



Board of Trustees Meeting

Wednesday, October 13, 2021

6:30 p.m.

Via Zoom Technology

Packet #1

North Los Angeles County Regional Center
Board Packet #1
October 13, 2021

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~ October 2021 ~

◀ September

November ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
					1	2
3	4	5	6 11:00am-1:00 pm Consumer Advisory Committee Meeting	7 9:30 am Vendor Advisory Committee (full meeting)	8	9
10	11	12	13 4:00 pm Board Packet Review (Chatsworth Office) 6:00 pm Board Dinner (Santa Clarita Valley Office) 6:30 pm Board Meeting (San Clarita Valley Office) Presentation of Performance Contract	14	15	16
17	18	19	20 6:00 pm Consumer Services 7:00 pm Government/Community Relations	21 10:00am-2:00 pm ARCA Executive Committee Mtg. 7:00 pm Self-Determination Advisory Meeting	22 10:00am-2:00 pm ARCA Executive Board of Directors Mtg.	23
24	25	26	27 5:30 pm Post-Retirement Medical Trust Mtg. 6:15 pm Administrative Affairs Committee Meeting 7:15 pm Executive Committee Meeting	28	29	30
31 Halloween						

~ November 2021 ~

◀ October

December ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
	1 <u>6:00 pm</u> Strategic Planning Committee Meeting	2	3 <u>11:00am-1:00 pm</u> Consumer Advisory Committee Meeting	4 <u>9:30 am</u> Vendor Advisory Committee Meeting (break-out groups)	5	6
7	8	9	10 <u>5:30 pm</u> Board Packet Review <u>6:00 pm</u> Board Dinner (San Fernando Valley Office) <u>6:30 pm</u> Board Meeting (San Fernando Valley Office)	11 Veterans Day (NLACRC closed)	12	13
14	15	16	17 <u>6:00 pm</u> Consumer Services Committee Meeting <u>7:00 pm</u> Government/Community Relations Committee Meeting	18 <u>7:00 pm</u> Self-Determination Advisory Meeting	19	20
21	22	23 <u>6:00 pm</u> Administrative Affairs Committee Meeting <u>7:00 pm</u> Executive Committee Meeting	24	25 Thanksgiving (NLACRC closed)	26 Day after Thanksgiving (NLACRC closed)	27
28 Hanukkah (begins at sundown)	29	30				

North Los Angeles County Regional Center
Board of Trustees Meeting - *Via Zoom*
Wednesday, October 13, 2021
6:30 p.m.

~ **AGENDA** ~

1 Call to Order & Welcome – Lety Garcia, Board President

Housekeeping

- A. Spanish Interpretation Available
- B. Public Attendance (please note name in Chat)

3 Board Member Attendance – Liliana Windover, Executive Administrative Assistant

4 Introductions

- A. Presentation by Assemblywoman Valladares, 38th District
- B. Sharoll Jackson, Board Member and Vendor Advisory Committee Chair, and Alan Darby, Chief Financial Officer

5 Public Input & Comments (3 minutes)

Consent Items

- A. Approval of Revised Agenda (*Packet 1, Page 5*)
- B. Approval of September 9th Board Meeting Minutes

7 Committee Action Items

- A. Administrative Affairs Committee – Ana Quiles
 - 1. Contract(s)
 - a) Maxim Contract, PL1025-062
 - 2. Executive Session
 - a) Legal Matter
 - 3. City National Bank Signature Cards and Credit Line
 - a) Board Resolution for City National Bank’s Supersedure Agreement (Business) (*Packet 1, Page 9*)
 - b) Board Resolution to Obtain Credit and Grant Security (*Packet 1, Page 10*)
 - 4. US Bank Signature Cards
 - a) PRMT: Form of Direction-Authorized Signers – Add CFO effective

10/13/2021 (*Packet 1, Page 14*)

- b) PRMT: Form of Direction-Authorized Signers – Remove Deputy Director-CFO effective 12/29/2021 (*Packet 1, Page 16*)
- c) UAL: Form of Direction-Authorized Signers – Add CFO effective 10/13/2021 (*Packet 1, Page 18*)
- d) UAL: Form of Direction-Authorized Signers – Remove Deputy Director-CFO effective 12/29/2021 (*Packet 1, Page 20*)
- e) Board Resolution to add CFO effective 10/13/2021 and remove Deputy Director-CFO effective 12/29/2021 (*Packet 1, Page 22*)
- f) Board Resolution for Form of Direction – Authorized Officers to execute Form of Direction-Authorized Signers for PRMT and UAL (*Packet 1, Page 23*)

4. Recommended Change to FY2021-22 Committee Critical Calendar (*Packet 1, Page 24*)

5. Request for Proposal for New CPA Firm and RFP Selection Committee (*Packet 1, Page 26*)

B. Executive Committee – Lety Garcia

- 1. Board FY21-22 Primary Activities
- 2. Kinetic Flow Corp as the Strategic Planning Consultant (*Packet 1, Page 44*)
- 3. Two four-hour days for the Strategic Planning Retreat
- 4. Resubmission of Conflict of Interest Resolution Plans
 - a) Christina Cannarella (*Packet 1, Page 78*)
 - b) Lillian Martinez (*Packet 1, Page 95*)
- 5. Family Focus Resource Center (FRC) Sponsorship of \$350.00 event on October 23, 2021
- 6. CSUN Family Focus Resource Center Contract

C. Nominating Committee – Angelina Martinez

- 1. Nominating Committee Policy and Procedure (*Packet 1, Page 106*)
- 2. Critical Calendar (*Packet 1, Page 114*)

8. Additional Action Items

- A. Administrative Affairs Committee
 - 1. Approval of Contracts

9. Association of Regional Center Agencies – Angelina Martinez

- A. Report on ARCA Meetings

10. Executive Director’s Report – Ruth Janka

11. Self-Determination Program (SDP) Report – Jesse Weller

- 1 Administrative Affairs Committee – Ana Quiles**
 - A. Minutes of the September 29th Meeting
 - B. FY 2021-22 Financial Report
 - C. FY 2020-21 Provider Relief Funds Financial Report (*Packet 1, Page 116*)
 - D. Monthly HR Report (*Packet 1, Page 117*)
 - E. 1st Quarter HR Report (*Packet 1, Page 119*)

- 13 Consumer Advisory Committee – Caroline Mitchell**
 - A. Minutes of the October 6th Meeting

- 14 Consumer Services Committee – Gabriela Herrera**

- 15 Executive Committee – Lety Garcia**
 - A. Minutes of the September 29th Meeting
 - B. FY 2021-22 Committee Action Log
 - C. Executive Director’s Evaluation Process
 - D. Executive Director Negotiating Committee
 - E. Whistleblower Compliance Activity

- 1 Government & Community Relations Committee – Jeremy Sunderland**

- 17 Nominating Committee – Angelina Martinez**
 - A. Minutes of October 6th Meeting
 - B. Board & VAC Member Recruitment Notices

- 1 Post-Retirement Medical Trust Committee – Lety Garcia (No report)**

- 19 Strategic Planning Committee – Marianne Davis**
 - A. Annual Update on NLACRC’s Strategic Plan

- 0 Vendor Advisory Committee - Sharoll Jackson**
 - A. Minutes of the October 7th Meeting

- 1 Old Business/New Business**
 - A. Board and Committee Meeting Attendance Sheets
 - B. Board and Committee Meetings Time Report
 - C. Updated Acronyms Listing
 - D. Meeting Evaluation

Announcements/Information/Public Input

- A. Next Town Hall: Thursday, October 21st at 1:30 p.m. via Zoom “Personal Safety & Disaster Preparedness” by L. Vance Taylor, Chief, Office of Access & Functional Needs at California Governor’s Office of Emergency Services.
- B. Next Meeting: Wednesday, November 10th at 6:30 p.m. at Chatsworth Office or Zoom.

23. Adjournment



Board Resolution

For City National Bank's Supersedure Agreement (Business)

Resolved that, at a meeting of The North Los Angeles County Regional Center, Inc. Board of Trustees held on the 13th day of October 2021, in accordance with the laws and by-laws of the above organization, City National Bank is authorized to remove Kim Rolfes, Deputy Director-Chief Financial Officer as Authorized Signer from all accounts of the North Los Angeles County Regional Center presently open under the Account Agreement with City National Bank, effective and including **December 29, 2021**. See Schedule A.

Resolved that the Board of Trustees instructs City National Bank to add the following person as Authorized Signer to all accounts of the North Los Angeles County Regional Center presently or hereafter opened under the Account Agreement with all associated rights and authority, effective **October 13, 2021**:

Alan Darby, Chief Financial Officer

Further resolved that the authorization is in addition to any other authorizations in effect and will remain in full force until the Bank receives written notice of revocation at the address(es) and manner designated by City National Bank.

Schedule A

No.	Account Description	Account Number
1	Business Checking Account	XXXXXX326
2	Payroll Account	XXXXXX334
3	Flexible Spending Account	XXXXXX342
4	Consumer Group Account	XXXXXX369
5	Dedicated Consumer Account	XXXXXX104
6	Help Fund/Donation Account	XXXXXX350
7	Restricted Prevention Funds Account	XXXXXX395
8	Medicaid Provider Relief Funds	XXXXXX766

Certification by Secretary: I certify that (1) I am the Secretary of North Los Angeles County Regional Center ; and (2) the foregoing Resolution is a complete and accurate copy of the resolution duly adopted by the North Los Angeles County Regional Center's Board of Trustees; and (3) the Resolution is in full force and has not been revoked or changed in any way.

Lillian Martinez, Board Secretary

October 13, 2021

Date

RECITALS

A. **NORTH LOS ANGELES COUNTY REGIONAL CENTER, INC.**, a corporation duly organized and existing under the laws of the State of California (“Corporation”), will be benefited and its corporate purpose will be served by obtaining loans, advances and/or extensions of credit and other financial accommodations from **City National Bank**, a national banking association (“CNB”), and this Corporation desires to obtain present or future credit and other financial accommodations from, and/or grant security to, CNB; and

B. If this Corporation is doing business under a fictitious business name, the Corporation has filed and published a fictitious business name statement doing business as N/A and the fictitious business name statement, a copy of which is attached, is currently in full force and effect.

C. This Corporation desires that certain officers be authorized to act on its behalf, from time to time, in obtaining such credit from, and/or granting security to, CNB.

NOW, THEREFORE, BE IT RESOLVED THAT:

1. **AUTHORIZATION.** Any two (2) of the following officers of this Corporation are hereby authorized, empowered and directed to act in accordance with the terms of these Resolutions effective through December 29, 2021:

<u>Ruth Janka</u> Authorized Person Name	<u>Executive Director</u> Title
<u>Kim Rolfes</u> Authorized Person Name	<u>Deputy Director - Chief Financial Officer</u> Title
<u>Alan Darby</u> Authorized Person Name	<u>Chief Financial Officer</u> Title

2. **AUTHORIZATION.** Any two (2) of the following officers of this Corporation are hereby authorized, empowered and directed to act in accordance with the terms of these Resolutions effective through December 30, 2021:

<u>Ruth Janka</u> Authorized Person Name	<u>Executive Director</u> Title
<u>Alan Darby</u> Authorized Person Name	<u>Chief Financial Officer</u> Title

3. **OBTAIN CREDIT.** From time to time, with or without security, to obtain credit and other financial accommodations from CNB, and/or grant security for such credit or other financial accommodations, upon such terms as such officer(s), as the case may be, shall approve.

4. **SCOPE OF AUTHORITY.** Without limiting the generality of the authority granted, such officer(s) designated in Paragraph 1 above, as the case may be, are authorized, empowered and directed, from time to time, in the name and on behalf of the Corporation, to:

4.1. **Incur Indebtedness.** Incur Indebtedness to CNB. The word "Indebtedness" as used herein means all debts, obligations and liabilities, currently existing or now or hereafter made, incurred or created, whether voluntary or involuntary and however arising or evidenced, whether direct or acquired by assignment or succession, whether due or not due, absolute or contingent, liquidated or unliquidated, determined or undetermined, and whether liability is individual or joint with others, all renewals, extensions and modifications thereof, and any interest rate swap or similar agreement entered into by this Corporation and all attorneys' fees and costs incurred (or allocable to CNB's in-house counsel) in connection with the negotiation, preparation, workout, collection and enforcement thereof, whether or not a lawsuit is filed;

4.2. **Execute Documents.** Execute, deliver and endorse with respect to Indebtedness to CNB, promissory notes, loan agreements, drafts, applications and agreements for letters of credit, acceptance agreements, foreign exchange documentation, International Swaps and Derivatives Association (ISDA) master agreements, schedules, and credit support documentation, indemnities, waivers, purchase agreements and other financial undertakings, and other documents and agreements in connection therewith, and all renewals, extensions or modifications thereof;

4.3. **Grant Security Interest.** Grant security interests in, pledge, assign, transfer, endorse, mortgage or otherwise hypothecate to CNB and execute security or pledge agreements, financing statements and other security interest perfection documentation, mortgages and deeds of trust on, and give trust receipts for, any or all property of this Corporation as may be agreed upon by any authorized officer(s) as collateral security for any or all Indebtedness of this Corporation and grant and execute renewals, extensions or modifications thereof;

4.4. **Negotiable Instruments.** Sell to, or discount or rediscount with CNB all negotiable instruments, including, without limitation, promissory notes, commercial paper, drafts, accounts, acceptances, leases, chattel paper, contracts, documents, instruments or evidences of debt at any time owned, held or drawn by this Corporation, and draw, endorse, or transfer any of such instruments or documents on behalf of this Corporation, and execute and deliver to CNB all documents and agreements in connection therewith, and all renewals, extensions or modifications thereof;

4.5. **Loan Proceeds.** Direct the disposition of the proceeds of any credit extended by CNB, and deliver to CNB, and accept from CNB delivery of, any property of this Corporation at any time held or to be held by CNB; and

4.6. **Appoint Persons.** Appoint persons to act on behalf of this Corporation to transact any and all acts authorized in Paragraphs 4.1 through 4.5 above. Any

appointments made by any of the authorized officer(s) named herein may be conclusively relied upon by CNB until CNB is advised otherwise in writing by any of the so named authorized officer(s).

5. **WRITINGS**. Any instruments, documents, agreements or other writings executed under or pursuant to these resolutions (collectively, the "Resolutions") may be in such form and contain such terms and conditions as may be required by CNB in its sole discretion, and execution thereof by any officer(s) or other person authorized under the Resolutions shall be conclusive evidence of such officer(s) or such other appointed person's and this Corporation's approval of the terms and conditions thereof.

6. **REQUESTS FOR CREDIT**. Credit may be requested by this Corporation from CNB in person, in writing, by telephone, or by other method acceptable to CNB. This Corporation recognizes and agrees that CNB cannot effectively determine whether a specific request purportedly made by or on behalf of this Corporation is actually authorized or authentic. As it is in this Corporation's best interest that CNB extend credit in response to these forms of requests, this Corporation assumes all risks regarding the validity, authenticity and due authorization of any request purporting to be made by or on behalf of this Corporation. This Corporation is hereby authorized and directed to repay any credit that is extended by CNB pursuant to any request which CNB in good faith believes to be authorized, or when the proceeds of any credit are deposited to the account of this Corporation with CNB, regardless of whether any individual or entity other than this Corporation may have authority to draw against such account.

7. **RATIFICATION/AMENDMENT**. The authority given under the Resolutions shall be retroactive and any and all acts so authorized that are performed prior to the Resolutions' formal adoption are hereby ratified and affirmed. In the event two or more resolutions of this Corporation are currently in effect, the provisions of each shall be cumulative, unless the latest shall specifically provide otherwise. The authority given hereby shall remain in full force and effect, shall apply with equal force and effect to the successors of the officer(s) named herein, and CNB is authorized and requested to rely and act thereon, until CNB shall have received a certified copy of a further resolution of the officer(s) of this Corporation amending, rescinding or revoking the Resolutions.

8. **NO LIMITATION BY THIS RESOLUTION**. Nothing contained in this Resolution shall limit the authority of any person to act on behalf of this Corporation as provided by law, by any agreement or authorization relating to this Corporation or otherwise.

CERTIFICATION

I, Lillian Martinez, Secretary of NORTH LOS ANGELES COUNTY REGIONAL CENTER, INC., a corporation incorporated under the laws of the State of California ("Corporation"), do hereby certify that the foregoing is a full, true and correct copy of Resolutions of the Board of Directors of the Corporation, duly and validly adopted by the Board of Directors as required by law, and by the by-laws of the Corporation.

I further certify that the Resolutions are still in full force and effect and have not been amended or revoked, and that the specimen signatures appearing below are the signatures of the officers authorized to sign for this corporation by virtue of these Resolutions.

AUTHORIZED SIGNATURE[S]:

Kim Rolfes, Deputy Director-
Chief Financial Officer

Ruth Janka, Executive Director

Alan Darby, Chief Financial
Officer

IN WITNESS WHEREOF, I have hereunto set my hand as Secretary of
the Corporation this 13th day of October, 2021.

By: _____
Lillian Martinez, Secretary

Form of Direction - Authorized Signers (Institutional Customer) (For use with a benefit plan)

Regarding the Customer

This form applies to the U.S. Bank National Association ("USBNA") Institutional Trust & Custody division ("IT&C") account identified below (the "Account"), which USBNA maintains under a fully-executed trust agreement with North Los Angeles County Regional Center (the "Customer"), as may be amended from time to time (the "Agreement"). This form also applies to any sub-accounts in the Account (each, a "Sub-account"), except to the extent indicated in this form to the contrary. All fields in this form are mandatory.

Account Name: North Los Angeles County Regional Center Post-Retirement Medical Trust

Account Number: XXXXXX3500

The Customer hereby:

1. **Plan Administrator.** Represents and warrants that (**check only one**):

The Plan Administrator (as defined in the Agreement) is the Customer and is not a committee of the Customer.

The Plan Administrator (as defined in the Agreement) is not the Customer but is rather a committee of the Customer.

2. **Customer's Employees or Members.** Identifies each employee (or, if the Customer is a board of trustees, then each member) of the Customer who is authorized to act on the Customer's behalf under the Agreement and any limits on that authority:

Full legal name: _____
(First Name) (Middle Name) (Last Name)

Title: Chief Financial Officer

Street address: 9200 Oakdale Avenue, Suite 100
Chatsworth, CA 91311

Phone number: _____

Email address: _____

Signature: _____

Authority to select investments? Yes No

Authority to appoint investment managers? Yes No

Authority to direct withdrawals to pay

benefits, taxes, and other expenses? Yes; no limit Yes, up to \$ _____ No

And authorizes (**check only one**):

Each individual identified above acting alone

Any two (2) individuals identified above acting together
To exercise such authority.

3. Certifies that the information provided above is complete and correct; acknowledges that USBNA will rely on this form until USBNA receives notice to the contrary pursuant to the Agreement; represents and warrants that the Customer provides this form according to the terms of the Agreement and applicable law; and, with respect to the person who signs this form's signature-block below, attaches a secretary's certificate (or, if the Customer is not a corporation, then a similar document from an officer exercising similar authority) as an **exhibit** hereto.

4. FOR AN EXISTING ACCOUNT (**check only one**):

A. Amends and restates the Existing Authorized-signers Form in its entirety.

Form of Direction – Authorized Signers (Customer)

- B. (i) Amends the Existing Authorized-signers Form in part, by (**check one or both**):
- removing _____ (full legal name) therefrom
 - adding authorization thereto as set forth above and (ii) represents and warrants that the Existing Authorized-signers Form is attached as an **exhibit** hereto.

Execute Form

An authorized officer of the Customer (and not an attorney-in-fact or third-party agent on behalf of the Customer) hereby executes this form.

THE CUSTOMER (AS DEFINED IN THIS FORM)

By: _____
(Signature of the Customer's authorized officer)

(Printed name of the Customer's authorized officer)

Its: _____
(Title of the Customer's authorized officer)

Dated: 09/22/2021

U.S. Mailing Address: 9200 Oakdale Avenue, Suite 100
Chatsworth, CA 91311

Form of Direction - Authorized Signers (Institutional Customer) (For use with a benefit plan)

Regarding the Customer

This form applies to the U.S. Bank National Association ("USBNA") Institutional Trust & Custody division ("IT&C") account identified below (the "Account"), which USBNA maintains under a fully-executed trust agreement with North Los Angeles County Regional Center (the "Customer"), as may be amended from time to time (the "Agreement"). This form also applies to any sub-accounts in the Account (each, a "Sub-account"), except to the extent indicated in this form to the contrary. All fields in this form are mandatory.

Account Name: North Los Angeles County Regional Center Post-Retirement Medical Trust

Account Number: XXXXXX3500

The Customer hereby:

1. **Plan Administrator.** Represents and warrants that (**check only one**):

The Plan Administrator (as defined in the Agreement) is the Customer and is not a committee of the Customer.

The Plan Administrator (as defined in the Agreement) is not the Customer but is rather a committee of the Customer.

2. **Customer's Employees or Members.** Identifies each employee (or, if the Customer is a board of trustees, then each member) of the Customer who is authorized to act on the Customer's behalf under the Agreement and any limits on that authority:

Full legal name: _____
(First Name) (Middle Name) (Last Name)

Title: _____

Street address: _____

Phone number: _____

Email address: _____

Signature: _____

Authority to select investments? Yes No

Authority to appoint investment managers? Yes No

Authority to direct withdrawals to pay

benefits, taxes, and other expenses? Yes; no limit Yes, up to \$ _____ No

And authorizes (**check only one**):

Each individual identified above acting alone

Any two (2) individuals identified above acting together
To exercise such authority.

3. Certifies that the information provided above is complete and correct; acknowledges that USBNA will rely on this form until USBNA receives notice to the contrary pursuant to the Agreement; represents and warrants that the Customer provides this form according to the terms of the Agreement and applicable law; and, with respect to the person who signs this form's signature-block below, attaches a secretary's certificate (or, if the Customer is not a corporation, then a similar document from an officer exercising similar authority) as an **exhibit** hereto.

4. FOR AN EXISTING ACCOUNT (**check only one**):

A. Amends and restates the Existing Authorized-signers Form in its entirety.

Form of Direction – Authorized Signers (Customer)

B. (i) Amends the Existing Authorized-signers Form in part, by (**check one or both**):

removing Kim L. Rolfes (full legal name) therefrom

adding authorization thereto as set forth above and (ii) represents and warrants that the Existing Authorized-signers Form is attached as an **exhibit** hereto.

Execute Form

An authorized officer of the Customer (and not an attorney-in-fact or third-party agent on behalf of the Customer) hereby executes this form.

THE CUSTOMER (AS DEFINED IN THIS FORM)

By: _____
(Signature of the Customer's authorized officer)

(Printed name of the Customer's authorized officer)

Its: _____
(Title of the Customer's authorized officer)

Dated: 12/29/2021

U.S. Mailing Address: 9200 Oakdale Avenue, Suite 100
Chatsworth, CA 91311

Form of Direction - Authorized Signers (Institutional Customer) (For use with a benefit plan)

Regarding the Customer

This form applies to the U.S. Bank National Association ("USBNA") Institutional Trust & Custody division ("IT&C") account identified below (the "Account"), which USBNA maintains under a fully-executed trust agreement with North Los Angeles County Regional Center (the "Customer"), as may be amended from time to time (the "Agreement"). This form also applies to any sub-accounts in the Account (each, a "Sub-account"), except to the extent indicated in this form to the contrary. All fields in this form are mandatory.

Account Name: North LA County Regional Center CALPERS Unfunded Accrued Liability Contribution Trust

Account Number: XXXXXX-000

The Customer hereby:

1. **Plan Administrator.** Represents and warrants that (**check only one**):

The Plan Administrator (as defined in the Agreement) is the Customer and is not a committee of the Customer.

The Plan Administrator (as defined in the Agreement) is not the Customer but is rather a committee of the Customer.

2. **Customer's Employees or Members.** Identifies each employee (or, if the Customer is a board of trustees, then each member) of the Customer who is authorized to act on the Customer's behalf under the Agreement and any limits on that authority:

Full legal name: _____
(First Name) (Middle Name) (Last Name)

Title: Chief Financial Officer

Street address: 9200 Oakdale Avenue, Suite 100
Chatsworth, CA 91311

Phone number: _____

Email address: _____

Signature: _____

Authority to select investments? Yes No

Authority to appoint investment managers? Yes No

Authority to direct withdrawals to pay

benefits, taxes, and other expenses? Yes; no limit Yes, up to \$ _____ No

And authorizes (**check only one**):

Each individual identified above acting alone

Any two (2) individuals identified above acting together
To exercise such authority.

3. Certifies that the information provided above is complete and correct; acknowledges that USBNA will rely on this form until USBNA receives notice to the contrary pursuant to the Agreement; represents and warrants that the Customer provides this form according to the terms of the Agreement and applicable law; and, with respect to the person who signs this form's signature-block below, attaches a secretary's certificate (or, if the Customer is not a corporation, then a similar document from an officer exercising similar authority) as an **exhibit** hereto.

4. FOR AN EXISTING ACCOUNT (**check only one**):

A. Amends and restates the Existing Authorized-signers Form in its entirety.

Form of Direction – Authorized Signers (Customer)

- B. (i) Amends the Existing Authorized-signers Form in part, by (**check one or both**):
- removing _____ (full legal name) therefrom
 - adding authorization thereto as set forth above and (ii) represents and warrants that the Existing Authorized-signers Form is attached as an **exhibit** hereto.

Execute Form

An authorized officer of the Customer (and not an attorney-in-fact or third-party agent on behalf of the Customer) hereby executes this form.

THE CUSTOMER (AS DEFINED IN THIS FORM)

By: _____
(Signature of the Customer's authorized officer)

(Printed name of the Customer's authorized officer)

Its: _____
(Title of the Customer's authorized officer)

Dated: 09/22/2021

U.S. Mailing Address: 9200 Oakdale Avenue, Suite 100
Chatsworth, CA 91311

Form of Direction - Authorized Signers (Institutional Customer) (For use with a benefit plan)

Regarding the Customer

This form applies to the U.S. Bank National Association ("USBNA") Institutional Trust & Custody division ("IT&C") account identified below (the "Account"), which USBNA maintains under a fully-executed trust agreement with North Los Angeles County Regional Center (the "Customer"), as may be amended from time to time (the "Agreement"). This form also applies to any sub-accounts in the Account (each, a "Sub-account"), except to the extent indicated in this form to the contrary. All fields in this form are mandatory.

Account Name: North LA County Regional Center CALPERS Unfunded Accrued Liability Contribution Trust

Account Number: XXXXXX-000

The Customer hereby:

- Plan Administrator.** Represents and warrants that (**check only one**):
 The Plan Administrator (as defined in the Agreement) is the Customer and is not a committee of the Customer.
 The Plan Administrator (as defined in the Agreement) is not the Customer but is rather a committee of the Customer.
- Customer's Employees or Members.** Identifies each employee (or, if the Customer is a board of trustees, then each member) of the Customer who is authorized to act on the Customer's behalf under the Agreement and any limits on that authority:

Full legal name: _____
(First Name) (Middle Name) (Last Name)

Title: _____

Street address: _____

Phone number: _____

Email address: _____

Signature: _____

Authority to select investments? Yes No

Authority to appoint investment managers? Yes No

Authority to direct withdrawals to pay

benefits, taxes, and other expenses? Yes; no limit Yes, up to \$ _____ No

And authorizes (**check only one**):

Each individual identified above acting alone

Any two (2) individuals identified above acting together
To exercise such authority.

- Certifies that the information provided above is complete and correct; acknowledges that USBNA will rely on this form until USBNA receives notice to the contrary pursuant to the Agreement; represents and warrants that the Customer provides this form according to the terms of the Agreement and applicable law; and, with respect to the person who signs this form's signature-block below, attaches a secretary's certificate (or, if the Customer is not a corporation, then a similar document from an officer exercising similar authority) as an **exhibit** hereto.
- FOR AN EXISTING ACCOUNT (**check only one**):
 A. Amends and restates the Existing Authorized-signers Form in its entirety.
 B. (i) Amends the Existing Authorized-signers Form in part, by (**check one or both**):

Form of Direction – Authorized Signers (Customer)

removing Kim L. Rolfes (full legal name) therefrom

adding authorization thereto as set forth above and (ii) represents and warrants that the Existing Authorized-signers Form is attached as an **exhibit** hereto.

Execute Form

An authorized officer of the Customer (and not an attorney-in-fact or third-party agent on behalf of the Customer) hereby executes this form.

THE CUSTOMER (AS DEFINED IN THIS FORM)

By: _____
(Signature of the Customer's authorized officer)

(Printed name of the Customer's authorized officer)

Its: _____
(Title of the Customer's authorized officer)

Dated: 12/29/2021

U.S. Mailing Address: 9200 Oakdale Avenue, Suite 100
 Chatsworth, CA 91311

Board Resolution

For US Bank

Resolved that, at a meeting of the North Los Angeles County Regional Center, Inc. Board of Trustees held on the 13th day of October 2021, in accordance with the laws and by-laws of the above organization, US Bank is authorized to remove Kim Rolfes, Deputy Director-Chief Financial Officer as Authorized Signer from all accounts of the North Los Angeles County Regional Center presently open under the Account Agreement with US Bank, effective and including **December 29, 2021**. See Schedule A.

Resolved that the Board of Trustees instructs US Bank to add the following person as Authorized Signer to all accounts of the North Los Angeles County Regional Center presently or hereafter opened under the Account Agreement with all associated rights and authority, effective **October 13, 2021**:

Alan Darby, Chief Financial Officer

Further resolved that the authorization is in addition to any other authorizations in effect and will remain in full force until the Bank receives written notice of revocation at the address(es) and manner designated by US Bank.

Schedule A

Account Description	Account Number
North Los Angeles County Regional Center Post-Retirement Medical Trust	XXXXXX3500
North Los Angeles County Regional Center CALPERS Unfunded Accrued Liability Contribution Trust	XXXXXX-000

Certification by Secretary: I certify that (1) I am the Secretary of North Los Angeles County Regional Center ; and (2) the foregoing Resolution is a complete and accurate copy of the resolution duly adopted by the North Los Angeles County Regional Center's Board of Trustees; and (3) the Resolution is in full force and has not been revoked or changed in any way.

Lillian Martinez, Board Secretary

October 13, 2021
Date

BOARD RESOLUTION
For “Form of Direction – Authorized Signers” Form

The North Los Angeles County Regional Center (“**NLACRC**”) Board of Trustees reviewed and discussed the US Bank “Form of Direction – Authorized Signers (Institutional Customer)(For Use with a benefit Plan)” for both the Post-Retirement Medical Trust (“**PRMT**”) and the “CalPERS Unfunded Accrued Liability Contribution Trust (“**UAL**”).

RESOLVED, that the NLACRC Board of Trustees hereby authorizes and designates any Officer of NLACRC to execute and deliver the “Form of Direction – Authorized Signers (Institutional Customer)(For Use with a benefit Plan)” on behalf of NLACRC. For purposes of this authorization, an “Officer” means NLACRC’s Executive Director, Deputy Director-Chief Financial Officer, Chief Financial Officer, Chief of Program Services, or Chief Organizational Developmental Officer, and no one else.

CERTIFICATION BY SECRETARY: I certify that: (i) I am the Secretary of the NLACRC; (ii) the foregoing Resolution is a complete and accurate copy of the Resolution duly adopted by Board of Trustees; iii) the Resolution is in full force and has not been revoked or changed in any way.

Lillian Martinez, Board Secretary

September 29, 2021

NLACRC
Administrative Affairs Committee
CRITICAL CALENDAR
FY 2021-22

<i>Month</i>	<i>Activity</i>
<i>July</i>	AA Orientation for new committee. Review policies & procedures, board audit section, and meeting schedule. C Review center's contract with DDS. C Are there any changes to the contract that require committee attention? C Has the contract been signed? F Review approved critical calendar for new fiscal year. F Status report on credit line and cash flow. HR Review 4 th quarter human resources report. L Quarterly legal update (executive session).
<i>August</i>	I Review Center's insurance coverage for the new fiscal year. PRMT Review 4 th quarter report on U.S. Bank transactions. UAL Review 4 th quarter report on U.S. Bank & Highmark transactions. AA Review action log from previous fiscal year. HR Ensure personnel policies in compliance with DDS contract.
<i>September</i>	F Review POS projection of surplus/deficit. HR Review 1 st quarter human resources report.
<i>October</i>	C Status report on lease agreements. L Quarterly legal update (in executive session).
<i>November</i>	PRMT Review 1 st quarter report on U.S. Bank transactions. UAL Review 4 th quarter report on U.S. Bank & Highmark transactions.
<i>December</i>	(The committee does not meet in December.)
<i>January</i>	F Review POS projection of surplus/deficit HR Review 2 nd quarter human resources report. L Quarterly legal update (in executive session).
<i>February</i>	F Review annual CPA audited financial statement. F Review management letter, if any. F Review management response to letter. F Review auditor's response to management response letter. PRMT Review 2 nd quarter report on U.S. Bank transactions. UAL Review 4 th quarter report on U.S. Bank & Highmark transactions.
<i>March</i>	L CPA presentation on IRS Form 990 tax return. HR Review 3 rd quarter human resources report.

<i>April</i>	F	Establish credit line, yes/no?
	L	Quarterly legal update (in executive session)
	F	Approve ARCA dues for next fiscal year
<i>May</i>	AA	Review and approve draft critical calendar for next fiscal year
	PRMT	Review 3 rd quarter report on U.S. Bank transactions
	UAL	Review 4 th quarter report on U.S. Bank & Highmark transactions.
	I	Recommend to the Board to authorize an officer to secure insurance in June for next fiscal year.
	F	Status report on credit line and cash flow
	F	Establish credit line for the budget year (following fiscal year)
<i>June</i>	(The committee does not meet in June.)	
<i>Monthly or as needed</i>	F	Review budget allocation from DDS
	F	Review budget amendments
	AA	Committee trainings
	F	Review statewide regional center POS Report
	F	Review contracts
	L	Update on pending litigation
	HR	Report on union-related issues
<u>LEGEND</u>		
AA:	Administrative Affairs	HR: Human Resources
C:	Contract	I: Insurance
PRMT:	Post-Retirement Medical Trust	L: Legal
		F: Fiscal
		<u>UAL: CalPERS Unfunded Accrued Liability Trust</u>

[ccal.202022] Revised: 09/29/2021



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REQUEST FOR PROPOSAL (RFP)

For a CPA to Serve NLACRC

Dated October 13, 2021

A. Overview of RFP:

North Los Angeles County Regional Center (“NLACRC”) Board of Trustees is seeking Certified Public Accountant (“CPA”) firms to perform annual audit and assurances; perform annual tax preparation services; and provide management consulting services for a five (5) year period, beginning with fiscal year ending 2021-2022 (July 1, 2021 through June 30, 2022) through fiscal year ending 2025-2026 (July 1, 2025 through June 2026).

NLACRC invites CPA firms, meeting the qualifications described below, to submit a proposal to NLACRC for consideration.

B. RFP Submission Period: October 14, 2021 through December 31, 2021

NLACRC will accept written proposals from CPA firms between the dates of October 14, 2021 through, and including December 31, 2021. No Proposals will be accepted after the deadline.

C. Background of NLACRC:

NLACRC is a private, nonprofit corporation, which contracts with the State of California’s Department of Developmental Services (“DDS”), to provide services and supports to persons with developmental disabilities and their families in the San Fernando, Santa Clarita, and Antelope Valleys. The Internal Revenue Services (IRS) has established NLACRC as a 501(c)(3) corporation.

NLACRC serves developmentally disabled consumers from infants to adults. Currently, NLACRC serves over 29,400 consumers in its catchment area.

Services and supports provided by NLACRC to our consumers include diagnostic, evaluation, case management, and early intervention services. In addition, NLACRC purchases services from over 900 entities in the community. The purchased services include, but are not limited to, out-of-home residential services, community-based day programs, transportation, independent living services, supported living services, Early Start services for children under the age of 3 years, family supports, such as day or respite, and behavioral intervention services.

NLACRC’s funding for both the operations of the regional center and the services purchased for consumers comes from the DDS. NLACRC’s budget for fiscal year 2021-2022 is \$717,313,141 (\$65,612,878 regional center operations and \$651,700,263 for purchase of services). NLACRC anticipates similar and/or increased funding from DDS over the next five (5) years.



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More information regarding NLACRC and the services provided by NLACRC can be found on NLACRC's website at www.nlacrc.org.

D. Relationship with previous CPA Firm:

Effective March 24, 2011, the State of California's legislature enacted new statute, Welfare and Institutions Code ("WIC"), section 4639, which states that regional centers shall not use the same accounting firm more than five times in every ten year period.

NLACRC is required to change audit firms beginning with its 2011-2012 fiscal year (July 1, 2011 through June 30, 2012) in order to be in compliance with statute, and thereafter, NLACRC must change its audit accounting firm every five (5) years. Further, NLACRC's Board of Trustee policy requires a RFP process to select a new audit accounting firm at least every five (5) years to comply with WIC, section 4639. The previous five (5) year term with our CPA firm ended with NLACRC's fiscal year ending June 30, 2021.

E. Qualifications of CPA Firms

NLACRC is seeking a CPA firm who provides a full range of capabilities and specialized expertise, including, but not limited to, audit and assurance, tax and accounting services, business advisory services, training services, and has a long standing reputation of integrity, independence, and professional excellence. The CPA firm shall be committed to providing quality audit and assurance and tax preparation services and shall demonstrate that all engagements are conducted in accordance with standards set by the American Institute of Certified Public Accountants ("AICPA") with a philosophy based on integrity, independence, and objectivity. The CPA firm shall be registered with the Public Company Accounting Oversight Board ("PCAOB") and be members of the American Institute of CPA's ("AICPA"). The CPA firm should demonstrate sound quality control systems comprised of internal inspections, peer reviews, and regular audits by the PCAOB. Audit partners and managers shall demonstrate expertise and experience in audits, reviews and compilations of financial statements, as well as tax returns for corporate clients, including exempt organizations. The CPA firm shall demonstrate that audit partners and managers have professional affiliations/membership with the AICPA and the California Society of Certified Public Accountants ("CalCPA"). Additionally, audit partners and managers shall have an "active" license status with the California Board of Accountancy. The CPA firm shall demonstrate ongoing investment in recruiting and retention of their staff and the CPA firm shall demonstrate ongoing technical training, coaching, mentoring, and professional development programs for its staff to ensure that the services are provided by the most qualified and competent professionals.

F. Services Required of CPA Firm:

NLACRC is seeking a CPA firm that has experience working with nonprofit organizations. Since NLACRC also receives federal awards, the CPA firm should also have significant experience with Government Auditing Standards and Office and Management Budget (OMB) Circular A-133.



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1. The following services are required of the audit firm:
 - a. Annual audit and assurances
 - b. Reports required under government auditing standards and OMB Circular A-133
 - c. Tax preparation services
 - d. Management consulting services
 - e. Annual Training on Financial Statements for NLACRC's Board of Trustees

2. At the conclusion of the audit, the following published reports or information returns are required:
 - a. Independent auditors' report
 - b. Financial statements and footnotes
 - c. Schedule of expenditures and federal awards
 - d. 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
 - e. Independent auditors' report on compliance with requirements that could have a direct and material effect on each major program and on internal control over compliance in accordance with OMB Circular A-133
 - f. Schedule of findings and questioned costs
 - g. Schedule of prior year recommendations
 - h. Internal Revenue Service Form 990 and related schedules
 - i. California Exempt Organization Annual Information Return, Form 199
 - j. California Registry of Charitable Trusts Form RRF-1

3. The desired audit schedule for the fiscal year ending June 2022 (July 1, 2021 through June 30, 2022), and in the subsequent four (4) fiscal years thereafter, is as follows:
 - a. Books closed and trial balances ready by July 31st
 - b. Fieldwork during October/November
 - c. Draft financial statements and audit reports presented to the Center's Administrative Affairs Committee (Audit Committee) on the last Wednesday during the month of February
 - d. Final financial statements and audit reports presented to the Center's Board of Trustees on the second Wednesday during the month of March
 - a. Final financial statements and audit reports provided to DDS no later than April 1st, pursuant to WIC, section 4639(a)
 - e. Annual Financial Statement training to the Board of Trustees on the second Wednesday during the month of March
 - f. Draft Tax Returns presented to the Center's Administrative Affairs Committee on the last Wednesday during the month of March
 - g. Final Tax Returns presented to the Center's Board of Trustees on the second Wednesday during the month of April



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G. Information to include in Proposal (See Attachment C):

1. Statement of the CPA firm's understanding of the services to be provided to NLACRC
2. The CPA firm's experience and qualifications in working with nonprofit organizations similar to NLACRC
3. CPA firm's organization and qualifications and experience of audit partners, managers, and staff who would be responsible for this engagement
4. Peer review and registration information
5. Description of the CPA firm's approach to the audit, including a proposed time schedule
6. Fees for the audited financial statements, tax returns, and Board of Trustee financial statement training for each year of the five-year period. The proposal should contain the maximum fees to be charged for services during each fiscal year.

H. Proposal Preparation

The following information is provided to assist the CPA firm in preparing their proposal:

1. Attachment A: Proposal Writing Guidelines
2. Attachment B: Proposal Title Page
3. Attachment C: Table of Contents & Proposal Requirements
4. Attachment D: NLACRC's Audited Financial Statements for the Fiscal Year Ended June 30, 2020 (July 1, 2019 through June 30, 2020)
5. Attachment E: Management Letter
6. Attachment F: Reports Issued for NLACRC as Required by Government Auditing Standards and OMB A-133 for the Fiscal Year Ended June 30, 2020 (July 1, 2019 through June 30, 2020)
7. Attachment G: NLACRC's Tax Returns for the Year Ended 2019
8. Attachment H: Independent Auditor Protocols Published by the DDS on September 1, 1999.
9. Attachment I: WIC, Section 4639

I. Selection Timetable is as follows:

1. Applicants conference on Friday, November 5, 2021, 10:00am to 12:00pm
[\[Add Zoom Link Here\]](#)
Contact: Cheryl Blizin, Executive Administrative Assistant at 818-756-6121 or cblizin@nlacrc.org
2. Proposals due by Friday, December 31, 2021
3. Applicant interviews during the week of January 24, 2022 through January 28, 2022
4. Selection of applicant by Wednesday, March 9, 2022
5. The CPA firm selected should be ready to provide services beginning July 1, 2017



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J. Submission of Proposals

1. The applicant must submit the completed proposal to NLACRC by the deadline established by NLACRC in Section B.
2. Proposals must be emailed or mailed to NLACRC as follows:

North Los Angeles County Regional Center
 9200 Oakdale Avenue, Suite 100
 Chatsworth, CA 91311-6500
 Attention: Cheryl Blizin, Executive Administrative Assistant
 Email: Cblizin@nlacrc.org

K. Evaluation Criteria

Each proposal shall be organized into the following five (5) sections, which are described in Attachment C, Table of Contents and Proposal Requirements. Each section will receive a maximum score as follows:

Proposal Section	Maximum Score
CPA firm experience & qualifications in working with nonprofit organizations	20
Organizational chart and qualifications and experience of audit partners and managers and audit staff	20
Peer review and registration information	20
Description of CPA firms approach to audits, including a proposed time schedule	20
Fees for the audited financial statements, tax preparation, and training on financial statements for the Board of Trustees.	20
Total Maximum Points	100

The Selection Committee will use the above criteria to rate proposals submitted by CPA firms.

L. Eligible Applicants

All CPA firms meeting the qualifications as identified in the RFP are eligible to apply. Applicants, including members of the applicants governing board, must be in good standing with the California Board of Accountancy. Employees of Regional Centers are not eligible to apply. The CPA firm



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NLACRC utilized during the 5-year period of July 1, 2017 through June 30, 2021 is not eligible to apply pursuant to WIC section 4639 and DDS implementation guidelines published on June 16, 2011. Applicants that seek to hire or plan to hire the former CPA's audit team to conduct NLACRC's financial audits will be disqualified. Applicants must disclose any potential conflicts of interest.

M. Selection Procedures

All proposals received by the deadline will be reviewed and scored by the Selection Committee appointed by NLACRC's Board of Trustees. Proposals will be reviewed for timeliness, completeness, experience, qualifications, fiscal stability of applicant, reasonableness of costs, and the ability of applicant to provide the identified services required by NLACRC.

N. Reservation of Rights

NLACRC reserves the right to request or negotiated changes in a proposal, to accept all or part of a proposal, or to reject any or all proposals. NLACRC may, at its sole and absolute discretion, select no CPA firm for these services, if, in its determination, no applicant sufficiently meets the service need. NLACRC reserves the right to withdraw this Request for Proposal ("RFP") and/or any item within the RFP at any time without notice. NLACRC reserves the right to disqualify any proposal which does not adhere to the RFP guidelines. This RFP is being offered at the discretion of NLACRC. It does not commit the Regional Center to award this service.

O. Costs for Proposal Submission

Applicants responding to the RFP shall bear all costs associated with the development and submission of a proposal.

P. Inquiries/Request for Assistance

All additional inquiries regarding the application or requesting technical assistance should be directed to either Kim Rolfes, Deputy Director-Chief Financial Officer, at 818-756-6112; Alan Darby, Chief Financial Officer, at 818-534-5573; or Vini Montague, Director of Finance, at 818-756-6388. Technical assistance is limited to information on the requirements for preparation of the application packet. Applicants are expected to prepare the documentation themselves or retain someone to provide such assistance. If an applicant chooses to retain assistance from another party, the applicant must be able to thoroughly address all sections of the proposal during the interview process.



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ATTACHMENT A

NLACRC Request for Proposal (RFP) Writing Guidelines

A proposal may be disqualified from consideration for failure to: 1) follow instructions; 2) complete documents; 3) provide required documents; or 4) meet the submission deadline. All proposals submitted to NLACRC must adhere to the following requirements:

- Use standard size (8 ½ x 11) paper except for special charts, brochures, or schedules that require different size paper.
- Every page of the proposal must be numbered consecutively.
- The proposal title page (see Attachment B) must be the first page of the proposal.
- The proposal must include an executive summary
- The proposal must include a table of contents that corresponds to the proposal requirements (see Attachment C).
- All sections of the table of contents/proposal requirements must be clearly labeled and addressed in the proposal (see Attachment C).
- As applicable, include appendices for documents, such as resumes, certificates, schedules, letters of recommendation, peer review, etc.



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ATTACHMENT B

Proposal Title Page

TO: SELECTION COMMITTEE
Cheryl Blizin, Executive Administrative Assistant
North Los Angeles County Regional Center
9200 Oakdale Avenue, Suite 100
Chatsworth, CA 91311-6500
Email: cblizin@nlacrc.org

RE: **Submission of Proposal in Response to RFP for a CPA Firm**

NAME OF APPLICANT or ENTITY/ORGANIZATION SUBMITTING PROPOSAL *(please print)*

ADDRESS

CITY STATE ZIP
CODE

TELEPHONE NUMBER FAX NUMBER

Email address Website address

CONTACT PERSON FOR PROPOSAL *(please print)*

I affirm that the information presented in this application and proposal is true and that this proposal was developed and authored by authorized individuals of the CPA firm. I understand that any falsification of information; or failure to disclose any information regarding complaints leveled by the State Board of Accountancy or other regulatory authority; or failure to report a Conflict of Interest, will be cause for immediate disqualification. I also understand that failure to meet minimum qualifications as stated in the RFP, late proposal submissions, and incomplete proposals will also be cause for immediate disqualification. I further understand that, in the event that this proposal is selected by NLACRC, the proposal itself is not approved conclusively.

Applicant Signature Date

Printed Name of Applicant



ATTACHMENT C

Table of Contents & Proposal Requirements

1. Proposal Title Page

- a. See Attachment A.
- b. Provide the name, address, and contact information of the applicant.
- c. If the applicant is a corporation, list the principle members of the corporation and include verification of incorporation in California.

2. Executive Summary

- a. Provide an overview CPA of the CPA firm's understanding of the services to be provided to NLACRC.

3. CPA Firm's Experience & Qualifications in working with Nonprofit Organizations

- a. Provide an overview of the applicant's business, including an overview of services provided, business philosophy, business location(s), business hours, number of staff, mission statement, business history, etc.
- b. Detail your firm's experience in providing audit and assurance, tax and accounting services, and business advisory services with private, nonprofit organizations, as well as associations of a comparable size to NLACRC's organization.
 - i. If serving or served other regional centers, please list each regional center served
- c. Discuss the firm's independence with respect to NLACRC.
- d. Provide at least three (3) references from other similarly sized clients or from clients similar to NLACRC's organization of the partner and manager that will be assigned to NLACRC for reference purposes. Include address, telephone numbers, contact information, and a statement from the references permitting that references may be verified by NLACRC. Applicants should be aware the Selection Committee will contact references or other sources to corroborate any information provided in the proposal.
- e. Identify the three (3) largest clients your firm has lost in the past three years and the reasons.
- f. Describe how and why your firm is different from other firms being considered and why NLACRC's selection of your firm as our independent accountants is the best decision NLACRC could make.

4. Firm's Organization and Qualifications and Experience of Audit Partners and Managers and Staff



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- a. Attach an organizational chart that reports the supervisory hierarchy at your firm. The chart must include the names of any governing board members and advisory boards.
 - b. Identify the partner, manager, and in-charge accountant who will be assigned to NLACRC if your firm is successful in your bid.
 - c. Provide the number of staff that your firm employs
 - d. Provide biographies, licenses, job descriptions, and qualifications for the primary audit partners, managers, and in-charge accountant positions. Provide information regarding any complaints filed against them that have been leveled by the State Board of Accountancy or other regulatory authority, if any. Indicate any corrective actions that have been taken by the firm with respect to these individuals, if any.
 - e. Provide your process to recruit, train, and retain quality staff. Discuss commitments you will make to ensure staff continuity, including your staff turnover experience in the last three years.
 - f. Provide information on continuing education and training provided to your staff.
 - g. Provide information that demonstrates the audit partners and managers have professional affiliations/membership with the American Institute of Certified Public Accountants (“AICPA”) and/or the California Society of Certified Public Accountants (“CalCPA”).
- 5. Peer Review Information and Registration Information**
- a. Attach a copy of your most recent peer review report, the related letter of comments, and the firm’s response to the letter of comments.
 - b. Attach information that demonstrates that your firm is registered with the Public Company Accounting Oversight Board (“PCAOB”)
- 6. Attachment F: Description of CPA Firm’s Approach to Audits, Including a Proposed Time Schedule**
- a. Describe how your firm will approach the audit of NLACRC, including the use of any association or affiliate member firm personnel and the areas that will receive primary emphasis.
 - b. Discuss the firm’s use of technology in the audit.
 - c. Discuss the communication process used by the firm to discuss issues with NLACRC’s management, Administrative Affairs Committee, and NLACRC’s Board of Trustees.
 - d. Discuss how the firm would work with NLACRC to resolve an auditing or accounting matter.
 - e. Provide a sample of audited financial reports and tax returns completed for other clients.
 - f. Provide a sample of the audit protocols typically utilized to ensure compliance with AICPA and GAAP



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- g. Provide a sample audit schedule to ensure that the timelines are met for completing NLACRC's audited financial statements and tax returns consistent with the timeline reported under Section F(3).

7. Attachment G: Fees for the Audited Financial Statements and Tax Preparation

- a. Provide your fee proposal for fiscal year 2022 through fiscal year 2026 assurance and audited financial statements, to include guarantees that can be provided regarding fee increases in future years.
- b. Provide your fee proposal for tax preparation for the tax years 2021 through 2025, to include guarantees that can be provided regarding fee increases in future years.
- c. Furnish standard billing rates for classes of professional services.
- d. Provide your fee proposal for annual Training on Financial Statements for NLACRC's Board of Trustees, to include guarantees that can be provided regarding fee increases in future years.



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ATTACHMENT D

NLACRC's Audited Financial Statements for the Fiscal Year ended June 30, 2020 (July 1, 2019 thru June 30, 2020)



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ATTACHMENT E

Management Letter issued to NLACRC for the Fiscal Year ended June 30, 2020 (July 1, 2019 thru June 30, 2020)



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ATTACHMENT F

**Reports issued for NLACRC as required by Government Auditing Standards
and OMB A-133 for the Fiscal Year ended June 30, 2020
(July 1, 2019 thru June 30, 2020)**



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ATTACHMENT G

NLACRC's Tax Returns for Year 2019 **(Fiscal Year July 1, 2019 thru June 30, 2020)**



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ATTACHMENT H

Independent Auditor Protocols published by the Department of Developmental Services on September 1, 1999



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ATTACHMENT I

Welfare and Institutions Code, Section 4639

Welfare and Institutions Code, Section 4639, Attached

Article III: Fiscal Provision, Section 8. Independent Financial Audit, of NLACRC's Agreement, number HD149012, with the Department of Developmental Services states the following:

Both parties to this contract recognize the specific requirements under the law as stated in WIC 4639 and the Single Audit Act of 1984, 31 U.S.C. 7501, et seq., and applicable Office of Management and Budget Circulars (A-122 and A-133 or as revised).

The Department of Developmental Services letter, dated June 16, 2011, to Regional Center Directors and Board Presidents, entitled "March 2011 Trailer Bill Language Affecting Regional Centers", page seven, states the following:

TBL Section 9: Section 4639 was amended to specify that, beginning in Fiscal Year (FY) 2011-12, the independent fiscal audit conducted pursuant to this section of law can not be completed by the same accounting firm more than five times in every 10 years.

Implementation: For the FY2011-12 audit, the regional center may not use an independent accounting firm that has been used five or more times in the previous ten years.



September 23, 2021

Ms. Ruth Janka
Executive Director, on behalf of the Board of Trustees
North Los Angeles County Regional Center
9200 Oakdale Ave., Suite 100
Chatsworth, California 91311

RE: Proposal for Strategic Planning Process

Dear Ruth, the Executive Committee, and Board of Trustees:

Thank you for the opportunity to support North Los Angeles County Regional Center in the Strategic Planning Process.

This proposal is based on our conversations (email exchanges with Ruth Janka and with the Executive Committee (09/10/21)) to continue pushing North Los Angeles County Regional Center's (NLACRC) long term vision to best meet the needs of individuals with developmental disabilities, and their families, served by NLACRC. In addition, this proposal is based on documents provided by NLACRC for this effort. This overview is a first step and can be adjusted or altered to best meet NLACRC's needs, information objectives and resources. We are excited about the project and look forward to continuing our work with North Los Angeles County Regional Center.

INTRODUCTION

North Los Angeles County Regional Center (NLACRC) supports the lives and empowerment of over 29,100 individuals with developmental disabilities, and their families, in the health districts of East Valley, San Fernando, and West Valley within the city of Los Angeles. It is the vision of NLACRC that Consumers and their family members have control and access to services, supports and opportunities in true partnership with the regional center and partner agencies.



Kinetic Flow Corp.
A Human Services Consulting Group

To achieve the vision, the organization focuses its efforts both outward on the community and its resources, as well as inward on the system and its functioning. Only through this dual focus, as recognized by the regional center's vision, and intentional planning, focus and execution, can the ideal be achieved.

As a continuing step in this direction, NLACRC seeks to an equitable and inclusive 3-year Strategic Plan.

Kinetic Flow has provided Strategic Planning, Resource Planning, and area-specific long-term planning and related services to a number of regional centers and is pleased to support North Los Angeles County Regional Center, and its Board of Trustees.

This proposal provides:

1. Strategic Planning Process – an overview of the planning process – pg 4
 2. Methodological Timeline – draft timeline for the project – pg 15
 3. Definitions and Clarifications – definitions of terms – pg 18
 4. Project Investment – project budget and notes – pg 20
 5. Confidentiality – pg 21
 6. Qualifications – pg 22
- Attachment A – In-depth qualifications

These documents provide a template feel for a standard Strategic Planning Process and have been customized to best fit the personality, needs and requirements of NLACRC as understood by Kinetic Flow from the information provided and conversations. However, as discussed, any truly effective and reflective Strategic Plan must be built to reflect NLACRC's community. Therefore, if adaptations to the process or process logistics need to be made to better meet the community's needs, these changes can be accommodated within the current scope of the project, as long as the scope of work is not significantly impacted. If the scope of work is significantly impacted a proposal or contract amendment may need to be made. No substantive changes will be made to any project parameters without Kinetic Flow providing full documentation to NLACRC and with the Board of Trustee, or their designated representative's, agreement.



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Again, we thank you for the opportunity to work with North Los Angeles County Regional Center. Please let me know if you have any questions or concerns.

Sincerely,

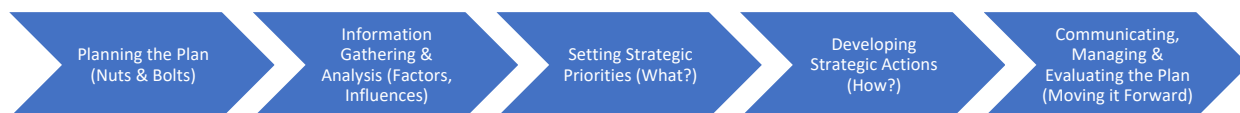
A handwritten signature in black ink that reads "Ami Sullivan". The signature is written in a cursive, flowing style.

Ami Sullivan
Director, Human Services Research



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I. Strategic Planning Process



North Los Angeles County Regional Center is at the nexus of cultural change, amidst increasing systemic pressures and external changes. As part of an effort to meet these challenges and create both the culture and operational structure that support these efforts, NLACRC is interested in creating a guiding Strategic Plan.

A Strategic Plan establishes a common vision, direction, and priorities for an organization and guides and communicates that vision, direction and priorities; it helps focus energy and resources, strengthens operations, and ensures that the Board, management, employees, and stakeholders are working towards common goals. Additionally, a strategic plan establishes agreement on intended outcomes and assesses and adjusts the organization's direction in response to the changing environment in which the regional center operates. Effective strategic planning articulates not only where an organization is going and the actions needed, but also how the organization will know if it is making progress and if it is successful in achieving those goals.

A Strategic Plan should be specific enough to help determine resource allocation and agency direction, as well as progress measurement, but so restrictive that regional center staff cannot effectively respond to the regional center's changing environment. A strategic plan should be a common guide and tool for the Board of Trustees, regional center Management and Employees, and community stakeholders; the plan and planning process should support and assist the regional center, not hinder or constrict its work.

The Strategic Planning Process, and resulting Strategic Plan, can be as extensive or simple as NLACRC decides is supportive and beneficial to the agency in moving forward; every regional center has a slightly different process and resulting document. Kinetic Flow can provide samples from a variety of regional centers, many of which can also be found on the regional centers' websites.



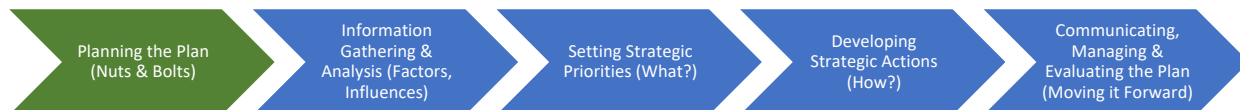
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The Strategic Planning Process is often implemented in five distinct phases, the depth and breadth of which may vary greatly depending on the type, nature, size and history of the organization and the reason the organization is conducting a Strategic Planning Process. Each of the five phases of the planning process poses a series of critical questions that will be addressed through the proposed activities within that phase. *The steps outlined in this document are common Strategic Planning Process Steps, however the describe activities are only one approach and the final scope and depth should be determined to best meet NLACRC's total needs.*

Typically, this process, and the phases, are a collaborative process between Kinetic Flow and the Strategic Planning Committee (typically members of the Board of Trustees, regional center Leadership, and select others as is constructive to an inclusive, productive process). As NLACRC has a standing Strategic Planning Committee, the existing Committee may be chosen as the liaison.



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Phase 1: Planning the Plan

Questions

- What is the purpose of engaging in a strategic planning process?
- What period of time will the strategic plan support? 3 yrs? 5 yrs? 10 yrs?
- Who should be involved in the planning process? Who are your stakeholders (anyone who is responsible for, affected by or has a vested interest in the outcome of your decisions)
- What process and methodology will be used?
- How will you provide opportunity for stakeholder input?
- What leadership structure will be used to plan, facilitate, and implement?

Activities

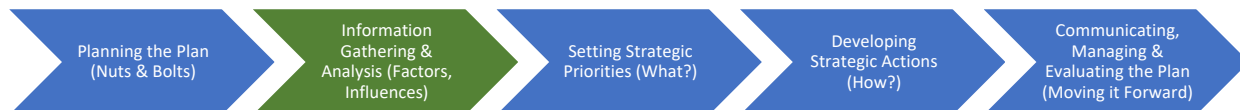
Kinetic Flow will meet with Strategic Planning Committee to clarify the needs, scope and desired outcomes of the strategic planning process and discuss key elements of process and methodology.

- ✓ As an outcome for Phase I, NLACRC will be able to establish a detailed methodology and timeline; creating a solid path towards developing and adopting a thoughtful, engaged Strategic Plan.

Progress to date: Per NLACRC's communications, NLACRC established criteria for the new Strategic Plan that indicates that the new plan be a 3-year Strategic Plan and include more outcome related benchmarks. Further, that the Strategic Planning Process should be inclusive of all stakeholder perspectives and that multiple methods of offering feedback should be made available. In addition, the Executive Committee asked for the "consultant" to provide regular check-ins with the regional center throughout the life of the plan.



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Phase 2: Information Gathering & Strategic Analysis

Questions

- What is important to the people you serve?
- What are the challenges and barriers people serve face in accessing services and supports from your organization? What are strengths of the organization from this perspective?
- What are the challenges and barriers staff face within the organization? What are strengths of the organization from this perspective?
- What are the challenges and barriers providers face in providing services and supports from your organization? What are strengths of the organization from this perspective?
- What is the current fiscal, social, and political context for your organization?
- What are the internal strengths and challenges of your organization?
- What are the external opportunities and barriers for your organization?
- How can this input inform your strategic thinking?

Activities

For North Los Angeles County Regional Center (NLACRC), as one of the 21 independent, state-funded regional centers designed to be responsive and responsible to its unique community and the individuals with developmental disabilities and their families who reside in those counties – the next phase, Information Gathering and Strategic Analysis, is vital.

Services and supports provided by and purchased by NLACRC involve a web of stakeholders – individuals and their families, service providers, NLACRC’s employees, and community members; it is only in and through partnerships with all of these organizations that people can be supported in the community in the way the regional center system envisions. In designing the Strategic Planning Process, these stakeholders must be incorporated. **Kinetic Flow will work with the Strategic Planning Committee to develop a robust Stakeholder Input and Insights plan, execute the plan gathering representative feedback, analyze the feedback.**



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Ideally*, Kinetic Flow envision this phase as including:

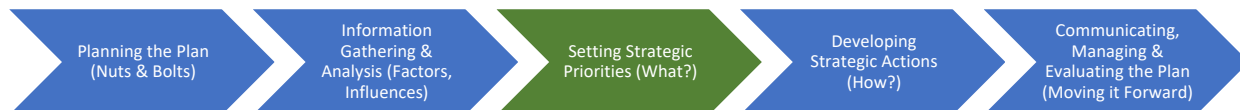
- Interviews with NLACRC Leadership, including Board President and Chair of the Strategic Planning Committee, and key leaders of stakeholder organizations as determined by the Strategic Planning Committee
- Online survey of the Board of Trustees members (may include current or current and past, depending on the Strategic Planning Committee)
- Online survey of regional center employees
- Online survey of service providers (and other community members as directed by NLACRC, including individuals who did not participate in in-person interviews)
- Digital survey (completed via smart phone, tablet, computers) and telephone interviews with individuals and families served by the regional center*.

*The scope of this phase is often budget driven and can be adjusted to best meet NLACRC's needs. Individual/Family input may be gathered through several methodologies (digital surveys, telephone interviews, focus groups, paper surveys, etc.), the number of avenues pursued is primarily dependent on the depth of responses represented and the budget.

- ✓ As an outcome for Phase II, NLACRC will have "heard" from their community Stakeholders – people served and their families, regional center staff, service providers, and community partners – what is important and vital to them, what challenges they encounter with the regional center, the strengths and weaknesses and priorities for the Strategic Plan. This phase ensures the Strategic Plan is inclusive and representative.



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Phase 3: Setting Strategic Priorities

Questions

- Do your Mission, Vision and Values Statements need to be updated?
- Does your Board and/Staff need to renew its Purpose Statement?
- What is your desired future state, based on what you have learned in the Information Gathering & Strategic Analysis Phase?
- What are five critical focus areas/priorities for the next 3-5 years?
- How will you know when you have been successful in these five areas?
- How will you measure progress?

Activities

Updating Mission, Vision and Values. Strategic planning determines where an organization is going, how it's going to get there and how it'll know if it got there or not. Effective strategic planning ensures alignment of organizational mission, vision and strategy. Without mission and vision, the plan exists in a vacuum. And organizations that develop plans without considering mission and vision often fail in their execution.

As a vital foundation, Kinetic Flow recommends with North Los Angeles County Regional Center's (NLACRC's) plan of starting the Strategic Planning Process with an overview of the process itself, but more importantly with a Facilitated One Day Retreat of the Board of Trustees and other key stakeholders. **Kinetic Flow will plan and facilitate a one-day Retreat to review, edit and renew North Los Angeles County Regional Center's Vision Statement, Mission Statement and Values.** The retreat will include group and table discussions, brainstorming and exercises to consider results of executive leadership interviews as they relate to mission, vision and values. Facilitated exercises will guide members through a process to reach consensus on these.



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Prioritizing Strategic Focus Areas. All information gathered in the first two phases will be presented to the Strategic Planning Committee, Board of Trustees (and other stakeholders) during a second One-Day Retreat. During the second retreat, the Board of Trustees and key stakeholder representatives will hear and discuss results of all activities from Phase 1.

Kinetic Flow will present a summary of results including emerging themes in the data. Retreat participants will consider input from surveys, focus groups, the environmental scan and SWOT/C analysis, and interviews as they consider emerging areas of critical focus. Consensus building methodologies will be used to identify criteria for selecting focus areas. Some criteria for determining critical focus areas may include 1) unmet needs of persons served by the regional center, 2) strategic issues with service providers/vendors, and 3) strategies to improve the efficiency and effectiveness of NLACRC staff. (Final criteria would be determined by NLACRC's Strategic Planning Committee.)

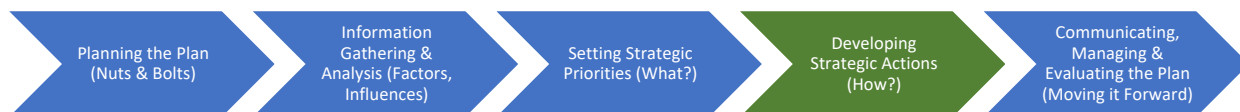
Please note, the retreat can be conducted as one long retreat, or two shorter retreats. Final recommendation for the structure of the retreat(s) will be discussed by the Strategic Planning Committee to determine what will work best for the community, given the participants, resources, and COVID-19 safe protocols. If it is determined to host two one-day retreats, the draft schedule will need amendment.

With focus areas selected, breakout groups of people served, vendors/providers and staff will create defining statements for each focus area, including a definition, key strategic issues that serve as justification for the focus area and a desired outcome that describes what will be achieved when successful. **These breakout groups can also begin the process of brainstorming possible strategies, goals and objectives associated with each focus area.**

- ✓ As an outcome of Phase III, North Los Angeles County Regional Center will have:
 - A new Vision, Mission and Values Statements that reflect the core of where NLACRC is today, where the organization would like to go and how the regional center would like to get there (what is believed in) for inclusion in the new three-year strategic plan.
 - A final list of focus areas and draft strategies that will be further refined in Phase 4.



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Phase 4: Developing Strategic Actions

Questions

- What measurable goals are needed to move you toward your desired future state?
- What operational steps will be documented in an action plan (who will do what, by when?)
- What annual milestones will be observed along the way to let you know if you are on track?
- Are you confident that your plan is *realistic* and *achievable*? It should be a stretch but not impossible.

Activities

Goals, objectives, strategies, and tactics are the cornerstone of every strategic plan. They are the roadmap for where the organization is going. They define what will be accomplished, by whom and by when. By having focused goals, objectives, strategies and tactics — coupled with a strong accountability system — an organization's likelihood of success is enhanced. Additionally, a key consideration in the execution of a strategic plan is the thoughtful selection of measures of success. A balance of quantitative and qualitative measures should be agreed to before finalizing the strategic actions to be implemented.

Additionally, it is possible that key people who will be responsible for implementing portions of the NLACRC strategic plan will not have been present at the planning retreat. To ensure efficiency, effectiveness, and optimal outcomes, it is recommended that focus area work groups be designated with representation from regional center staff who will have a role in implementing focus area activities.

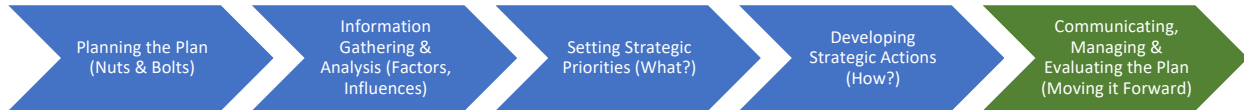
Kinetic Flow will convene facilitated workgroup meetings via webinar to review the proposed actions, flush out additional or revised actions, and determine what is positive and possible to implement with existing resources.

- ✓ As an outcome of Phase IV, North Los Angeles County Regional Center will have a is near final draft of Regional Center's new three-year Strategic Plan. At this stage, the



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Strategic Plan is ready for final review by the Board, Staff and selected key stakeholders.



Phase 5: Communicating, Managing and Evaluating the Plan

Questions

- How will you ensure that the Strategic Plan is a user-friendly working document?
- How will the Strategic Plan be transparent and visible to the community you serve?
- How will progress be evaluated and reported? How will you redirect if needed?
- How will the Strategic Plan be embedded in the work of the Board and Staff? (ex: job descriptions, performance evaluations, board development topics, etc.)
- How willing are you to engage in a 3 year cycle to update/renew your Strategic Plan?

Activities

Once NLACRC has a Strategic Plan, it is important to communicate that plan with all staff, service providers/vendors, and community stakeholders (DDS, SCDD, etc.) in order to further the shared vision and garner support for focus areas. Kinetic Flow will support NLACRC in creating a print-ready version and share materials, as well as creating a communication plan.

Kinetic Flow will consult with the Strategic Planning Committee to identify the operational needs to administer the strategic plan and assist with clarifying roles and responsibilities of an internal strategic planning team that will administer focus area leadership support, as well as information gathering and reporting activities for the plan.

- ✓ As an outcome of Phase V, North Los Angeles County Regional Center will have a plan on how to best introduce the plan to stakeholders ensuring everyone is on the same page, and to garner buy-in, as well as how (and when) to evaluate it at designated milestones/timelines.



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Follow-up and Ongoing Consultation

Per the Executive Committee, and as a standard practice, Kinetic Flow will be available throughout the Strategic Planning Process and throughout the active three-year Strategic Plan for questions, concerns, and consultation.

Specifically, Kinetic Flow will participate in a formal every 6-month check in through the life span of the Strategic Plan, sit in on Board meetings by request and be available to answer questions, assist with preparing for the annual presentation to the Board of Trustees and community, and address Strategic Plan related concerns.



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2. Methodological Timeline

The below is a *draft* timeline only intended to provide the Board of Trustees and regional center Leadership with what the flow of a typical Strategic Planning Process might look like. Dates are listed as approximate placeholders and will be adjusted to best fit individuals' schedules. Existing NLACRC dates, such as Board of Trustee meetings are incorporated and emailed availability dates. This timeline can be adjusted or revised at any time to best meet the needs of NLACRC, this timeline is primarily for conceptual purposes. Additionally, the activities and milestones correspond to typical Strategic Planning Processes but will need to be adjusted once NLACRC finalized what is right and best for all stakeholders. Kinetic Flow will work with NLACRC to develop a timeline of activities and dates that best meets the Board and regional center's needs/timelines.

- October 8th Executive Committee Meeting:** Provide proposed Strategic Plan Methodology and Timeline for Executive Committee Feedback; discuss logistics for Strategic Planning Committee.
- October 13th Board of Trustees Meeting:** Presentation of Strategic Plan Methodology and Timeline to full Board of Trustees for consideration and feedback, as well as address concerns and recruit initial interested individuals for Strategic Planning Committee
- October 23rd Kick off meeting of Strategic Planning Committee** to finalize methodology/timeline; clarify roles, responsibilities and schedule future committee meetings
- November 12th or 13th Propose (and finalize) One-on-One Interview Questions with Strategic Planning Committee** (email)
- November 29th – December 13th Conduct One-On-One Interviews with Executive Leadership.** Formal consultant interviews with the leaders of key stakeholder groups in the NLACRC geographic area, including the Board Executive Committee members, the NLACRC Executive Director, primary contact with the Department of Developmental Services, Disability Rights, Inc., the AREA Board, SCDD, several consumer rights advocacy groups, the Family Resource Network, and other stakeholders to be determined by the committee.



- December 20th** **Meeting with Strategic Planning Committee** to provide feedback on the One-on-One Interviews, propose survey methodology for gathering wider stakeholder feedback on Mission, Vision, Values, Priorities, SWOT, etc.
- January 7th** **Meeting with Strategic Planning Committee** to approve survey questions and potential participant list, as well as provide any additional dates (email)
- January 11th** **Launch Strategic Planning Surveys** (NLACRC Employees, Board of Trustees, Clients and Families, Vendors, and other Stakeholders)
- February 5th** **Close Strategic Planning Surveys**
- February 14th** **Meeting with Strategic Planning Committee** to provide an outline of the Retreat (March 9th) Agenda and proposed Outcomes
- March 9th** **Facilitate Board of Trustees Retreat:** In a group discussion facilitated by the consultant, board members and members of the Strategic Planning Committee will review and update the existing Mission Statement, Values and Vision Statement for inclusion in, and use in the formulation of, the new Strategic Plan, as well as initially determine the Priority Areas based on Stakeholder Feedback. Discussion of Priority Focus Areas and Goals.
- March 14th** **Meeting with Strategic Planning Committee** to provide feedback and status as of Retreat and review next steps.
- March 21st – April 22nd** **NLACRC Leadership Staff/Area Experts meet** to propose action items, goals and outcomes for priority areas
- April 13th** **Board of Trustees: Strategic Planning Update**
- April 25th** **Meeting with Strategic Planning Committee** to discuss status, draft strategic plan, and strategic plan deliverable logistics (look/feel/roll-out)
- May 13th** **Initial Draft of the Strategic Plan to the Strategic Planning Committee** (email)



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- May 23rd** **Meeting with Strategic Planning Committee** to review draft of plan
- May 30th** **Revised Draft of the Strategic Plan to the Strategic Planning Committee**
(email with draft and email feedback, unless Committee desires a conference call)
- June 8th** **Board presentation of the final strategic plan:** The consultant (or Strategic Planning Committee) will make a formal closing presentation to the board on the completed strategic planning process and written products.
- June 20th** **Meeting with Strategic Planning Committee** to discuss plan roll-out and presentation of plan to stakeholders – next steps (implementation, evaluation, etc.)



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3. Definitions and Clarifications

Strategic Planning - the process of examining, documenting and establishing a direction for your organization. The process assesses where the organization is (internal/external factors) and where the Board of Trustees wants the organization to go. The Strategic Plan records the Purpose, Vision, Mission, and Values Statements, as well as organizational long-term goals, action plans to achieve those goals and outcomes by which to assess the success/achievement of those goals. *

Purpose Statement – provides the reason or reasons the organization exists – the why. Some organizations combined this why into their Mission Statement. *At this time, NLACRC does not have a Purpose Statement.*

Vision Statement – provides a picture of what you want the future to look like, a statement that describes the effect of the difference you hope to enact for the organization or the community/world/environment/customers, etc. if the organization achieves its goals.

NLACRC current Vision Statement:

- *Consumers and their family members will have control over their supports and services.*
- *Consumers will have greater access to safe and affordable housing.*
- *Consumers and their families will receive innovative supports and services to meet existing and emerging needs.*
- *Consumers and their families will receive supports and services in true partnership with the regional center, providers, schools, health care, and other agencies.*
- *Consumers will have greater access to opportunities to work in non-sheltered settings.*

Mission Statement – defines what you do and for whom.

NLACRC current Mission Statement: *North Los Angeles County Regional Center, with integrity and transparency, provides lifelong partnerships and planning to persons with developmental disabilities by promoting their civil and personal rights, providing*



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comprehensive information, advocating in cooperation with consumers, promoting and providing quality services, and supporting full participation of consumers and families in all aspects of community life.

Values Statement - a list of core values/ethics and principles to which the organization adheres to and that make NLACRC unique; serves as a guide to behaviors for the organization. Most Value Statements have traditionally addressed internal behaviors (i.e. employee to employee), though some regional centers have chosen to use principles/ethics that guide the organization's behavior towards external customers, and some regional centers' Value Statements cover both internal and external.

NLACRC current Values Statement: *The Board of Trustees for North Los Angeles County Regional Center respects the rights of individuals with developmental disabilities. As such, the board will promote, protect, and advocate for consumers' rights by following these values as guiding principles in the board's policy development, decision making, and strategic planning.*

Values

- *Individual people with developmental disabilities:*
- *Have the same rights and responsibilities as other residents of their communities.*
- *Have the right to fully participate in all aspects of community life.*
- *Have the right to receive the highest quality of supports and services to meet their needs.*
- *Have the right to make their own decisions and be heard in respect to their life choices.*



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4. Project Investment (Budget)

Given the above project description and scope of work, the Project Investment is \$25,964.48. Please note, this cost is higher than an ongoing Strategic Planning Process, as this process also re-examines the Vision, Mission, and Values Statements, as well as designs project deliverables. Ongoing Strategic Planning efforts (future years) should be considerably less (approximately ½) than the below cost. For ease of understanding, the Project Investment is broken out into Phases aligned with the Strategic Planning Process.

Activity	Investment
Phase 1: Planning the Plan (Working session)	\$2,816.00
Phase 2: Information Gathering and Analysis (Working session, Leadership Interviews, Stakeholder Interviews, Surveys)	\$7,664.16
Phase 3: Setting Strategic Priorities (Retreat(s))	\$6,200.32
Phase 4: Developing Strategic Actions	\$4,892.00
Phase 5: Communicating, Implementing and Evaluating	\$2,592.00
Follow-up and Ongoing Consultation	\$1,800.00
Strategic Planning Total	\$25,964.48

Please note:

- Per our conversations, *Strategic Planning is a dynamic process and can be as involved and as in depth as need be or fairly simplistic, with costs ranging from \$6,000 - \$68,000 for regional centers. Per NLACRC's guidance, Kinetic Flow took a fairly moderate approach as a starting point for NLACRC, given the current climate and Board resources. The methodology and approach for the Strategic Plan design can be changed based on the needs and desired outcomes of NLACRC.*
- The Project Investment is constructed as a "not more than" cost; the contract will not exceed this total cost, unless there are significant changes to the scope of work.
- Kinetic Flow does not add a surcharge or overhead to any direct expenses.
- Translation expenses into Spanish for the stakeholder survey are included in the costs; translation for meetings (if necessary) and for the Strategic Plan itself will be supplied by NLACRC, unless contracted for separately or as an addendum.
- Hosting resources/expenses not directly related to facilitation for the retreat (such as food, participant travel, space, etc.) will be provided by NLACRC.
- Please note, Kinetic Flow will make every attempt to solicit feedback from all stakeholders but cannot guarantee participation as opting into a survey/interview effort is within the rights of each individual and organization.
- **Hours or direct expenses that are not utilized will not billed. Kinetic Flow, in partnership with North Los Angeles County Regional Center, is committed to cost-savings efforts when available.**



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5. Confidentiality

Data Security. Kinetic Flow has provided sample, data cleaning and validation services, in compliance with HIPAA requirements, on more than thirty projects for DDS, regional centers, and regional center vendored service providers, as well as for other States and private industry clients. As a data-based research firm, one of Kinetic Flow's core principles is strict and conservative information management standards – both prior to and since HIPAA regulations.

As a contractor, Kinetic Flow considers itself bound by the same laws, rules, regulations and courtesies extended to potential survey respondents as the agency we contract with. Further, one of the first tenants of respondent-based research is respecting and maintaining respondent confidentiality. Kinetic Flow maintains strict sample and data management standards, including adherence to HIPAA regulations and any state regulations regarding use of such data.

Further, Kinetic Flow and project partners recognize that, because all products and resources developed by way of this project are the result of public funds and as state property, Kinetic Flow and project partners do not have proprietary rights to products and resources.

Respondent Confidentiality. No information or documents gathered or used in this or any study will be released or published by Kinetic Flow. All interviewing involves the expressed or implied promise of confidentiality and anonymity for the respondent and the respondent's individual answers. The specific identity of individual respondents, including any information gathered through the process of this survey, including but not limited to names, addresses, telephone numbers, e-mail addresses, and fax numbers is confidential and protected information. Kinetic Flow does not disclose this information to clients or to anyone outside of our company who is not part of our confidentiality system.



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6. Qualifications

Please find in Attachment A, an overview of Kinetic Flow's qualifications.

Kinetic Flow is honored to have worked with six states on Centers for Medicare and Medicaid Services grants and has had the pleasure of working with all 21 of California's regional centers in some capacity.

In addition to having 20+ years' experience working with California's the regional center system, specific to this project, Kinetic Flow is pleased to have supported the following organizations in Strategic Planning Processes:

- Central California Opportunity Center – 2018 (with Pathways Facilitation)
- Committee on Sexuality for People with Developmental Disabilities
- Del Norte Mission Possible - 2020
- Golden Gate Regional Center – 2017, 2021
- Kings Valley Charter School - 2021
- North Bay Regional Center - 2021
- Redwood Coast Regional Center – 2006, 2010, 2014, 2015
- State Council on Developmental Disabilities (Environmental Scan for Merger for Area Boards) – 2002-05
- Tri-Counties Regional Center (Strategic Planning Support) – 2021, 2016
- Valley Mountain Regional Center – 2013 (with Pathways Facilitation), 2020-21

Additionally, Kinetic Flow has provided Strategic Planning training to the Board of Directors for:

- Alta California Regional Center
- North Bay Regional Center

ATTACHMENT A: QUALIFICATIONS OVERVIEW



With a 25+ year career spanning three companies and multiple fields, Ms. Sullivan is honored to have supported organizations in meeting the needs of the people they support and empower. In 2003, Ms. Sullivan founded Kinetic Flow, an independent research and consulting firm, to specialize in supporting health and human service organizations. Kinetic Flow's mission is to *enhance the quality of quality of life services* by quantifying the voice of the people served and other stakeholders for use in Service and Quality Enhancement/Improved Effectiveness & Efficiency and providing non-profit management consulting to empower and strengthen organizational Leadership and Operations.

Kinetic Flow's Core Competencies include:

Empowering Data-Driven Decision Making: Market Research
Organizational Development
Leadership and Staff Development
Business Development

The Kinetic Flow team, with over 40 years of combined person-centered research experience and related support services, has:

- Partnered with more than 50 non-profit organizations serving individuals in the fields of: developmental disabilities, mental health/behavioral needs, disadvantaged youth, and homelessness
- Provided non-profit consulting for 60+ projects/clients: Strategic Planning, Executive Director Review and Evaluation Processes, Succession Planning, Board of Directors Development, Funding Strategies, Team Building, and Competitive Insight/Market Analysis;
- Written grants and proposals for a number of state and non-profit organizations with awards of more than \$20 million;
- Conducted over 70,000 interviews of people receiving services from human service organizations;
- Conducted interviews and surveys with more than 5,000 with direct care staff and case managers; and
- Conducted interviews and surveys with more than 4,000 service providers in the field.

CORE COMPETENCIES

Organizational Development Leadership and Staff Development Empowering Data-Driven Decision Making: Research Business Development

- **Organizational Development.** Ms. Sullivan assists with organizational development, including, with strategic planning, consensus building, review of organizational structures, function, process and department alignment, meeting and retreat facilitation, training in areas of core competency, including Board of Directors development training, and timeline and resource planning.

In addition, as part of the overall Organizational Development assistance, Ms. Sullivan provides marketing, outreach and transparency assistance in creating marketing materials, writing and/or editing reports and communications (press releases, Executive Director Communications, newsletter articles, blogs, etc.).

Specific to strategic planning, Ms. Sullivan works with organizations to facilitate a multi-dimensional planning processes that incorporates external stakeholder feedback with internal feedback and hard metrics. Experience includes data gathering, goal setting, and facilitated consensus building. Ms. Sullivan has provided Organizational Development services on numerous projects throughout Oregon and California, as well as in additional states.

- **Leadership and Staff Development.** Supporting overall organizational development, Ms. Sullivan provides, staff development, succession planning, core competency management reviews and evaluation, 360 management processes, and training services, as well as development and training of Board of Directors. Ms. Sullivan has provided consulting services to private, non-profit and state agencies in Oregon, Arkansas, California, Louisiana, Nevada, and Washington D.C. Further, Ms. Sullivan advises clients on intentional, managed growth; leadership; and organizational cohesiveness to maximize organizational effectiveness, efficiency, and longevity.

- **Empowering Data-Driven Decision Making: Research.** While academically trained in business research at both University of California and Pepperdine University, Ms. Sullivan began her true research education at J.D. Power and Associates where, developing and designing research projects from the bottom up, including scope, sample, questionnaire design and development, data collection, data processing, analysis and reporting. Further, Ms. Sullivan also developed the experience and capacity to present findings, facilitate group analysis and drive data-driven decision making, consult on implementation of action items based on findings, and provide training on research fundamentals.

At J.D. Power and Associates, Ms. Sullivan acted as Project Director for more than 175 primary research projects, and acted as a Project Manager, Specialist or support staff on an additional 55 studies.

Upon leaving J.D. Power and Associates, Ms. Sullivan furthered her market research experience creating a niche industry, initially at XenologiX, and since 2003 as Founder of Kinetic Flow Corp. As lead of a market research niche industry, Ms. Sullivan was at the forefront of introducing the use of Market Research to non-typical social welfare systems, spearheading quality, efficiency and effectiveness studies, as well as conducting research into needs assessment trends to anticipate and meet the needs of the Baby Boomer, GenX, Xennials, and Millennial generations. Separately, Ms. Sullivan provided competitive analysis and insights for investor groups and private companies looking to expand the breadth or depth of their product offering or looking to introduce new products to market.

Through the use of online survey platforms, mobile device platforms, vended telephone interviews, mail and paper surveys, as well as utilization of qualitative interviews, panels, focus groups, and focused research, Ms. Sullivan has amassed vast experience utilizing sound research techniques to focus data driven thinking to:

- o Optimize identify business trends,
- o Drive strategic planning,
- o Focus process improvement,

- o Identify and capitalize on best/promising practices,
- o Identify areas for development for quality assurance/ improvement models, and
- o Drive measurable improvements in effectiveness and efficiency.

Fields of research have included: Emerging Technologies, Entertainment Health and Human Services, Homebuilders, Hospitality, Retail, and Automotive, though Ms. Sullivan has specialized in the Health and Human Services field.

- **Business Development.** Ami Sullivan has written more than 50 grants to solicit funding for new programs and expansion programs achieving awards of over \$20 million for clients. Fifteen of the grant responses were written to government agencies, both state and federal. Ms. Sullivan successfully saw these proposals through the government contracting process. Ms. Sullivan is experienced in all facets of grant / proposal writing, including submission of Concept Papers and Abstract Submissions, Budget Development, Writing and Editing, Review of Grant Submissions, and Proposal Management and Coordination. Ms. Sullivan has experience both working individually to develop, write and submit grant responses, as well as coordinating and managing up to fifteen partners or stakeholders on grant proposals. In 2009-10, the only year in which Ms. Sullivan applied for this status, Ms. Sullivan, as Founder of Kinetic Flow, was awarded status as an approved Grant Writing Partner for the Council on Quality and Leadership.

Additionally, Ms. Sullivan has authored numerous proposals, achieving awards of more than \$12 million for clients, as well as having authored 100+ proposals, achieving awards of more than \$14 million, with additional projects still pending. Ms. Sullivan develops the proposal, including researching and analyzing funding organizations, explores alternative resources creating Business Plans, and provides action plans and recommendations.

APPENDIX: PARTIAL PROJECT LIST

A partial list of project includes:

- Alta California Regional Center
 - 2019 Board of Directors Training: Succession Planning, Strategic Planning and Teambuilding
 - 2002-03 Consumer Satisfaction Study
 - 2002-03 Service Provider Satisfaction Study
- Arkansas' Department of Developmental Services
 - 2003 Oregon Technical Assistance Corporation (OTAC) Consultant: 2002 Centers for Medicare and Medicaid Services (CMS) Real Choice Systems Change Grant Funding Proposal: Arkansas One-Stop
 - 2003-07 Oregon Technical Assistance Corporation (OTAC) Consultant: 2002 Centers for Medicare and Medicaid Services (CMS) Real Choice Systems Change Grant Implementation Team
 - 2003 Division of Developmental Disabilities: Community Integration Personal Assistance Services and Supports (PASS) to Explore New Service Delivery Models (Goal Three) Funding Proposal
- Automotive Technical Research Group, LLC.
 - 2009 Grant Proposal to the U.S. Department of Energy, Advanced Research Projects Agency – Energy Funding Opportunity, Recovery Act
- Beginning Technologies
 - 2009 Grant Proposal to the U.S. Department of Energy, Advanced Research Projects Agency – Energy Funding Opportunity, Recovery Act
- California State Council on Developmental Disabilities
 - 2002-05 State Council on Developmental Disabilities, Area Boards on Developmental Services Merger Environmental Scan
- California State University Sacramento, Dept. of Applied Research
 - 2008 Movers Study, Survey Instrument Adaptations and Interviewer Training
- Central Valley Opportunity Center:
 - 2018 Strategic Planning (in partnership with Pathways Facilitation, et. Al)
- Chapman University
 - 2001 AAC Technologies, Quality of Life Studies
- CHANCE, Inc.
 - 2011 Client Management Database Solutions
 - 2009 Start-up Grant Funding Proposal to Bank of America
 - 2009 Client Satisfaction Evaluation
 - 2008 Roommate Matching Funding Proposal to State Council on Developmental Disabilities

- 2008 Client Satisfaction Evaluation
 - 2006 Housing Needs Assessment
- Chula Vista Bombers Baseball
 - 2009 Non-profit Start-up Consulting
- Committee on Sexuality for People with Developmental Disabilities
 - 1999 Strategic Planning Retreat and Facilitation
- Community Options, Inc.
 - 2005 Family Home Agency Service Delivery Review
 - 2003 Family Home Agency Service Delivery Review
- Competitive Insights
 - 1993-2003 Confidential Competitive Data Analysis for Market Strategies and Proposals
- Darkness to Light
 - 2003 Consulting: Stewards of Children Child Sexual Abuse Prevention Initiative Funding Proposal
- Del Norte Mission Possible
 - 2021-24 Strategic Planning Process/Strategic Plan
- Disability Navigators, Inc.
 - Disability Compass Funding Proposal to North West Healthcare Foundation
 - Disability Compass Funding Proposal to Meyers Foundation
- District of Columbia, Health and Human Services (Medical Assistance Administration)
 - 2005-06 Consumer-Directed Services Program Pilot
 - 2004-05 Consultant: Management of a Consumer Directed Program for Persons with Developmental Disabilities Funding Proposal
- Empowerment Initiatives, Inc.
 - S.P.I.R.I.T. – Mental Health Service Provider Individualized Recovery Intensive Training: Evaluation Report
- Family Housing Corp.
 - 2005 Community Placement Plan Funding Proposal to Eastern Los Angeles Regional Center
- Golden Gate Regional Center
 - 2021 Strategic Plan Review (tentative)
 - 2021 Executive Director Review
 - 2021 Unmet Needs Assessment
 - 2020 Employee Engagement and Satisfaction Study
 - 2020 Unmet Service Needs Community & Stakeholder Survey
 - 2020 Executive Director Review
 - 2019 Executive Director Survey

- 2019-20 Reducing POS Disparity through Person Centered Training Grant Initiative – Data Collection/Consulting Support
- 2018 Executive Director Review Survey
- 2018 Employee Satisfaction Survey
- 2017 Executive Director Review Survey
- 2017 Strategic Planning Facilitation and Plan Production
- 2017 Advisory Committee of Employees – Facilitator
- 2016 Employee Satisfaction Survey
- 2010-11 Legislative Analysis: Proposal for a Consolidated Quality Management System (with Turkington Ruhl Consulting)
- 2010 Quality Management Redesign Consultants Retreat
- 2006 Employment Services Survey
- 2006 Autism Services Survey
- 2006 Executive Director 360 (with RJSwarr Consulting)
- 2006-2007 Bay Area Quality Management System: National Core Indicators Data Collection
- 2003-2005 Bay Area Quality Management System: National Core Indicators Data Collection
- Harbor Regional Center
 - 2015-16 Client Services and Accessibility Survey (Disparity Grant Initiative)
- Human Services Research Institute
 - 2003 Consulting: Nevada Funding Request to Centers for Medicare and Medicaid Service (CMS) Money Follows the Person Rebalancing Initiative
- J.D. Power and Associates (partial list):
 - 2000 J.D. Power and Associates New Homebuilder Customer Satisfaction Study
 - 1999 Medstat Quality Catalyst: Managed Care Plan Report
 - 1999 Proprietary Neutra-Pharmaceutical Retailer Study
 - 1999 Internet Healthcare Information Study
 - 1999 J.D. Power and Associates New Homebuilder Customer Satisfaction Study
 - 1998 Medstat Quality Catalyst: Managed Care Plan Report
 - 1998 Proprietary Allergy Medication Study
 - (2) Luxury Department Store Customer and Employee Satisfaction Studies (Monthly/Annually)
 - (2) National Homebuilder Customer Satisfaction Tracking Study (Quarterly)
 - (1) National Homebuilder Consumer Profile Tracking Study (Monthly)
 - (2) Automotive Special Reports
- Kings Valley Charter School
 - 2021-22 Strategic Planning Process
- Louisiana Department of Health and Hospitals
 - 2005-07 Rebalancing Initiative

- Natren
 - 2010 Consulting: Funding Strategy
- North Bay Regional Center
 - 2021-22 Strategic Planning
 - 2021 COVID-19 Pandemic Check-In Surveys (Consumer/Family, Provider, Staff)
 - 2017 Client Services and Accessibility Survey (Disparity Grant Initiative)
 - 2017 Succession Planning
 - 2016 Board of Directors Training: Succession Planning and Strategic Planning
- North Los Angeles Regional Center
 - 2002-03 Individuals Community to Work Transportation Assessment
- Options CCNBC
 - 2004-05 Traumatic Brain Injury (TBI) Funding Proposal
- Oregon Technical Assistance Corp.
 - 2005 Consulting: Oregon Technical Assistance Corporation Training and Technical Assistance Individual Support Plan and Person Centered Planning Competitive Services Proposal
 - 2005 Oregon Technical Assistance Corporation Direct Care Staff on the Oregon Intervention System (OIS) Competitive Services Proposal
 - 2005 Oregon Technical Assistance Corporation Crisis Services Competitive Services Proposal
 - 2005 COMPASS
 - 2004-2005 California Department of Developmental Services: CADDIS Software Review and Analysis
 - 2004-05 Robert Wood Johnson Funding Proposal: Better Jobs Better Care in Nursing Implementation and Evaluation
 - 2004, Consultant: State of California Department of Developmental Services Independent Plus Waiver Services Training and Implementation
 - 2004 Consultant: Arizona Fiscal Intermediary Funding Proposal
 - 2003 Robert Wood Johnson Funding Proposal: Better Jobs Better Care in Nursing Funding Proposal
 - 2003 Empowerment Initiative Brokerage Funding Proposal
 - 2003, Consultant: The State of Hawaii, Development Disabilities Division Community Integration Personal Assistance Services and Supports (PASS) for Project Implementation
 - 2003, Consultant: The State of Ohio, Department of Mental Retardation and Developmental Disabilities
 - Self-Determination in a Medicaid Environment
 - 2002 State of Oregon Mental Health and Addiction Services: Mental Health Pilot Brokerage Competitive Services Proposal

- Oregon Empowerment Initiative
 - 2003-05 Brokerage Pilot Effectiveness Survey
- Purchase of Services Variance Statistical Modeling Paper, 2004
- Quality of Life Connections
 - 2006-10 Consulting: Funding Strategies and Grant Proposals
- R & D Transportation Services, Inc.
 - 2004 Golden Gate Regional Center Transportation Services Audit
 - 2001-02 Tri-Counties Regional Center Transportation Services Evaluation
 - 2000-01 Tri-Counties Regional Center Transportation Services Evaluation
- Redwood Coast Regional Center
 - 2021 Board of Directors Trainings: Recruitment, Board of Directors Role and Responsibilities
 - 2017 Management Team Performance Appraisal Training
 - 2015 Executive Director Review Model/ Executive Director Review
 - 2015 Board of Directors Succession Planning Support
 - 2014 2015-19 Strategic Planning Facilitation (Limited Scope)
 - 2014 Service Provider Billing Survey
 - 2012 Satisfaction Surveys: Consumer, Employee, Provider
 - 2010-11 Consumer Satisfaction Survey
 - 2010-11 Employee Satisfaction Survey
 - 2006 Consumer Satisfaction Survey
 - 2006 Service Provider Satisfaction Survey
 - 2006 Employee Satisfaction Survey
- Regional Center of the East Bay
- Regional Center of Orange County
 - 2017 Board of Directors' Executive Director/Management Team Evaluation
- Robert Wood Johnson Foundation/ Oregon Works
- San Andreas Regional Center
 - 2001-02 Residential Service Provider Satisfaction Study
- San Diego Regional Center
 - 2018 Employee Satisfaction Survey / Management Team Planning Facilitation
 - 2015 Employee Satisfaction Survey / Management Team Planning Facilitation
 - 2011 Employee Satisfaction Survey
 - CY2007 Needs Assessment
- San Gabriel/Pomona Regional Center
 - 2017 Executive Director Review Survey
 - 2017 Management Team Review Survey
 - 2016 Executive Director Review Survey
 - 2015 Executive Review Survey

- 2015 Management Team Review Survey
- 2013 Executive Director Review Survey
- 2012 Board of Directors Training: Executive Director's Role and Performance
- 2012 Executive Director Review Survey
- 2010 Efficiency Survey
- 2010 Employee Satisfaction Survey
- 2010 Service Provider Satisfaction Survey
- 2007 Client Satisfaction Survey
- 2007 Client Intake Satisfaction Survey
- 2007 Service Provider Satisfaction Survey
- 2005 Satisfaction Survey Process Redesign
- 2005 Satisfaction Survey Process Review
- 2005 Director 360 Evaluation (with RJ Swarr Consulting)
- Scripps Chula Vista Emergency Room Physicians Group
 - 2011 Employee Recognition Survey
 - 2007 Employee Recognition Survey
 - 2006 Employee Recognition Survey
- Self-Determination Statistical Cost Modeling, 2002
- Shape-UpUS
 - 2009 Consulting: Funding Strategies and Grants
- Tri-Counties Regional Center
 - 2021 Services and Supports Survey
 - 2021 Strategic Planning Support Surveys
 - 2020 Services and Supports Survey
 - 2019 Services and Supports Survey
 - 2018 Human Resources: Grievance Investigation Assistance
 - 2018 Services and Supports Survey
 - 2017 Services and Supports Survey
 - 2017 Strategic Planning Support
 - 2016 Services and Supports Survey
 - 2016 Staff Analysis Support
 - 2015 Services and Supports Survey
 - 2014 Services and Supports Survey
 - 2013 Services and Supports Survey
 - 2013 Autism Services Utilization and Efficacy Study
 - 2012 Services and Supports Survey
 - FY2010-11 Services and Supports Survey
 - FY2010-11 Autism Services Survey
 - 2009-11 Person Centered Thinking Funding Grants
 - 2009-11 Employment Initiative Funding Grants

- FY2009-10 Services and Supports Survey
- FY2008-09 Services and Supports Survey
- FY2007-08 Autism Services Survey
- 2006 Services and Supports Survey
- 2005 Consumer Satisfaction Study
- 2004 Employee Satisfaction Survey
- 2003-04 Consumer Satisfaction Survey
- 2003 Executive Director 360 (with RJ Swarr Consulting)
- 2002-03 Consumer Satisfaction Survey
- 2002 Employee Satisfaction Survey
- 2002 Department of Developmental Services Early Start Program: Family Satisfaction Study
- 2002 Department of Developmental Service: Performance Contract Pilot Project: Consumer and Service Provider Satisfaction Surveys
- 2001-02 Consumer Satisfaction Study: Service Coordination and Individual Program Plan Evaluation
- 2001-02 Consumer Satisfaction / Quality of Life Study: Residential Facilities
- 2000-01 Consumer Satisfaction /Quality of Life Study: Intake, Early Intervention, Service Coordination and Supported Living Services (with Center for Outcome Analysis)
- 1999-2000 Consumer Satisfaction Study: Service Coordination
- 1998-99 Consumer Satisfaction Study: Independent Living Services
- Valley Mountain Regional Center
 - 2020 Strategic Planning Facilitation / Strategic Plan
 - 2020 COVID-19 Check-In Surveys
 - 2020 Strategic Plan Outcomes Follow-up: Satisfaction and Planning Surveys: Employee, Consumer, Service Provider
 - 2018 Planning Meeting Facilitation
 - 2017 Strategic Plan Outcomes Follow-up: Satisfaction Surveys: Employee, Consumer, Service Provider
 - 2016 Succession Planning (in partnership with Pathways Facilitation, Anh Nguyen)
 - 2014 Strategic Plan Outcomes Follow-up: Satisfaction Surveys: Employee, Consumer, Service Provider
 - 2013 Strategic Planning (in partnership with Pathways Facilitation, Anh Nguyen)
 - 2004 Day Program Assessment
- Westside Regional Center
 - 2021. California First Five, Help Me Grow: Removing Barriers to Service: Portal Developmental Consultation and Evaluation (Year 2)



- o 2020 California First Five, Help Me Grow: Removing Barriers to Service Assessment
- o 2017 Client Services Accessibility & Satisfaction Survey (Disparity Grant Initiative)

In addition, Ms. Sullivan has provided extensive training for regional center staff, regional center Board of Directors, providers, and educational institutes in a variety of subjects.

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

CHRISTINA CANNARELLA – NLACRC BOARD MEMBER
NORTH LOS ANGELES COUNTY REGIONAL CENTER

I. Law Governing Conflicts of Interest

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

Additionally, WIC 4622, subsection (k) provides: “No member of the board who is an employee or member of the governing board of a provider from which the regional center purchases client services shall do any of the following: (1) Serve as an officer of the board. (2) Vote on any fiscal matter affecting the purchase of services from any regional center provider. (3) Vote on any issue other than as described in paragraph (2), in which the member has a financial interest, as defined in Section 87103 of the Government Code, and determined by the regional center board. The member shall provide a list of the member’s financial interests, as defined in Section 87103, to the regional center board. Nothing in this section shall prevent the appointment to a regional center governing board of a person who meets the criteria for more than one of the categories listed above.” (Emphasis added.)

WIC 4622, paragraph 2 as referenced above provides: “The governing board shall annually review the performance of the regional center in providing services that are linguistically and culturally appropriate and may provide recommendations to the director of the regional center based on the results of that review.”

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

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

- (1) a governing board member
- (2) a board committee member
- (3) a director
- (4) an officer
- (5) an owner
- (6) a partner
- (7) a shareholder
- (8) a trustee
- (9) an agent

- (10) an employee
- (11) a contractor
- (12) a consultant
- (13) a person who holds any position of management
- (14) a person who has decision or policy making authority.
(Emphasis added.)

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

Further, Section 54533 states:

- (a) When a present or potential conflict of interest is identified for a regional center board member, executive director, employee, contractor, agent, or consultant, the present or potential conflict shall be either eliminated or mitigated and managed through a Conflict Resolution Plan, or the individual shall resign his or her position with the regional center or regional center governing board.

II. Potential Conflicts of Ms. Cannarella

Christina Cannarella is a Board Member at North Los Angeles County Regional Center (hereinafter “NLACRC” or “the Regional Center”). Ms. Cannarella is a board member and she participates on the Consumer Services and Government and Community Relations Committees. NLACRC Executive Director Ruth Janka confirms that Ms. Cannarella is a productive and valued member of the Board of Trustees. Attached as **Exhibit A** is Ms. Cannarella’s completed Conflict of Interest Reporting Statement. As part of the Conflict Resolution Plan, she will remain in her position on the Board of Trustees.

Ms. Cannarella is a registered nurse who is currently an employee of Annex Healthcare (“Annex”), a vendor of NLACRC and solely provides licensed nursing care for her consumer son. This creates a direct conflict for Ms. Cannarella as defined by regulation.

Additionally, Ms. Cannarella’s son, Zach Hatch, provides personal assistance solely to his brother, who is a consumer of NLACRC. Mr. Hatch is employed with Right Choice In-Home Care (“Right Choice”), a vendor of NLACRC. This creates a direct conflict for Ms. Cannarella as defined by regulation.

This document constitutes a disclosure of these conflicts, a Conflict Resolution Plan to mitigate any adverse consequences from these relationships, and a request for re-approval of the Conflict Resolution Plan by DDS.

In short, this Conflict Resolution Plan will have Ms. Cannarella remain in her position on the NLACRC Board of Trustees, but limit her actions as a board member so that she

complies with the requirements outlined in WIC 4622 and in no way participate in any role whatsoever with regards to services providers, inclusive of Annex Healthcare and Right Choice.

III. Facts

The plan of action proposed herein is designed to eliminate any adverse consequences from these conflicts. To better understand how the plan will eliminate any adverse consequences, this request will first provide the facts regarding Ms. Cannarella's duties and responsibilities as a board member, her role providing licensed nursing for Annex and her son's role as a personal assistant for Right Choice.

A. Ms. Cannarella's Duties as Board Member

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

Ms. Cannarella's primary duties are as follows:

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

Under the suggested Conflict Resolution Plan, Ms. Cannarella will remain in her board position, but will be strictly regulated so that she complies with WIC 4622 and has no role or involvement whatsoever with any matter that might conceivably impact any service provider,

inclusive of Annex, a vendor that provides nursing services or Right Choice, or a vendor that provides in home respite services (Child and Adult), purchase reimbursement, personal attendant, money management services (Adult Services), independent living skills (Adult Services) and supported living services (Adult Services).

C. Ms. Cannarella's Duties at Annex

Annex is a service provider to NLACRC that provides nursing services, as a registered nurse, Ms. Cannarella provides licensed nursing services solely to her consumer son.

D. Mr. Zach Hatch's Duties at Right Choice

Right Choice is a service provider to NLACRC that provides the following services:

- In Home Respite Services (Child and Adult)
- Purchase Reimbursement (Various reimbursements for expenses incurred for consumers)
- Personal Attendant
- Money Management Services (Adult Services)
- Independent Living Skills (Adult Services)
- Supported Living Services (Adult Services)

As a Personal Assistant, Mr. Hatch provides personal assistance solely to his brother, Johnny, a consumer of NLACRC.

IV. Conflict Resolution Plan

The Regional Center and its Executive Director, Ruth Janka, have concluded that Ms. Cannarella provides great value to the Board of NLACRC. After consideration of the totality of the circumstances and a careful review of the facts, the Executive Director believes it is in the best interests of the Regional Center to create and implement a Conflict Resolution Plan to eliminate any adverse consequences from these relationships and seek re-approval of this plan by DDS.

Initially, the first step in the Conflict Resolution Plan is to allow Ms. Cannarella to remain in her position on the Board of Trustees, and to comply with WIC 4622 and to cease any activity or action that might in any way impact any service provider, inclusive of Annex and Right Choice. This will eliminate any instance in which Ms. Cannarella would have to vote, give her opinion, analyze, assess the performance of, or take action for or against and service provider, inclusive of Annex and Right Choice, and would eliminate any possible action by Ms. Cannarella to recommend any service provider, inclusive of Annex and Right Choice.

The second part of the plan is to insulate Ms. Cannarella from any involvement whatsoever with any service provider, inclusive of Annex and Right Choice. She would recuse herself from participation in any vote regarding, drafting, planning, or discussion of rules, policies, or restrictions that would impact any service provider, inclusive of Annex and Right Choice. Any duties that potentially relate to any service provider, inclusive of Annex and Right Choice or generic policies applicable to such a vendor represent a portion of the valuable duties she performs on behalf of the Regional Center, and these duties can be easily delegated to other Regional Center board members.

Further, as the Conflict Resolution Plan details below, when any matter arises with regard to any service provider, inclusive of Annex and Right Choice, she will agree not to be involved in the discussion of the matter, the presentation of options to the Board, or the decision or vote on such matter. NLACRC will require Ms. Cannarella to abstain from discussion with, or involvement in the matter, and require the other board members to take all such actions, including appropriate description of options, recommendations, analysis and ultimate decision and vote.

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

1. Ms. Cannarella will have no interaction as a board member with any matter that might impact any service provider, inclusive of Annex and Right Choice, and specifically she will recuse herself from any vote on any matter that could impact any service provider, inclusive of Annex and Right Choice.

2. Ms. Cannarella will, in every conceivable manner, cease interacting with the Board on any matter that could conceivably impact any service provider, inclusive of Annex and Right Choice.

3. Ms. Cannarella will not participate as a board member in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding any service provider, inclusive of Annex and Right Choice or any actions creating policy or approaches that would impact any service provider, inclusive of Annex and Right Choice.

4. Ms. Cannarella will not review or participate as a board member in any discussions, recommendations, or decisions about Purchase of Service (POS) authorizations for any service provider, inclusive of Annex and Right Choice.

5. Ms. Cannarella will not review or in any way participate as a board member in the preparation, consideration, or any follow-up related to Special Incident Reports from or about any service provider, inclusive of Annex and Right Choice.

6. Ms. Cannarella will not create, review, or in any way participate as a board member in, any corrective action plans for any service provider, inclusive of Annex and Right Choice.

7. Ms. Cannarella will not participate as a board member in any discussions, recommendations, action, or resolution of any complaints pertaining to any service provider, inclusive of Annex and Right Choice.

8. Ms. Cannarella will take no part as a board member in decisions regarding vendor appeals, or fair hearings involving any service provider, inclusive of Annex and Right Choice.

9. Ms. Cannarella will not as a board member access vendor files or other information the regional center maintains about any service provider, inclusive of Annex and Right Choice. either in electronic or hard copy form.

10. Ms. Cannarella shall not participate as a board member in developing, creating, or recommending any POS policies, or other policies, that might apply to any service provider, inclusive of Annex and Right Choice. Instead, these tasks will become the responsibility of the other board members.

11. Ms. Cannarella will not be involved as a board member in the negotiation, discussion, obligation or commitment of NLACRC to a course of action involving any service provider, inclusive of Annex and Right Choice.

12. The NLACRC Board of Trustees will be informed about this Plan of Action, and they will be informed of the need to ensure that Ms. Cannarella has no involvement whatsoever in any action or business whatsoever involving or affecting any service provider, inclusive of Annex and Right Choice.

13. These restrictions apply to all service providers, inclusive of Annex and Right Choice. Ms. Cannarella's duties will comply with WIC 4622, unless the Board work would in any way impact service providers, inclusive of Annex and Right Choice. This amounts to a reassignment of a portion of her duties and will not reduce the value and productivity that Ms. Cannarella provides to the NLACRC Board.

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

V. Request Re-Approval of Conflict Resolution Plan

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

Respectfully submitted,

By: _____
Christina Cannarella, NLACRC Board Member

Date: _____

By: _____
Leticia Garcia, NLACRC Board President

Date: _____

By: _____
Ruth Janka, Executive Director, NLACRC

Date: _____

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

2. Do you or a family member² work for any entity or organization that is a regional center provider or contractor?
 yes no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.

Son - Zach Hatch - works for Right Choice In Home Care provides personal care assistance ONLY for consumer brother, Johnny. Self - works for Annex Health Care - provides licensed nursing care (RN) ONLY for consumer son, Johnny. Payment for these nursing services comes from Dept. of Healthcare Services (DHCS) via the HCBA Medicaid waiver. Self - works at Leichman Career Transition Center (LAUSD), Community Representative sharing information with students and families

3. Do you or a family member own or hold a position³ in an entity or organization that is a regional center provider or contractor? yes no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.

See question #2

4. Are you a regional center advisory committee board member? yes no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? yes no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.

5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? yes no -- If yes, please explain.

² Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter-in-laws. See California Code of Regulations, title 17, sections 54505(f).

³ For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

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

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member⁴? [Note: Governing board members do not have to answer “yes” to this question if the financial benefit would be available to regional center consumers or their families generally].

yes no -- If yes, please explain.

My conflict of interest plan mitigates and ensures any decisions that I perform as a board member do not financially benefit myself or family member.

7. Are you responsible for negotiating, making,⁵ executing or approving contracts on behalf of the regional center? yes no -- If yes, please explain.

I am responsible for approving contracts that are \$250,000 and above as part of my board member responsibilities.

8. Do you have a financial interest in any contract⁶ with the regional center? yes no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? yes no -- If yes, please explain.

The nursing agency I currently work for (Annex Healthcare), is contracted with the Dept. of Healthcare Services and I get paid under that contract through the Home and Community Based Alternatives (HCBA) Waiver.

The nursing agency is also contracted with NLACRC however, I do not get paid under this contract and therefore have no financial interest in this contract.

9. Do any of your family members have a financial interest in any contract with the regional center? yes no
If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? yes no
If yes, please explain.

My son currently works for a service provider.

⁴ Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

⁵ California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

⁶ For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.


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

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

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? yes no -- If yes, please explain.

B. ATTESTATION

I, Christina Cannarella (print name) HEREBY CONFIRM that I have read and understand the regional center's Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center's Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center's designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars (\$50,000) pursuant to Welfare and Institutions Code section 4626.

Signature  Date 07-17-21


INTERNAL USE ONLY

Date this Statement was received by Reviewer:

The reporting individual does does not have a present potential conflict of interest

Signature of Designated Reviewer

Date Review Completed



08/02/2021

*Attachment for #2 COI form DS 6016 submitted by Christina Cannarella

2. Son - Zach Hatch - works for Right Choice In Home Care provides personal care assistance only for consumer brother, Johnny.

Self -Temporarily work for Annex Health Care - solely provides licensed nursing care (RN) for consumer son, Johnny due to shortage in California of Home Health Care nurses (Please note: I am paid via the HCBA Medicaid waiver - under the Department of Health Care Services. I am **not paid** from DDS funding to Regional Centers).

Also please note, I am in the process of becoming an Independent Nurse Provider so I will **not** be working for any nursing agency once this is approved by the State of California. I have submitted my application for this, however due to the Covid-19 pandemic, I was informed it could take up to 6 months for applications to be processed. So in the interim, I will continue to work for Annex Health Care to provide skilled nursing care to solely to my son, Johnny.

Self- Works at Leichman Career and Transition Center (LAUSD), Community Representative/Parent Center Director supporting students with disabilities and their families by sharing community resources and information.

North Los Angeles County Regional Center
Board of Trustees Policy

Board Member Responsibilities

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

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

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

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

To the Department of Disability Services (DDS) and to the State Council on Developmental Disabilities (SCDD),

My name is Christina Cannarella. I am a parent of two adult sons and my youngest son, Johnny, a North Los Angeles Regional Center (NLACRC) consumer, who is 22 years old, is a kind, happy, bright, loving human being. Johnny has opened up my world to the disability community, and throughout his lifetime, I have been an advocate for children and adults with disabilities and their families, understanding first-hand their challenges, wanting to help support them however I could.

Over the last few years, by attending board meetings and committee meetings, I began to learn more and more about what Regional Centers do for people with intellectual and developmental challenges and their families. I felt my personal and professional experiences, my passion for advocacy and most importantly, my desire to support people with I/DD and their families, would be of value to the Board of NLACRC. So I applied to be on the Board back in 2018 but was unable to serve then because there were no available positions opened. However, I was contacted in late 2019, and very excited to hear some positions had opened up and I was elected to serve on the Board starting in February of this year (2020).

As I filled out my COI form, some questions were unfamiliar to me, references to Title 17 regulations, the bylaws, etc. however I knew I wanted to put down everything that came to mind that could potentially be a conflict of interest, even if I didn't think it was one, because I wanted to be completely transparent. Oversight, accountability and transparency are critically important in developing quality systems that are effective, productive and successful and something I hold in high regard.

I knew my older son providing some of his brother's personal assistance care would most likely be a COI and I would have to refrain from voting on any contracts related to that agency and others that provide respite/ personal care, which I completely understand and agreed with. Then I heard that there was another COI for myself providing nursing care to my son and was told by NLACRC and our Board President that I would not be able to serve on the Executive committee (which would have begun in July 2020) because of my COI, which again, I understood and was not disputing. However next, they informed me that I was being *removed* from the Board, and would no longer be able to serve as a Board Member. This part was completely unexpected and I was very disappointed by this information. The Board hadn't even voted on this decision yet. I felt I had a right to at least be able to explain to the Board, SCDD and DDS the circumstances of my COI and ultimately have DDS and SCDD make the final decision before I was removed from the Board.

I have spent countless hours researching, learning and educating myself as to the bylaws and regulations and have found discrepancies that I would like to share with you and ask that you please take this information into consideration when making decisions around my COI Resolution Plan.

I first want to give you pertinent background information on my son. Johnny has a very rare genetic make-up and because of this chromosomal anomaly, he has developmental and physical impairments. He is unable to use verbal language, is fed via a G-tube in his stomach, has a history of seizures, vision and hearing impairments, autism and other complex medical needs along with some behavioral support needs as well.

Johnny requires nursing level care because of his health issues related to his disability. Due to the fact that there is a shortage of Home Health Care nurses in the State of California, I, being a Registered Nurse myself, provide some of that specialized care **solely** to Johnny to ensure his health and safety needs are met and he receives the quality of care he deserves. If I did not provide the level of care my son requires based on his disability and healthcare needs, he would have to be institutionalized, living in a skilled nursing facility/long-term care facility/nursing home.

I want it to be emphasized that I **only provide nursing care to my son Johnny**. I DO NOT work for any other consumers providing nursing care. This is important to note because me providing care to my son in order for him to stay at home is really no different than any other parent/guardian who provides In-Home Supportive Services (IHSS) to their son or daughter, it is just the **level of care he requires at times during the day and night**, is different. As you know, IHSS, a generic service, is funded by Medi-Cal, under the Dept. of Social Services (DSS) which is under the umbrella of the California Dept. of Health and Human Services (CA-DHHS).

When I work for my son, providing the specialized care He requires due to his complex medical needs, I am **paid via the HCBA Medicaid waiver** - under the Department of Health Care Services (DHCS) which also falls under the umbrella of CA-DHHS. I am **not paid** by DDS funding to Regional Centers. I submit my hours to the nursing agency and they submit those hours to **Medi-Cal under DHCS**. Medi-Cal then reimburses the agency, and the agency pays me.

On the COI Reporting Statement, #8 states "Do you have a financial interest in any contract with the regional center?" I originally checked the "no" box because I do not believe I have a financial interest in any contract with NLACRC because I am not paid under any contract with them. NLACRC has told me I had to check the "yes" box. I completely understand and agree with the fact that I am an "employee" of a service provider who is contracted with NLACRC, however, I do not agree with me saying I have a "financial interest" because it doesn't matter if that contract is \$5 dollars or \$5 million dollars, I am not paid under a contract with DDS. I am paid by DHCS and the contract the agency has with DDS does not affect my rate of pay in any way.

Also, I would like to point out that if DDS and SCDD are stating there is a conflict of interest because I work for an agency who is a "Provider"* (see below) with regards to how the CCR title 17, sections 54505, defines "Business Entity, Entity, or Provider", the way it is written would mean that any parent or family member who sits on any Regional Center Board who gets paid for providing IHSS hours to their son or daughter, is **also** in conflict because *Regional Centers get paid by Medi-cal*, a "state government entity"* [sect. 54505 (b)] to conduct their operations and IHSS is funded by Medi-Cal.

Section 54505 - Definitions

As used in this article, the following words and phrases have the specified meanings:

(a) "Area Board" means the organization of individuals established and constituted according to Welfare and Institutions Code section 4546 et seq.

* (b) "*Business Entity, Entity or Provider*" means any individual, business venture, or state or local governmental entity from whom or from which the regional center purchases, obtains, or secures goods or services to conduct its operations. These entities or providers include, but are not limited to, residential facilities, intermediate care facilities, skilled nursing facilities, supported and independent living services, hospitals, medical groups, activity centers, housing providers, entities formed in support of the regional center, infant programs, clinics, laboratories, pharmacies, drug stores, ambulance services, furniture stores, equipment and supply stores, physicians, psychologists, nurses, therapists, teachers, social workers, and contract case managers. For purposes of these conflict-of-interest regulations "*business entity, entity or provider*" does not include a consumer or family member of a consumer who receives vouchers for consumer services.

When a parent provides WPCS (Waiver Personal Care Services) under DHCS through the HCBA Waiver to a Regional Center consumer, that is *also not* considered a COI either, like IHSS. So the reason I, myself, have a COI right now is because of the *level of care my son requires based on his disability and medical needs*.

In researching information about skilled nursing services being provided by a parent, I found out if my son was receiving a *Voucher* (Service Code 415) from his Regional Center, I would NOT be in conflict with providing his nursing care. ** (see below Sect 54355 Part 3).

§17 CCR
§ 54355. Vouchers.

(a) A regional center may offer vouchers to family members or adult consumers to allow the families and consumers to procure their own diaper/nutritional supplements, day care, nursing, respite, and/or transportation services. When vouchers are issued they shall:

(1) Be used in lieu of, and shall not exceed the cost of services the regional center would otherwise provide; and

(2) Be issued only for services which are unavailable from generic agencies.

**** (3) Nursing Service - Family Member - Service Code 415.**

(A) A regional center shall classify a vendor as nursing service - family member if the vendor:

1. Is a family member; and

2. Selects, assigns, and monitors an individual who provides nursing services for a consumer.

(B) The family member may be the direct provider of the nursing service if the service is not intended to provide respite to the family member.

(C) The individual or family member who provides the nursing service shall possess the qualifications specified in Section 54342(a)(46), (51), or (66).

When inquiring about this, NLACRC informed me they do not utilize vouchers anymore, instead they use "Participant-Directed" services but "Parents can never be paid to provide care. Even during these times (meaning Covid-19) Why is it okay with Vouchers but not PDS?"

One last point I would like to make that I believe is relevant to my COI. Throughout the bylaws, mission statements, vision statements, etc. from DDS, SCDD and Regional Centers, the language used when referring to "consumers" or "people with I/DD", almost always includes, "**consumers and families, people with I/DD and their families.**" Both of you, DDS and SCDD (and Regional Centers), recognize that so often, when we are looking at how best to support people with I/DD, the family plays an integral part to this. We all know the value of having individuals be able to live in the community and stay in their homes if the family is able to meet the needs of that individual.

Right now, in the NLACRC bylaws, when it is discussing "Disqualified Individuals" who cannot sit on the Board, under Article IV, Section 6 (d), it states "*Any person who has or is related to a person who has a financial interest in Regional Center operations, as defined herein, **except as a consumer** of Regional Center services.*"

If that was changed to include "**except as a consumer or a family member who is the direct provider to that consumer**" this would not only decrease the COIs you all receive, but it also allows Regional Center Board of Trustees to be more diverse and inclusive representing a wide range of consumers with *all levels of support needs and their families* to be able to serve on the Board. And it would also be in alignment with what the 17 CCR § 54355 code states, *allowing a family member to be able to provide nursing services if they possess the qualifications specified in Section 54342(a)(46), (51), or (66).*

The more we move into Person-Centered Planning, Participant-Directed Services and Self-Determination, consumers are given flexibility and the choice to have quality, meaningful support systems in place. I believe this will create more COIs for Board members both current, and future, because many consumers are utilizing family members to provide the supports they need, *including* right now during the pandemic. So a revision would also decrease COIs with regards to this, while ensuring that the Board is well represented of consumers who choose these services.

I am asking you, DDS and the SCDD to please look at this and understand the need for exceptions when it pertains to a **parent providing** specialized care/nursing services that is required by a consumer based on his/her disability. This would also be in alignment and provide cohesiveness with what the other departments under CA-DHHS offer to parents of people with I/DD that DSS and DHCS both offer in IHSS and WPCS.

I do understand the conflict of me being an “employee”, I am not disputing that, however, I **do not agree with the level of restrictions** that are in the resolution plan. Based on previous COI Resolution Plans, other board members have had to refrain from being involved in decisions impacting the service provider they or their family directly works for, and service providers RELATED to them (i.e. respite, personal care etc).

But my COI Resolution Plan, restricts me from voting on ALL SERVICE PROVIDER contracts at NLAGRC and I can’t even be part of the discussions which to be honest, is probably at least about 70%-80% of what our board does. As restrictive as this COI Resolution Plan is, I am asking myself, how can I continue to serve the board effectively *and* represent and support the needs of our consumers and families?

During our discussion about my COI at our last board meeting, when my COI was approved, a fellow board member said, *“It is not a constitutional or statutory right to be a board member. There are times because of these rules of conflicts when one has to make a choice.”*

I understand I made *the choice* to become a board member but I shouldn’t be restricted or excluded from serving on any board because of I am also *choosing* to keep my son at home, having him be a valued member of his community, giving him a loving, caring, safe environment, providing him the medical care he requires because there are not enough skilled home care nurses in our state to do this. Especially on a *Regional Center Board* that is designed to SUPPORT individuals like my son, Johnny and his family.

Below are your mission and vision statements. I ask that you reread these again and let each and every word sink in. They are powerful statements. Understanding that we are all on the same page. We all recognize each and every human being, regardless of their challenges, have something of value to bring to this world. We need to remember there are a wide range of support needs for the over 330,000 consumers and their families supported under DDS. Many of them, not only have I/DD but also have medical issues and health challenges that they struggle with on a daily basis. Even though they may also fall under DHCS for some of their medical services, we need to look at the Whole Person Care model, ensuring everyone has the same access to opportunities and develop better coordination of health, behavioral health, and social services, in not just a patient-centered manner with the goals of improved health and wellbeing but incorporating the person-centered model from DDS as well.

The California Department of Developmental Services (DDS) ensures that Californians with developmental disabilities have the opportunity to lead independent, productive lives in their community of choice. DDS oversees the coordination and delivery of services to these individuals.

Californians with developmental disabilities are guaranteed the same full and equal opportunities for life, liberty, and the pursuit of happiness as all Americans.

The Council advocates, promotes and implements policies and practices that achieve self-determination, independence, productivity and inclusion in all aspects of community life for Californians with developmental disabilities and their families.

North Los Angeles County Regional Center, with integrity and transparency, provides lifelong partnerships and planning to persons with developmental disabilities by promoting their civil and personal rights, providing comprehensive information, advocating in cooperation with consumers, promoting and providing quality services, and supporting full participation of consumers and families in all aspects of community life

Thank you so much for your time. I appreciate it.

With gratitude,



Christina Cannarella

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

LILLIAN MARTINEZ – NLACRC BOARD MEMBER
NORTH LOS ANGELES COUNTY REGIONAL CENTER

I. Law Governing Conflicts of Interest

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

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

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

- (1) a governing board member
- (2) a board committee member
- (3) a director
- (4) an officer
- (5) an owner
- (6) a partner
- (7) a shareholder
- (8) a trustee
- (9) an agent
- (10) an employee
- (11) a contractor
- (12) a consultant
- (13) a person who holds any position of management
- (14) a person who has decision or policy making authority.
(Emphasis added.)

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

Further, Section 54533 states:

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

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

II. Potential Conflict of Mrs. Martinez

Lillian Martinez is a Board Member at North Los Angeles County Regional Center (hereinafter “NLACRC” or “the Regional Center”). Mrs. Martinez is a board member and the board’s Secretary. She participates on the Strategic Planning, Administrative Affairs and Executive committees. NLACRC Executive Director Ruth Janka confirms that Mrs. Martinez is a productive and valued member of the Board of Trustees. Attached as **Exhibit A** is Mrs. Martinez’s completed Conflict of Interest Reporting Statement. As part of the Conflict Resolution Plan, she will remain in her position on the Board of Trustees.

Mrs. Martinez’s father, Roberto Arias, however, is a respite worker for his grandson (a consumer of NLACRC) for Caring Family Supports, a vendor of North Los Angeles County Regional Center. This creates a direct conflict for Mrs. Martinez as defined by regulation. This document constitutes a re-submission of the disclosure of this conflict, a Conflict Resolution Plan to continue the elimination of any adverse consequences from this relationship, and a request for re-approval of the Conflict Resolution Plan by DDS.

In short, this Conflict Resolution Plan will have Mrs. Martinez remain in her position on the NLACRC Board of Trustees and Secretary, but limit her actions as a board member so that she in no way participates in any role whatsoever with regard to Caring Family Supports or any other vendor who provides respite and personal assistance services.

III. Facts

The plan of action proposed herein is designed to eliminate any adverse consequences from the conflict. To better understand how the plan will eliminate any adverse consequences, this request will first provide the facts regarding Mrs. Martinez’s duties and responsibilities as a board member and her father’s role as a respite worker for Caring Family Supports.

A. Mrs. Martinez’s Duties as a Board Member

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

Mrs. Martinez's board member primary duties are as follows:

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

Under the suggested Conflict Resolution Plan, Mrs. Martinez will remain in her board position, but will be strictly regulated so that she has no role or involvement whatsoever with any matter that might conceivably impact Caring Family Supports, or a vendor that provides respite and personal assistance services.

B. Mrs. Martinez's Duties as Secretary of the Board

The office of secretary is established in Article V, Section 8 of the bylaws of North Los Angeles County Regional Center. The secretary shall be a member of the Board of Trustees and elected by the Board of Trustees. The term of office shall be one (1) year with no limitation on the number of terms. The secretary shall serve on the Executive Committee. A copy of the Secretary Responsibilities is attached as **Exhibit C**. The secretary shall:

1. Review the minutes, taken by the secretary to the executive director, at meetings of the Board of Trustees, and sign the original copy of the minutes.
2. Maintain a log or record of actions taken in executive session and transfer this record to his/her successor.
3. Sign the original copy of the bylaws when revisions are made.
4. Perform such other duties as may be prescribed by the Board of Trustees and the bylaws.

C. Roberto Arias' Duties at Caring Family Supports

Caring Family Supports is a service provider to NLACRC that provides the following services:

1. Respite Services
2. Personal Assistance

As a respite worker for Caring Family Supports, Mr. Arias provides respite services solely to his grandson who is a NLACRC consumer. Mr. Arias' duties and responsibilities are as follows:

1. Review and understands Individual, Family and/or Home Provider Needs;
2. Provide individual receiving services with the supports necessary to meet their need;
3. Understand what to do in case of an emergency;
4. Under the direction of the Co-Founder, has a list of activities appropriate for each individual;
5. Attends in-service trainings and staff meetings;
6. Any other job-related duties as assigned by Co-Founders.

IV. Conflict Resolution Plan

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

Initially, the first step in the Conflict Resolution Plan is to allow Mrs. Martinez to remain in her position on the Board of Trustees, but to cease any activity or action that might in any way impact Caring Family Supports. This will eliminate any instance in which Mrs. Martinez would have to vote, give her opinion, analyze, assess the performance of, or take action for or against Caring Family Supports, and would eliminate any possible action by Mrs. Martinez to recommend Caring Family Supports or other similar available respite and personal assistance services.

The second part of the plan is to insulate Mrs. Martinez from any involvement whatsoever with the generic type of provider like Caring Family Supports. She would recuse herself from participation in any vote regarding, drafting, planning, or discussion of rules, policies, or restrictions that would impact Caring Family Supports and all other respite and

personal assistance vendors. Any duties that potentially relate to Caring Family Supports or generic policies applicable to such a vendor represent a small portion of the valuable duties she performs on behalf of the Regional Center, and these duties can be easily delegated to other Regional Center board members. Like other board members, Mrs. Martinez develops policy through recommendations from the Executive Director, and thus works with numerous vendors on a variety of services.

Further, as the Conflict Resolution Plan details below, when any matter arises with regard to Caring Family Supports or other respite and personal assistance vendors, she will agree not to be involved in the discussion of the matter, the presentation of options to the Board, or the decision or vote on such matter. NLACRC will require Mrs. Martinez to abstain from discussion with, or involvement in the matter, and require the other board members to take all such actions, including appropriate description of options, recommendations, analysis and ultimate decision and vote.

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

1. Mrs. Martinez will have no interaction as a board member with any matter that might impact Caring Family Supports, and specifically she will recuse herself from any vote on any matter that could impact Caring Family Supports.

2. Mrs. Martinez will, in every conceivable manner, cease interacting with the Board on any matter that could conceivably impact Caring Family Supports.

3. Mrs. Martinez will not participate as a board member in the consideration, preparation, review, presentation, formulation or approval of any report, plan, opinion, recommendation or action regarding Caring Family Supports or any actions creating policy or approaches that would impact Caring Family Supports and other respite and personal assistance vendors.

4. Mrs. Martinez will not review or participate as a board member in any discussions, recommendations, or decisions about Purchase of Service authorizations for Caring Family Supports and other respite and personal assistance vendors.

5. Mrs. Martinez will not review or in any way participate as a board member in the preparation, consideration, or any follow-up related to Special Incident Reports from or about Caring Family Supports and other respite and personal assistance vendors.

6. Mrs. Martinez will not create, review, or in any way participate as a board member in, any corrective action plans for Caring Family Supports and other respite and personal assistance vendors.

7. Mrs. Martinez will not participate as a board member in any discussions, recommendations, action, or resolution of any complaints pertaining to Caring Family Supports and other respite and personal assistance vendors.

8. Mrs. Martinez will take no part as a board member in decisions regarding vendor appeals, or fair hearings involving Caring Family Supports and other respite and personal assistance vendors.

9. Mrs. Martinez will not as a board member access vendor files or other information the regional center maintains about Caring Family Supports and other respite and personal assistance vendors, either in electronic or hard copy form.

10. Mrs. Martinez shall not participate as a board member in developing, creating, or recommending any POS policies, or other policies, that might apply to Caring Family Supports and other respite and personal assistance vendors. Instead, these tasks will become the responsibility of the other board members.

11. Mrs. Martinez will not be involved as a board member in the negotiation, discussion, obligation or commitment of NLACRC to a course of action involving Caring Family Supports and other respite and personal assistance vendors.

12. The NLACRC Board of Trustees will be informed about this Plan of Action, and they will be informed of the need to ensure that Mrs. Martinez has no involvement whatsoever in any action or business whatsoever involving or affecting Caring Family Supports and other respite and personal assistance vendors.

13. These restrictions only apply to Caring Family Supports and policies impacting other respite and personal assistance vendors. The bulk of Mrs. Martinez's duties with regard to a vast array of other Board issues and other vendors will remain unchanged, unless the Board work would in any way impact Caring Family Supports. This amounts to a reassignment of a small portion of her duties and will not reduce the value and productivity that Mrs. Martinez provides to the NLACRC Board.

14. In the event the board member changes to a different respite agency during the course of her term, each provision of this plan shall apply to with regard to the new agency for the duration of the trustee's term on the board.

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

V. Request Re-Approval of Conflict Resolution Plan

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

Respectfully submitted,

By: _____
Lillian Martinez, NLACRC Board Member

Date: _____

By: _____
Leticia Garcia, NLACRC Board President

Date: _____

By: _____
Ruth Janka, Executive Director, NLACRC

Date: _____

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

2. Do you or a family member² work for any entity or organization that is a regional center provider or contractor? yes no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers. If the provider or contractor is a state or local governmental entity, provide the specific name of the state or local governmental entity and describe your job duties at the state or local governmental entity.
3. Do you or a family member own or hold a position³ in an entity or organization that is a regional center provider or contractor? yes no -- If yes, provide the name of the entity or organization, describe what services it provides for the regional center or regional center consumers, and describe your or your family member's financial interest.
4. Are you a regional center advisory committee board member? yes no -- If yes, are you a member of the governing board or owner or employee of an entity or organization that provides services to the regional center or regional center consumers? yes no -- If yes, provide the name of the entity or organization and describe what services it provides for the regional center or regional center consumers.
5. If you are a regional center advisory committee board member and answered yes to all the questions in Question 4 above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote on purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest? yes no -- If yes, please explain.

² Family member includes your spouse, domestic partner, parents, stepparents, grandparents, siblings, stepsiblings, children, stepchildren, grandchildren, parent-in-laws, brother-in-laws, sister-in-laws, son-in-laws and daughter-in-laws. See California Code of Regulations, title 17, sections 54505(f).

³ For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee, or shareholder of an entity or organization that is a regional center provider or contractor. For a specific description of positions that create a conflict of interest in a regional center provider or contractor see the California Code of Regulations, title 17, sections 54520 and 54526.

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

6. Do any of the decisions you make when performing your job duties with the regional center have the potential to financially benefit you or a family member⁴? [Note: Governing board members do not have to answer “yes” to this question if the financial benefit would be available to regional center consumers or their families generally].
 yes no -- If yes, please explain.

7. Are you responsible for negotiating, making,⁵ executing or approving contracts on behalf of the regional center? yes no -- If yes, please explain.

8. Do you have a financial interest in any contract⁶ with the regional center? yes no -- If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? yes no -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? yes no
If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? yes no
If yes, please explain.

⁴ Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause you or a family member to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can result in a financial benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

⁵ California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in the making of a contract.

⁶ For purposes of questions 8 and 9, a financial interest in a contract generally means any direct or indirect interest in a contract that can cause you or a family member to receive any sort of financial gain or avoid any sort of financial loss irrespective of the dollar amount. California Code of Regulations, title 17, sections 54523 and 54528 define when financial interests in a contract will occur.


- Governing Board Member
- Vendor Advisory on Board
- Executive Director
- Employee/Other

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

11. Your job duties require you to act in the best interests of the regional center and regional center consumers. Do you have any circumstances or other financial interests not already discussed above that would prevent you from acting in the best interests of the regional center or its consumers? yes no -- If yes, please explain.

B. ATTESTATION


I _____ (print name) HEREBY CONFIRM that I have read and understand the regional center’s Conflict of Interest Policy and that my responses to the questions in this Conflict of Interest Reporting Statement are complete, true, and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this statement is not accurate or that I have not complied with the regional center’s Conflict of Interest Policy or the applicable conflict of interest laws, I will notify the regional center’s designated individual immediately. I understand that knowingly providing false information on this Conflict of Interest Reporting Statement shall subject me to a civil penalty in an amount up to fifty thousand dollars (\$50,000) pursuant to Welfare and Institutions Code section 4626.

Signature  _____ Date _____

INTERNAL USE ONLY

Date this Statement was received by Reviewer: _____

The reporting individual does does not have a present potential conflict of interest

Signature of Designated Reviewer 	Date Review Completed
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North Los Angeles County Regional Center
Board of Trustees Policy

Board Member Responsibilities

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

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

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

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

North Los Angeles County Regional Center
Board of Trustees Policy Statement

Secretary

The office of secretary is established in Article V, Section 8 of the bylaws of North Los Angeles County Regional Center. The secretary shall be a member of the Board of Trustees and elected by the Board of Trustees. The term of office shall be one (1) year with no limitation on the number of terms. The secretary shall serve on the Executive Committee.

The secretary shall:

- Review the minutes, taken by the secretary to the executive director, at meetings of the Board of Trustees, and sign the original copy of the minutes.
- Maintain a log or record of actions taken in executive session and transfer this record to his/her successor.
- Sign the original copy of the bylaws when revisions are made.
- Perform such other duties as may be prescribed by the Board of Trustees and the bylaws.

North Los Angeles County Regional Center
Nominating Committee

Policies & Procedures

Bylaws

Composition and Membership of the Committee

The Nominating Committee is established as a standing committee in Article VII, Section 5 of the bylaws of the North Los Angeles County Regional Center (NLACRC). As required in the bylaws, the committee has a membership of not less than four, all of whom shall be board members. The committee is responsible for electing its own chairperson. A quorum consists of 50% of the committee. Members serve for two years, with not more than two members of the Nominating Committee being replaced annually to provide for continuity.

Responsibilities of the Committee

The Nominating Committee is responsible for collecting, categorizing, screening and keeping on file all applications for membership on the Board of Trustees, and Vendor Advisory Committee (VAC). The applications are to be kept confidential. Only committee members, the board president, and executive director may have access to the applications. The committee is responsible for ensuring that qualified and interested persons are nominated for positions on the Board of Trustees and VAC. Finally, the committee is responsible for ensuring that the make-up of the board and VAC complies with the Lanterman Developmental Disabilities Services Act.

Process

Presentation and Seating of New Board Members, Board Officers, and VAC Members

At regular Board of Trustees meetings, the new trustees, new VAC members, and, as necessary, new board officers are elected. They are seated as determined by the needs of the board consistent with NLACRC board bylaws and policies. Members of the Board of Trustees may serve consecutive 1-year, 2-year, or 3-year terms up to 7 years within an 8-year period. Election to the board is by a majority vote. Although the board may choose to leave seats on the board vacant temporarily for specific reasons, no more than seven seats may be kept vacant at any one time. Members of the VAC may serve no more than six years and no more than two members from an agency may serve on the VAC at the same time.

Operating Processes for the Nominating Committee

To assure appropriate membership on the Nominating Committee, the secretary¹ shall keep a current list of committee members, indicating the name of each member, date appointed to the committee, and date of termination on the committee. This list shall be kept with the board files and a copy will be provided to the chairperson of the Nominating Committee.

Confidentiality of the Nominating Committee

By its very nature, the Nominating Committee engages in issues involving individuals and, at times, may be faced with considering actions affecting members of the committee and other members of the board.

Each member of the Nominating Committee shall sign a Confidentiality Statement at the first meeting of the committee each year. The statement shall be filed in the board member's NLACRC file that is maintained by the secretary.

To avoid any appearance of conflict of interest, if any member of the Nominating Committee has applied to serve an additional term on the board or is being considered for nomination to an office, he/she shall absent himself/herself from the meeting room for the duration of the discussion concerning his/her application/nomination. His/her absence shall be noted in the minutes of the meeting.

Procedures for Recruiting and Nominating Trustees

- The secretary sends out information to organizations in the NLACRC area during the annual recruitment period to solicit new board members. An information packet is sent to each prospective board applicant.
- The secretary tracks and follows-up on applications sent to prospective board members. This includes contacting the prospective board member to ascertain if assistance is needed to complete the application or if there is a desire to speak with a current board member. The secretary will submit all completed applications to the committee, arrange required interviews with the committee and executive director, as well as record any action on the application the committee takes.
- The Nominating Committee should consider the various positions to be filled if there are any one-year or two-year positions vacant in addition to the three-year positions. In nominating new board members, the committee shall give due consideration to the need for continuity of the board, both in the short term and the long term; however, nothing in the section should be construed to mandate that three-year positions cannot be filled by an individual not eligible to serve the full three years.

¹ Whenever there is reference to the "secretary," it is meant to refer to the secretary of the executive director.

- The committee is to present the names of nominees to the board with a brief statement regarding each individual nominated, including characteristics important for complying with board composition. The board will be informed of applicants who were interviewed but not nominated. Formal nomination may take place at regular board meetings.
- Nominations may also be made from the floor. Nominations from the floor may only be of individuals who have submitted an application to serve on the board and shall be in writing (signed by four members of the board in addition to the person making the nomination), with the consent of the person being nominated.
- In the event of a nomination from the floor, the Nominating Committee shall meet and interview any individuals so nominated who have not previously been interviewed. The Nominating Committee shall provide a report to the board at the next meeting.
- The Board of Trustees elects new members at the meeting subsequent to the meeting at which nominations are made with a ballot prepared by the Nominating Committee. If there have been no nominations from the floor for board members, and nominees to be voted on do not exceed vacancies, voting shall be by voice vote. If nominations have been made from the floor, voting shall be by secret ballot. Board member candidates receiving the most votes will be seated regardless of how this would affect the composition of the board as a whole. The board secretary and secretary shall tally the ballots. They will present the results to the board president.
- Letters advising of election to the board are sent to the newly elected members within five working days following the meeting; a copy of the Conflict of Interest Statement and a Board Responsibility/Commitment Statement are sent with the letter. The secretary prepares an electronic file for each of the newly-elected members of the board that is to be maintained and kept by the center.
- Letters advising persons that were not elected are sent to the other applicants within five working days following the meeting.

Nominations of Board members to a Second Term of Office

At the November meeting of the Board of Trustees, each member of the board whose term of office expires in June of the next year and who is eligible to serve another term, will be given the Application to Serve an Additional Term with a cover letter. The application must be signed and returned to the Nominating Committee by **December 15th**.

For any such members who are absent from the November meeting, the secretary is to send the Application to Serve an Additional Term to each person within two days following the

November board meeting. Those individuals indicating an interest in serving an additional term on the board will be considered by the Nominating Committee based upon their activity on the board during their previous term of office.

Nomination of Officers

The Nominating Committee is responsible for presenting a slate to the Board of Trustees at its meeting in May for the following offices: 1) president; 2) first vice president; 3) second vice president; 4) secretary; 5) treasurer; 6) ARCA delegate; 7) ARCA alternate. The election takes place at the June meeting and the officers are seated on July 1st.

If there have been no nominations from the floor for officers and the nominees to be voted on do not exceed vacancies, voting shall be by voice vote. If nominations have been made from the floor, voting shall be by secret ballot. Candidates receiving the most votes will be elected. The secretary and board secretary shall tally the ballots and present the results to the board president. The Nominating Committee must consider many factors in developing the slate. Among the criteria to be considered are active committee and board participation and any special expertise of individuals.

Should a vacancy for an office occur during the year, the Nominating Committee is responsible for presenting candidates(s) for the office at the following board meeting. Additional nominations may be made from the floor. The election takes place at the same board meeting and the officer is seated immediately.

Procedures for Selection of VAC Members

The Nominating Committee is responsible for assuring that qualified and interested persons are nominated for membership on the VAC. The following timetable has been developed to assure timely action by the committee and the board:

- A mailing is to be sent out during the annual recruitment period to all providers serving consumers in the NLACRC catchment area to solicit applications for committee membership.
- In addition, board and staff recommendations may be made for persons to serve on the committee.
- A description of the VAC and application will be sent upon request.
- The secretary tracks and follows-up on applications sent to prospective VAC members. This includes contacting the prospective VAC member to ascertain if assistance is needed

to complete the application or if there is a desire to speak with a current VAC member. The secretary will submit all completed applications to the committee, arrange required interviews with the committee, as well as record any action on the application the committee takes.

- The Nominating Committee is responsible for screening the applicants, obtaining consultation from the VAC chairperson and may request that the VAC chairperson assist in screening potential nominees. The VAC chairperson shall also be invited to participate in interviewing applicants to the committee.
- In ~~*November*~~ *December* of each year, an Application to Serve an Additional Term on the VAC is sent with a cover letter by the secretary to each member of the VAC whose term of office expires in June of the next year and who is eligible to serve another term. The application should be signed and returned to the Nominating Committee by *December 15th January 5th*.

Persons serving on the committee serve as individuals and not as representatives of their agencies. They are selected for their own expertise based upon their individual credentials. Members of the committee may be individual providers or employees of provider agencies serving NLACRC consumers. In order to provide wide representation on the VAC, attempts should be made to avoid more than one member from an agency; in no instance may there be more than two members elected from one agency.

The Nominating Committee and Board of Trustees should assure a wide range of representation on the VAC. In doing this, the following must be considered:

Categories to be represented:

- Living Arrangements - Large and small (agency and individual) providers of various community living (residential) services, including: community care licensed residences (owner operated and staff operated); health licensed facilities (ICF/DD-H, ICF/DD-N); and alternative living services (such as supported living services, adult family home agencies, foster home agencies for children, etc.).
- Skill Development - Infant and early intervention programs, adult day training programs, independent living programs, etc.
- Support Services - Respite and home health agencies, behavior consultation, day care and after school programs, Saturday programs, transportation, mobility training, etc.

[polpro.nom] Adopted 9-12-18 (*revised 10.06.2021*)

NLACRC
Nominating Committee
CRITICAL CALENDAR
FY 2021-22

Draft

<i>Month</i>	<i>Activity</i>
<i>July</i>	(The committee does not meet in July.)
<i>August</i>	No meeting and no interviews to be held.
<i>September</i>	<p><u>Staff activity:</u> Board and VAC members with expiring terms are sent applications to indicate interest in serving another term (responses due by September 30th).</p> <p><u>Staff activity:</u> Mail out recruitment notices.</p> <p>Conduct an educational session for potential board applicants (optional)</p>
<i>October</i>	<p>Elect a committee chair.</p> <p>Sign confidentiality statements.</p> <p>Orientation for new committee. Review Nominating Committee policies & procedures, board audit section, board recruitment guiding principles, and board internship policy. Revise them, if needed.</p> <p>Review the committee’s draft critical calendar for new fiscal year.</p> <p>Review committee actions that were taken during the previous fiscal year.</p> <p>Review any recommendations made by the previous Nominating Committee.</p> <p>Review and make any needed changes to Board and Vendor Advisory Committee (VAC) recruitment notices to be mailed out in October.</p> <p>Conduct an educational session for potential board applicants (optional)</p>
<i>November</i>	(The committee does not meet in November.)
<i>December</i>	<p>(The committee does not meet in December.)</p> <p>The deadline for submitting applications for the Board and VAC is December</p>

	15th.
<i>January</i>	<p>Human resources director provides training on how to interview applicants. Copies of the interview questions and applicant rating sheets are provided to the committee.</p> <p>The committee will review board member applications with special focus on identifying any possible conflicts of interest.</p> <p>If the number of applicants is high, consider scheduling group orientations later this month.</p> <p>Review applications received and determine who to interview. Identify interview dates and times in February and March.</p> <p><u>At the Board Meeting:</u> Discussion to be held about board officers for next fiscal year. Recommendations for officers are made and interest for serving as an officer is solicited.</p>
<i>February</i>	<p>Conduct interviews with Board applicants.</p> <p>Begin discussion about slate of officers for next fiscal year.</p>
<i>March</i>	<p>Conduct interviews with VAC applicants.</p> <p>Discuss slate of officers for next fiscal year and Nominating Committee chair will ensure all potential officers' willingness to serve.</p>
<i>April</i>	<p>Wrap up committee business. Make any recommendations for next year's committee.</p> <p>Finalize recommended slate of officers, nominees and re-nominees for next fiscal year and present them at the Executive Committee's April meeting.</p> <p>Review and approve draft critical calendar for next fiscal year.</p>
<i>May</i>	<p>At the May Board meeting: The recommended slate of officers and nominees for Board, board interns, and VAC are presented.</p>
<i>June</i>	<p><u>At the June Board meeting:</u> The slate of officers and nominees for Board, board interns, and VAC are elected.</p>

[ccal.2021-22] Approved:

NORTH LOS ANGELES COUNTY REGIONAL CENTER
PROVIDER RELIEF FUNDS aka CARES ACT FUNDING
FINANCIAL REPORT-MONTHLY RECAP
FISCAL YEAR 2020-2021
August 2021

DESCRIPTION	PROVIDER RELIEF FUNDING aka CARES ACT FUNDING	EXPENDED MONTH	EXPENDED Y-T-D	BALANCE REMAINING	PROJECTED EXPENDITURES	SURPLUS/ (DEFICIT)
Provider Relief Funds aka CARES Act Funding	\$991,226.62	\$7,276.11	\$975,913.29	\$15,313.33	\$991,226.62	\$0
TOTAL:	\$991,226.62	\$7,276.11	\$975,913.29	\$15,313.33	\$991,226.62	\$0

Provider Relief Funding: On April 10, 2020, Health and Human Services ("HHS") made available the first disbursement of \$30 billion of the \$100 billion that Congress allocated to hospitals, physicians, and other health care providers in the Public Health and Social Services Emergency Fund in the Coronavirus Aid, Relief and Economic Security Act ("CARES Act"), also known as the Provider Relief Funding. Eligible providers include participants in state Medicaid/Children's Health Insurance Program ("CHIP") programs. Regional Centers were eligible for the Provider Relief Funds because regional centers provide Medicaid-funded case management services to Consumers. Service Providers were also eligible because a substantial percentage of Consumers served have Medi-Cal and received Medicaid-funded Home & Community-Based Services ("HCBS"). NLACRC applied for the Provider Relief Fund and received Provider Relief Funds on November 20, 2020. NLACRC must utilize the Provider Relief Funds by December 31, 2021, or any unused amounts will be forfeited and must be returned to HHS. All recipients of Provider Relief Funds must submit documents sufficient to ensure that the Provider Relief Funds received were used for healthcare-related expenses or lost revenue attributable to the coronavirus. Provider Relief Funds must be used for COVID-19 or health related expenses purchased to prevent, prepare for, and respond to coronavirus, including but not limited to, acquiring additional resources, including facilities, equipment, supplies, health care practices, staffing, and technology to expand or preserve care delivery. Reporting on the use of the CARE's

Sep-21

HUMAN RESOURCES REPORT

Open Positions on Hold	Open Positions Vacant	Positions Filled as of September 30th	FY21/22 Authorized Positions	New Hires as of September 30th	Separations as of September 30th	Annualized Turnover Rate
0	74	559	633	15	15	0.22%

FY21/22 Authorized Positions	Positions Added Based on FY 21/22 Growth
633	19

Open SC Positions: 37

Service Coordinators	Department/ Location	Open as of Date
CSC-BIL-SPECIALIZED	AD - SFV	Nov-20
CSC - FL SPECL - BIL	ES - SCV	Dec-20
CSC - BIL	SA - SFV	Feb-21
CSC	SA - SFV	Mar-21
CSC	AD - AV	Apr-21
CSC - BIL	ES - AV	May-21
CSC	AD - SFV	Jun-21
CSC	AD - SFV	Jun-21
CSC	AD - AV	Jun-21
CSC	ES - SFV	Jul-21
CSC - BIL	ES - AV	Jul-21
CSC - BIL	ES - SFV	Jul-21
CSC - BIL	SA - SFV	Jul-21
CSC-BIL	ES/SA - AV/SCV	Jul-21
CSC-BIL	AD - SFV	Jul-21
CSC - BIL	ES - AV	Jul-21
CSC - BIL	ES - SFV	Aug-21
CSC	AD - SFV	Aug-21
CSC - BIL MW	SA - AV	Aug-21
CSC	ES - AV	Aug-21
CSC	ES - AV	Sep-21
CSC - FL SPECL	SA - AV	Sep-21
CSC - BIL	AD - AV	Sep-21
CSC - BIL	ES - SCV	Sep-21
CSC - BIL	TRANS - AV	Sep-21
CSC - BIL	ES - AV	Sep-21
CSC	TRANS - AV	Sep-21
CSC	SA - SFV	Sep-21
CSC	SA - SCV	Sep-21
CSC	ES - SFV	Sep-21
CSC	TRANS - AV	Sep-21
CSC - BIL	AD - SFV	Sep-21
CSC - BIL	SA - SFV	Sep-21
CSC - BIL	SA - AV	Sep-21
CSC	SA - SFV	Sep-21
CSC-BIL	SA - AV	Sep-21
CSC	AD - AV	Sep-21

Open Other Positions: 37

All Other Positions	Department/ Location	Open as of Date
Resource Developer Specialist	Comm Svcs - SFV	Jan-20
HR Director	HR - SFV	Oct-20
Jr Accountant	Accounting - SFV	Jan-21
Aging Adult Specialist	Cons Svcs - AV	Mar-21
Accounting Specialist	Accounting - SFV	Mar-21
Executive Admin Assistant	Executive Admin - SFV	Apr-21
Intake Associate	Intake - SFV	Apr-21
Consumer Svcs Supervisor	AD - SFV	Apr-21
Executive Administrative Asst - Bil	Executive Admin - SFV	May-21
Consumer Svcs Specialist-HCBS	Community Svcs - SFV	May-21
Nurse Consultant	Clinical Svcs - SFV	May-21
Senior Accounting Specialist	Accounting - SFV	May-21
Contract & Compliance Specialist	Community Svcs - SFV	Jun-21
Payroll Specialist	Payroll - SFV	Jun-21
Accounting Specialist	Accounting - SFV	Jun-21
Consumer Svcs Supervisor	AD - SFV	Jul-21
Consumer Svcs Supervisor	ES/SA - SFV	Jul-21
Office Assistant II	ES/SA - SFV	Jul-21
Psychologist	Clinical Svcs - SFV	Jul-21
Controller	Accounting - SFV	Jul-21
HR Specialist I	HR - SFV	Aug-21
Office Assistant II - Bil	Office Services - SCV	Aug-21
Accounting Specialist	Accounting - SFV	Aug-21
IT Specialist II	IT - SFV	Aug-21
IT Specialist I	IT - SFV	Aug-21
Branch Office Supervisor	AD - SCV	Aug-21
IT Specialist II	IT - SFV	Aug-21
Office Services Assistant	Office Services - SFV	Sep-21
Consumer Svcs Supervisor	AD - SCV	Sep-21
Risk Assessment Supervisor	Risk Assessment - SFV	Sep-21
Risk Assessment Specialist	Risk Assessment - SFV	Sep-21
Transfer Coordinator	Consumer Svcs - SFV	Sep-21
Office Assistant II	Recs & Doc Management	Sep-21
Resource Developer	Community Svcs - SFV	Sep-21
Intake Associate	Intake - SFV	Sep-21
Office Assistant II	Intake - AV	Sep-21
Consumer Svcs Supervisor	AD III TRANS II - AV	Sep-21

Release of Positions From Hold: 0

Month FY 21/22	Positions Released From Hold
July	0
August	0
September	0
October	0
November	0
December	0
January	0
February	0
March	0
April	0
May	0
June	0

On Hold Positions FY 21/22 0

Hold Positions	Dept/ Location	Hold as of Date

Total Terms: 15

Position	Separation Reason	Term Month
CSC	Other	Sep-21
Office Assistant	Personal	Sep-01
CSC FL Specl	Retirement	Sep-21
CSC - Bil	Personal	Sep-21
Office Assistant II	Other	Sep-21
CSC	Personal	Sep-21
IT Specialist II	Other	Sep-21
Resource Developer	Other	Sep-21
Intake Associate	Personal	Sep-21
CSC	Relocation	Sep-21
CSC	Personal	Sep-21
CSC	Other	Sep-21
CSC	Personal	Sep-21
CSC	Personal	Sep-21
Office Assistant II	Other	Sep-21

CALCULATION

FY 21/21 Authorized Positions	633
Open Positions On Hold	0
Open Positions Vacant	-74
Separations as of September 30, 2021	-15
Sub Total	544
Add - New Hires as of September 30, 2021	15
Positions Filled as of September 30, 2021	559

Positions Filled as of September 30, 2021	559
New Hires as of September 30, 2021	-15
Sub Total	544
Add - Open Positions On Hold	0
Add - Open Positions Vacant	74
Add - Separations as of September 30, 2021	15
FY 21/22 Authorized Positions	633

PROMOTIONS & TRANSFER TRACKING

Sep-21

PROMOTIONS

CSC	CONS SVCS SUPV
CSC	RESOURCE DEVELOPMENT SPECIALIST
CSC	CPP COMMUNITY SRVCS SPECIALIST
CSC	CONS SVCS SUPV
CSC	CONS SVCS SUPV
CSC	CONS SVCS SUPV

LATERAL TRANSFERS

CONS SVCS SUPV	CONS SVCS SUPV
CSC	CSC
CSC	CSC

DEMOTIONS

CONS SVCS SUPV	CSC
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North Los Angeles County Regional Center

FY 2021/2022

1st Quarter Human Resources Report

Quarter FY 21/22	Hold	New Hires	Promotions	Separations	Quarterly Turnover Rate
1st Quarter	0	36	10	32	0.16%
2nd Quarter	0	0	0	0	#DIV/0!
3rd Quarter	0	0	0	0	#DIV/0!
4th Quarter	0	0	0	0	#DIV/0!

Quarter FY 20/21	Separation Reasons
Jul - Sep	Retire - 4
	School - 1
	Relocation - 5
	Personal - 8
	Other - 14
Oct - Dec	Retire -
	School -
	Relocation -
	Personal -
	Other -
Jan - Mar	Retire -
	School -
	Relocation -
	Personal -
	Other -
Apr - Jun	Retire -
	School -
	Relocation -
	Personal -
	Other -