0	0	2	2				
SLFH Decision	0	0	3	0	1	0	1	0				

State Level Fair Hearing Decisions

Prevailing Party												
Person Served/Family	0	0	1	0	0	0	0	0				
RCOC	0	0	2	0	1	0	0	0				
Split	0	0	0	0	0	0	1	0				

ADMINISTRATION AND GOVERNANCE

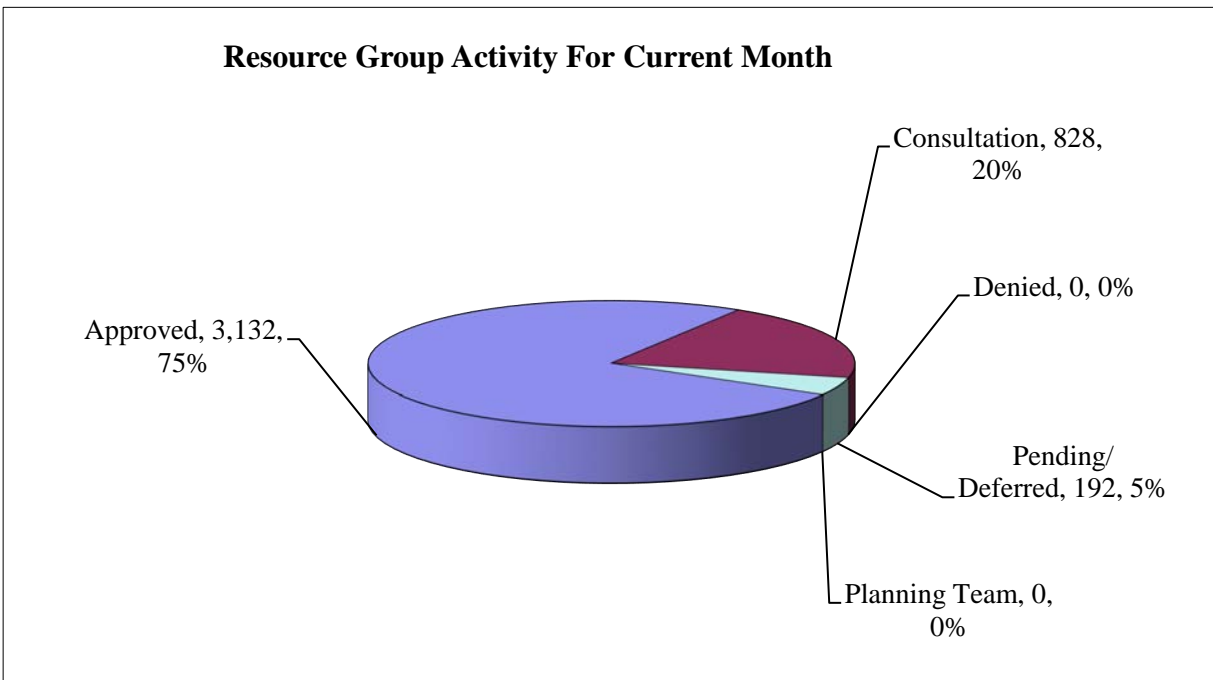
Guiding Principle

- 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 February 2021 and Fiscal Year to Date

Disposition	Approved	Consultation	Denied	Pending/Deferred	Planning Team	Total
Adult Day	368	134	0	63	0	565
Behavioral	112	42	0	8	0	162
Education	0	2	0	0	0	2
Eligibility/Health	83	2	0	8	0	93
Early Start	638	118	0	52	0	866
Living Options	182	96	0	1	0	279
Supported/Ind.	316	77	0	27	0	420
All Others	713	73	0	30	0	816
Monthly Total	3,132	828	0	192	0	4,152

FY 2020-21 Total to Date	25,184	6,072	0	1,470	0	32,726
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Operations Report Summary - February 2021

About Persons Served	Early Start	Medicaid Waiver	All Other	SDC	Total	Under 18	Over 18
Number of Persons Served	3,038	8,363	9,182	9	20,592	10,328	10,264
<i>Percentage of Total</i>	<i>15%</i>	<i>41%</i>	<i>45%</i>	<i>0%</i>	<i>100%</i>	<i>50%</i>	<i>50%</i>

Children served in Prevention Resource and Referral Services	458
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Persons Served by Residence Status	All	Under 18	Over 18
Family Home	18,117	9,945	8,172
Community Care Facility	1,627	31	1,596
State Developmental Center	9	0	9
Family Home Agency	103	0	103
Foster Home	240	234	6
Intermediate Care Facility	670	5	665
Independent Living	888	0	888
Supported Living	500	0	500
Skilled Nursing	80	0	80
Other	103	26	77
Total	22,337	10,241	12,096

Special Incident Investigations	Year to Date
AWOL	41
Abuse	120
Neglect	130
Injury	135
Hospitalizations - Total	388
Death	145
Victim of crime	17
Arrest	8
Rights	114
Total	1,098

Number of Licensed Facilities

Community Care Facilities	Total	Under 18	Over 18
Level 2	80	0	80
Level 3	81	0	81
Level 4	159	11	159
Total Community Care Facilities	320	11	320

Licensed Facility Monitoring	Year to Date
Annual Review	16
Unannounced	28
Total Number of Reviews	44
Provider Trainings	0
Technical Support	475
Corrective Action Plans	10

Intermediate Care Facilities (ICF)	
ICF-DD	0
ICF-DD/Habilitation	83
ICF-DD/Nursing	40
Total ICF Facilities	123

Number of Audits	7
Amount of Recovery from Audits	\$3,004

Total Licensed Facilities	443
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Summary of Information About Persons Served - March 2021

NUMBER OF PERSONS SERVED	20,592	100%
Children - Birth to Age Three Receiving Early Start Services	3,136	15%
Children - Ages Three to 17 Receiving Lanterman Services	7,192	35%
Adults - Ages 18 and Older Receiving Lanterman Services	10,264	50%

Children - Birth to Age Three Receiving Prevention Resource and Referral Services	478
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Children and Adults - Ages Three and Older Receiving Lanterman Services with the Following Diagnoses:

Intellectual Disability	11,727	61%
Epilepsy	2,882	15%
Cerebral Palsy	2,586	13%
Autism	8,219	42%
Fifth Category*	1,587	8%

* 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	437
Early Start / Under Age Three / 45 days to complete determination	373
Lanterman / Over Age Three / 120 days to complete determination	64

NUMBER OF PERSONS DETERMINED ELIGIBLE	29
Children - Birth to Age Three Eligible for Early Start Services	0
Children and Adults - Ages Three and Older Eligible for Lanterman Services	27
• Number of children who received Early Start services	21
• Number of children who received Early Start services and had a diagnosis of autism	11
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	235
Children - Age Three No Longer Eligible for Early Start Services	139
Children - Age Three No Longer Eligible for Prevention Resource and Referral Services	0

REGIONAL CENTER OF ORANGE COUNTY



OPERATIONS REPORT

MARCH 2021 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 2020-21

Type and Number of Reviews	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Annual Review	0	0	1	5	3	5
Unannounced	0	0	8	4	2	4
Total Number of Reviews	0	0	9	9	5	9

Provider Trainings	0	0	0	0	0	0
Technical Support	79	73	36	62	52	65
Corrective Action Plans	2	1	1	4	0	1
Special Incident Investigations*	23	15	24	13	15	18
COVID-19 Checklist	101	85	71	81	62	71

Type and Number of Reviews	Jan.	Feb.	Mar.	Apr.	May	June	Total
Annual Review	1	1	1				17
Unannounced	6	4	20				48
Total Number of Reviews	7	5	21				65

Provider Trainings	0	0	0				0
Technical Support	52	56	74				549
Corrective Action Plans	0	1	0				10
Special Incident Investigations*	7	14	17				146

* 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)

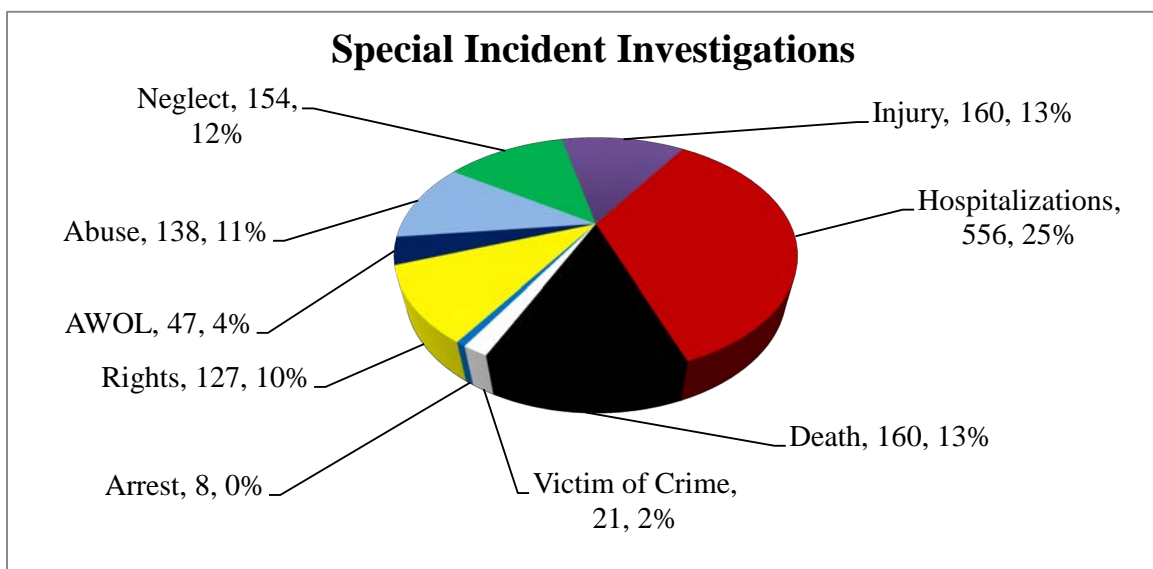
- (A) The consumer is missing and the vendor or long-term health care facility has filed a missing persons report with a law enforcement agency;
- (B) Reasonably suspected abuse/exploitation including:
 - 1. Physical;
 - 2. Sexual;
 - 3. Fiduciary;
 - 4. Emotional/mental; or
 - 5. Physical and/or chemical 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 2020-21

Type of Incident	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
AWOL	5	4	0	9	5	7
Abuse	21	29	14	15	13	12
Neglect	23	18	12	17	15	19
Injury	8	20	21	16	18	17
Hospitalizations - Total	54	40	36	37	41	52
<i>Psychiatric</i>	10	8	7	8	6	6
<i>Medical</i>	44	32	29	29	35	46
Death	12	15	6	13	17	35
Victim of crime	2	2	0	5	3	1
Arrest	4	1	1	0	1	0
Rights	11	5	46	14	20	7
Total	140	134	136	114	124	150

Type of Incident	Jan.	Feb.	Mar.	Apr.	May	June	Total
AWOL	4	7	6				47
Abuse	11	5	18				138
Neglect	15	11	24				154
Injury	17	18	25				160
Hospitalizations - Total	70	58	52				440
<i>Psychiatric</i>	6	2	11				64
<i>Medical</i>	64	56	41				376
Death	28	19	15				160
Victim of Crime	4	0	4				21
Arrest	0	1	0				8
Rights	7	4	13				127
Total	156	123	157				1,255



COMMUNITY LIFE continued

Provider Audits
Fiscal Year 2020-21

Number of Audits / Appeals / Recoveries

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

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

State Appeal	0	0	0	0	0	0
Recovery	0	0	0	1	0	0

Audit Findings (Dollar Amount)

Amount of Recovery	\$0.00	\$0.00	\$0.00	\$342.48	\$0.00	\$0.00
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Type of Audit	Jan.	Feb.	Mar.	Apr.	May	June	Total
Service Billing	1	3	0				5
Staffing	0	0	5				5
Level 4I Consultant	0	0	2				2
P&I (consumer funds)	0	2	0				2
Total Number of Audits	1	5	7				14

Number of Appeals / Recoveries

State Appeal	0	0	0				0
Recovery	1	5	7				14

Audit Findings (Dollar Amount)

Amount of Recovery	\$197.54	\$2,464.27	\$19,706.03				\$22,710.32
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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.*

Fiscal Year 2020-21

Number of Authorizations for Voucher Services

Type of Service	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Day Care - Family Member	118	123	134	126	124	116
Diapers - Family Member	1	0	0	0	0	0
Nursing Service - Family Member	64	66	65	63	65	65
Respite Service - Family Member	539	579	584	583	599	591
Transportation - Family Member	144	141	130	123	118	115
Total Number of Voucher Authorizations	866	909	913	895	906	887

Number of Authorizations for Voucher Services

Type of Service	Jan.	Feb.	Mar.	Apr.	May	June
Day Care - Family Member	114	115	117			
Diapers - Family Member	0	0	0			
Nursing Service - Family Member	67	67	69			
Respite Service - Family Member	601	600	625			
Transportation - Family Member	110	108	106			
Total Number of Voucher Authorizations	892	890	917	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 2020-21

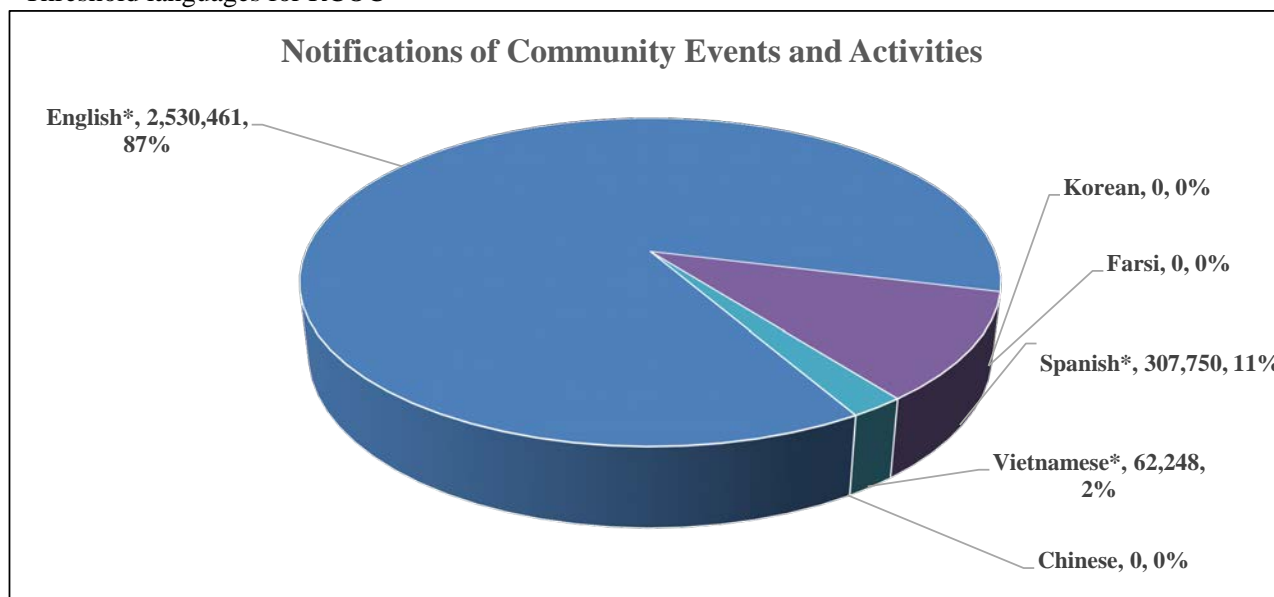
Number of Notifications

Language	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
English*	366,027	256,675	156,079	319,106	304,436	259,368
Farsi						
Korean						
Spanish*	48,802	25,874	17,168	51,804	28,192	31,505
Vietnamese*	12,469	9,091	2,504	4,596	4,901	5,765
Total Number of Notifications	427,298	291,640	175,751	375,506	337,529	296,638

Number of Notifications

Language	Jan.	Feb.	Mar.	Apr.	May	June	Total
English*	308,530	233,364	326,876				2,530,461
Farsi							0
Korean							0
Spanish*	24,155	35,909	44,341				307,750
Vietnamese*	5,065	7,406	10,451				62,248
Chinese							0
Total Number of Notifications	337,750	276,679	381,668	0	0	0	2,900,459

* 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 2020-21

Number of Outreach Events

Type of Outreach / Language	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
In Person						
English		3	6	6	5	2
Spanish	1	4	1	1		
Vietnamese	2	2				
Other Languages						
In Print						
English	1		1	1	1	
Spanish					1	
Vietnamese				1	1	
Other Languages						
TV / Radio						
English			1			1
Spanish						
Vietnamese						
Other Languages						
Total Number of Outreach Events	4	9	8	9	8	3

Number of Outreach Events

Language	Jan.	Feb.	Mar.	Apr.*	May*	June*	Total
In Person							
English	2	10	5				39
Spanish			2				9
Vietnamese			3				7
Other Languages							0
In Print							
English		2	9				15
Spanish			1				2
Vietnamese							2
Other Languages							0
TV / Radio							
English							2
Spanish							0
Vietnamese							0
Other Languages							0
Total Number of Outreach Events	2	12	20	0	0	0	76

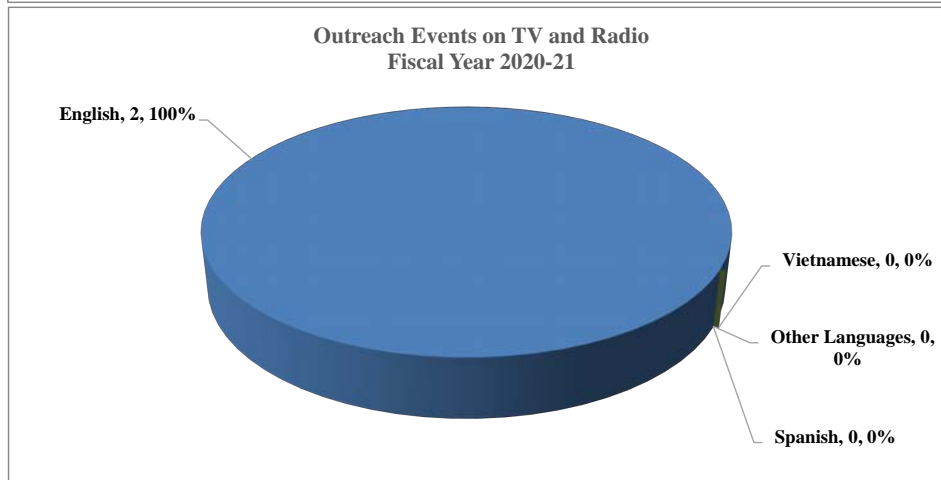
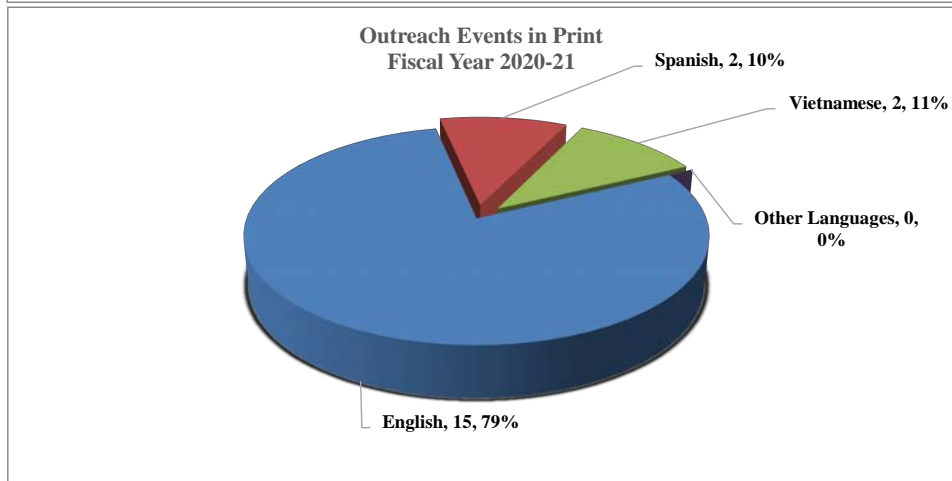
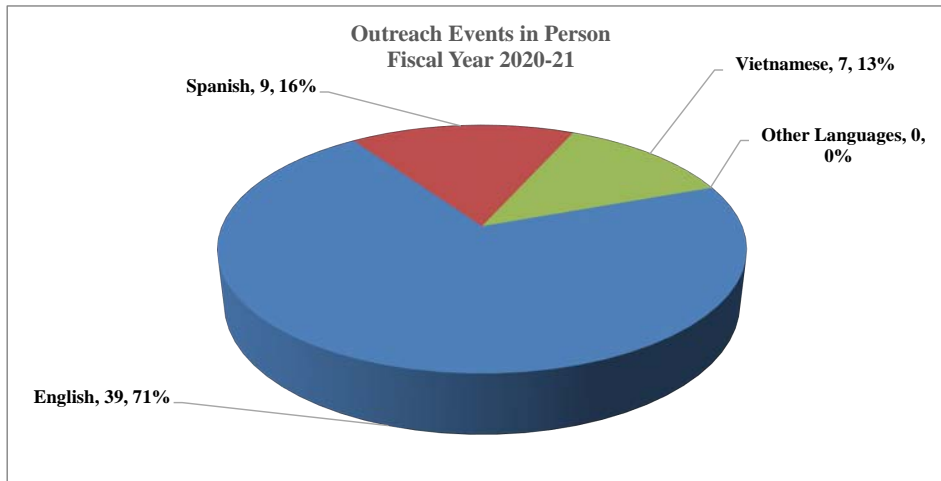
* Virtual Meetings

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 Events in Person, in Print, on TV and Radio Fiscal Year 2020-21



EARLY INTERVENTION / PREVENTION

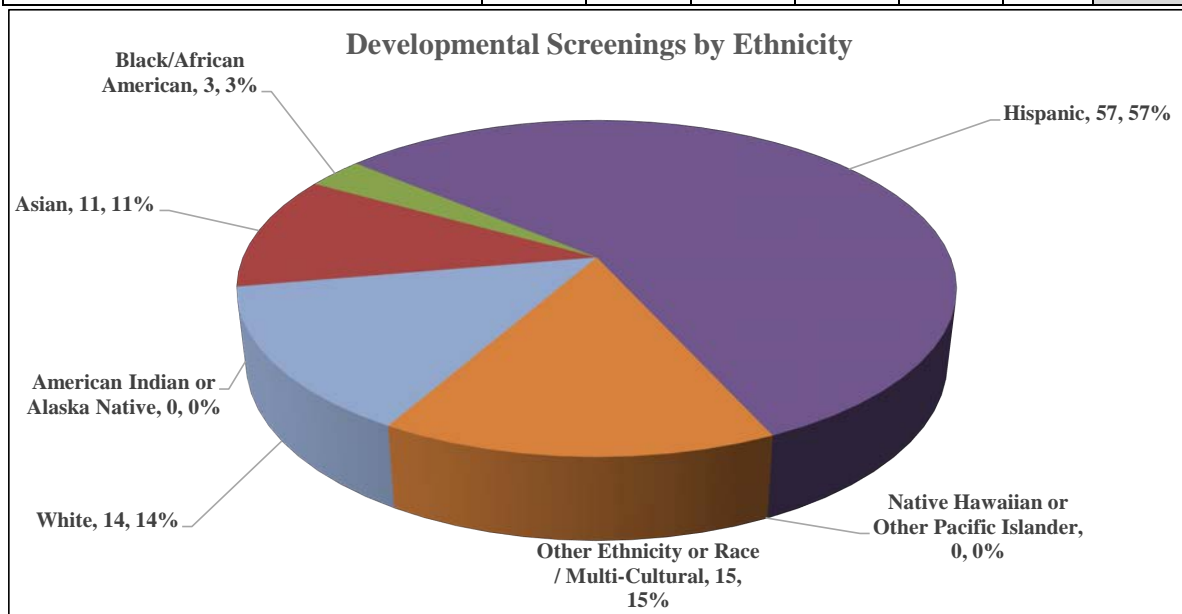
Related Guiding Principles

- 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 2020-21

Developmental Screenings by Ethnicity	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
American Indian or Alaska Native	0	0	0	0	0	0
Asian	1	4	0	1	0	0
Black/African American	0	0	0	3	0	0
Hispanic	5	14	0	21	0	0
Native Hawaiian or Other Pacific Islander	0	0	0	0	0	0
Other Ethnicity or Race / Multi-Cultural	2	2	0	8	0	0
White	1	6	0	3	0	0
Total Number Screened	9	26	0	36	0	0
Total Number Referred to RCOC	6	15	0	14	0	0

Developmental Screenings by Ethnicity	Jan.	Feb.	Mar.	Apr.	May	June	Total
American Indian or Alaska Native	0	0	0				0
Asian	2	3	0				11
Black/African American	0	0	0				3
Hispanic	4	13	0				57
Native Hawaiian or Other Pacific Islander	0	0	0				0
Other Ethnicity or Race / Multi-Cultural	0	3	0				15
White	4	0	0				14
Total Number Screened	10	19	0				100
Total Number Referred to RCOC	0	5	0				40



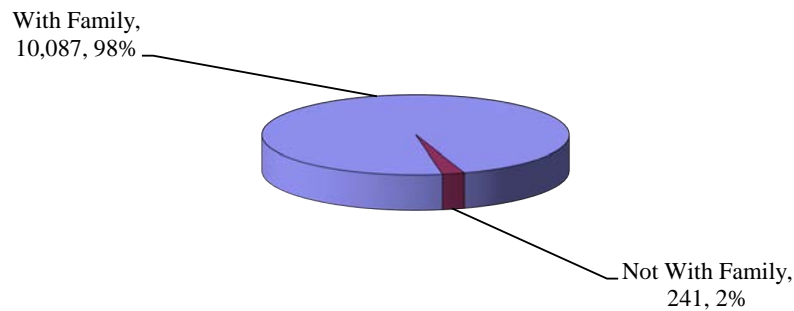
LIVING OPTIONS

Related Guiding Principles

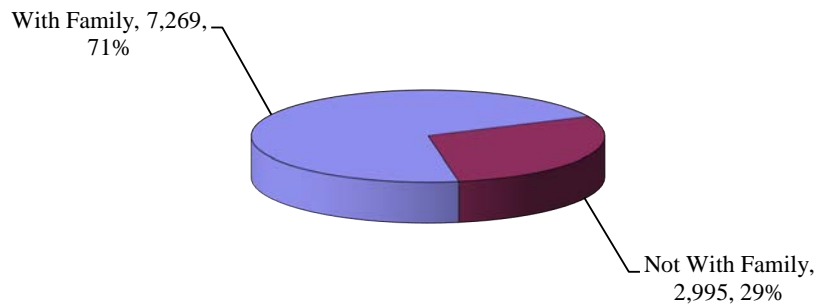
- *Culturally-sensitive services and supports are provided so that persons served can make informed choices on where and with whom they live, including owning or renting their own homes.*
- *Families whose minor or adult children choose to remain in the family home are supported through available resources.*
- *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	17,356	10,087	7,269
Not With Family	3,236	241	2,995
Totals	20,592	10,328	10,264

Where Persons Served Under 18 Live



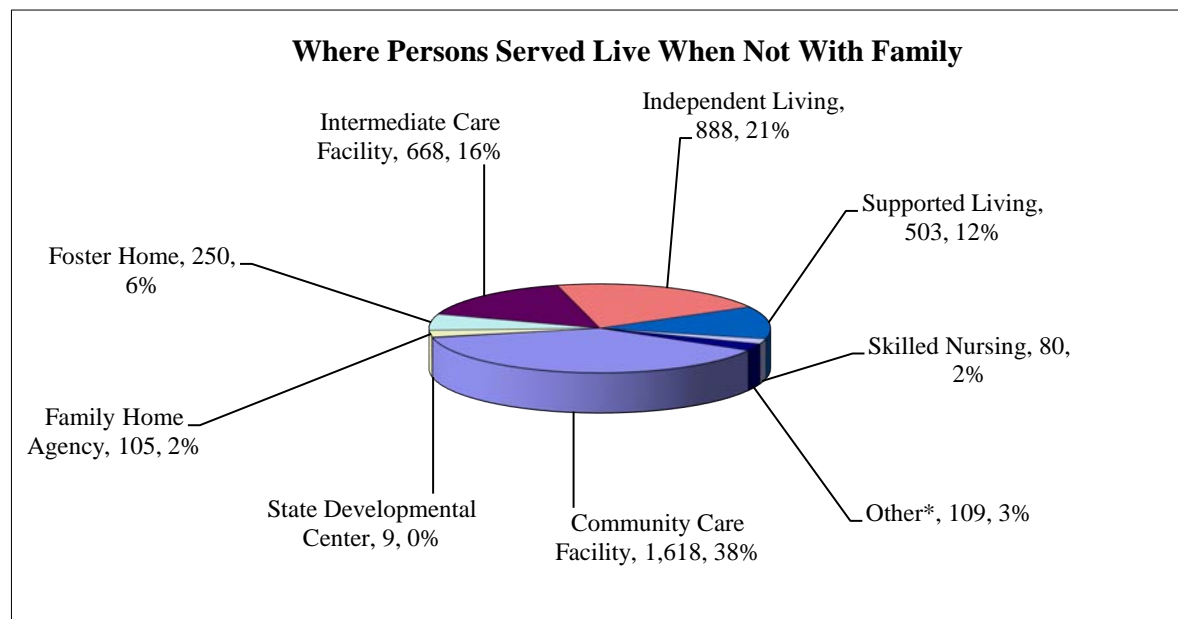
Where Persons Served Over 18 Live



LIVING OPTIONS, continued

Where Persons Served Live	All Persons Served	Persons Served Under 18	Persons Served Over 18
Family Home	18,275	10,062	8,213
Community Care Facility	1,618	30	1,588
State Developmental Center	9	0	9
Family Home Agency	105	0	105
Foster Home	250	243	7
Intermediate Care Facility	668	5	663
Independent Living	888	0	888
Supported Living	503	0	503
Skilled Nursing	80	0	80
Other*	109	26	77
Total	22,505	10,366	12,133

Other*			
Acute General Hospital	4	0	4
California Youth Authority	0	0	0
Community Treatment	3	1	2
Correctional Institution	0	0	0
County Jail	1	0	1
Other	0	0	0
Out of State	3	0	3
Psychiatric Treatment	11	1	10
Rehabilitation Center	5	1	4
SDC / State Hospital	0	0	0
Sub-Acute	45	20	25
Transient / Homeless	15	0	15
Total, Other*	87	23	64



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.

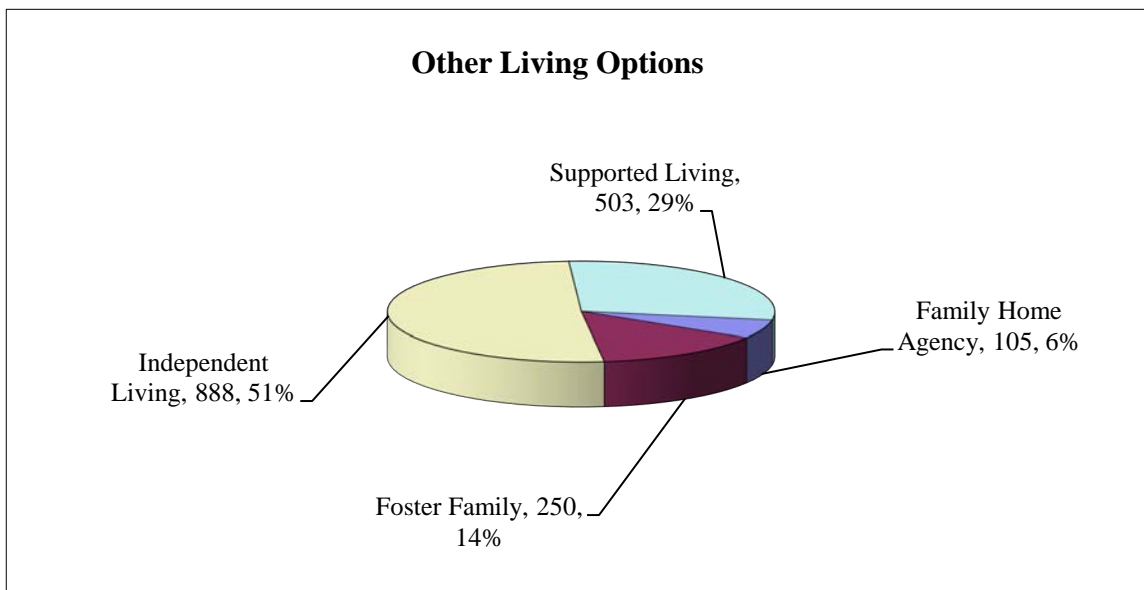
Independent Living

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	105	0	105
Foster Family	250	243	7
Independent Living	888	0	888
Supported Living	503	0	503
Total	1,746	243	1,503



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 2020-21*

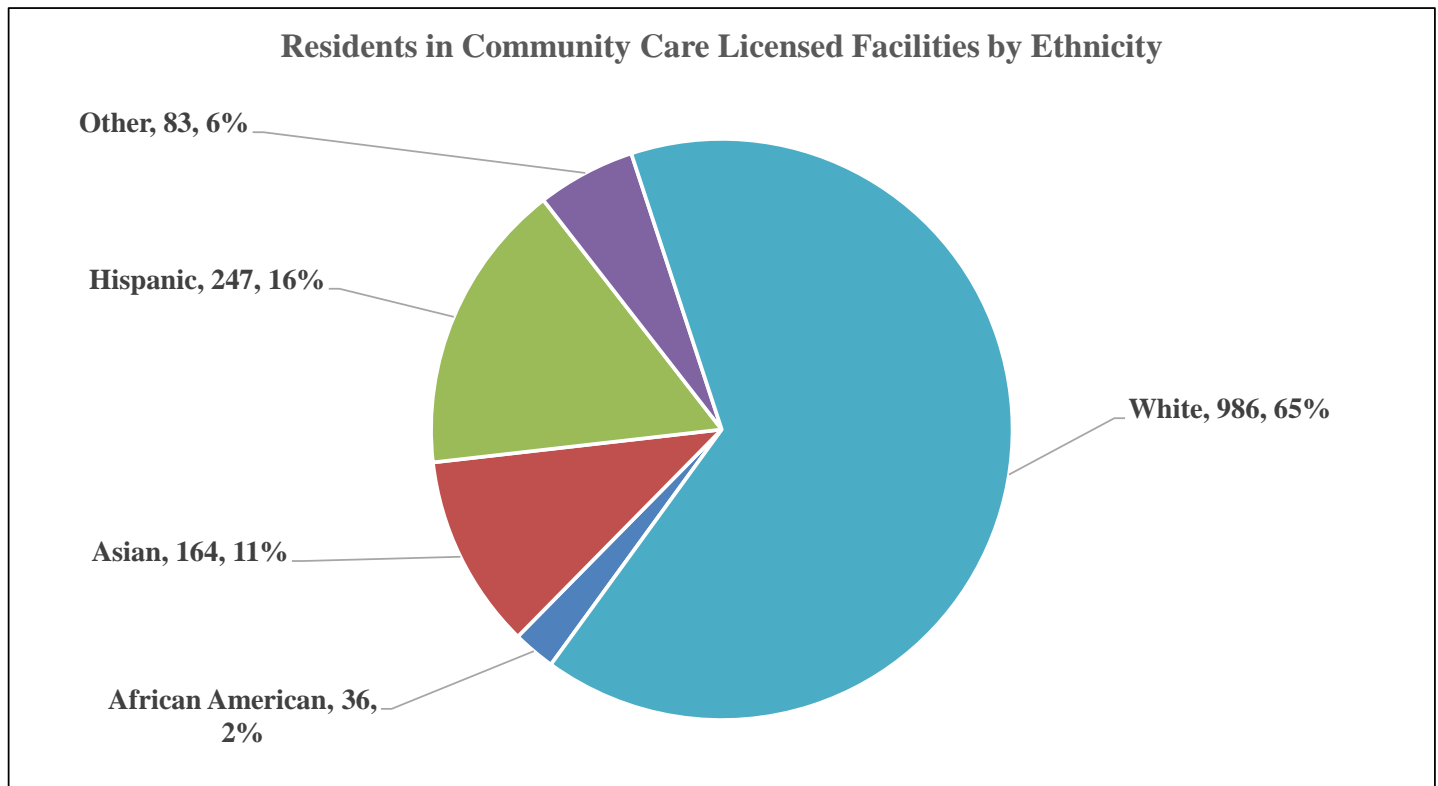
Licensed Facilities	Total	Over 18	Under 18
Level 2	234	234	0
Level 3	299	299	0
Level 4A	36	36	0
Level 4B	4	5	0
Level 4C	50	50	0
Level 4D	34	34	0
Level 4E	23	23	0
Level 4F	67	67	0
Level 4G	31	31	0
Level 4H	4	4	0
Level 4I	347	340	7
Elderly	1	1	0
ICF/DD-H	8	8	0
ICF/DD-N	4	4	0
ICF/DD	0	0	0
Skilled Nursing	0	0	0
Total	1,142	1,136	7

Licensed Facilities Summary	Total	Over 18	Under 18
Level 2	234	234	0
Level 3	299	299	0
Level 4	596	590	7
ICF/DD-H	8	8	0
ICF/DD-N	4	4	0
Elderly	1	1	0
Skilled Nursing	0	0	0
Total	1,142	1,136	7

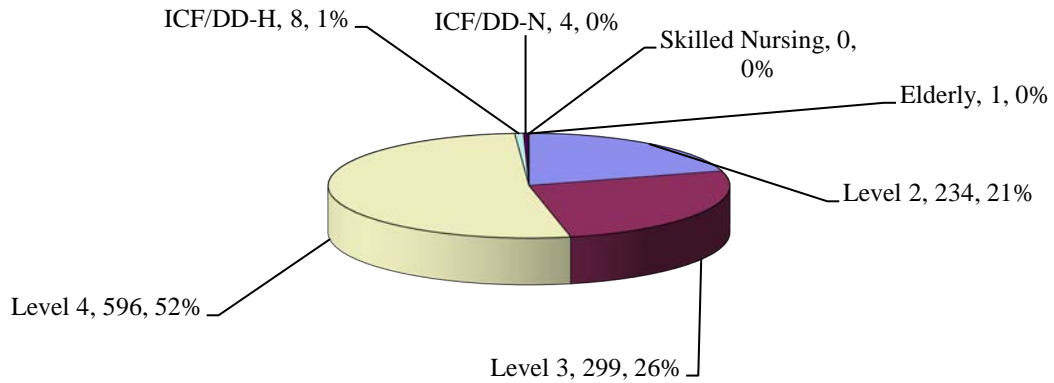
LIVING OPTIONS, continued

Persons Served Who Reside in Licensed Facilities Funded by RCOC by Ethnicity Fiscal Year 2020-21

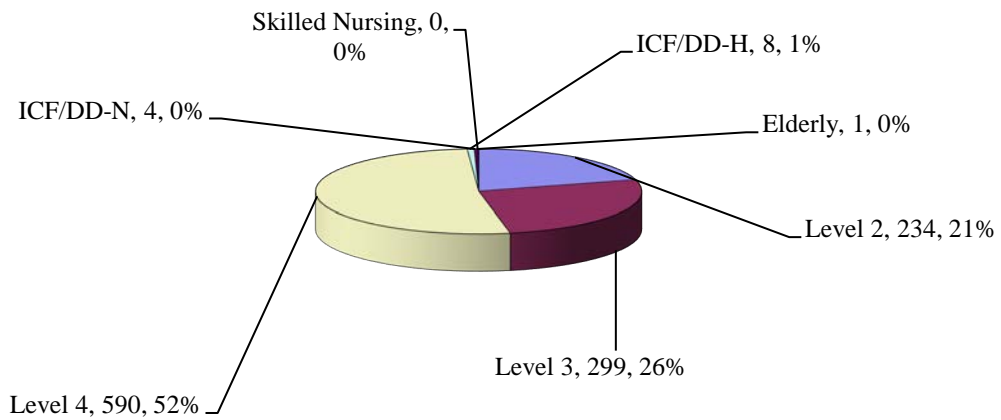
Licensed Facilities	African American	Asian	Hispanic	Other	White	Total
Level 2	6	27	52	12	242	339
Level 3	12	32	60	19	255	378
Level 4A	0	6	6	2	24	38
Level 4B	0	1	0	0	7	8
Level 4C	1	9	10	2	49	71
Level 4D	0	7	6	3	29	45
Level 4E	0	3	8	3	18	32
Level 4F	3	12	10	2	47	74
Level 4G	0	7	5	2	29	43
Level 4H	0	0	3	1	2	6
Level 4I	14	60	87	37	284	482
Total	36	164	247	83	986	1,516



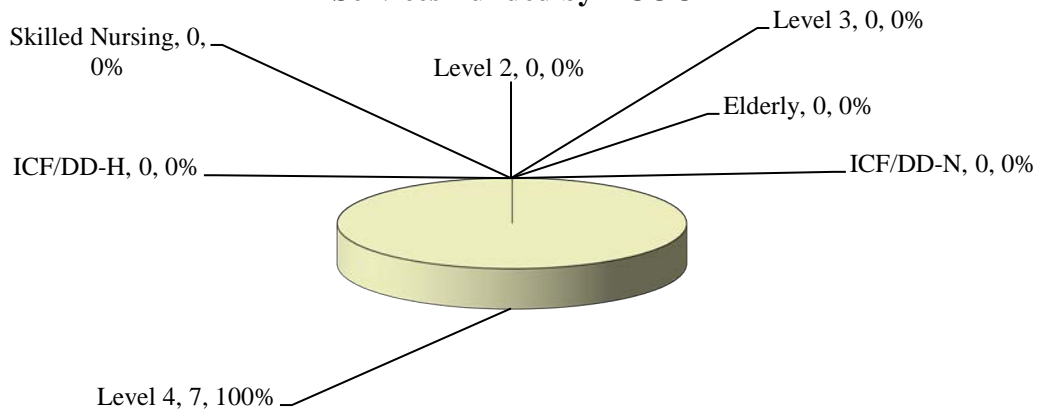
**Persons Served Who Reside in Licensed Facilities
Services Funded by RCOC**



**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**

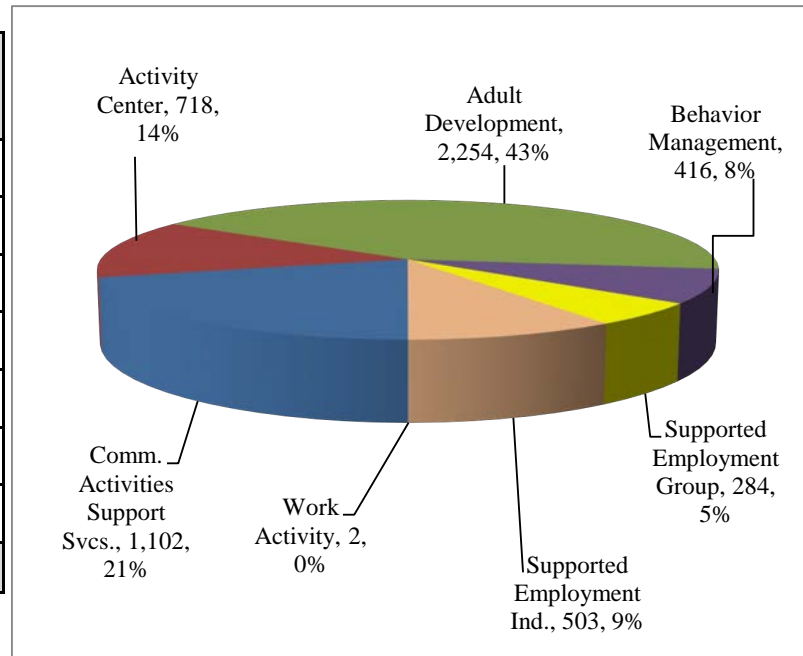


WORK

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.	1,102
Activity Center	718
Adult Development	2,254
Behavior Management	416
Supported Employment Group	284
Supported Employment Ind.	503
Work Activity	2
Total	5,279



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 2020-21

Service Coordination:	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Number of Service Coordinators (SC)	307.0	305.0	304.0	301.0	300.0	299.0
Number of Case-Carrying SCs	277.3	275.3	274.3	271.3	270.3	269.3
Number of Intake SCs	29.7	29.7	29.7	29.7	29.7	29.7
Number of State Developmental Center SCs	0.0	0.0	0.0	0.0	0.0	0.0
Number of Active Persons Served	22,336	22,330	22,335	22,354	22,381	22,355
Caseload Ratio, # of Active Persons Served/SCs	80.5	81.1	81.4	82.4	82.8	83.0

Service Coordination:	Jan.	Feb.	Mar.	Apr.	May	June
Number of Service Coordinators (SC)	298.9	296.8	293.6			
Number of Case-Carrying SCs	270.2	269.2	266.0			
Number of Intake SCs	28.7	27.7	27.7			
Number of State Developmental Center SCs	0.0	0.0	0.0			
Number of Active Persons Served	22,325	22,304	22,443			
Caseload Ratio, # of Active Persons Served/SCs	82.6	82.9	84.4			

SERVICE PLANNING AND COORDINATION continued

Fair Hearings

Fiscal Year 2020-21

	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	June
Number of Unsettled Hearing Requests*	18	20	27	28	28	25	27	24	26			
Eligibility - Lanterman	8	7	8	6	6	3	0	1	1			
Behavioral services	2	1	1	2	3	2	2	6	4			
Respite	4	6	9	9	7	10	5	4	4			
Day Care	1	1	1	0	0	0	11	0	0			
ILS/SLS	0	0	0	0	0	0	0	0	0			
Personal Assistance	0	1	1	1	2	1	1	3	4			
Other**	3	4	7	10	10	9	8	10	13			

* 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*	10	6	11	7	4	5	5	8	9			
Eligibility - Lanterman	4	1	3	0	1	0	0	1	0			
Eligibility - Early Start	0	0	0	0	0	0	0	0	0			
Behavioral services	2	0	1	1	1	0	3	0	0			
Respite	2	1	4	2	1	5	2	0	2			
Day Care	0	0	1	0	0	0	0	0	0			
Social/Recreational	0	0	0	0	0	0	0	0	0			
Personal Assistance	0	1	0	0	1	0	0	0	2			
Other**	2	3	2	4	0	0	0	7	5			

* 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	2	8	5	6	7	2	5	5	9			
Number of Informal Meetings Held	2	4	3	4	2	2	2	2	7			
Number of Mediations Held	0	2	1	1	4	0	2	2	1			
Number of SLFHs Held	0	2	1	1	1	0	1	1	1			

Number of Requests in Scheduling*	3	7	16	18	17	20	13	14	14			
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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	2	0	1	0	0	0	0	2			
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* State Level Fair Hearing (SLFH) held but awaiting decision.

Number of Requests Settled	3	3	6	3	4	3	9	5	1			
Withdrawn by Person Served/Family	0	0	0	0	1	0	0	0	0			
Settled in Informal	2	2	1	0	0	0	0	0	0			
Settled after further follow-up by RCOC	1	0	2	2	2	3	6	3	0			
Settled in Mediation	0	1	0	1	0	0	2	2	0			
SLFH Decision	0	0	3	0	1	0	1	0	1			

State Level Fair Hearing Decisions

Prevailing Party												
Person Served/Family	0	0	1	0	0	0	0	0	0			
RCOC	0	0	2	0	1	0	0	0	1			
Split	0	0	0	0	0	0	1	0	0			

ADMINISTRATION AND GOVERNANCE

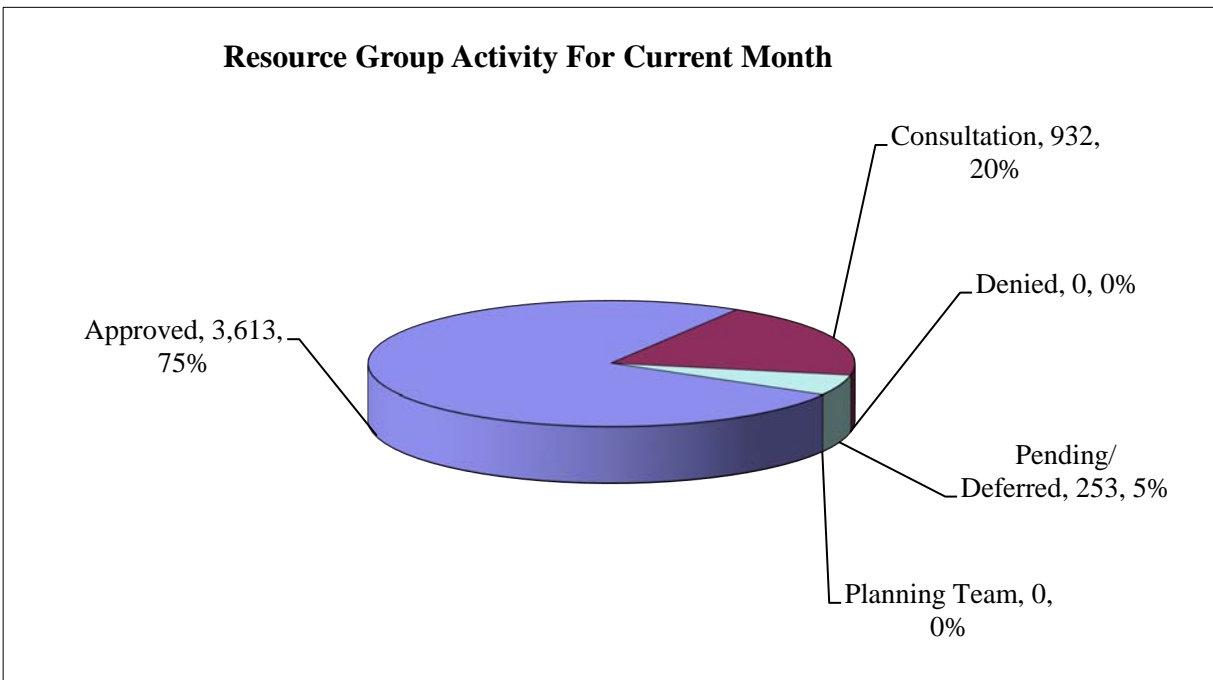
Guiding Principle

- 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 March 2021 and Fiscal Year to Date

Disposition	Approved	Consultation	Denied	Pending/Deferred	Planning Team	Total
Adult Day	410	173	0	59	0	642
Behavioral	137	38	0	4	0	179
Education	0	3	0	0	0	3
Eligibility/Health	94	1	0	11	0	106
Early Start	830	126	0	77	0	866
Living Options	212	108	0	0	0	320
Supported/Ind.	373	112	0	53	0	538
All Others	808	91	0	37	0	936
Monthly Total	3,613	932	0	253	0	4,798

FY 2020-21 Total to Date	28,798	7,005	0	1,723	0	37,526
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Operations Report Summary - March 2021

About Persons Served	Early Start	Medicaid Waiver	All Other	SDC	Total	Under 18	Over 18
Number of Persons Served	3,136	8,365	9,082	9	20,592	10,328	10,264
<i>Percentage of Total</i>	<i>15%</i>	<i>41%</i>	<i>44%</i>	<i>0%</i>	<i>100%</i>	<i>50%</i>	<i>50%</i>

Children served in Prevention Resource and Referral Services	458
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Persons Served by Residence Status	All	Under 18	Over 18
Family Home	18,275	10,062	8,213
Community Care Facility	1,618	30	1,588
State Developmental Center	9	0	9
Family Home Agency	105	0	105
Foster Home	250	243	7
Intermediate Care Facility	668	5	663
Independent Living	888	0	888
Supported Living	503	0	503
Skilled Nursing	80	0	80
Other	103	26	77
Total	22,499	10,366	12,133

Special Incident Investigations	Year to Date
AWOL	47
Abuse	138
Neglect	154
Injury	160
Hospitalizations - Total	440
Death	160
Victim of crime	21
Arrest	8
Rights	127
Total	1,255

Number of Licensed Facilities

Community Care Facilities	Total	Under 18	Over 18
Level 2	80	0	80
Level 3	81	0	81
Level 4	172	11	161
Total Community Care Facilities	333	11	322

Licensed Facility Monitoring	Year to Date
Annual Review	17
Unannounced	48
Total Number of Reviews	65
Provider Trainings	0
Technical Support	549
Corrective Action Plans	10

Intermediate Care Facilities (ICF)	
ICF-DD	0
ICF-DD/Habilitation	83
ICF-DD/Nursing	40
Total ICF Facilities	123

Number of Audits	14
Amount of Recovery from Audits	\$22,710

Total Licensed Facilities	456
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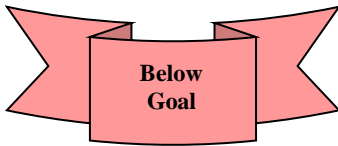
Performance Contract Summary

RCOC as of 3/01/2021	All	RCOC #	Goal	Percentage	# Attained
Developmental Center (DC)	22,307	10	0	0.04%	-10
Children in Foster Homes (FH)	10,222	233	245	2.28%	-12
Children Own Home Parent/Guardian	10,222	9,931	10,350	97.15%	-419
Total # Children (FH,Parent/Guardian)	10,222	10,164	10,595	99.43%	-431
Adult FHA	12,075	103	109	0.85%	-6
Independent Living (IL)	12,075	887	899	7.35%	-12
Adults Residing Own Home - Parent	12,075	8,180	8,250	67.74%	-70
Supported Living (SL)	12,075	497	508	4.12%	-11
Total # Adults (FHA, IL,Parent/Guardian, SL)	12,075	9,667	9,766	80.06%	-99
Children Residing in a CCF (7+ beds)	10,222	1	0	0.01%	-1
Children Residing in a ICF (7+ beds)	10,222	2	0	0.02%	-2
Children Residing in a Nursing Facility (7+ beds)	10,222	0	0	0%	0
Total Children Residing in 7+ bed facilities	10,222	3	0	0.03%	-3
Adults Residing in a CCF (7+ beds)	12,075	121	120	1.00%	-1
Adults Residing in a ICF (7+ beds)	12,075	12	14	0.10%	2
Adults Residing in a Nursing Facility (7+ beds)	12,075	79	78	0.65%	-1
Total Adults Residing in 7+ bed facilities	12,075	212	212	1.76%	0
Total Individuals Over Age 3 with <=120 days	146	145	100%	97.97%	97.97%
Total Individuals Over Age 3 with 121-240 days	146	1	0%	0.68%	0.68%
Total Individuals Over Age 3 Over 240 days	146	0	0%	0%	0%
Adults with Integrated Employment Goal	12,075	57%	65%		
Total Number of Incentive Payments Made	12,075	362			
Avg. Wage per Hour After Incentive Payment	12,075	\$12.06			
Number of Persons Served with Earned Income	12,075	3,336			
Percentage of 16-64 Earned Income	12,075	21%			
Annual Earnings of 16-64	12,075	\$8,806			
Number of Adults in CIE After Paid Intern	12,075	7			
Percentage Adults Transitioned Internship to CIE	12,075	21%			
Total Annual Expenditures Race/Ethnicity	22,307				

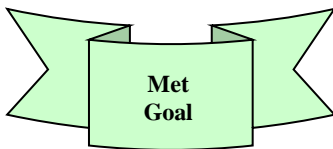
Performance Contract 2021 Cover Sheet



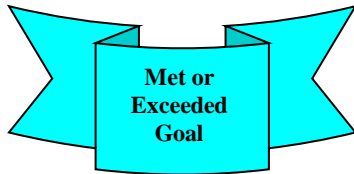
= Better than Statewide Average



= 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 2021

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
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 2021

I. Developmental Center

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

	Percentage	All consumers	Consumers in DC			
Statewide Average	0.08%	353,922	266			
RCOC Public Hearing 8/19/20	0.03%	22,370	7	Goal	%	# Attained
RCOC 3/01/21	0.04%	22,307	10	0	0.04%	-10
Analysis as of Public Hearing	RCOC % of DD population	6.32%	RCOC % of DC population	2.63%		

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 2018-2019 and 2019-2020.

Progress: In FY 2019-2020, RCOC moved the last persons served from Fairview Developmental Center into the community. The remaining individuals are served at Porterville Developmental Center where they remain for competency issues. During Public Meetings in August 2020, RCOC had 7 persons served, or 0.03%, in Developmental Centers.

Number of Persons Served Residing DCs



	Total Active Caseload	Goal	DC	%	Number Attained
Jan-21	22,323	0	9	0.04%	-9
Feb-21	22,307	0	10	0.04%	-10
Mar-21		0			
Apr-21		0			
May-21		0			
Jun-21		0			
Jul-21		0			
Aug-21		0			
Sep-21		0			
Oct-21		0			
Nov-21		0			
Dec-21		0			

Below
Goal

Performance Contract 2021

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 234, or 2.23%, children in foster homes.

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

	Percentage	All Children	Children in FH			
Statewide Average	2.77%	178,127	4,938			
RCOC Public Hearing 8/19/20	2.23%	10,502	234	Goal	%	# Attained
RCOC 3/01/21	2.28%	10,222	233	245	2.28%	-12
Analysis as of Public Hearing	RCOC % of DD population		5.90%	RCOC % of FH population		4.74%

	Total Children Status 1&2	Goal	Children in Foster Homes	%	Number Attained
Jan-21	10,267	245	228	2.22%	-17
Feb-21	10,222	245	233	2.28%	-12
Mar-21		245			
Apr-21		245			
May-21		245			
Jun-21		245			
Jul-21		245			
Aug-21		245			
Sep-21		245			
Oct-21		245			
Nov-21		245			
Dec-21		245			

Below Goal

Progress: B. During public meetings, RCOC had 10,202, or 97.14%, of children in own home-parent/guardian.

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

	Percentage	All Children	Children in own home Parent/Guardian			
Statewide Average	96.71%	178,127	172,258			
RCOC Public Hearing 8/19/20	97.14%	10,502	10,202	Goal	%	# Attained
RCOC 3/01/21	97.15%	10,222	9,931	10,350	97.15%	-419
Analysis as of Public Hearing	RCOC % of DD population		5.90%	RCOC % of FH population		5.92%



	Total Children Status 1&2	Goal	Children in own home Parent/Guardian	%	Number Attained
Jan-21	10,350	10,500	9,980	97.20%	-370
Feb-21	10,222	10,500	9,931	97.15%	-419
Mar-21		10,500			
Apr-21		10,500			
May-21		10,500			
Jun-21		10,500			
Jul-21		10,500			
Aug-21		10,500			
Sep-21		10,500			
Oct-21		10,500			
Nov-21		10,350			
Dec-21		10,350			

Below Goal

Progress: C. During public meetings, RCOC had 10,436, or 99.37%, of children in homes.

C. 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	99.48%	178,127	177,196			
RCOC Public Hearing 8/19/20	99.37%	10,502	10,436	Goal	%	# Attained
RCOC 3/01/21	99.43%	10,222	10,164	10,595	99.43%	-431
Analysis as of Public Hearing	RCOC % of DD population		5.90%	RCOC % of FH population		5.89%

	Total Children Status 1&2	Goal	Total Number Children in Homes	%	Number Attained	Below Goal
Jan-21	10,267	10,720	10,208	99.43%	-387	
Feb-21	10,222	10,720	10,164	99.43%	-431	
Mar-21		10,720				
Apr-21		10,720				
May-21		10,720				
Jun-21		10,720				
Jul-21		10,720				
Aug-21		10,720				
Sep-21		10,720				
Oct-21		10,720				
Nov-21		10,595				
Dec-21		10,595				

Performance Contract 2021

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 101, or 0.85%, 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	0.93%	175,529	1,638			
RCOC Public Hearing 8/19/20	0.85%	11,861	101	Goal	%	# Attained
RCOC 3/01/21	0.85%	12,075	103	109	0.85%	-6
Analysis as of Public Hearing	RCOC % of DD population		6.76%	RCOC % of FH population		6.17%



	Total Adults Status 2	Goal	Adults in FHA	%	Number Attained
Jan-21	12,047	109	103	0.85%	-6
Feb-21	12,705	109	103	0.85%	-6
Mar-21		109			
Apr-21		109			
May-21		109			
Jun-21		109			
Jul-21		109			
Aug-21		109			
Sep-21		109			
Oct-21		109			
Nov-21		109			
Dec-21		109			

Progress: B. During public meetings, RCOC had 863, or 7.55%, of adults residing in independent living.

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

	Percentage	Total Adults Status 2	Adults in Independent Living			
Statewide Average	10.06%	175,529	17,660			
RCOC Public Hearing 8/19/20	7.55%	11,434	863	Goal	%	# Attained
RCOC 3/01/21	7.35%	12,075	887	899	7.35%	-12
Analysis as of Public Hearing	RCOC % of DD population		6.51%	RCOC % of FH population		4.89%

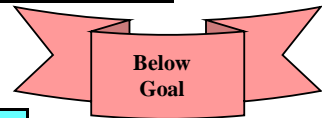
	Total Adults Status 2	Goal	Adults in Independent Living	%	Number Attained
Jan-21	12,047	899	886	7.35%	-13
Feb-21	12,075	899	887	7.35%	-12
Mar-21		899			
Apr-21		899			
May-21		899			
Jun-21		899			
Jul-21		899			
Aug-21		899			
Sep-21		899			
Oct-21		899			
Nov-21		899			
Dec-21		899			

**Below
Goal**

Progress: C. During public meetings, RCOC had 7,477, or 63.04%, of adults residing in own home-parent.

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

	Percentage	Total Adults status 2	Adults Residing Own Home - Parent			
Statewide Average	64.98%	175,529	114,052			
RCOC Public Hearing 8/19/20	63.04%	11,861	7,477	Goal	%	# Attained
RCOC 3/01/21	67.74%	12,075	8,180	8,250	67.74%	-70
Analysis as of Public Hearing	RCOC % of DD population		6.76%	RCOC % of FH population		6.56%



	Total Adults Status 2	Goal	Adults Residing Own Home - Parent	%	Number Attained
Jan-21	12,047	8,250	8,141	67.58%	-109
Feb-21	12,075	8,250	8,180	67.74%	-70
Mar-21		8,250			
Apr-21		8,250			
May-21		8,250			
Jun-21		8,250			
Jul-21		8,250			
Aug-21		8,250			
Sep-21		8,250			
Oct-21		8,250			
Nov-21		8,250			
Dec-21		8,250			

Progress: D. During public meetings, RCOC had 488, or 4.27%, of adults residing in supported living.

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

	Percentage	Total Adults status 2	Adults Residing Supported Living			
Statewide Average	5.28%	175,529	9,260			
RCOC Public Hearing 8/19/20	4.27%	11,434	488	Goal	%	# Attained
RCOC 3/01/21	4.12%	12,075	497	508	4.12%	-11
Analysis as of Public Hearing	RCOC % of DD population		6.51%	RCOC % of FH population		5.27%



	Total Adults Status 2	Goal	Adults Residing Supported Living	%	Number Attained
Jan-21	12,047	508	494	4.10%	-14
Feb-21	12,075	508	497	4.12%	-11
Mar-21		508			
Apr-21		508			
May-21		508			
Jun-21		508			
Jul-21		508			
Aug-21		508			
Sep-21		508			
Oct-21		508			
Nov-21		508			
Dec-21		508			

Progress: E. During public meetings, RCOC had 9,936, or 83.77%, of adults residing in home-settings.

E. 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	81.25%	175,529	142,610			
RCOC Public Hearing 8/19/20	83.77%	11,861	9,936	Goal	%	# Attained
RCOC 3/01/21	80.06%	12,075	9,667	9,766	80.06%	-99
Analysis as of Public Hearing	RCOC % of DD population		6.76%	RCOC % of FH population		6.97%

	Total Adults Status 2	Goal	Total Number Adults in Home Settings	%	Number Attained
Jan-21	12,047	9,766	9,624	78.79%	-142
Feb-21	12,075	9,766	9,667	80.06%	-99
Mar-21		9,766			
Apr-21		9,766			
May-21		9,766			
Jun-21		9,766			
Jul-21		9,766			
Aug-21		9,766			
Sep-21		9,766			
Oct-21		9,766			
Nov-21		9,766			
Dec-21		9,766			

Below Goal

Performance Contract 2021

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 2, or 0.02%, 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%	178,127	28			
RCOC Public Hearing 8/19/20	0.02%	10,502	2			
RCOC 3/01/21	0.01%	10,222	1	0	0.01%	-1
Analysis as of Public Hearing	RCOC % of DD population		5.90%	RCOC % of FH population		7.14%



	Total Children status 1&2	Goal	Children Residing in a CCF (7+ beds)	%	Number Attained
Jan-21	10,267	0	1	0.01%	-1
Feb-21	10,222	0	1	0.01%	-1
Mar-21		0			
Apr-21		0			
May-21		0			
Jun-21		0			
Jul-21		0			
Aug-21		0			
Sep-21		0			
Oct-21		0			
Nov-21		0			
Dec-21		0			

Below Goal

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.

B. 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%	178,127	35			
RCOC Public Hearing 8/19/20	0.02%	10,502	2	Goal	%	# Attained
RCOC 3/01/21	0.02%	10,222	2	0	0.02%	-2
Analysis as of Public Hearing	RCOC % of DD population		5.90%	RCOC % of FH population		5.71%



	Total Children Status 1&2	Goal	Children Residing in a ICF (7+ beds)	%	Number Attained
Jan-21	10,267	0	2	0.02%	-2
Feb-21	10,222	0	2	0.02%	-2
Mar-21		0			
Apr-21		0			
May-21		0			
Jun-21		0			
Jul-21		0			
Aug-21		0			
Sep-21		0			
Oct-21		0			
Nov-21		0			
Dec-21		0			

Below Goal

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.

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

	Percentage	Total Children Status 1 & 2	Children Residing in a Nursing Facility (7+ beds)			
Statewide Average	0.00%	178,127	5			
RCOC Public Hearing 8/19/20	0.00%	10,502	0	Goal	%	# Attained
RCOC 3/01/21	0.00%	10,222	0	0	0.00%	0
Analysis as of Public Hearing	RCOC % of DD population		5.90%	RCOC % of FH population		0.00%



	Total Children status 1&2	Goal	Children Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-21	10,267	0	0	0.00%	0
Feb-21	10,222	0	0	0.00%	0
Mar-21		0			
Apr-21		0			
May-21		0			
Jun-21		0			
Jul-21		0			
Aug-21		0			
Sep-21		0			
Oct-21		0			
Nov-21		0			
Dec-21		0			

Met
Goal

Progress: D. During public meetings, RCOC had 4, or 0.04%, of children residing in a facility with 7+ beds. Placements to 7+ bed facilities are at family request and/or due to specialized services.

D. 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).*

	Percentage	Total Children Status 1 & 2	Total Children Residing in 7+ bed facilities			
Statewide Average	0.04%	178,127	68			
RCOC Public Hearing 8/19/20	0.04%	10,502	4	Goal	%	# Attained
RCOC 3/01/21	0.03%	10,222	3	0	0.03%	-3
Analysis as of Public Hearing	RCOC % of DD population 5.90%		RCOC % of FH population 5.88%			



	Total Children Status 1&2	Goal	Total Children Residing in 7+ bed facilities	%	Number Attained
Jan-21	10,267	0	3	0.03%	-3
Feb-21	10,222	0	3	0.03%	-3
Mar-21		0			
Apr-21		0			
May-21		0			
Jun-21		0			
Jul-21		0			
Aug-21		0			
Sep-21		0			
Oct-21		0			
Nov-21		0			
Dec-21		0			

Below Goal

Performance Contract 2021

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 140, or 1.18%, 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	0.94%	175,529	1,646			
RCOC Public Hearing 8/19/20	1.18%	11,861	140			
RCOC 3/01/21	1.00%	12,075	121	120	1.00%	-1
Analysis as of Public Hearing	RCOC % of DD population		6.76%	RCOC % of FH population		8.51%

	Total Adults Status 2	Goal	Adults Residing in a CCF (7+ beds)	%	Number Attained
Jan-21	12,047	120	126	1.05%	-6
Feb-21	12,075	120	121	1.00%	-1
Mar-21		120			
Apr-21		120			
May-21		120			
Jun-21		120			
Jul-21		120			
Aug-21		120			
Sep-21		120			
Oct-21		120			
Nov-21		120			
Dec-21		120			

**Below
Goal**

Progress: B. During public meetings, RCOC had 21, or 0.12%, 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.

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

	Percentage	Total Adults status 2	Adults Residing in a ICF (7+ beds)			
Statewide Average	0.56%	175,529	975			
RCOC Public Hearing 8/19/20	0.18%	11,861	21	Goal	%	# Attained
RCOC 3/01/21	0.10%	12,075	12	14	0.10%	2
Analysis as of Public Hearing	RCOC % of DD population	6.76%	RCOC % of FH population	2.15%		



	Total Adults Status 2	Goal	Adults Residing in a ICF (7+ beds)	%	Number Attained	Met Goal
Jan-21	12,047	14	12	0.10%	2	
Feb-21	12,075	14	12	0.09%	2	
Mar-21		14				
Apr-21		14				
May-21		14				
Jun-21		14				
Jul-21		14				
Aug-21		14				
Sep-21		14				
Oct-21		14				
Nov-21		14				
Dec-21		14				

Progress: C. During public meetings, RCOC had 93, or 0.78%, of adults residing in a nursing facility. Placements to nursing facilities are at family request and/or due to specialized services.

C. 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	0.61%	175,529	1,068			
RCOC Public Hearing 8/19/20	0.78%	11,861	93	Goal	%	# Attained
RCOC 3/01/21	0.65%	12,075	79	78	0.65%	-1
Analysis as of Public Hearing	RCOC % of DD population		6.76%	RCOC % of FH population		8.71%

	Total Adults Status 2	Goal	Adults Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-21	12,047	78	78	0.65%	0
Feb-21	12,075	78	79	0.65%	-1
Mar-21		78			
Apr-21		78			
May-21		78			
Jun-21		78			
Jul-21		78			
Aug-21		78			
Sep-21		78			
Oct-21		78			
Nov-21		78			
Dec-21		78			

Below Goal

Progress: D. During public meetings, RCOC had 254, or 2.14%, of adults residing in a facility with 7+ beds. Placements to 7+ bed facilities are at family request and/or due to specialized services.

D. 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	2.06%	175,529	3,618			
RCOC Public Hearing 8/19/20	2.14%	11,861	254	Goal	%	# Attained
RCOC 3/01/21	1.76%	12,075	212	212	1.76%	0
Analysis as of Public Hearing	RCOC % of DD population		6.76%	RCOC % of FH population		7.02%



	Total Adults Status 2	Goal	Total Adults Residing in 7+ bed facilities	%	Number Attained	Met Goal
Jan-21	12,047	212	216	1.79%	-4	
Feb-21	12,075	212	212	1.76%	0	
Mar-21		212				
Apr-21		212				
May-21		212				
Jun-21		212				
Jul-21		212				
Aug-21		212				
Sep-21		212				
Oct-21		212				
Nov-21		212				
Dec-21		212				

Performance Contract 2021

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 123, or 100%, of regional center individuals over age 3 with <=120 days.

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

Statewide Average

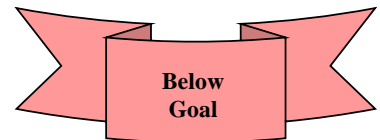
RCOC Public Hearing 8/19/20

RCOC 3/01/21

Percentage	Total # Age 3 or Over	Total # Over Age 3 with <=120 days		
91.44%	4,648	4,250		
100%	123	123	Goal	% Attained
99.32%	146	145	100%	99.32%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with <=120 days	% Attained
Jan-21	148	100%	145	97.97%
Feb-21	146	100%	145	99.32%
Mar-21		100%		
Apr-21		100%		
May-21		100%		
Jun-21		100%		
Jul-21		100%		
Aug-21		100%		
Sep-21		100%		
Oct-21		100%		
Nov-21		100%		
Dec-21		100%		



Progress: B. During public meetings, RCOC had 0, or 0.00%, of regional center individuals over age 3 with 121-240 days.

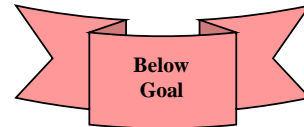
B. Total number and % of regional center individuals over age 3 with 121-240 days.

Statewide Average

RCOC Public Hearing 8/19/20

RCOC 3/01/21

Percentage	Total Number Individuals Age 3 or Over	Total Number Individuals Over Age 3 with 121-240 days		
7.42%	4,648	345		
0%	123	0	Goal	% Attained
0.68%	146	1	0%	0.68%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with 121-240 days	%
Jan-21	148	0.00%	3	2.03%
Feb-21	146	0.00%	1	0.68%
Mar-21		0.00%		
Apr-21		0.00%		
May-21		0.00%		
Jun-21		0.00%		
Jul-21		0.00%		
Aug-21		0.00%		
Sep-21		0.00%		
Oct-21		0.00%		
Nov-21		0.00%		
Dec-21		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 8/19/20

RCOC 3/01/21

Percentage	Total Number Individuals Age 3 or Over	Total Number Individuals Over Age 3 Over 240 days	Goal	%
1.14%	4,648	53		
0%	123	0		
0.00%	146	0	0%	0.00%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 Over 240 days	% Attained
Jan-21	148	0%	0	0%
Feb-21	146	0%	0	0%
Mar-21		0%		
Apr-21		0%		
May-21		0%		
Jun-21		0%		
Jul-21		0%		
Aug-21		0%		
Sep-21		0%		
Oct-21		0%		
Nov-21		0%		
Dec-21		0%		



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	155	97	78
2018-2019	151	128	83

*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	23.5	\$11.31
2018-2019	21	\$12.06

Performance Contract 2021

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 2014-2015, 47% of those interviewed indicating a desire for work in the community. For FY 2018-2019 57% of those interviewed expressed a desire for paid employment in their 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%
RCOC FY 2018-19	57%	65%

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. In 2018 RCOC had 1 individual within a paid internship that resulted in employment, and for 2019 that number increased to 7 individuals.

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

	Total
2016-2017	0
2017-2018	1
2018-2019	7

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. In FY 2018-2019, 21% of adults transitioned from an Internship to Competitive Employment.

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

	% of Adults
2016-2017	NA
2017-2018	13%
2018-2019	21%

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 during the previous fiscal year.

	Hours Wk.	Wage
2016-2017	18	\$10.13
2017-2018	14.25	\$11.25

Progress: B. Results from the Employment Development Department in 2017 indicate that 21% of persons served ages 16-64 reported having earned income. In 2018, the percentage of persons served ages 16-64 reporting earned income was 21%.

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	22%	17%
2017	21%	17%
2018	21%	16%

Progress: C. Results from the Employment Development Department in 2017 indicate that average annual wage for persons served ages 16-64 was \$7,580. In 2018, the average annual wage for persons served ages 16-64 was \$8,806. This measure will also compare average annual wages of all people with disabilities.

C. Annual earnings of age group 16-64 of people with intellectual disabilities, compared with all persons with disabilities in California.

	RCOC	Statewide Avg.
2013	\$6,691	\$6,697
2014	\$6,086	\$7,044
2015	\$5,681	\$7,248
2016	\$6,613	\$8,327
2017	\$7,580	\$9,033
2018	\$8,806	\$10,317

Performance Contract 2021

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 2018, 3,336 persons served ages 16-64 had earned income.

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

	RCOC	Statewide Avg.
2015	2,175	962
2016	2,085	1,201
2017	2,341	1,294
2018	3,336	1311

Performance Contract 2021

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 2017-18 purchase of service data and client master file (CMF) for initial data resource. Fiscal year 2018-19 data reflects either an increase or decrease in services and expenditures related to disparity criteria.

Progress: A. Review of fiscal year 2018-19 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.

Ethnicity	Total Persons	Percentage of Expenditures	Total Authorized	Utilized
American Indian or Alaska Native	8 ↓	0.3% ↑	\$106,6804 ↑	74.8% ↑
Asian	923 ↓	19.1% ↓	\$7,862,556 ↑	63.5% ↓
Black/African American	72 ↑	1.1% ↑↑	\$463,399 ↑	56.9% ↓
Hispanic	2204 ↑	34.1% ↓	\$14,029,406 ↑	58.5% ↓
Native Hawaiian or Other Pacific Islander	7↑	0.0%	\$13,315 ↓	41.8% ↓
Other Ethnicity or Race / Multi-Cultural	1,514 ↑	26.9% ↑	\$11,063,412 ↑	60.6% ↑
White	1,146 ↑	18.4% ↓	\$7,546,391 ↓	60.7% ↓
Totals	5,874 ↑	100.0%	\$41,085,159 ↑	60.5% ↓

Age 3 Years to 21 Years

Ethnicity	Total Persons	Percentage of Expenditures	Total Authorized	Utilized
American Indian or Alaska Native	13 ↓	0.1% ↔	\$119,773 ↓	68.4% ↑
Asian	1,804 ↑	17.5% ↓	\$15,208,333 ↓	66.6% ↓
Black/African American	167 ↓ ↑	1.7% ↓	\$1,476,695 ↓	66.8% ↑
Hispanic	3,796 ↑	28.3% ↓	\$24,672,656 ↓	62.7% ↓
Native Hawaiian or Other Pacific Islander	19 ↑	0.1% ↑	\$78,995 ↑	67.2% ↑
Other Ethnicity or Race / Multi-Cultural	1,654 ↓	18.3% ↓	\$15,925,185 ↓	63% ↓
White	2,304 ↑	34% ↑	\$29,615,939 ↓	71.9% ↓
Totals	9,757 ↑	100.0%	\$87,097,575 ↓	66.7% ↑

Age 22 Years and Older

Ethnicity	Total Persons	Percentage of Expenditures	Total Authorized	Utilized
American Indian or Alaska Native	21 ↑	0.3% ↔	\$1,044,925 ↑	89% ↑
Asian	1,309 ↑	11.1% ↓	\$38,395,565 ↑	83.2% ↓
Black/African American	237 ↑	3% ↑	\$10,535,654 ↑	85.2% ↑
Hispanic	2,455 ↑	18.9% ↑	\$65,155,229 ↑	82.2% ↑
Native Hawaiian or Other Pacific Islander	10 ↑	0.1%	\$249,373 ↑	81.1% ↓
Other Ethnicity or Race / Multi-Cultural	717 ↓	7.1% ↓	\$24,503,779 ↑	83.2% ↓
White	4610 ↑	59.5 ↑%	\$205,617,093 ↑	85.6% ↓
Totals	9,359 ↑	100.0%	\$345,501,617 ↑	84.3% ↓



Progress: B. Review of fiscal year 2018-19 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	8 ↓	1 ↑	12.5% ↑
Asian	923 ↓	32 ↔	3.5% ↑
Black/African American	72 ↑	2 ↓	2.8% ↓
Hispanic	2,204 ↑	108 ↑	4.9% ↑
Native Hawaiian or Other Pacific Islander	7 ↑	1 ↔	14.3% ↓
Other Ethnicity or Race / Multi-Cultural	1,514 ↑	59 ↑	3.9% ↑
White	1,146 ↑	43 ↓	3.8% ↓
Totals	5,874 ↑	246 ↑	4.2% ↑

Age 3 Years to 21 Years

Ethnicity	Total Eligible	Case Management	Percent No Services
American Indian or Alaska Native	13 ↓	2 ↔	15.4% ↑
Asian	1,804 ↑	466 ↑	25.8% ↑
Black/African American	167 ↓	67 ↑	40.1% ↑
Hispanic	3,796 ↑	1,564 ↑	41.2% ↑
Native Hawaiian or Other Pacific Islander	19 ↑	10 ↑	52.6% ↑
Other Ethnicity or Race / Multi-Cultural	1,654 ↓	411 ↓	24.9% ↓
White	2,304 ↑	522 ↓	22.7% ↓
Totals	9,757 ↑	3,042 ↑	31.2% ↓

Age 22 Years and Older

Ethnicity	Total Eligible	Case Management	Percent No Services
American Indian or Alaska Native	21 ↑	1 ↓	4.8% ↓
Asian	1,309 ↑	258 ↑	19.7% ↔
Black/African American	237 ↑	39 ↔	19.7% ↑
Hispanic	2,455 ↑	526 ↑	21.4% ↓
Native Hawaiian or Other Pacific Islander	10 ↑	3 ↑	30% ↑
Other Ethnicity or Race / Multi-Cultural	717 ↓	125 ↑	17.4% ↓
White	4,610 ↑	503 ↓	10.9% ↓
Totals	9,359 ↑	1,455 ↑	15.5% ↓



Progress: C. Review of fiscal year 2018-19 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	18,838 ↑	\$21,155 ↑	79.94% ↑
Spanish	4,527 ↑	\$11,257 ↓	71.78% ↓
Mandarin Chinese	74 ↑	\$11,539 ↓	71.62% ↑
Vietnamese	1,166 ↑	\$12,436 ↓	77.40% ↑
Korean	156 ↑	\$22,686 ↓	82.81% ↑
Tagalog	26 ↓	\$26,022 ↑	81.11% ↑
Arabic	42 ↑	\$11,639 ↓	67.68% ↑

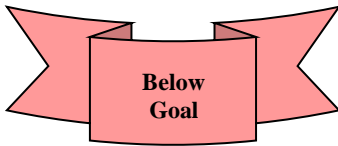
Performance Contract Summary

RCOC as of 4/01/2021	All	RCOC #	Goal	Percentage	# Attained
Developmental Center (DC)	22,457	9	0	0.04%	-9
Children in Foster Homes (FH)	10,349	241	245	2.33%	-4
Children Own Home Parent/Guardian	10,349	10,051	10,350	97.12%	-299
Total # Children (FH,Parent/Guardian)	10,349	10,292	10,595	99.45%	-303
Adult FHA	12,099	105	109	0.87%	-4
Independent Living (IL)	12,099	887	899	7.33%	-12
Adults Residing Own Home - Parent	12,099	8,209	8,250	67.85%	-41
Supported Living (SL)	12,099	498	508	4.12%	-10
Total # Adults (FHA, IL,Parent/Guardian, SL)	12,099	9,699	9,766	80.16%	-67
Children Residing in a CCF (7+ beds)	10,349	1	0	0.01%	-1
Children Residing in a ICF (7+ beds)	10,349	2	0	0.02%	-2
Children Residing in a Nursing Facility (7+ beds)	10,349	0	0	0%	0
Total Children Residing in 7+ bed facilities	10,349	3	0	0.03%	-3
Adults Residing in a CCF (7+ beds)	12,099	121	120	1.00%	-1
Adults Residing in a ICF (7+ beds)	12,099	12	14	0.10%	2
Adults Residing in a Nursing Facility (7+ beds)	12,099	80	78	0.66%	-2
Total Adults Residing in 7+ bed facilities	12,099	213	212	1.76%	-1
Total Individuals Over Age 3 with <=120 days	159	159	100%	100%	100%
Total Individuals Over Age 3 with 121-240 days	159	0	0%	0%	0%
Total Individuals Over Age 3 Over 240 days	159	0	0%	0%	0%
Adults with Integrated Employment Goal	12,099	57%	65%		
Total Number of Incentive Payments Made	12,099	362			
Avg. Wage per Hour After Incentive Payment	12,099	\$12.06			
Number of Persons Served with Earned Income	12,099	3,336			
Percentage of 16-64 Earned Income	12,099	21%			
Annual Earnings of 16-64	12,099	\$8,806			
Number of Adults in CIE After Paid Intern	12,099	7			
Percentage Adults Transitioned Internship to CIE	12,099	21%			
Total Annual Expenditures Race/Ethnicity	22,457				

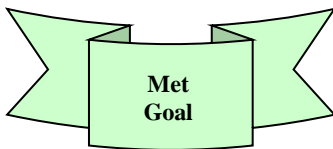
Performance Contract 2021 Cover Sheet



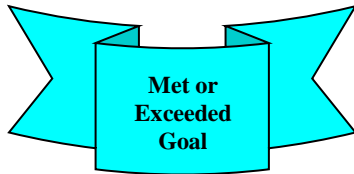
= Better than Statewide Average



= 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 2021

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
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	99.93
Intake/Assessment and IFSP (0-2)	99.52
IPP development biennial	Annual, 99.46
IFSP development	69.28

Performance Contract 2021

I. Developmental Center

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

	Percentage	All consumers	Consumers in DC			
Statewide Average	0.08%	353,922	266			
RCOC Public Hearing 8/19/20	0.03%	22,370	7	Goal	%	# Attained
RCOC 4/01/21	0.04%	22,457	9	0	0.04%	-9
Analysis as of Public Hearing	RCOC % of DD population	6.32%	RCOC % of DC population	2.63%		

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 2018-2019 and 2019-2020.

Progress: In FY 2019-2020, RCOC moved the last persons served from Fairview Developmental Center into the community. The remaining individuals are served at Porterville Developmental Center where they remain for competency issues. During Public Meetings in August 2020, RCOC had 7 persons served, or 0.03%, in Developmental Centers.

Number of Persons Served Residing DCs



	Total Active Caseload	Goal	DC	%	Number Attained
Jan-21	22,323	0	9	0.04%	-9
Feb-21	22,307	0	10	0.04%	-10
Mar-21	22,457	0	9	0.04%	-9
Apr-21		0			
May-21		0			
Jun-21		0			
Jul-21		0			
Aug-21		0			
Sep-21		0			
Oct-21		0			
Nov-21		0			
Dec-21		0			

Below Goal

Performance Contract 2021

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.

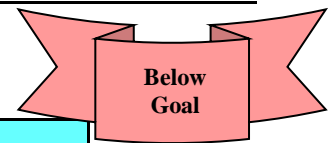
Objectives: Service Coordinators continue to identify, publicize and facilitate access to supports and services for children with developmental disabilities who are considered at risk for out-of-home placement. RCOC will hold an annual presentation on supports and services for persons served including 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 234, or 2.23%, children in foster homes.

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

	Percentage	All Children	Children in FH			
Statewide Average	2.77%	178,127	4,938			
RCOC Public Hearing 8/19/20	2.23%	10,502	234	Goal	%	# Attained
RCOC 4/01/21	2.33%	10,349	241	245	2.33%	-4
Analysis as of Public Hearing	RCOC % of DD population		5.90%	RCOC % of FH population		4.74%



	Total Children Status 1&2	Goal	Children in Foster Homes	%	Number Attained
Jan-21	10,267	245	228	2.22%	-17
Feb-21	10,222	245	233	2.28%	-12
Mar-21	10,349	245	241	2.33%	-4
Apr-21		245			
May-21		245			
Jun-21		245			
Jul-21		245			
Aug-21		245			
Sep-21		245			
Oct-21		245			
Nov-21		245			
Dec-21		245			

Progress: B. During public meetings, RCOC had 10,202, or 97.14%, of children in own home-parent/guardian.

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

	Percentage	All Children	Children in own home Parent/Guardian			
Statewide Average	96.71%	178,127	172,258			
RCOC Public Hearing 8/19/20	97.14%	10,502	10,202	Goal	%	# Attained
RCOC 4/01/21	97.12%	10,349	10,051	10,350	97.12%	-299
Analysis as of Public Hearing	RCOC % of DD population		5.90%	RCOC % of FH population		5.92%



	Total Children Status 1&2	Goal	Children in own home Parent/Guardian	%	Number Attained
Jan-21	10,350	10,500	9,980	97.20%	-370
Feb-21	10,222	10,500	9,931	97.15%	-419
Mar-21	10,349	10,500	10,051	97.12%	-299
Apr-21		10,500			
May-21		10,500			
Jun-21		10,500			
Jul-21		10,500			
Aug-21		10,500			
Sep-21		10,500			
Oct-21		10,500			
Nov-21		10,350			
Dec-21		10,350			



Progress: C. During public meetings, RCOC had 10,436, or 99.37%, of children in homes.

C. 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	99.48%	178,127	177,196			
RCOC Public Hearing 8/19/20	99.37%	10,502	10,436	Goal	%	# Attained
RCOC 4/01/21	99.45%	10,349	10,292	10,595	99.45%	-303
Analysis as of Public Hearing	RCOC % of DD population		5.90%	RCOC % of FH population		5.89%

	Total Children Status 1&2	Goal	Total Number Children in Homes	%	Number Attained
Jan-21	10,267	10,720	10,208	99.43%	-387
Feb-21	10,222	10,720	10,164	99.43%	-431
Mar-21	10,349	10,720	10,292	99.45%	-303
Apr-21		10,720			
May-21		10,720			
Jun-21		10,720			
Jul-21		10,720			
Aug-21		10,720			
Sep-21		10,720			
Oct-21		10,720			
Nov-21		10,595			
Dec-21		10,595			

Below Goal

Performance Contract 2021

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.

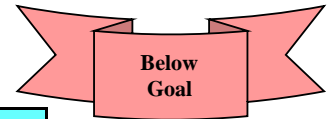
Objective: Using the Person Centered Thinking (PCT) Individual Program Planning process, Service Coordinators will continue to identify regional center adult persons served who have the hopes and desires to live in a new living arrangement. Cases are reviewed at least annually for the least restrictive 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 successory 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 101, or 0.85%, 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	0.93%	175,529	1,638			
RCOC Public Hearing 8/19/20	0.85%	11,861	101	Goal	%	# Attained
RCOC 4/01/21	0.87%	12,099	105	109	0.87%	-4
Analysis as of Public Hearing	RCOC % of DD population		6.76%	RCOC % of FH population		6.17%



	Total Adults Status 2	Goal	Adults in FHA	%	Number Attained
Jan-21	12,047	109	103	0.85%	-6
Feb-21	12,705	109	103	0.85%	-6
Mar-21	12,099	109	105	0.87%	-4
Apr-21		109			
May-21		109			
Jun-21		109			
Jul-21		109			
Aug-21		109			
Sep-21		109			
Oct-21		109			
Nov-21		109			
Dec-21		109			

Progress: B. During public meetings, RCOC had 863, or 7.55%, of adults residing in independent living.

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

	Percentage	Total Adults Status 2	Adults in Independent Living			
Statewide Average	10.06%	175,529	17,660			
RCOC Public Hearing 8/19/20	7.55%	11,434	863	Goal	%	# Attained
RCOC 4/01/21	7.33%	12,099	887	899	7.33%	-12
Analysis as of Public Hearing	RCOC % of DD population		6.51%	RCOC % of FH population		4.89%

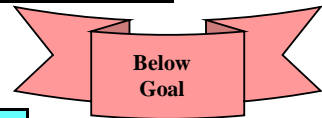
	Total Adults Status 2	Goal	Adults in Independent Living	%	Number Attained
Jan-21	12,047	899	886	7.35%	-13
Feb-21	12,075	899	887	7.35%	-12
Mar-21	12,099	899	887	7.33%	-12
Apr-21		899			
May-21		899			
Jun-21		899			
Jul-21		899			
Aug-21		899			
Sep-21		899			
Oct-21		899			
Nov-21		899			
Dec-21		899			

**Below
Goal**

Progress: C. During public meetings, RCOC had 7,477, or 63.04%, of adults residing in own home-parent.

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

	Percentage	Total Adults status 2	Adults Residing Own Home - Parent			
Statewide Average	64.98%	175,529	114,052			
RCOC Public Hearing 8/19/20	63.04%	11,861	7,477	Goal	%	# Attained
RCOC 4/01/21	67.85%	12,099	8,209	8,250	67.85%	-41
Analysis as of Public Hearing	RCOC % of DD population		6.76%	RCOC % of FH population		6.56%



	Total Adults Status 2	Goal	Adults Residing Own Home - Parent	%	Number Attained
Jan-21	12,047	8,250	8,141	67.58%	-109
Feb-21	12,075	8,250	8,180	67.74%	-70
Mar-21	12,099	8,250	8,209	67.85%	-41
Apr-21		8,250			
May-21		8,250			
Jun-21		8,250			
Jul-21		8,250			
Aug-21		8,250			
Sep-21		8,250			
Oct-21		8,250			
Nov-21		8,250			
Dec-21		8,250			

Progress: D. During public meetings, RCOC had 488, or 4.27%, of adults residing in supported living.

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

	Percentage	Total Adults status 2	Adults Residing Supported Living			
Statewide Average	5.28%	175,529	9,260			
RCOC Public Hearing 8/19/20	4.27%	11,434	488	Goal	%	# Attained
RCOC 4/01/21	4.12%	12,099	498	508	4.12%	-10
Analysis as of Public Hearing	RCOC % of DD population		6.51%	RCOC % of FH population		5.27%



	Total Adults Status 2	Goal	Adults Residing Supported Living	%	Number Attained
Jan-21	12,047	508	494	4.10%	-14
Feb-21	12,075	508	497	4.12%	-11
Mar-21	12,099	508	498	4.12%	-10
Apr-21		508			
May-21		508			
Jun-21		508			
Jul-21		508			
Aug-21		508			
Sep-21		508			
Oct-21		508			
Nov-21		508			
Dec-21		508			

Progress: E. During public meetings, RCOC had 9,936, or 83.77%, of adults residing in home-settings.

E. 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	81.25%	175,529	142,610			
RCOC Public Hearing 8/19/20	83.77%	11,861	9,936	Goal	%	# Attained
RCOC 4/01/21	80.16%	12,099	9,699	9,766	80.16%	-67
Analysis as of Public Hearing	RCOC % of DD population		6.76%	RCOC % of FH population		6.97%

	Total Adults Status 2	Goal	Total Number Adults in Home Settings	%	Number Attained
Jan-21	12,047	9,766	9,624	78.79%	-142
Feb-21	12,075	9,766	9,667	80.06%	-99
Mar-21	12,099	9,766	9,699	80.16%	-67
Apr-21		9,766			
May-21		9,766			
Jun-21		9,766			
Jul-21		9,766			
Aug-21		9,766			
Sep-21		9,766			
Oct-21		9,766			
Nov-21		9,766			
Dec-21		9,766			

Below Goal



Performance Contract 2021

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 2, or 0.02%, 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%	178,127	28			
RCOC Public Hearing 8/19/20	0.02%	10,502	2	Goal	%	# Attained
RCOC 4/01/21	0.01%	10,349	1	0	0.01%	-1
Analysis as of Public Hearing	RCOC % of DD population		5.90%	RCOC % of FH population		7.14%



	Total Children status 1&2	Goal	Children Residing in a CCF (7+ beds)	%	Number Attained
Jan-21	10,267	0	1	0.01%	-1
Feb-21	10,222	0	1	0.01%	-1
Mar-21	10,349	0	1	0.01%	-1
Apr-21		0			
May-21		0			
Jun-21		0			
Jul-21		0			
Aug-21		0			
Sep-21		0			
Oct-21		0			
Nov-21		0			
Dec-21		0			

Below Goal

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.

B. 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%	178,127	35			
RCOC Public Hearing 8/19/20	0.02%	10,502	2	Goal	%	# Attained
RCOC 4/01/21	0.02%	10,349	2	0	0.02%	-2
Analysis as of Public Hearing	RCOC % of DD population		5.90%	RCOC % of FH population		5.71%



	Total Children Status 1&2	Goal	Children Residing in a ICF (7+ beds)	%	Number Attained
Jan-21	10,267	0	2	0.02%	-2
Feb-21	10,222	0	2	0.02%	-2
Mar-21	10,349	0	2	0.02%	-2
Apr-21		0			
May-21		0			
Jun-21		0			
Jul-21		0			
Aug-21		0			
Sep-21		0			
Oct-21		0			
Nov-21		0			
Dec-21		0			

Below Goal

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.

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

	Percentage	Total Children Status 1 & 2	Children Residing in a Nursing Facility (7+ beds)			
Statewide Average	0.00%	178,127	5			
RCOC Public Hearing 8/19/20	0.00%	10,502	0	Goal	%	# Attained
RCOC 4/01/21	0.00%	10,349	0	0	0.00%	0
Analysis as of Public Hearing	RCOC % of DD population		5.90%	RCOC % of FH population		0.00%



	Total Children status 1&2	Goal	Children Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-21	10,267	0	0	0.00%	0
Feb-21	10,222	0	0	0.00%	0
Mar-21	10,349	0	0	0.00%	0
Apr-21		0			
May-21		0			
Jun-21		0			
Jul-21		0			
Aug-21		0			
Sep-21		0			
Oct-21		0			
Nov-21		0			
Dec-21		0			

Met Goal

Progress: D. During public meetings, RCOC had 4, or 0.04%, of children residing in a facility with 7+ beds. Placements to 7+ bed facilities are at family request and/or due to specialized services.

D. 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).*

	Percentage	Total Children Status 1 & 2	Total Children Residing in 7+ bed facilities			
Statewide Average	0.04%	178,127	68			
RCOC Public Hearing 8/19/20	0.04%	10,502	4	Goal	%	# Attained
RCOC 4/01/21	0.03%	10,349	3	0	0.03%	-3
Analysis as of Public Hearing	RCOC % of DD population		5.90%	RCOC % of FH population		5.88%



	Total Children Status 1&2	Goal	Total Children Residing in 7+ bed facilities	%	Number Attained
Jan-21	10,267	0	3	0.03%	-3
Feb-21	10,222	0	3	0.03%	-3
Mar-21	10,349	0	3	0.03%	-3
Apr-21		0			
May-21		0			
Jun-21		0			
Jul-21		0			
Aug-21		0			
Sep-21		0			
Oct-21		0			
Nov-21		0			
Dec-21		0			

Below Goal

Performance Contract 2021

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 140, or 1.18%, 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	0.94%	175,529	1,646			
RCOC Public Hearing 8/19/20	1.18%	11,861	140			
RCOC 4/01/21	1.00%	12,099	121	120	1.00%	-1
Analysis as of Public Hearing	RCOC % of DD population		6.76%	RCOC % of FH population		8.51%

	Total Adults Status 2	Goal	Adults Residing in a CCF (7+ beds)	%	Number Attained
Jan-21	12,047	120	126	1.05%	-6
Feb-21	12,075	120	121	1.00%	-1
Mar-21	12,099	120	121	1.00%	-1
Apr-21		120			
May-21		120			
Jun-21		120			
Jul-21		120			
Aug-21		120			
Sep-21		120			
Oct-21		120			
Nov-21		120			
Dec-21		120			

**Below
Goal**

Progress: B. During public meetings, RCOC had 21, or 0.12%, 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.

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

	Percentage	Total Adults status 2	Adults Residing in a ICF (7+ beds)			
Statewide Average	0.56%	175,529	975			
RCOC Public Hearing 8/19/20	0.18%	11,861	21	Goal	%	# Attained
RCOC 4/01/21	0.10%	12,099	12	14	0.10%	2
Analysis as of Public Hearing	RCOC % of DD population	6.76%	RCOC % of FH population	2.15%		



	Total Adults Status 2	Goal	Adults Residing in a ICF (7+ beds)	%	Number Attained
Jan-21	12,047	14	12	0.10%	2
Feb-21	12,075	14	12	0.09%	2
Mar-21	12,099	14	12	0.10%	2
Apr-21		14			
May-21		14			
Jun-21		14			
Jul-21		14			
Aug-21		14			
Sep-21		14			
Oct-21		14			
Nov-21		14			
Dec-21		14			

Met Goal

Progress: C. During public meetings, RCOC had 93, or 0.78%, of adults residing in a nursing facility. Placements to nursing facilities are at family request and/or due to specialized services.

C. 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	0.61%	175,529	1,068			
RCOC Public Hearing 8/19/20	0.78%	11,861	93	Goal	%	# Attained
RCOC 4/01/21	0.66%	12,099	80	78	0.66%	-2
Analysis as of Public Hearing	RCOC % of DD population		6.76%	RCOC % of FH population		8.71%

	Total Adults Status 2	Goal	Adults Residing in a Nursing Facility (7+ beds)	%	Number Attained
Jan-21	12,047	78	78	0.65%	0
Feb-21	12,075	78	79	0.65%	-1
Mar-21	12,099	78	80	0.66%	-2
Apr-21		78			
May-21		78			
Jun-21		78			
Jul-21		78			
Aug-21		78			
Sep-21		78			
Oct-21		78			
Nov-21		78			
Dec-21		78			

Below Goal

Progress: D. During public meetings, RCOC had 254, or 2.14%, of adults residing in a facility with 7+ beds. Placements to 7+ bed facilities are at family request and/or due to specialized services.

D. 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	2.06%	175,529	3,618			
RCOC Public Hearing 8/19/20	2.14%	11,861	254	Goal	%	# Attained
RCOC 4/01/21	1.76%	12,099	213	212	1.76%	-1
Analysis as of Public Hearing	RCOC % of DD population		6.76%	RCOC % of FH population		7.02%



	Total Adults Status 2	Goal	Total Adults Residing in 7+ bed facilities	%	Number Attained
Jan-21	12,047	212	216	1.79%	-4
Feb-21	12,075	212	212	1.76%	0
Mar-21	12,099	212	213	1.76%	-1
Apr-21		212			
May-21		212			
Jun-21		212			
Jul-21		212			
Aug-21		212			
Sep-21		212			
Oct-21		212			
Nov-21		212			
Dec-21		212			

Below Goal

Performance Contract 2021

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 123, or 100%, of regional center individuals over age 3 with <=120 days.

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

Statewide Average

RCOC Public Hearing 8/19/20

RCOC 4/01/21

Percentage	Total # Age 3 or Over	Total # Over Age 3 with <=120 days		
91.44%	4,648	4,250		
100%	123	123	Goal	% Attained
99.32%	159	159	100%	100.00%



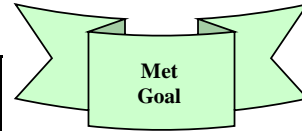
	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with <=120 days	% Attained
Jan-21	148	100%	145	97.97%
Feb-21	146	100%	145	99.32%
Mar-21	159	100%	159	100.00%
Apr-21		100%		
May-21		100%		
Jun-21		100%		
Jul-21		100%		
Aug-21		100%		
Sep-21		100%		
Oct-21		100%		
Nov-21		100%		
Dec-21		100%		



Progress: B. During public meetings, RCOC had 0, or 0.00%, of regional center individuals over age 3 with 121-240 days.

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

	Percentage	Total Number Individuals Age 3 or Over	Total Number Individuals Over Age 3 with 121-240 days		
Statewide Average	7.42%	4,648	345		
RCOC Public Hearing 8/19/20	0%	123	0	Goal	% Attained
RCOC 4/01/21	0.00%	159	0	0%	0.00%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 with 121-240 days	%
Jan-21	148	0.00%	3	2.03%
Feb-21	146	0.00%	1	0.68%
Mar-21	159	0.00%	0	0.00%
Apr-21		0.00%		
May-21		0.00%		
Jun-21		0.00%		
Jul-21		0.00%		
Aug-21		0.00%		
Sep-21		0.00%		
Oct-21		0.00%		
Nov-21		0.00%		
Dec-21		0.00%		

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

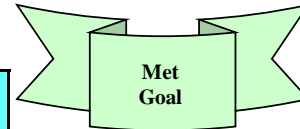
C. Total number and % of regional center individuals over age 3 with over 240 days.

Statewide Average

RCOC Public Hearing 8/19/20

RCOC 4/01/21

Percentage	Total Number Individuals Age 3 or Over	Total Number Individuals Over Age 3 Over 240 days	Goal	%
1.14%	4,648	53		
0%	123	0		
0.00%	159	0	0%	0.00%



	Total Number Individuals Age 3 or Over	Goal	Total Number Individuals Over Age 3 Over 240 days	% Attained
Jan-21	148	0%	0	0%
Feb-21	146	0%	0	0%
Mar-21		0%		
Apr-21		0%		
May-21		0%		
Jun-21		0%		
Jul-21		0%		
Aug-21		0%		
Sep-21		0%		
Oct-21		0%		
Nov-21		0%		
Dec-21		0%		



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	155	97	78
2018-2019	151	128	83

*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	23.5	\$11.31
2018-2019	21	\$12.06

Performance Contract 2021

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 2014-2015, 47% of those interviewed indicating a desire for work in the community. For FY 2018-2019 57% of those interviewed expressed a desire for paid employment in their 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%
RCOC FY 2018-19	57%	65%

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. In 2018 RCOC had 1 individual within a paid internship that resulted in employment, and for 2019 that number increased to 7 individuals.

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

	Total
2016-2017	0
2017-2018	1
2018-2019	7

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. In FY 2018-2019, 21% of adults transitioned from an Internship to Competitive Employment.

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

	% of Adults
2016-2017	NA
2017-2018	13%
2018-2019	21%

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 during the previous fiscal year.

	Hours Wk.	Wage
2016-2017	18	\$10.13
2017-2018	14.25	\$11.25

Progress: B. Results from the Employment Development Department in 2017 indicate that 21% of persons served ages 16-64 reported having earned income. In 2018, the percentage of persons served ages 16-64 reporting earned income was 21%.

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	22%	17%
2017	21%	17%
2018	21%	16%

Progress: C. Results from the Employment Development Department in 2017 indicate that average annual wage for persons served ages 16-64 was \$7,580. In 2018, the average annual wage for persons served ages 16-64 was \$8,806. This measure will also compare average annual wages of all people with disabilities.

C. Annual earnings of age group 16-64 of people with intellectual disabilities, compared with all persons with disabilities in California.

	RCOC	Statewide Avg.
2013	\$6,691	\$6,697
2014	\$6,086	\$7,044
2015	\$5,681	\$7,248
2016	\$6,613	\$8,327
2017	\$7,580	\$9,033
2018	\$8,806	\$10,317



Performance Contract 2021

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 2018, 3,336 persons served ages 16-64 had earned income.

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

	RCOC	Statewide Avg.
2015	2,175	962
2016	2,085	1,201
2017	2,341	1,294
2018	3,336	1311



Performance Contract 2021

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 2017-18 purchase of service data and client master file (CMF) for initial data resource. Fiscal year 2018-19 data reflects either an increase or decrease in services and expenditures related to disparity criteria.

Progress: A. Review of fiscal year 2018-19 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.

Ethnicity	Total Persons	Percentage of Expenditures	Total Authorized	Utilized
American Indian or Alaska Native	8 ↓	0.3% ↑	\$106,6804 ↑	74.8% ↑
Asian	923 ↓	19.1% ↓	\$7,862,556 ↑	63.5% ↓
Black/African American	72 ↑	1.1% ↑↑	\$463,399 ↑	56.9% ↓
Hispanic	2204 ↑	34.1% ↓	\$14,029,406 ↑	58.5% ↓
Native Hawaiian or Other Pacific Islander	7↑	0.0%	\$13,315 ↓	41.8% ↓
Other Ethnicity or Race / Multi-Cultural	1,514 ↑	26.9% ↑	\$11,063,412 ↑	60.6% ↑
White	1,146 ↑	18.4% ↓	\$7,546,391 ↓	60.7% ↓
Totals	5,874 ↑	100.0%	\$41,085,159 ↑	60.5% ↓

Age 3 Years to 21 Years

Ethnicity	Total Persons	Percentage of Expenditures	Total Authorized	Utilized
American Indian or Alaska Native	13 ↓	0.1% ↔	\$119,773 ↓	68.4% ↑
Asian	1,804 ↑	17.5% ↓	\$15,208,333 ↓	66.6% ↓
Black/African American	167 ↓ ↑	1.7% ↓	\$1,476,695 ↓	66.8% ↑
Hispanic	3,796 ↑	28.3% ↓	\$24,672,656 ↓	62.7% ↓
Native Hawaiian or Other Pacific Islander	19 ↑	0.1% ↑	\$78,995 ↑	67.2% ↑
Other Ethnicity or Race / Multi-Cultural	1,654 ↓	18.3% ↓	\$15,925,185 ↓	63% ↓
White	2,304 ↑	34% ↑	\$29,615,939 ↓	71.9% ↓
Totals	9,757 ↑	100.0%	\$87,097,575 ↓	66.7% ↑

Age 22 Years and Older

Ethnicity	Total Persons	Percentage of Expenditures	Total Authorized	Utilized
American Indian or Alaska Native	21 ↑	0.3% ↔	\$1,044,925 ↑	89% ↑
Asian	1,309 ↑	11.1% ↓	\$38,395,565 ↑	83.2% ↓
Black/African American	237 ↑	3% ↑	\$10,535,654 ↑	85.2% ↑
Hispanic	2,455 ↑	18.9% ↑	\$65,155,229 ↑	82.2% ↑
Native Hawaiian or Other Pacific Islander	10 ↑	0.1%	\$249,373 ↑	81.1% ↓
Other Ethnicity or Race / Multi-Cultural	717 ↓	7.1% ↓	\$24,503,779 ↑	83.2% ↓
White	4610 ↑	59.5 ↑%	\$205,617,093 ↑	85.6% ↓
Totals	9,359 ↑	100.0%	\$345,501,617 ↑	84.3% ↓



Progress: B. Review of fiscal year 2018-19 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	8 ↓	1 ↑	12.5% ↑
Asian	923 ↓	32 ↔	3.5% ↑
Black/African American	72 ↑	2 ↓	2.8% ↓
Hispanic	2,204 ↑	108 ↑	4.9% ↑
Native Hawaiian or Other Pacific Islander	7 ↑	1 ↔	14.3% ↓
Other Ethnicity or Race / Multi-Cultural	1,514 ↑	59 ↑	3.9% ↑
White	1,146 ↑	43 ↓	3.8% ↓
Totals	5,874 ↑	246 ↑	4.2% ↑

Age 3 Years to 21 Years

Ethnicity	Total Eligible	Case Management	Percent No Services
American Indian or Alaska Native	13 ↓	2 ↔	15.4% ↑
Asian	1,804 ↑	466 ↑	25.8% ↑
Black/African American	167 ↓	67 ↑	40.1% ↑
Hispanic	3,796 ↑	1,564 ↑	41.2% ↑
Native Hawaiian or Other Pacific Islander	19 ↑	10 ↑	52.6% ↑
Other Ethnicity or Race / Multi-Cultural	1,654 ↓	411 ↓	24.9% ↓
White	2,304 ↑	522 ↓	22.7% ↓
Totals	9,757 ↑	3,042 ↑	31.2% ↓

Age 22 Years and Older

Ethnicity	Total Eligible	Case Management	Percent No Services
American Indian or Alaska Native	21 ↑	1 ↓	4.8% ↓
Asian	1,309 ↑	258 ↑	19.7% ↔
Black/African American	237 ↑	39 ↔	19.7% ↑
Hispanic	2,455 ↑	526 ↑	21.4% ↓
Native Hawaiian or Other Pacific Islander	10 ↑	3 ↑	30% ↑
Other Ethnicity or Race / Multi-Cultural	717 ↓	125 ↑	17.4% ↓
White	4,610 ↑	503 ↓	10.9% ↓
Totals	9,359 ↑	1,455 ↑	15.5% ↓



Progress: C. Review of fiscal year 2018-19 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	18,838 ↑	\$21,155 ↑	79.94% ↑
Spanish	4,527 ↑	\$11,257 ↓	71.78% ↓
Mandarin Chinese	74 ↑	\$11,539 ↓	71.62% ↑
Vietnamese	1,166 ↑	\$12,436 ↓	77.40% ↑
Korean	156 ↑	\$22,686 ↓	82.81% ↑
Tagalog	26 ↓	\$26,022 ↑	81.11% ↑
Arabic	42 ↑	\$11,639 ↓	67.68% ↑

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: May 6, 2021

TO: Board of Directors

FROM: John "Chip" Wright
Chair, Executive Committee

ACTION	X
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	

SUBJECT: **Approval of Renewal of Board Membership for Clifford Amsden for a Three-Year Term Commencing July 1, 2021 and Ending June 30, 2024**

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 addition to the provisions of the Lanterman Act, the Board may also consider for membership persons whose skills include, but are not limited to, education, community service and public health.

REASON FOR CURRENT ITEM:

Mr. Amsden will complete his first three-year term on June 30, 2021. Mr. Amsden also served a one-year term from July 1, 2017 to June 30, 2018. The Executive Committee recommends that Mr. Amsden's Board membership be renewed for another three-year term, commencing July 1, 2021 and ending June 30, 2024.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

That the Board approve Mr. Clifford Amsden's Board membership for a three-year term, commencing July 1, 2021 and ending June 30, 2024.

**Regional Center of Orange County
Board Recruitment and Training Committee
April 12, 2021
Videoconference Minutes**

Committee Members Present: John “Chip” Wright, Chair
Sylvia Delgado
Sandy Martin
Chinh Nguyen
Fernando Peña

Committee Members Absent: Frances Hernandez

RCOC Staff Present: Larry Landauer, Executive Director
Bette Baber, Chief Financial Officer
Jerrod Bonner, Information Technology Director
Bonnie Ivers, Clinical Director
Keli Radford, Services and Supports Director
Stacy Wong, Human Resources Director

Guest: Hilda Mendez

Mr. Chip Wright called the videoconference meeting to order at 5:03 p.m.

I. Board Recruitment

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

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

B. Discuss Recruitment Needs

The Committee discussed recruitment efforts and the need to recruit new members to ensure compliance with the composition requirements of the Lanterman Act. Much discussion ensued about composition and how DDS calculates compliance.

Mr. Wright reported that two new Board member applicants were interviewed in March 2021. The Committee determined that based on the current composition and needs of the Board, it would not recommend that the applicants be appointed to the Board of Directors at this time.

C. Review New Board Member Applications

The Committee reviewed and discussed two new Board member applications and decided to schedule interviews with the applicants.

II. Board Development and Training

A. Discuss Board Training Schedule and Topics

Mr. Wright stated that the Board training topic in July will be *Home and Community Based Services (HCBS) and the Centers for Medicare & Medicaid Services' (CMS) Final Rule*. [HCBS were developed to offer support to individuals in community settings, as an alternative to institutional care. In 2014, new federal rules were released by CMS, requiring homes and programs where HCBS are delivered to meet new criteria. These new criteria are known as the Final Rule. Everyone who receives, or provides, HCBS services may be affected by the CMS Final Rule.] Due to the 4th of July holiday, Mr. Wright requested that staff poll the Board on which date in July they preferred: the 1st or the 8th.

The Committee also reviewed the educational training topics and agreed that the Board training in October will be on the Self-Determination Program.

III. Community Forum

No community members were present at the meeting.

Mr. Wright adjourned the meeting at 6:05 p.m.

Recorder: Sandra Lomeli

**Regional Center of Orange County
Policies and Outcomes Committee
April 19, 2021
Videoconference Minutes**

Committee Members Present: Cliff Amsden, Chairperson
Meena Chockalingam
Mine Hagen
Liza Krassner
Sandy Martin
Chip Wright

RCOC Staff Members Present: Larry Landauer, Executive Director
Bette Baber, Chief Financial Officer
Jerrod Bonner, Information Technology Director
Bonnie Ivers, Clinical Director
Christina Petteruto, General Counsel
Keli Radford, Services and Supports Director
Stacy Wong, Director of Human Resources

Corporate Counsel Present: David Lester, Esq.

Mr. Cliff Amsden called the videoconference meeting to order at 6:02 p.m.

I. Governance Policies

A. Review of Policies on Governance

The Committee reviewed and did not propose any revisions to the policy.

B. Review of Policy on Executive Performance and Monitoring

The Committee reviewed and did not propose any revisions to the policy.

C. Review of Executive Limitations Policies

The Committee reviewed and accepted the proposed revisions to the policy.

M/S/C to recommend that the Board approve the Executive Limitations Policies, as proposed.

D. Review of Communications Policy

The Committee reviewed and accepted the proposed revisions to the policy.

M/S/C to recommend that the Board approve the Communications Policy, as proposed.

E. Follow-up discussion on the Policy on Background Check Requirements for Providers

At its meeting in February, the Committee discussed the possibility of requiring “Live Scan” as the standard background check for all vendors. Live Scan service is the process of capturing the fingerprints. Live Scan is used by the State of California for those who are required to have background checks due to their type of employment, license or certification. In addition to the cost of capturing of the fingerprints (the Live Scan portion), additional government fees are required for the State (Department of Justice) and Federal (FBI) level criminal history record checks. The matter was referred to the Abuse Awareness Task Force for further review.

Dr. Bonnie Ivers, RCOC’s Clinical Director, reported the outcome of the Abuse Awareness Task Force review and listed the pros and cons of requiring “Live Scan” as the standard background check for all vendors. Due to the cost of using “Live Scan,” vendors who are on the Task Force asked, if RCOC required “Live Scan” would it provide additional funding.

The State requires background checks for employees who work in Community Care and Healthcare licensed residential facilities (~2,300 persons served), site-based, licensed day programs (~ 1,300), Adult Family Home Agencies (~100 persons served). Also, for those who are in the Self-Determination Program (SDP), the State will pay for a background check (WIC 4685.8 (w) if requested by a participant or the participant’s financial management service. The cost of obtaining the fingerprints is paid by the “services and supports provider or the provider’s employing agency.” (WIC 4685.8 (w)(8).

The WIC section is inserted here to more fully inform readers of the background check process for SDP.

4685.8 (w) To protect the health and safety of participants in the Self-Determination Program, the department shall require a criminal background check in accordance with all of the following:

(1) The department shall issue a program directive that identifies nonvendored providers of services and supports who shall obtain a criminal background check pursuant to this subdivision. At a minimum, these staff shall include both of the following:

(A) Individuals who provide direct personal care services to a participant.

(B) Other nonvendored providers of services and supports for whom a criminal background check is requested by a participant or the participant’s financial management service.

(2) Subject to the procedures and requirements of this subdivision, the department shall administer criminal background checks consistent with the department’s authority and the process described in Sections 4689.2 to 4689.6, inclusive.

(3) The department shall electronically submit to the Department of Justice fingerprint images and related information required by the Department of

Justice of nonvended providers of services and supports, as specified in paragraph (1), for purposes of obtaining information as to the existence and content of a record of state or federal convictions and state or federal arrests and also information as to the existence and content of a record of state or federal arrests for which the Department of Justice establishes that the person is free on bail or on their own recognizance pending trial or appeal.

(4) When received, the Department of Justice shall forward to the Federal Bureau of Investigation requests for federal summary criminal history information received pursuant to this section. The Department of Justice shall review the information returned from the Federal Bureau of Investigation and compile and disseminate a response to the department.

(5) The Department of Justice shall provide a state or federal response to the department pursuant to paragraph (1) of subdivision (p) of Section 11105 of the Penal Code.

(6) The department shall request from the Department of Justice subsequent notification service, as provided pursuant to Section 11105.2 of the Penal Code, for persons described in paragraph (1).

(7) The Department of Justice shall charge a fee sufficient to cover the cost of processing the request described in this subdivision.

(8) The fingerprints of any provider of services and supports who is required to obtain a criminal background check shall be submitted to the Department of Justice prior to employment. The costs of the fingerprints and the financial management service's administrative cost authorized by the department shall be paid by the services and supports provider or the provider's employing agency. Any administrative costs incurred by the department pursuant to this subdivision shall be offset by the funds specified in subdivision (g).

(9) If the criminal record information report shows a criminal history, the department shall take the steps specified in Section 4689.2. The department may prohibit a provider of services and supports from becoming employed, or continuing to be employed, based on the criminal background check, as authorized in Section 4689.6. The provider of services and supports who has been denied employment shall have the rights set forth in Section 4689.6.

(10) The department may utilize a current department-issued criminal record clearance to enable a provider to serve more than one participant, as long as the criminal record clearance has been processed through the department and no subsequent arrest notifications have been received relative to the cleared applicant.

(11) Consistent with subdivision (h) of Section 4689.2, the participant or financial management service that denies or terminates employment based on written notification from the department shall not incur civil liability or unemployment insurance liability.

The Committee agreed that the concern for the health and safety of persons served in licensed residential facilities, site-based licensed day programs, Adult Family Home Agencies and SDP is the same as the concern for persons served in other settings. Mr. Landauer will advocate for the Department of Developmental Disabilities (DDS) to expand the process that is in statute for Adult Family Home Agencies and SDP to all

RCOC Policies and Outcomes Committee Minutes
April 19, 2021

other services. (The Community Care Licensing Division of the State Department of Social Services and the Licensing and Certification Division of the California Department of Public Health handle the background checks for licensed facilities and adult day programs.)

II. Outcomes

A. Person Centered Thinking (PCT) Update

Ms. Keli Radford, RCOC's Director of Services and Supports, reported that more than 14,500 Individual Program Plans (IPPs) are now in the PCT format. RCOC implemented the PCT format about three years ago and all 19,000 IPP's should be in the PCT format by the end of fiscal year 2021-22.

B. Health and Wellness Project Update

Dr. Bonnie Ivers, RCOC's Clinical Director, reported that the *Healthy Life, Happy Life* program, which began in January 2021, has 203 participants. Dr. Ivers stated that the program will be completed by the end of May 2021. Dr. Sam Ho will collect and analyze the data from this class. The next class is scheduled to begin in August and end mid-November 2021.

C. Employment Update

Mr. Arturo Cazares reported that the Competitive Integrated Employment (CIE) program vendors continue to assist in obtaining employment opportunities for persons served during the pandemic. Mr. Cazares also reported that the Project SEARCH program, currently on hold due to the pandemic, continues to have interest in new host sites like Kaiser Permanente in Irvine and a school district site.

Mr. Cazares reported that RCOC will host the Adult Day and Employment Services Virtual Vendor Fair on May 18, 2021 from 9:30 a.m. to 11:30 a.m. For more information and to register, please visit www.rcocdd.com.

D. Housing Update

Mr. Landauer reported that DDS has requested that RCOC develop two additional Enhanced Behavioral Supports Homes (EBSHs). EBSHs provide 24-hour non-medical care in a homelike setting to individuals with developmental disabilities with challenging behaviors who require additional supports, staffing, and supervision. The homes have unique characteristics and offer person-centered planning, positive behavior supports, trauma-informed care, and other services and supports, which are beyond what is typically available in other community-based homes. EBSHs are certified by the Department of Developmental Services and licensed by the State Department of Social Services.

E. National Core Indicators (NCI) Update

Mr. Landauer reported that the new NCI Interactive Dashboard is now available on DDS' website at www.dds.ca.gov/rc/nci/nci-interactive-dashboard/. The NCI Dashboard shows survey results from 2020-11 to 2017-18 for Individuals Receiving Services, from 2012-13 to 2018-19 for Families with Pre-Adult Children, from 2010-11 to 2016-17 for Families with Individuals Living at Home and Families with Individuals Living Away from Home.

III. Community Forum

No community members were present.

Mr. Amsden adjourned the meeting at 6:52 p.m.

Recorder: Sandra Lomeli

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: May 6, 2021

TO: Board of Directors

FROM: Clifford Amsden, Chair
Policies and Outcomes Committee

SUBJECT: **Policies on Governance**

ACTION	
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	X

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 April 19, 2021, the Policies and Outcomes Committee reviewed the Policies on Governance.

REASON FOR CURRENT ITEM:

After review, the Policies and Outcomes Committee does not recommend any revisions to the Policies on Governance.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

This is an information item; no action is required.

III. POLICIES ON GOVERNANCE

- A. **Policy on Leadership.** The Board of Directors (also referred to as Directors in this policy) and management staff of the Regional Center of Orange County (RCOC) shall be committed to providing effective leadership and stability for the organization so that its mission can be accomplished. The Board will approach its task in a manner that emphasizes strategic leadership more than administrative detail, clear distinction of board and staff roles, future rather than past or present, and proactivity rather than reactivity.
- B. **Policy on Board Members' Responsibilities.** In fulfilling their duties and responsibilities as members of the RCOC Board of Directors, Board members will be expected to demonstrate their level of commitment in the following ways:
1. Commitment to Mission by:
 - Keeping the mission of RCOC clearly and consistently in mind
 - Not compromising principles upon which the organization is based
 - Continually thinking of ways to enhance the organization
 - Endeavoring to assure the rights and entitlements of persons with disabilities
 - Progressively assisting the organization to equip and enable persons with disabilities to attain the fullest possible independence, employment, participation in an integrated community and freedom of choice by supporting the provision of options in daily living
 - Being aware of the changing trends in service delivery to persons with disabilities
 2. Commitment to Involvement by:
 - Regularly preparing for, attending and participating in Board meetings
 - Being an active and regularly attending member of at least one Board committee
 - Carefully and clearly considering all decisions on policy issues
 - Attending occasional extended meetings or weekend retreats to increase understanding and commitment to the organization
 - Identifying prospective new Board members and referring them to the Board Recruitment and Training Committee
 - Resigning from the Board if they become unable to continue as a fully committed Board member during their term of office
 3. Commitment to Fellow Directors to Keep Board Meetings Friendly, Considerate and Productive by:
 - Listening to the ideas of others with an open mind
 - Being an active voice in promoting change towards excellence

- Having faith in the process of open, purposeful discussion, not being afraid to ask seemingly elementary questions, and steadily attempting to facilitate agreement or consensus on issues
- Listening with understanding to those expressing complaints or concerns and then referring them to the Executive Director or Board Chairperson so that the issue may be further explained and whenever possible, creatively resolved

C. **Policy on Officer Responsibilities.** Officers of the Board are in the service of the Board. As such, they are bound by Board wishes and by limits of Board authority. The officers may meet as a group with the Executive Director for purposes of preparing agendas or other pre-Board work, but they may not act in place of the Board except as specifically provided in the Bylaws.

Specific officer responsibilities are:

1. **Chairperson:** The Chairperson shall preside at all meetings of the Board and the Executive Committee and perform all duties incident to the office and such other duties as provided in the Bylaws or as may be prescribed from time to time by the Board. The Chairperson or Executive Director shall have the authority to take action on the following matters without prior Board approval:
 - a. Appeals on legal or administrative proceedings;
 - b. Responses on legal or administrative proceedings; and
 - c. Procedural matters arising from RCOC's contract with the Department of Developmental Services.

The above actions may be taken when in the opinion of the Chairperson it is not feasible to hold a special Board meeting or to defer action until the next regular meeting. All Directors shall be notified immediately, in writing, of the action taken. (RCOC Bylaws Section 3.04)

2. **Vice-Chairperson:** The Vice-Chairperson shall perform all duties and exercise all powers of the Chairperson when the Chairperson is absent or is otherwise unable to act. The Vice-Chairperson shall perform such duties as may be prescribed from time to time by the Board of Directors. (RCOC Bylaws Section 3.05)
3. **Secretary:** The Secretary shall keep minutes of all meetings of the Directors, shall be the custodian of the corporate records, shall give all notices as are required by law or by the Bylaws and shall perform all duties incident to the office of Secretary and such other duties as may be required by law, the Articles of Incorporation, the Bylaws, or which may be assigned from time to time by the Board. All or part of the above duties may be delegated to the Executive Director or such other staff as may be designated by the Executive Director. (RCOC Bylaws Section 3.06)

4. **Treasurer**: The Treasurer shall render reports and accountings to the Directors from time-to-time regarding the finances of RCOC. All or part of the above duties may be delegated to the Executive Director or such other staff as may be designated by the Executive Director. (RCOC Bylaws Section 3.07)

D. **Policy on Board Committees**. Board committees will be appointed and function as needed. Standing committees and their purposes are as follows:

1. **Purpose of Committees** – Each Committee shall exist for the purpose of providing advice, recommendations and technical assistance to the Board. A Committee shall not have authority to take any action which requires approval of the Board. (RCOC Bylaws Section 4.10)
2. **Standing Committees** – Standing Committees of the Board may be established by the Board of Directors or the Chairperson. With the exception of the Vendor Advisory Committee, membership on a Committee shall be decided by the Chairperson. For all committees in which the Chairperson is not a member, the Chairperson of the Board shall be an ex-officio member of all such committees or may delegate the Vice-Chairperson to act in that capacity. (RCOC Bylaws Section 4.01)
3. **Executive Committee** – There shall be an Executive Committee composed of the Chairperson, Vice-Chairperson, Secretary, and Treasurer of the Board and if none of these officers is a person served by RCOC then the Chairperson may appoint a Director who is a person served by RCOC. The Chairperson may include other Board members to provide additional support (RCOC Bylaws Section 4.02). Subject to applicable laws limiting a committee's authority, the Executive Committee shall conduct business as is delegated by the Board of Directors, including annually meeting with the Executive Director to present the results of the Board's Performance Review. The Executive Committee, shall, guided by RCOC's Policy on Human Resource Development (found in the Executive Limitations Policies), also recommend any adjustments to the compensation of the Executive Director for approval by the Board of Directors. The Executive Committee shall also be involved in the development of the organization's strategic planning.
4. **Vendor Advisory Committee** – The Board shall establish a Vendor Advisory Committee pursuant to Welfare & Institutions Code Section 4622(i).
5. **Peer Advisory Committee** – The Board shall establish a Consumer Advisory Committee pursuant to Welfare & Institutions Code Section 4622(h), which RCOC chooses to call a Peer Advisory Committee. The Chairperson also may appoint non-Board members to provide additional support in a non-voting capacity. (RCOC Bylaws Section 4.04)

6. **Policies and Outcomes Committee** – The Board shall establish a Policies and Outcomes Committee composed of members of the Board as appointed by the Chairperson. The Chairperson may also appoint non-Board members to provide additional support in a non-voting capacity. The Policies and Outcomes Committee shall be responsible for reviewing the outcomes of the organization's efforts towards its Mission/Guiding Principles. This committee shall review and/or draft such additional policies that are necessary to meet the organization's Mission. The committee shall, no less than biennially, review each policy for its continued usefulness and clarity. (RCOC Bylaws Section 4.05)
7. **Legislative and Community Awareness Committee** – The Legislative and Community Awareness Committee shall be composed of members of the Board as appointed by the Chairperson. The Chairperson also may appoint non-Board members to provide additional support in a non-voting capacity. The Committee shall be responsible to develop relationships with RCOC's legislative delegation, to review pending legislation affecting people with developmental disabilities, and to educate the Board on such matters. Additionally, the Committee is charged with increasing awareness of RCOC, identifying community resources available to the individuals served by RCOC and their families, and collaborating with organizations in the community to support people with developmental disabilities in Orange County. (RCOC Bylaws 4.06)
8. **Budget and Finance Committee** – The Budget and Finance Committee shall be composed of the Treasurer and other members of the Board as appointed by the Chairperson. The Chairperson also may appoint non-Board members to provide additional support in a non-voting capacity. The Budget and Finance Committee shall be responsible to oversee the financial stability and integrity of the organization. (RCOC Bylaws 4.07)
9. **Board Recruitment and Training Committee** – The Board Recruitment and Training Committee shall be composed of the Chairperson and other members of the Board as appointed by the Chairperson. The Chairperson may appoint other non-Board members to provide additional support in a non-voting capacity. The Board Recruitment and Training Committee shall be responsible for assessing the composition of the Board and needed skills, recruiting potential new Directors to meet those needs, reviewing and considering candidates for the Board, recommending Director candidates for consideration by the Board and recommending new and ongoing training topics for Board members. (RCOC Bylaws Section 4.08)
10. **Nominating Committee** – The Nominating Committee shall be composed of the Chairperson and three members of the Board as appointed by the Chairperson. The Nominating Committee shall nominate one Director for each of the offices of Chairperson, Vice Chairperson, Treasurer and Secretary and present the nominations to the Board of Directors at the regularly scheduled meeting of the

Board immediately preceding the expiration of the current officers' terms. (RCOC Bylaws Section 4.09)

Last Policy Review Date: April 15, 2019

No Revisions Recommended to the Board: May 2, 2019

Date of Next Review: on or before May 2, 2021

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: May 6, 2021

TO: Board of Directors

FROM: Clifford Amsden, Chair
Policies and Outcomes Committee

ACTION	
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	X

SUBJECT: **Policy on Executive Performance and Monitoring**

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 April 19, 2021, the Policies and Outcomes Committee reviewed the Policy on Executive Performance and Monitoring.

REASON FOR CURRENT ITEM:

After review, the Policies and Outcomes Committee does not recommend any revisions to the Policy on Executive Performance and Monitoring.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

This is an information item; no action is required.

V. POLICY ON EXECUTIVE PERFORMANCE AND MONITORING

The Regional Center of Orange County (RCOC) Board of Directors will track executive performance by monitoring in such a way as to have systematic assurance of policy compliance, yet leave the Board free to concentrate most of its time on creating the future rather than checking the past. To those ends, the Board's approach to monitoring will be based on its governance philosophy and carried out in a relatively automatic way. The Board will monitor those agency characteristics which it has addressed ahead of time in explicit statements of policy. The purpose of such monitoring is simply to determine, in fact, if Board policies are being met. Since the Board speaks to the executive through "ends" policies and "executive limitation" policies, monitoring finds whether ends are being achieved and limitations are being followed.

Monitoring will occur in one or a combination of the following activities:

- **Internal Reports:** Periodic reports from the Executive Director to the Board.
- **External Judges:** Auditors, site inspectors, or other external assessors shall be retained to answer certain monitoring questions.
- **Audits by Governmental Agencies:** Draft and final audits

Each policy of the Board in "ends" and "executive limitations" categories shall be classified by the Board according to the frequency and method of monitoring.

<u>Policy Category</u>	<u>Method</u>	<u>Frequency</u>
Protection of assets	External judge (audit)	Annual
Financial condition	Internal report	Every Board Meeting
	External judge (audit)	Annual
Employee Status Report	Internal report	Every Board Meeting
Compensation and benefits	Internal report	Annual
Sufficiency of Allocation Report	Internal report	Every Board Meeting
Adherence to Guiding Principles		
Operations Report	Internal report	Every Board Meeting
<ul style="list-style-type: none">• Community Life• Family Support• Early Intervention/Prevention• Living Options• Work• Service Planning and Coordination• Administration and Governance		

(Table continued)

Policy Category	Method	Frequency
National Core Indicators Survey Results	Internal Report	Annual
Government Agency Audits		
Department of Developmental Services (DDS) Fiscal Audit		Biennial
DDS/Department of Health Care Services Medicaid Waiver Audit		Annual
DDS/Federal Early Start Audit		Annual
DDS, Family Home Agency/Foster Family Agency Audit		Annual

Last Policy Review Date: April 15, 2019

Date Revisions Approved by Board: May 2, 2019

Date of Next Review: on or before May 2, 2021

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: May 6, 2021

TO: Board of Directors

FROM: Clifford Amsden, Chair
Policies and Outcomes Committee

ACTION	X
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	

SUBJECT: **Approval of Revisions to the Executive Limitations 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 April 19, 2021, the Policies and Outcomes Committee reviewed the Executive Limitations Policy.

REASON FOR CURRENT ITEM:

After review, the Policies and Outcomes Committee recommends revisions to the Executive Limitations Policy as indicated in the attachment.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

That the Board approve the revisions to the Executive Limitations Policy as presented.

IV. EXECUTIVE LIMITATIONS POLICIES

The Executive Director may neither cause nor allow any organizational practices that do not adhere to the following policies:

- A. **Policy on Legal Requirements.** Regional Center of Orange County (RCOC) will comply with the legal requirements and regulations of all governmental authorities and legally authorized agencies under whose authority it operates.
- B. **Policies on Non-Discrimination.**
 - 1. **Equal Employment Opportunity.** RCOC shall recruit, hire, train, and promote in all **jobs** titles, including interns, apprentices, and volunteers, without regard to race, color, religion, sex, gender, gender identity, gender expression, national origin, ancestry, physical disability, mental disability, age, medical condition, genetic information, marital status, military and veteran status, sexual orientation, or any other basis protected by law. All personnel actions such as compensation, benefits, RCOC-sponsored training, apprenticeships, internships, volunteer opportunities, transfer, demotion, termination, layoff, and return from layoff, shall be administered without regard to race, color, religion, sex, gender, gender identity, gender expression, national origin, ancestry, physical disability, mental disability, age, medical condition, genetic information, marital status, military and veteran status, sexual orientation, or any other basis protected by law. Additionally, RCOC will provide registered domestic partners with all rights and benefits as required by law.
 - 2. **Non-Discrimination on Basis of Handicap.** In furtherance of our nation's commitment to end discrimination on the basis of disability, and in accordance with the provisions of section 504 of the Rehabilitation Act of 1973, the provisions of the Americans with Disabilities Act, the Fair Employment and Housing Act, and all regulations properly issued **there under** to protect the rights of disabled persons, it is RCOC policy that: No program or activity administered by RCOC shall exclude from participation, deny benefits to or subject to discrimination any individual solely by reason of his or her disability. Equal employment opportunity will be extended to qualified disabled persons in all aspects of the employer-employee relationship, including recruitment, hiring, upgrading, training, promotion, transfer, discipline, layoff, recall and termination. It is further affirmed that RCOC will provide reasonable accommodation to the known physical or mental limitations of an otherwise qualified disabled employee or applicant.
- C. **Policy on Human Resource Development.** RCOC is committed to recruiting, managing, developing and retaining appropriate personnel qualified to meet the needs of the people served by the organization and who contribute to the accomplishment of the mission in a high quality manner. Therefore, compensation for all employees will be based upon the following principles:
 - 1. Compensation will support and will be used as a vehicle to communicate RCOC's values, specific objectives, and goals;
 - 2. Pay programs will reflect the external market, yet ensure internal equity; and

3. Flexibility will be incorporated to permit RCOC to respond to the changing regulatory and competitive environments, and to respond to other issues which increase its challenges.

D. Policy Against Harassment.

1. Prohibition Against Harassment. RCOC is committed to providing a workplace free of sexual harassment, as well as harassment and discrimination based on such factors as race, color, religion, sex, pregnancy, childbirth, or related medical conditions, gender, gender identity, gender expression, national origin, ancestry, physical disability, mental disability, age, medical condition, genetic information, marital status, military and veteran status, sexual orientation, or any other basis protected by federal, state, or local laws. RCOC prohibits unwelcome, harassing or discriminatory conduct by employees, managers, supervisors, or other third parties towards other employees, interns, apprentices, volunteers, non-employees with whom RCOC has a business, service, or professional relationship, or other persons with whom employees come into contact, even if such conduct does not rise to the level of harassment or discrimination as defined by law.
2. Complaint Procedure. Any individual who believes that they have been the victim of harassment, including sexual harassment, discrimination, retaliation, or abusive conduct, should immediately report this problem to their supervisor, the Director of Human Resources, or the Executive Director either verbally or in writing. Supervisors must report complaints of harassment, discrimination, retaliation, or abusive conduct, to the Director of Human Resources. All complaints will be investigated. Investigations will be timely, impartial, fair, and thorough. Investigations will be as confidential as possible under the circumstances. Employees are prohibited from impeding an investigation, and RCOC will not allow retaliation against any employee participating in an investigation. Information obtained during the process will be only shared with those individuals on a need-to-know basis. RCOC will provide all parties appropriate due process and reach conclusions based on the evidence collected. When the investigation discloses a violation of this policy, appropriate remedial action will be taken and feedback given to the complaining employee. The Human Resources Director or the Executive Director will promptly notify RCOC's Legal Counsel about the matter.

E. Policy on Professionalism, Rights, Health and Safety.

1. Each RCOC employee will maintain professional and productive conduct. RCOC employees will treat each other professionally and with courtesy at all times. Differences of opinion on work issues should be expressed in a constructive manner that promotes the sharing of ideas and effective teamwork to resolve problems and providing the services and supports needed by those served by RCOC.
2. RCOC will maintain a clean, safe environment and will comply with all applicable governmental regulations related to environment, health and safety, including training for staff and individuals served, external inspections of the premises and appropriate actions to remedy potential problems, implementation and testing of emergency plans and procedures, and timely review and follow-up on accident and injury reports.

F. Policy on Financial Practices.

1. Budgeting. Budgeting for any fiscal period or the remaining part of any fiscal period shall not deviate materially from Board Ends priorities, risk fiscal jeopardy or fail to show a generally acceptable level of foresight. Accordingly, the Executive Director shall ensure that the budgeting process:
 - a. Includes preparation of an annual report, including both operating and capital expenditures, which is used to communicate and monitor RCOC's use of financial resources in a manner which is consistent with (a) Board Ends priorities, (b) fiscal responsibility, and (c) strategic planning;
 - b. Results in a budget which is an appropriate and accurate expression of the mission and policies of RCOC. If the process results in a deficit projection, a clear explanation of the circumstances shall be presented to the Board by the Executive Director; and
 - c. Maintains an adequate cash and cash equivalents reserve.
2. Financial Condition. With respect to monitoring the actual financial condition of RCOC, the Executive Director shall ensure that:
 - a. Audited financial statements are prepared by an independent, Certified Public Accountant and presented to the Board of Directors on an annual basis;
 - b. Monthly summary reports are prepared comparing year-to-date budget versus actual figures and a report is given by the Treasurer at Board of Directors' meetings;
 - c. All financial obligations, including tax payments, are paid in a timely manner;
 - b. Adequate insurance is maintained to safeguard RCOC's assets including hazard, comprehensive, workers compensation, liability and Directors and Officers Liability.

Last Policy Review Date: April 15, 2019

Revisions Recommended to the Board: May 2, 2019

Date of Next Review: on or before May 2, 2021

REGIONAL CENTER OF ORANGE COUNTY

BOARD OF DIRECTORS

AGENDA ITEM DETAIL SHEET

DATE: May 6, 2021

TO: Board of Directors

FROM: Clifford Amsden, Chair
Policies and Outcomes Committee

ACTION	X
ACTION/CONSENT	
DISCUSSION	
INFO ONLY	

SUBJECT: **Approval of Revisions to the Communications 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 April 19, 2021, the Policies and Outcomes Committee reviewed the Communications Policy.

REASON FOR CURRENT ITEM:

After review, the Policies and Outcomes Committee recommends revisions to the Communications Policy as indicated in the attachment.

FISCAL IMPACT:

None.

RECOMMENDATIONS:

That the Board approve the revisions to the Communications Policy as presented.

XXI. COMMUNICATIONS POLICY

BACKGROUND

Regional Center of Orange County's (RCOC's) Board of Directors is committed to maintaining integrity and transparency in all its communications. In keeping with RCOC's mission of service to people with developmental disabilities and their families, the Board seeks constructive feedback from all stakeholders and works to create an environment of civility and trust that encourages understanding and an open, mutually respectful dialogue. All communications on behalf of the Board are aligned with the Carver Policy Governance Model under which the Board governs itself. As such, individual Board members recognize that the Board speaks with "one voice" and individual Board members do not have authority to speak on behalf of the Board without the Board's approval.

POLICY

Media Interviews

Though RCOC's Executive Director is the primary spokesperson for RCOC, from time to time, media comment or a media statement from RCOC's Board of Directors may be appropriate. In these situations, the Executive Office will coordinate the interview or other response with the Board Chairperson or his/her **designee**, who is the only member authorized to speak on behalf of the Board. In addition, individual Board members may at times be called upon by RCOC to share their personal experiences with RCOC and developmental disabilities. In these situations, Board members are representing and speaking on behalf of themselves as persons/families served, and not the Board. In both cases, the Executive Office will arrange for any designated Board spokespeople to receive assistance, as needed, to prepare for interviews.

Digital Communications & Social Media

RCOC uses social media – such as Facebook, Twitter, LinkedIn, Instagram and YouTube – to engage with its various audiences, advocate on behalf of those served, and share information about RCOC events and activities. Though only designated individuals are authorized to post comments, imagery or other materials on behalf of RCOC, Board members are encouraged to engage with RCOC via social media and other digital communications, such as blogs, in a personal, non-official capacity.

As with media interviews, the Board Chairperson or his/her **designee** is the only member authorized to speak on behalf of the Board in digital communications and social media. Thus, Board members should not reference their Board membership in digital and social media posts.

During their tenure of service, Board members' personal digital and social media communications must also comply with laws and policies involving discrimination,

harassment, privacy and confidentiality, proprietary information and copyright, libel, ethics, etc.

GUIDING PRINCIPLES

- The RCOC Board of Directors is representative of, and accountable to its stakeholders and the community it serves.
- RCOC maximizes community involvement in decision making.

Last Policy Review Date: April 15, 2019

Date Revisions Approved by Board: May 2, 2019

Date of Next Review: on or before May 2, 2021

**Regional Center of Orange County
Vendor Advisory Committee
March 9, 2021
Videoconference Minutes**

Members:

Adult Behavior Management Programs

Chair, Hector Navarro, absent
Co-Chair, Atrem Behmanesh, present

Adult Day Programs

Chair, Rick Perez, present (*joined at 2:03 p.m.*)
Co-Chair, Member Pending

Adult Family Home/Foster Family Agency

Chair, Mark Antenucci, present
Co-Chair, Member Pending

Behavior Services

Chair, Junie Lazo-Pearson, present
Co-Chair, Cindy Hebert, present

Community Care Facilities

Chair, Rebekah Hayes, absent
Co-Chair, Member Pending

Early Intervention

Chair, Tiffany Bauer, present
Co-Chair, Junie Lazo-Pearson, present

Habilitation

Chair, Member Pending
Co-Chair, Tim Chervenak, present (*joined at 2:03 p.m.*)

Independent/Supported Living

Chair, Janice Retz, present
Co-Chair, Member Pending

Intermediate Care Facilities

Chair, Rich Mraule, absent
Co-Chair, Member Pending

Support Services/Allied Health

Chair, David Santana, present
Co-Chair, Andrew Velasco, present

Liaisons:

CalOptima

Liaison Pending

Orange County Transit Authority

Melissa Mungia, present (*joined at 2:26 p.m.*)
Christina Blanco, absent

Board Members Present:

Chinh Nguyen
Marcell Bassett (*joined at 2:09 p.m.*)

RCOC Staff Present:

Larry Landauer, Executive Director

Vendor Advisory Committee Minutes
March 9, 2021

Bette Baber, Chief Financial Officer
Jerrod Bonner, Information Technology Director
Liliana Castillo, Accounting Manager
Arturo Cazares, Associate Director of Employment
Jyusse Corey, Peer Advocate
Bonnie Ivers, Clinical Director
Keli Radford, Director of Services and Supports
Jack Stanton, Associate Director of Housing
Sean Watson, Risk Management, QA Manager
Marta Vasquez, Associate Finance Director

I. Call to Order

Ms. Tiffany Bauer welcomed all attendees and called the videoconference meeting to order at 2:00 p.m.

II. RCOC Update

Mr. Larry Landauer stated that COVID-19 cases continue to decline as more individuals are being vaccinated.

Regarding caseload, Mr. Landauer mentioned that the number of Early Start cases declined this year across the state. For RCOC, the number of Lanterman cases increased but not enough to offset the decline in the number of Early Start cases.

Mr. Landauer reported that one of the Department of Developmental Services (DDS) directives will allow persons served 16 years of age and older to be eligible for the vaccine effective March 15, 2021. RCOC will provide a personalized letter to families so that they can register for their vaccines.

Ms. Marta Vasquez, RCOC's Associate Director of Finance, provided a refresher on Traditional vs. Alternative Service and Reporting Requirements for Alternative Services.

III. Subcommittee Chair and Co-Chair Selections

Mr. Jack Stanton reminded the Committee that new chairs and co-chairs must be identified by the end of April 2021 for the following subcommittees: Adult Behavior Management Programs, Adult Family Home Agency (AFHA)/Foster Family Agency (FFA), Community Care Facilities (CCF), Independent/Supported Living (ILS/SLS) and Habilitation. The VAC Chair will then present nominees to the Board of Directors for approval and their terms will commence on June 1, 2021, in accordance with the VAC Commission.

IV. Board Report

Ms. Bauer reported that she did not attend the Board meeting on March 4, 2021.

V. Community Forum

Ms. Christine Tolbert reported that the Orange County office of the California State Council on Developmental Disabilities (SCDD) is exploring an internship for a bilingual Spanish-speaker. This is an opportunity for a person served.

Ms. Tolbert also reported that SCDD is accepting proposals for statewide program development grants on health and safety and inclusive education areas. The proposals are due May 15, 2021. For more information, visit www.scdd.cagov/grantinformation.

VI. Peer Advisory Committee (PAC) Report

Mr. Jyusse Corey, RCOC's Peer Advocate, reported that PAC met on February 17, 2021. Mr. Sam Ho, RCOC's Consulting Pharmacist, gave a presentation on the 2021 Healthy Life, Happy Life program.

The next PAC meeting is scheduled for March 17, 2021.

VII. Liaison Reports

A. CalOptima – Liaison pending

No representative from CalOptima was present and no report was provided.

B. Orange County Transportation Authority (OCTA) – Melissa Mungia (present)

Ms. Melissa Mungia reported that OCTA has approved a request to use Cabco Yellow Inc., the current service contractor of the Same Day Taxi Service, as a subcontractor for OC ACCESS service.

Ms. Mungia also reported that OCTA informed customers that the "Needs Lift" policy has changed. "Needs Lift" was a permanent request for drivers to deploy the vehicle lift for the passenger to board in place of the stairs. OCTA has determined that deploying the vehicle lift for boarding and exiting is a reasonable accommodation in compliance with the ADA and does not require a formal approval or documentation process. OCTA will no longer use the "Needs Lift" indicator on customer profiles. As of March 1, 2021, passengers no longer need to provide advance notice and should instead communicate to their driver upon pick-up or drop-off that the lift is required.

Ms. Mungia mentioned that OCTA's next virtual Community Transit Training Workshop is scheduled for April 13, 2021. The training is free.

VIII. Member Reports

- A. Adult Behavior Management – Hector Navarro (absent)**
- B. Adult Day Programs – Rick Perez (present)**

Mr. Rick Perez reported that the two subcommittees met virtually and that Ms. Marta Vasquez, RCOC's Associate Finance Director, answered questions about eBilling changes for Alternative Service.

Mr. Perez reported that he was elected Chair of Adult Day Programs. Mr. Hector Navarro and Ms. Atrem Behmanesh were elected as Chair and Co-Chair respectively of Adult Behavior Management.

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

Mr. Mark Antenucci reported that the subcommittee met virtually and continued its discussions on the COVID-19 vaccination process and the mental and physical strain on persons served and their staff during the quarantine. Dr. Sam Ho presented the 2021 Healthy Life, Happy Life program. Mr. Antenucci endorsed the Health Life, Happy Life program and its benefits to persons served.

- D. Behavior Services – Junie Lazo-Pearson (present)**

Ms. Junie Lazo-Pearson reported that the subcommittee did not meet.

- E. Community Care Facilities (CCF) – Rebekah Hayes (absent)**

In Ms. Rebekah Hayes absence, Mr. Stanton reported that the subcommittee met this morning and shared experiences and tips on virtual staff trainings.

- F. Early Intervention – Tiffany Bauer (present)**

Ms. Bauer reported that the subcommittee will meet on April 15, 2021.

- G. Habilitation – Member Pending**

Mr. Tim Chervenak, Co-Chair, reported that the subcommittee did not meet and canceled its meeting scheduled for March 10, 2021.

- H. Independent Living/Supported Living (IL/SL) – Janice Retz (present)**

Ms. Janice Retz reported that the subcommittee continues to meet weekly and discuss providing continued support to persons served and staff during the pandemic. As well as focusing on providing emotional and physical support to reduce behavioral issues from rising during the pandemic. Dr. Sam Ho also provided a presentation on the 2021 Healthy Life, Happy Life program.

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Ms. Retz also reported that the subcommittee elected Ms. Christine Molina as Chair and Ms. Ana Sandoval as Co-Chair.

I. Intermediate Care Facilities (ICF) – Rich Mraule (absent)

In Mr. Rich Mraule's absence, Mr. Stanton reported that the subcommittee did not meet.

J. Support Services/Allied Health – David Santana (present)

Mr. David Santana reported that the subcommittee met today and discussed requirements for Electronic Visit Verification, which the state must implement for home health care services by January 1, 2023. They also discussed the re-opening of schools and effects that will have on respite services.

IX. Adjournment

Ms. Bauer adjourned the meeting at 2:51 p.m.

The next VAC meeting is scheduled for April 13, 2021.

Recorder: Sandra Lomelí

**Regional Center of Orange County
Vendor Advisory Committee
April 13, 2021
Videoconference Minutes**

Members:

Adult Behavior Management Programs

Chair, Hector Navarro, absent

Co-Chair, Atrem Behmanesh, present

Adult Day Programs

Chair, Rick Perez, present (*left at 2:16 p.m.*)

Co-Chair, Member Pending

Adult Family Home/Foster Family Agency

Chair, Mark Antenucci, present

Co-Chair, Member Pending

Behavior Services

Chair, Junie Lazo-Pearson, absent

Co-Chair, Cindy Hebert, present

Community Care Facilities

Chair, Rebekah Hayes, absent

Co-Chair, Member Pending

Early Intervention

Chair, Tiffany Bauer, present

Co-Chair, Junie Lazo-Pearson, absent

Habilitation

Chair, Member Pending

Co-Chair, Tim Chervenak, absent

Independent/Supported Living

Chair, Janice Retz, present

Co-Chair, Member Pending

Intermediate Care Facilities

Chair, Rich Mraule, absent

Co-Chair, Member Pending

Support Services/Allied Health

Chair, David Santana, present

Co-Chair, Andrew Velasco, present

Liaisons:

CalOptima

Liaison Pending, absent

Orange County Transit Authority

Melissa Mungia, present

Christina Blanco, absent

Board Members Present:

Chinh Nguyen

Marcell Bassett (*joined at 2:09 p.m.*)

RCOC Staff Present:

Larry Landauer, Executive Director

Vendor Advisory Committee Minutes
April 13, 2021

Bette Baber, Chief Financial Officer
Liliana Castillo, Accounting Manager
Arturo Cazares, Associate Director of Employment
Jyusse Corey, Peer Advocate
Keli Radford, Director of Services and Supports
Jack Stanton, Associate Director of Housing
Sean Watson, Risk Management, QA Manager (*joined at 2:06 p.m.*)
Marta Vasquez, Associate Finance Director

I. Call to Order

Ms. Tiffany Bauer welcomed all attendees and called the videoconference meeting to order at 2:01 p.m.

II. RCOC Update

Mr. Larry Landauer reported that Lanterman cases are up statewide and Early Start cases are down.

Mr. Landauer reported that the Self-Determination Program (SDP) Advisory Council met yesterday. The program may open to all persons served in June 2021. Mr. Landauer added that the Council wanted vendors to know that SDP participants may contact vendors for staff. Ms. Keli Radford, RCOC's Director of Services and Supports, reported that through the Collaborate Advocate Navigate (CAN) agency, there will be an opportunity for persons served to be trained as a paid Independent Facilitators for the Self-Determination Program.

Mr. Landauer reported that COVID-19 cases are down statewide. At RCOC, over 3,600 persons served have received their first dose of the vaccine; 3,000 are fully vaccinated; and, over 429 have declined the vaccine.

Ms. Marta Vasquez, RCOC's Associate Director of Finance, reported that the Department of Developmental Services (DDS) put a hold on the eBilling Provider Certification Attestation. DDS will issue guidance regarding the process for the absence payment attestation, which will not be linked to the submission of provider claims.

III. Subcommittee Chair and Co-Chair Selections

Mr. Jack Stanton stated that the chairs and co-chairs have been selected for the following subcommittees: Adult Behavior Management Programs, Community Care Facilities (CCF), Independent/Supported Living (ILS/SLS) and Habilitation. The VAC Chair will present these nominees to the Board of Directors for approval and their terms will commence on June 3, 2021, in accordance with the VAC Commission.

IV. Board Report

Ms. Bauer reported that there was a training for the Board of Directors on the topic of *Transportation* on April 1, 2021.

V. Community Forum

Ms. Tolbert reported that the State Council on Developmental Disabilities (SCDD) has an employment opportunity for an Office Technician at their Orange County office. For more information visit,

www.calcareers.ca.gov/CalHrPublic/Jobs/JobPosting.aspx?JobControlid+246662. She added that they will distribute PPE RCOC's vendors on Wednesday, April 14, 2021, from 7:30 a.m. to 11:00 a.m.

VI. Peer Advisory Committee (PAC) Report

Mr. Jyusse Corey, RCOC's Peer Advocate, reported that the next PAC meeting is scheduled for April 21, 2021. The Committee will review two new PAC membership applications. The Committee will also discuss meeting topics for future meetings.

VII. Liaison Reports

A. CalOptima – Liaison pending

No representative from CalOptima was present and no report was provided.

B. Orange County Transportation Authority (OCTA) – Melissa Mungia (present)

Ms. Melissa Mungia reported that there was a 10% OCTA's ACCESS ridership.

Ms. Mungia also reported that OCTA's Mobility Management Program, which educates seniors and persons with disabilities about traveling by public transportation, will host another free workshop on May 11, 2021. For more information or to schedule a free training, email mmp@octa.net.

VIII. Member Reports

A. Adult Behavior Management – Hector Navarro (absent)

B. Adult Day Programs – Rick Perez (present until 2:16 p.m.)

In Mr. Navarro's and Mr. Perez's absence, Ms. Atrem Behmanesh reported that the two subcommittees met virtually to discuss the eBilling attestation, which is now on hold. They also discussed creating a vaccination policy for staff, a risk mitigation plan prior to re-opening, and, how to transport clients safely with COVID-19 restrictions.

Mr. Navarro will continue as chair of Adult Day Programs.

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

Mr. Mark Antenucci reported that the subcommittee met virtually to discuss how to prepare for in-persons visits. Mr. Arturo Cazares, RCOC's Associate Director of Employment, was invited to participate in a discussion on how to prepare sites and staff for a safe reopening. They also shared resources to encourage and advocate for staff to be vaccinated as soon as possible.

D. Behavior Services – Junie Lazo-Pearson (absent)

In Ms. Junie Lazo-Pearson's absence, Ms. Cindy Hebert reported that their subcommittee wants Dr. Peter Himber, RCOC's Medical Director, to discuss vaccinations at their meeting in May.

E. Community Care Facilities (CCF) – Rebekah Hayes (absent)

In Ms. Rebekah Hayes absence, Mr. Stanton reported that the subcommittee met this morning and discussed COVID-19 related topics.

Mr. Stanton also reported that Ms. Rebekah Hayes will continue as chair of the CCF subcommittee.

F. Early Intervention – Tiffany Bauer (present)

Ms. Bauer reported that their subcommittee will meet on April 15, 2021.

G. Habilitation – Member Pending

In Co-Chair. Tim Chervenak's absence, Mr. Stanton reported that the subcommittee elected Ms. Jodean Hudson as Chair and Mr. Chervenak will continue as Co-Chair.

H. Independent Living/Supported Living (IL/SL) – Janice Retz (present)

Ms. Janice Retz reported that the subcommittee will meet later today.

Ms. Retz said that the subcommittee elected Christine Molina as Chair and Ana Sandoval as Co-Chair.

I. Intermediate Care Facilities (ICF) – Rich Mraule (absent)

In Mr. Rich Mraule's absence, Mr. Stanton reported that the subcommittee did not meet.

J. Support Services/Allied Health – David Santana (present)

Mr. David Santana reported that the subcommittee met and discussed the Electronic Visit Verification (EVV) process and issues with electronic timesheets. The subcommittee also discussed the American Jobs Plan that calls for spending \$400 billion over eight years on home- or community-based care for the elderly and people with disabilities.

IX. Adjournment

Ms. Bauer adjourned the meeting at 2:39 p.m.

The next VAC meeting is scheduled for May 11, 2021.

Recorder: Sandra Lomeli

REGIONAL CENTER OF ORANGE COUNTY
BOARD OF DIRECTORS
AGENDA ITEM DETAIL SHEET

DATE: May 6, 2021

TO: 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**

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:

The following subcommittees of RCOC's Vendor Advisory Committee have met and submitted their nominations for committee membership (see attachment). Terms of membership are for two years as follows:

Membership Category	Term of Membership
Adult Behavior Management Programs Hector Navarro, Chair; Atrem Behmanesh Co-Chair	June 1, 2021 to May 31, 2023
Community Care Facilities Rebekah Hayes, Chair; no Co-Chair nominated	June 1, 2021 to May 31, 2023
Habilitation Jodean Hudson, Chair; Tim Chervenak, Co-Chair	June 1, 2021 to May 31, 2023
Independent/Supported Living (IL/SL) Christine Molina, Chair; Ana Sandoval, Co-Chair	June 1, 2021 to May 31, 2023

FISCAL IMPACT:

None.

RECOMMENDATIONS:

That the Board approve the Vendor Advisory Committee members as presented.

Attachment for Agenda Item III.I.1.

VENDOR ADVISORY COMMITTEE

NOMINATIONS FOR MEMBERSHIP

<u>ADULT BEHAVIOR MANAGEMENT PROGRAM</u>	
Hector Navarro, Chair Progressive Community and Vocational Services (PCVS)	Mr. Navarro has been working for the past 11 years to ensure that Progressive Community and Vocational Services (PCVS) offers adults with intellectual disabilities the best experience, opportunities, and supports within their community to enhance their vocational skills and marketability in the job force. He has over 22 years of experience working with individuals in state hospitals, developmental centers, community settings, and forensically involved individuals. This experience has provided him a unique understanding of the needs of those he is serving and methods to improve their lives and opportunities. Mr. Navarro stands behind the agencies belief that life is shaped with opportunities – not with limitations.
Atrem Behmanesh, Co-Chair Vocational Visions Adult Day Program	Mrs. Behmanesh has worked at Vocational Visions' Adult Day Program for the past 11 years as an Assistant Manager. In addition to her current duties, Mrs. Behmanesh has experience working directly with people as a job coach and direct service professional within an Intermediate Care Facility. She has used this experience to enhance the lives of those she serves on a daily basis. Mrs. Behmanesh is a strong believer in creating partnerships within everyone she works with in order to insure that people have many opportunities for growth.

<u>COMMUNITY CARE FACILITIES</u>	
Rebekah Hayes, Chair Abilities OC	Ms. Hayes has grown up serving persons with developmental disabilities; her family has owned and operated a residential care programs since 1967. The diverse environment, in which she was raised, has instilled a deep sense of compassion, understanding, and acceptance of others in the community. For the past 11 years, she has operated several, licensed residential homes and has successfully provided quality services for all the residents within the community. During that time, she has expanded her services to multiple homes, partnerships, and unique opportunities. Ms. Hayes personal commitment is to provide a stable and positive living environment in order to promote personal growth and success.

<u>HABILITATION</u>	
Jodean Hudson, Chair Goodwill OC	<p>Ms. Hudson has worked at Goodwill of Orange County for the past 25 years and is currently serving as the Director of Placement Services. As part of her responsibilities, she oversees the Supported Employment, Direct Placement, Deaf Services, and Employment programs. She is a seasoned social work professional who specializes in program development, management, administration, staff development, and human resources. Ms. Hudson has placed an emphasis on mentoring both the people she serves and her staff with respect, value, and appreciation to increase their quality of life. Ms. Hudson is proud that her team has helped thousands of individuals secure and retain jobs in the community, in turn giving them hope, purpose, pride, and dignity.</p>
Tim Chervenak, Co-Chair Project Independence	<p>Mr. Chervenak has been with Project Independence since 2003, and is currently serving as the Director of Employment Services. In this role, he oversees the Supported Employment Program and Work Incentives Planning and Assistance grant through Social Security. He has been active in the community, previously serving on the Board of the California Disability Services Association (CDSA), and currently serves on the Board of the California Disability Services Institute. He is also an active member of the CDSA Public Policy Committee. Mr. Chervenak believes in the importance of work for everyone and continues to work to help others achieve this goal.</p>

INDEPENDENT / SUPPORTED LIVING (IL/SL)	
Christine Molina, Chair Living Fair and Equal (LIFE)	<p>Ms. Molina is currently serving as the Human Resource Program Administrator for LIFE, a family agency developed by her mother. Ms. Molina has been an integral part of the program since 2007 serving in various capacities. She began her work in this field at a very young age, caring for family members who had been diagnosed with intellectual disabilities. Her background has helped her relate to the many families and individuals they serve, helping to ensure others are thriving in what they want to achieve. Ms. Molina stands behind the meaning of LIFE – Living Independent Fair and Equal. She does not consider herself to be an employee working a job, rather she is a person who loves what they do every day serving this community.</p>
Ana Sandoval, Co-Chair Living Fair and Equal (LIFE)	<p>Ms. Sandoval is currently serving as the Accounting Manager at LIFE, and has held many positions within the agency; she started when she was 18 years old. She is also a part of the family legacy of LIFE, and much like her siblings, who were raised caring for other family members diagnosed with Intellectual Disabilities. She is motivated on a daily basis by seeing the growth and accomplishments in the individuals they are serving, as well as the dedication of their staff of care providers who work tirelessly to ensure that needs are met and goals are achieved within the community.</p>

**Regional Center of Orange County
Peer Advisory Committee
March 17, 2021
Videoconference Minutes**

Committee Members Present: Sylvia Delgado, Chairperson
Jyusse Corey, Peer Advocate
Steven Gersten
Amy Jessee
Peter Kuo (*joined at 3:32 p.m.*)
Fernando Peña

Committee Members Absent: Marcell Bassett
Yvonne Kluttz

RCOC Board Members Present: Chinh Nguyen

RCOC Staff Members Present: Larry Landauer, Executive Director
Arturo Cazares, Associate Director of Employment

Guests: Kerri Adamic
Cheryl Day (*joined at 3:42 p.m.*)

Ms. Sylvia Delgado called the meeting to order at 3:04 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.

II. RCOC's Peer Advocate Report

Mr. Jyusse Corey, RCOC's Peer Advocate reported that he continues to provide up-to-date information and resources on employment, COVID-19 and tips on how to stay safe and active while at home for persons served.

Mr. Corey mentioned that if PAC members had not received the latest stimulus check, to visit <https://www.irs.gov/coronavirus/get-my-payment>.

III. Employment

Mr. Arturo Cazares, RCOC's Associate Director of Employment, led a discussion on employment during the COVID-19 pandemic. PAC members also shared resources and their personal employment experiences.

IV. Community Forum

No community members were present at the meeting.

V. Next Scheduled Meeting

The next PAC meeting is scheduled for April 21, 2021.

The meeting was adjourned at 3:52 p.m.

Recorder: Sandra Lomelí

**Regional Center of Orange County
Peer Advisory Committee
April 21, 2021
Videoconference Minutes**

Committee Members Present: Sylvia Delgado, Chairperson
Jyusse Corey, Peer Advocate
Steven Gersten (*joined at 3:08 p.m.*)
Amy Jessee
Fernando Peña

Committee Members Absent: Marcell Bassett
Yvonne Kluttz
Peter Kuo

RCOC Staff Members Present: Larry Landauer, Executive Director (*left at 3:53 p.m.*)

Guests: Kerri Adamic (*joined at 3:33 p.m.*)

Ms. Sylvia Delgado called the meeting to order at 3:01 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.

II. RCOC's Peer Advocate Report

Mr. Corey reported that by dialing 211, Orange County residents are able to reach a free 24-hour emergency hotline linking the caller to local health and human services resources such as mental health services, transportation and nutrition assistance. The resources are also available at www.211oc.org.

Mr. Corey also reported that he continues to provide up-to-date information on CalABLE, employment and COVID-19 resources for persons served.

III. Review of New PAC Membership Applications

The Committee reviewed and discussed two new PAC member applications. The Committee determined that it would recommend Ms. Kerri Adamic and Ms. Cheryl Day for appointment to PAC. According to the Peer Advisory Committee Charter, both applications will be presented to the Board of Directors' Chairperson for his approval.

IV. 25th Annual Statewide Self-Advocacy Virtual Conference by Supported Life Institute

Mr. Corey reported that he and Ms. Delgado will attend this year's virtual Supported Life Institute Self-Advocacy conference on Friday, May 7, 2021, from 8:30 a.m. to 4:00 p.m. Mr. Corey reviewed the various conference session topics and provided an event flyer and registration forms to PAC members.

V. Community Forum

No community members were present at the meeting.

VI. Other

Mr. Landauer reported that California will provide the Golden State Stimulus payments to families and people who qualify. This is a one-time \$600 or \$1,200 payment. Californians may receive this payment if they receive the California Earned Income Tax Credit (CalEITC) or file with an Individual Taxpayer Identification Number (ITIN). The Golden State Stimulus aims to support low-income Californians and help those facing hardship due to COVID-19.

VII. Next Scheduled Meeting

The next PAC meeting is scheduled for May 19, 2021.

The meeting was adjourned at 3:59 p.m.

Recorder: Sandra Lomelí

**Regional Center of Orange County
Legislative and Community Awareness Committee
April 13, 2021
Videoconference Minutes**

Committee Members Present: Liza Krassner, Chairperson
Tiffany Bauer
Sandy Martin
Chinh Nguyen
John “Chip” Wright

Committee Members Absent: Meena Chockalingam

RCOC Staff Members Present: Larry Landauer, Executive Director
Bette Baber, Chief Financial Officer
Jerrod Bonner, Information Technology Director
Bonnie Ivers, Clinical Director
Kathleen McFarlin, Manager, Family Support and
Community Outreach
Keli Radford, Director of Services and Supports
Stacy Wong, Director of Human Resources

Guests: Linda Blankenship, Consultant
Anh Nguyen, Consultant

Ms. Liza Krassner called the meeting to order at 5:02 p.m.

I. Coronavirus Disease 2019 (COVID-19) Update

Mr. Landauer reported that the number of positive cases continues to decline in Orange County as more individuals are receiving the COVID-19 vaccine. The Department of Developmental Services (DDS) will issue directives such as the requirement for face-to-face meetings sometime in May 2021.

II. Virtual Spotlight Awards

Mr. Landauer reported that there were 204 attendees at the 2021 Spotlight Awards virtual ceremony held on March 8, 2021.

III. Public Relations

A. Dialogue

Ms. Linda Blankenship reported that the Spring issue of the *Dialogue* will focus on the 2021 Spotlight Awards honorees and the Executive Directors’ report, which focused on why it’s important that regional centers are private nonprofit organizations.

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Ms. Blankenship mentioned that the *Dialogue* has inserts, which include information on RCOC's employment services, recreation resources, language-specific virtual presentations from CalOptima, orientations for parents of newly eligible persons served and Vietnamese service provider fairs.

B. News Media Outreach

Ms. Blankenship reported that some of the media outreach opportunities include an email interview for Ms. Chinh Nguyen in the following magazines: *Autism Parenting* and *Parenting OC*. The features for both magazines will be released in their April 2021 issues and will reach over 162,000 parents and autism professionals.

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, especially during this time of COVID-19. Ms. Nguyen also shared media highlights from *Facebook*, *Twitter* and *Instagram*, which featured information on Early Start and other regional center services.

IV. Legislative Outreach

A. ARCA Update

Ms. Krassner reported that ARCA's Academy Training on *Diversity, Part I* had very good reviews. The *Diversity, Part II* training is scheduled for Saturday, May 8, 2021.

Ms. Krassner also reported that the ARCA board delegates are scheduled to meet on April 16, 2021. The meeting will focus on the difficulties of Board recruitment and their continued work on creating a Public Service Announcement (PSA) on Board recruitment.

B. Relationship Building with Delegation

Mr. Landauer reported that he and Ms. Nguyen are hosting virtual informational meetings about RCOC with state legislators and their staff. Their first meeting was held this morning with Ms. Ana Figueroa from Assemblywoman Laurie Davis' office and Mr. Clifford Amsden, RCOC's Board member. The next delegation meetings will take place later this week with Assemblymembers Phillip Chen, Cottie Petrie-Norris and Steven Choi.

V. Community Outreach

A. Disparity-Focused Activities and Analytics

Ms. Kathleen McFarlin reported that developmental screenings are still taking place, although not as heavily attended due to the pandemic. A screening hosted in Fullerton in February 2021, resulted in the referral of six individuals to RCOC. In an effort to bring awareness to Early Start services, DDS is creating an Early Start PSA.

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Ms. Keli Radford reported that Ms. McFarlin is on Orange County's First 5 Detect and Connect multi-sector steering group, which is composed of system leaders working to strengthen the developmental screening and referral system in Orange County.

Ms. McFarlin reported that their virtual language-specific trainings and orientations on Early Start and RCOC's services are attended well by families and community members. The Family Resource Center (FRC) continues to host virtual coffee chats and parent trainings with Spanish and Vietnamese-speaking parents as a way to sustain contact during the pandemic. FRC staff have also assisted families with participation in virtual meetings and registering to obtain the COVID-19 vaccination.

VI. Community Forum

No community members were present at the meeting.

Ms. Krassner adjourned the meeting at 5:58 p.m.

Recorder: Sandra Lomeli