



Board of Trustees Meeting

Wednesday, November 10, 2021

6:30 p.m.

Via Zoom Technology

Packet #1

North Los Angeles County Regional Center
Board Packet #1
November 10, 2021

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NLACRC Board of Trustees Calendar
 Fiscal Year 2021-22

~ December 2021 ~						
◀ November						January ▶
Sun	Mon	Tue	Wed	Thu	Fri	Sat
			1 CAC Luncheon	2 10:00am-2:00 pm ARCA Executive Committee Mtg.	3	4
5	6 6:00 pm Strategic Planning Committee Meeting	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24 Christmas Eve Day (NLACRC offices closed)	25 Christmas Day
26	27	28	29	30	31 New Year's Eve Day (NLACRC offices closed)	

Note: The Board is “dark” in December and the Self-Determination Committee will not meet.

Please note that all meetings will be held via Zoom until further notice.

NLACRC Board of Trustees Calendar
Fiscal Year 2021-22

~ January 2022 ~						
◀ December						February ▶
Sun	Mon	Tue	Wed	Thu	Fri	Sat
						1 New Year's Day
2	3 6:00 pm Strategic Planning Committee Meeting	4	5 11:00am-1:00 pm Consumer Advisory Committee Meeting 5:30 pm Nominating Committee meeting	6 9:30 am Vendor Advisory Committee (full meeting)	7	8
9	10	11	12 4:00 pm Board Packet Review (Chatsworth Office) 6:00 pm Board Dinner (Antelope Valley Office) 6:30 pm Board Meeting (Antelope Valley Office)	13	14	15
16	17 Martin Luther King Day (NLACRC closed)	18	19 6:00 pm Consumer Services 7:00 pm Government/Community Relations	20	21	22
23	24	25	26 5:30 pm Post-Retirement Medical Trust 6:15 pm Administrative Affairs 7:30 pm Executive Committee	27	28	29
30	31 6:00 pm Strategic Planning Committee Meeting					

Please note that all meetings will be held via Zoom until further notice.

North Los Angeles County Regional Center
Board of Trustees Meeting - *Via Zoom*
Wednesday, November 10, 2021
6:30 p.m.

~ **AGENDA** ~

1. **Call to Order & Welcome** – Lety Garcia, Board President
2. **Executive Session**
 - A. Lease Update
3. **Housekeeping**
 - A. Spanish Interpretation Available
 - B. Public Attendance (please note name in Chat)
4. **Board Member Attendance** – Liliana Windover, Executive Administrative Assistant
5. **Introductions**
6. **Public Input & Comments** (3 minutes)
7. **Consent Items**
 - A. Approval of Agenda (*Packet 1, Page 5*)
 - B. Approval of October 13th Board Meeting Minutes (*Packet 1, Page 8*)
8. **Approval of NLACRC's Draft 2022 Performance Contract**
9. **Committee Action Items**
 - A. Administrative Affairs Committee – Ana Quiles
 1. Contract(s)
 - a) American Living Skills ((HL0954-520) (*Packet 1, Page 24*))
 - B. Executive Committee – Lety Garcia
 - C. Nominating Committee – Angelina Martinez
 1. Approval of Committee's Policy and Procedures (*Packet 1, Page 29*)
 2. Approval of Committee's Critical Calendar for FY 2021-22 (*Packet 1, Page 34*)
 - D. Consumer Services Committee – Gabriela Herrera

1. Approval of Committee's Priorities for FY 2021-22

10. Additional Action Items

- A. Administrative Affairs Committee
 - 1. Approval of Contracts
 - a) Viatron (Ops) – Second Amendment (*Packet 1, Page 36*)

11. Association of Regional Center Agencies – Angelina Martinez

- A. Report on ARCA Meetings

Executive Director's Report – Ruth Janka

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

14. Administrative Affairs Committee – Ana Quiles

- A. Minutes of the October 27th Meeting
- B. Regional Center POS & OPS Contracting (*Packet 1, Page 39*)
- C. FY2021-22 Financial Report (*Packet 1, Page 67*)
- D. FY2020-21 Provider Relief Funds Financial Report (*Packet 1, Page 71*)
- E. Revised Awarding Start-Up and Development Funding Policy (*Packet 1, Page 72*)
- F. Final DDS Audit Report for FY2020 and FY2021 (*Packet 1, Page 77*)
- G. FY2021 and FY2022 Report on Personnel Classification & Salary Schedule (*Packet 1, Page 101*)
- H. Monthly Revised Human Resources Report

15. Consumer Advisory Committee – Caroline Mitchell

- A. Minutes of the November 3rd Meeting

16. Consumer Services Committee – Gabriela Herrera

- A. Minutes of the October 20th Meeting (*Packet 1, Page 111*)

17. Executive Committee – Lety Garcia

- A. Minutes of the October 27th Meeting
- B. Board Members' iPads and Training
- C. Board Budget vs Expenditures for FY 2021-22 (*Packet 1, 117*)
- D. Annual Strategic Plan Update (*Packet 1, Page 119*)
- E. Ana Quiles Conflict of Interest Resolution Plan Resubmission (*Packet 1, Page 157*)
- F. FY 2021-22 and FY 2022-23 Board Training Plans
- G. Executive Director Process

18. **Government & Community Relations Committee** – Jeremy Sunderland
 - A. Minutes of the October 20th Meeting
19. **Nominating Committee** – Angelina Martinez
 - A. Minutes of the October 20th Meeting (*Packet 1, Page 173*)
 - B. Board & VAC Member Recruitment Notices (*Packet 1, 178*)
20. **Post-Retirement Medical Trust Committee** – Lety Garcia
 - A. Minutes of the October 27th Meeting
 - B. Statement of Current PRMT Trust Value (*Packet 1, Page 181*)
 - C. Statement of Current CalPERS UAL Trust Value (*Packet 1, Page 188*)
21. **Strategic Planning Committee** – Marianne Davis
 - A. Minutes of the November 1st Meeting
 - B. Annual Update on Strategic Plan
 - C. Diversity, Equity & Inclusion Policy Steering Committee
 - D. Recruitment Composition
22. **Vendor Advisory Committee** - Sharoll Jackson
 - A. Minutes of the November 4th Meeting
23. **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
24. **Announcements/Information/Public Input**
 - A. Next Roundtable: Wednesday, November 17th at 3:00 p.m., via Zoom “Stanford Neurodiversity Project & Autism Spectrum Disorder”
 - B. Next Town Hall: Thursday, November 18th, at 1:30 p.m., via Zoom “Department of Rehabilitation, Overview, Employment and Transition Services”
 - C. Next Cafecito Entre Nos: Thursday, November 18th at 11:00 a.m., via Zoom
 - D. Next Aprendiendo Entre Nos: Thursday, December 16th at 9:00 a.m., via Zoom
 - E. Next Meeting: Wednesday, January 12th at 6:30 p.m. via Zoom.
 - F. Next Listening Session: All Listening Sessions have been completed.
25. **Adjournment**



Draft

**Minutes of Regular Meeting
of
North Los Angeles County Regional Center
Board of Trustees**

The Board of Trustees of North Los Angeles County Regional Center (NLACRC), Inc., a nonprofit corporation, held their regular board meeting via Zoom on October 13, 2021.

<u>Trustees Present</u>	<u>Trustees Absent</u>	<u>Staff Present</u>	<u>Guests Present</u>
Nicholas Abrahms	Jeremy Sunderland	Ruth Janka	Victoria Berry, FFRC
Cathy Blin	Gabriela Herrera	Michele Marra	Bod Boden
Sylvia Brooks Griffin		Kim Rolfes	Martin Brandtner
Christina Cannarella		Alan Darby	Kimberly Bermudez, 24 Hour
David Coe		Dr. Jesse Weller	Home Care
Marianne Davis		Liliana Windover	Shannon Clark-Rivera
Leticia Garcia		Cheryl Blizin	Martin Diaz, Maxim Healthcare
Sharoll Jackson		Cristina Preuss	Jason Girard
Jennifer Koster		Sheila King	Shelly Hash (Interpreter)
Angelina Martinez		Tiffany Jones-Newman	Wilma Tillman
Lillian Martinez		Gabriela Eshrati	Nick Vukotic
Caroline Mitchell		Jazmin Zinnerman	Brian Winfield, DDS
Ana Quiles			Lucy Paz (Interpreter)
Alma Rodriguez			Suzette Valladares, Assembly
Rocio Sigala			Member
Jennifer Siguenza			Donald Wood
Deshawn Turner			Perla Zuniga, DDS
Curtis Wang			

1. Call to Order & Welcome – Leticia (Lety) Garcia, Board President

Lety Garcia, President, called the meeting to order at 6:32 p.m.

2. Housekeeping

- A. Spanish interpretation was available for those who were interested. Information was posted in the Zoom chat on how to access this service.
- B. Public was asked to note their name in the chat for the purpose of public attendance.

3. Board Member Attendance – Liliana Windover, Executive Administrative Assistant

Board Members attendance was taken.

4. Introductions

A. Presentation by Assemblywoman Valladares, 38th District

The Center had the honor to have California Assemblywoman Suzette Valladares attending our board meeting. Ms. Valladares won to the California State Assembly in November 2020. She is the Vice Chair of the Arts, Entertainment, Sports, Tourism, and Internet Media Committee, on the Assembly Committees on the Budget for Education Finance, Public Safety Subcommittees as well as Communications and Conveyance, Rules, and Higher Education.

On behalf of the State of California and as part of the Hispanic Heritage Month, Ms. Valladares was honored to recognize Ruth Janka, Executive Director at NLACRC, as an outstanding Hispanic in Assembly District 38th for her work, leadership and contributions to the community.

B. Sharoll Jackson, Board Member and Vendor Advisory Committee Chair, and Alan Darby, Chief Financial Officer

In an effort to help the board to become more familiar with each other, the following volunteers give a brief introduction of themselves.

- Sharoll Jackson is a Board Member & Chair of the Vendor Advisory Committee Consumer. Sharoll provided information about her background and experience.
- Alan Darby is NLACRC Chief Financial Officer who oversees our Community Services Department, Information Technology, Offices Services and Accounting Department. Alan shared about his background and experiences.

5. Public Input & Comments (3 minutes)

- Angelina thanked Sara Iwahashi for her hard work during her tenure in the regional center.
- Nick Vukotic of Maxim expressed that his organization values the partnership with the regional center. Maxim has withdrawn its initial request for a rate increase and requested that the board allow Maxim to continue their services under the existing contract.
- The Family Focus Resource Center reported that during Hispanic Heritage month, they are offering workshop series in Spanish regarding regional center services and generic resources. They are also having a virtual resource fair this month, “All Abilities Resource” on October 23rd from 10:00 m to 1:00 pm.

6. Consent Items

A. Approval of Revised Agenda (Packet 2, Page 3)

M/S/C (A. Martinez/A. Quiles) To approve the revised agenda as presented

B. Approval of the September 9th Board Meeting Minutes (Packet 2, Page 7)

M/S/C (C. Mitchell/C. Wang) To approve the minutes of the September 9th meeting as presented.

7. Committee Action Items

A. Administrative Affairs Committee – Ana Quiles

1. Contract(s)

- a) Maxim Contract, PL1025-062 (Packet 2, Page 22)

M/S/C (N. Abrahms/R. Sigala; Abstention: C. Cannarella/L. Martinez, A. Quiles) To approve the Maxim Contract as presented.

2. Executive Session

- a) Legal Matter

No Executive Session took place.

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*)

M/S/C (A. Martinez/A. Quiles) To approve the board resolution for City National Bank and Credit Line as presented.

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*)

M/S/C (M. Davis/J. Siguenza) To approve the US Bank Signatures Cards listed from a) through f) listed above, as presented.

5. Recommended Change to FY 2021-22 Administrative Affairs Committee Critical Calendar (*Packet 1, Page 24*)

Calendar amended for review of the Purchase of Service Expenditure Projection (PEP) Report from September to January.

M/S/C (A. Martinez/M. Davis) To approve recommended change to FY 2021-22 Administrative Affairs Committee Critical Calendar as presented.

6. Request for Proposal for New CPA Firm and RFP Selection Committee (*Packet 2, Page 28*)

The following RFP Selection Committee was recommended:

- Board Members:
Ana Quiles
Angelina Martinez
Lillian Martinez
- NLACRC Staff
Kim Rolfes
Alan Darby
Vini Montague

M/S/C (J. Koster/A. Martinez) To approve the Request for Proposal for New CPA Firm and the RFP Selection Committee as presented

B. Executive Committee – Lety Garcia

1. Strategic Planning Consultant (*Packet 1, Page 4*)

Ami Sullivan at Kinetic Flow was selected as the center's Strategic Planning consultant. We are currently in the process of executing the contract with Kinetic Flow.

2. Two four-hour days for the Strategic Planning Retreat

The plan for the Strategic Planning retreat is to do two four-hour days. Board members were asked to save the following dates: Sunday, November 7th and Saturday, November 13th. It was recommended to propose the following hours for this retreat: from 10:00 am to 2:00 pm.

Additionally, a meeting has been scheduled with Ami Sullivan and the Strategic Planning committee on Monday, October 18th at 6:00 pm.

3. Resubmission of Conflict of Interest Resolution Plans

- a) Revised Christina Cannarella (*Packet 2, Page 45*)
Christina identified a COI in the previous fiscal year and continues in this fiscal year. A resolution plan was created and approved by

the Executive Committee, the Board, State Council and DDS for one year which will expire in November 2021, therefore a new COI plan needs to be resubmitted. A new COI plan was presented and reviewed.

M/S/C (M. Davis/A. Martinez) To approve the resubmission of the COI Plan for Christina Cannarella as presented.

- b) Revised Lillian Martinez (*Packet 2, Page 62*)
Lillian identified a COI in the previous fiscal year and continues in this fiscal year. A resolution plan was created and approved by the Executive Committee, the Board, State Council and DDS for one year which will expire in November 2021, therefore a new COI plan needs to be resubmitted. A new COI plan was presented and reviewed.

M/S/C (A. Martinez/R. Sigala) To approve the resubmission of the COI Plan for Lillian Martinez as presented.

5. Executive Director Evaluation

- a) Board of Trustees Policy Executive Director Evaluation Draft (*Packet 2, Page 75*)
- b) Executive Director Evaluation Timeline Draft (*Packet 2, Page 77*)
- c) Executive Director Performance Evaluation Draft (*Packet 2, Page 79*)

Executive Director Policy, Timeline and Performance Evaluation were reviewed with members of this committee. Revisions were recommended by the Board and the Executive Committee and presented to this committee. Executive Director Evaluation will be distributed during the Board meeting in February and it will be due to the Board President and Board Attorney by the March Board meeting. Revisions on the policy impacted the timeline process, therefore applicable revisions were made to the timeline. Language was also added to the performance evaluation to reinforce the process if there are any concerns or issues in areas of performance.

M/S/C (A. Martinez/A. Quiles) To approve the Board of

Trustees Policy Executive Director Evaluation, Executive Director Evaluation Timeline, and the Executive Director Performance Evaluation as revised.

ACTION: Michele will review the Evaluation Process during the Board Meeting in November 2021.

6. Family Focus Resource Center (FFRC) Sponsorship of \$350.00 event on October 23, 2021.

FFRC has asked the center for a sponsorship of \$350 to support the All Abilities Resource Fair. The center has previously participated in this event and we had the ability to have FFRC affect changes in our community during COVID-19, we held drive-through events, provided art supplies, holiday kits to approximately 300 children with disabilities and provided parent education through virtual training at no cost. This financial support allows them to continue meeting their pledge of education, advocacy, and support.

M/S/C (M.Davies/J. Koster) To support FFRC sponsorship of \$350 as presented.

7. CSUN Family Focus Resource Center Contract

The Executive Committee took an action on behalf of the Board to approve a 3-year contract with CSUN. The center is on the process of executing this contract.

C. Nominating Committee – Angelina Martinez

Congratulations to Angelina for being selected as the Nominating Committee Chair for FY 2021-22.

1. Nominating Committee Policy and Procedures (*Packet 1, Page 108*)

Proposed changes to the Nominating Committee Policies and Procedures were reviewed with members of the committee. Discussion was held regarding making the dates for submission of the applications for Board applicants and VAC applicants consistent with the Critical Calendar. It

was recommended that the dates for submission of the applications should be December 15th. Further it was recommended that VAC applications to serve an additional term be sent in November instead of December VAC members whose term of office expires in June of the next year and who are eligible to serve another term.

ACTION: Board members were asked to review this policy and if there are no changes, Board will vote in November to approve this policy.

2. Nominating Committee Critical Calendar for FY 2021-22 (*Packet 1, Page 114*)

Critical Calendar for FY 2021-22 was reviewed with members of this committee.

M/S/C (M. Davis/A. Quiles) To approve the Nominating Committee Calendar for FY 2021-22 as presented.

8. Additional Action Items

- A. Administrative Affairs Committee – Ana Quiles

1. **Approval of Contracts**

- a) B.I.G. Solutions, LLC (PL2076-028) (*Packet 2, Page 81*)
- b) Stansbury Place, Inc. (PL2027-096) (*Packet 2, Page 86*)
- c) Paradiso Homes (PL2007-109) (*Packet 2, Page 90*)
- d) Compassion Group Homes (Zelzah TBD-113) (*Packet 2, Page 94*)

M/S/C (M. Davies/A. Quiles; Abstention: C. Cannarella) To approve the 4 contracts listed above as presented.

ACTION: It was recommended to add as part of the executive summaries, the catchment areas served by these service providers.

- B. Revised Committee List – Lety Garcia, Board President (*Packet 2, Page 98*)

An updated committee list was presented which reflects the following changes:

1. Strategic Planning Committee
Christina Cannarella was added, and Michele Marra and Sara Iwahashi were removed from this committee.
2. Nominating Committee
Angelina Martinez was selected the chair for this committee
3. Consumer Advisory Committee
Nicholas Abrahms is no longer the vice chair of this committee
4. Consumer Services and Government Community Relations Committees
Cathy Blin was added as part of these two committees.

M/S/C (A. Martinez/M. Davis) To approve the revised committee list as presented.

9. Association of Regional Center Agencies – Angelina Martinez

No currently meetings in ARCA. An ARCA Academy was held on September 14th, regarding “How services and supports meet the needs of infants and toddlers.” Webinar was very informative and was recorded.

10. Executive Director’s Report – Ruth Janka (Packet 2, Page 99)

The Executive Director’s report was presented to members of this committee. This report included information on legislation, state local updates, regional center operations, COVID-19, staff recruitment, community and systems activities. Copies of the director’s report were included in the meeting packet along with the center’s monthly quality assurance, consumer statistics, and special incident reports.

Some of the highlights in the Director’s report included:

- SB 639 (Durazo): This bill which limits the issuance of licenses for subminimum wage programs and eliminates subminimum wage programs by January 1, 2025 has been signed into law.
- SB 224 (Portantino): This bill would require each school district, county office of education, state special school and charter school that offers courses in health education (middle school or high school) to include instruction in mental health,

CDE must develop a plan to expand mental health instruction in California public schools on or before January 1, 2024.

- DDS Guidance dated 10/07/2021 regarding Restoration of Camping, Social Recreation and Other Services per WIC 4648.5.
- ARCA first webinar series will be on “employment”.
- NLACRC’s data shows a downward trend in COVID 19 positivity, as of the end of August and continuing to date. One of our day programs in the Antelope Valley has returned to in-person services.
- Effective October 18, 2021 NLACRC staff will increase onsite work to two days per week.
- Exit interview with DDS regarding audit for FY 2019-20 and FY 2020-21 was exceptional as there were not audit findings.
- LA County Public Health issued a new public health order that requires all healthcare workers to be vaccinated by September 30th, including health care workers that go into home setting. This order applies to regional center staff. Full vaccination must be demonstrated by November 30, 2021.

ACTION: Ruth will share data at the next Consumer Services Committee and the Board of Trustees meetings regarding the percentage of day programs in the San Fernando Valley that have returned to in-person services.

ACTION: This committee requested to list the dates and times of the affinity groups (Cafecito Entre Nos, Black & African American Support Group, Alianza de Hombres, etc.) in future agendas.

11. Self-Determination Program (SDP) Report – Jesse Weller (Packet 2, Page 101)

A report regarding the Self Determination Program as of October 1, 2021 was presented to members of this committee. Some of the highlights presented were as follows:

- Participants that have completed orientation: 329
- Total number of budgets that are certified: 70

- Total number of budgets that are in the certification process: 24
- Total number of spending plans that are approved: 63
- Total number of spending plans in progress: 7
- Total number of PCP's completed: 80
- Total number of participants that have transitioned into SDP: 62
- Information & Orientation meetings continue monthly
- SDP workbooks are currently available on website in English and Spanish.
- SDP Local Volunteer Advisory Committee will be on 10/21/21. New start time is 6:30 pm.
- DDS announced the appointment of Katie Hornberger as the Acting Ombudsperson for SDP. Katie will be attending the SDP Local Volunteer Advisory Committee in November.

A list of eight (8) Financial Manager Services (FMS) service providers and their FMS model was shared with members of this committee. Six (6) of these providers can offer services to Spanish speaking families.

NLACRC Executive Team will be meeting with SDP Local Volunteer chair to talk about self-determination, barriers and any other issues pertaining to the center's SDP program.

12. **Administrative Affairs Committee** – Ana Quiles

A. Minutes of the September 29th Meeting (Packet 2, Page.130)

The minutes were included in the meeting packet and questions regarding the minutes are directed to the committee chair. During the next meeting on October 27th, a training will be provided on how contracts are processed through the regional center.

B. FY 2021-22 Financial Report (Packet 2, Page 142)

FY2021-22 Financial Report for the service month of August 2021 was reviewed with the committee. The Center's projected C-1 budget was \$726.5M. Out total Operations (OPS) budget allocation was \$65.7M and Purchase of Service (POS)

budget \$660.8M. During the August 2021 service month, the Center spent a total of \$50,198,265 and our year-to-date expenditures was \$93,970,846.

C. Change in FY2021 PEP Report as of September 10, 2021 (Packet 2, Page 146)

Copies of September 10, 2021 PEP report was provided to the Board. The report showed that the Center's projected total Purchase of Service of \$21,189,990 had decreased by \$208,958 as compared to the prior month.

D. FY 2020-21 Provider Relief Funds Financial Report (Packet 1, Page 116)

The FY2020-2021 Provider Relief Funds Financial Report for the service month of August 2021 was reviewed with the committee. The report showed the Center received \$991,226.62 in funding. Year-to-date expenditures were \$975,913 with a remaining balance of \$15,313, which needs to be spent by December 31, 2021.

E. Monthly HR Report (Packet 1, Page 117)

The Monthly HR Report was included in the meeting packet and questions regarding this report are directed to the committee chair.

F. 1st Quarter HR Report (Packet 1, Page 119)

The 1st Quarter HR Report was included in the meeting packet and questions regarding this report are directed to the committee chair.

13. Consumer Advisory Committee – Caroline Mitchell

A. Minutes of the October 6th Meeting (Packet 2, Page 150)

The minutes were included in the meeting packet and questions regarding the minutes are directed to the committee chair. An overview of the Board of Trustees application was provided to the committee about how to become a board member. In addition, a presentation was provided regarding using Teams.

14. Consumer Services Committee – Gabriela Herrera

A legislative Training was held in lieu of the September 21st Meeting.

15. Executive Committee – Lety Garcia

A. Minutes of the September 29th Meeting (*Packet 2, Page 159*)

The minutes were included in the meeting packet and questions regarding the materials are directed to the committee chair.

B. FY 2020-21 Committee Action Log (*Packet 2, Page 162*)

The FY 2020-21 Committee Action Log was included in the meeting packet and questions regarding the materials are directed to the committee chair.

C. Executive Director Negotiating Committee

The Executive Committee will be appointing the Negotiation Committee to start the Executive Director's performance evaluation and compensation process for FY 2021-22. In accordance with the Executive Committee policy, the Negotiating Committee will be comprised of 3 members of the Executive Committee that includes the board president, first vice-president and/or immediate past president or another member of the Executive Committee.

D. Whistleblower Compliance Activity (*Packet 2, Page 166*)

Pursuant to the Whistleblower Policy and Procedures for employees, board members and vendors/providers a copy of the Whistleblower Compliance report was provided to the Executive Committee.

16. Government & Community Relations Committee (GCRC)– Jeremy Sunderland

A legislative Training was held in lieu of the September 21st Meeting

17. Nominating Committee – Angelina Martinez

Angelina was honored to be appointed as the chair of this committee.

A. Minutes of October 6th Meeting (Packet 2, Page 167)

The minutes were included in the meeting packet and questions regarding the materials are directed to the committee chair.

B. Board & VAC Member Recruitment Notices

Process has begun to recruit members for our Board of Trustees and Vendor Advisory Committee. Recruitment notices will be sent out soon. We are also recruitment for consumers to become part of our Board of Trustees.

18. Post-Retirement Medical Trust Committee – Lety Garcia (*No Report*)

19. Strategic Planning Committee - Marianne Davis

A. Annual Update on NLACRC’s Strategic Plan - *Deferred*

An Annual update on NLACRC’s Strategic Plan will be presented at the next November Board meeting.

20. Vendor Advisory Committee (VAC) - Sharoll Jackson

A. Minutes of the October 7th Meeting (*Packet 2, Page 172*)

The minutes were included in the meeting packet and questions regarding the materials are directed to the committee chair.

21. Old Business/New Business

A. Board and Committee Meeting Attendance Sheets (*Packet 2, Page 189*)

Updated board/committee meeting attendance sheets are always included in the meeting packet. Board members cannot miss 3 meetings in a row or 5 meetings in a 12-month period.

- B. Board and Committee Meetings Time Report (*Packet 2, Page 190*)
This report is issue for the purpose of determining how many hours of respite the board members can submit for reimbursement for their participation on board/committee meetings.
- C. Updated Acronyms Listing (*Packet 2, Page 193*)
An updated list of frequently used acronyms was included in the board meeting packet for the board's reference
- D. Meeting Evaluation (*Packet 2, Page 199*)
Board President asked the board members to please complete their evaluation forms after the meeting and submit them to her with any comments.

22. **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. via Zoom.
- Christina announced that last weekend was LA Fashion Week. Our disability community was represented by two models, one with down syndrome and one with Cerebral Palsy and they were able to walk the runway. It was a dream come true for these individuals and they had a welcoming reception from the attendees in the audience.

23. **Adjournment**

Meeting was adjourned at 8:43 p.m.

Submitted by,

Liliana Windover

Liliana Windover
Executive Administrative Assistant

for:

Lillian Martinez
Board Secretary

[badmin.oct13.2021]



Contract Summary and Board Resolution

No.	Description	Contract Summary
1.	Contract Overview: (New or Amendment) (POS or OPS)	New, Purchase of Services (POS)
2.	The Name of Vendor or Service Provider	American Living Skills, Inc. Vendor Number: HL0954, Service Code: 520
3.	The Purpose of the Contract	The service provider will provide 1:1 ratio Independent Living Services (ILS) services pursuant to Title 17, Section 54302(a)(35). ILS services are a community-based day program that provides to adult Consumers, age 18 years and older, the functional skills training necessary to secure a self-sustaining, independent living situation in the community and/or may provide the support necessary to maintain those skills. Independent Living Program Services focus on functional skills training for adult Consumers who generally have acquired basic self-help skills and who, because of their physical disabilities, do not possess basic self-help skills, but who employ and supervise aides to assist Consumers in meeting their personal needs.
4.	The Contract Term	Five (5) year contract effective August 1, 2021 through July 31, 2026.
5.	The Total Amount of the Contract	Projected annual cost is \$117,558.20 per year, or \$587,790.98 over the entire five (5) year term of the contract, based on similar service code 520 vendorizations vendored within the last 5 years.
6.	The Total Proposed Number of Consumers Served	Projected 11 consumers per month, based on similar service code 520 vendorizations vendored within the last 5 years.
7.	The Rate of Payment or Payment Amount	Payment will be reimbursed to service provider based on 1) the actual services authorized; 2) the actual services provided; and 3) the authorized DDS-set rate of \$38.77 per hour.
8.	Method or Process Utilized to Award the Contract.	Based on vendorization requirements under statute and regulation for ILS services.

No.	Description	Contract Summary
9.	Method or Process Utilized to Establish the Rate or the Payment Amount	Rate established by DDS based on the current temporary payment rate for service code 520.
10.	Exceptional Conditions or Terms: Yes/No If Yes, provide explanation	NLACRC requested the rate from DDS on July 9, 2021 with an approval date of August 1, 2021. On October 14, 2021, DDS confirmed verbally that rate letter authorizing the rate with be forthcoming. Once NLACRC received the DDS rate letter, contract will be retro-active to the vendorization and rate approval date of August 1, 2021.

The North Los Angeles County Regional Center’s (“**NLACRC**”) Administrative Affairs Committee reviewed and discussed the above the Agreement for Independent Living Program Services (“**Contract**”) and is recommending an action of the Board of Trustees to **Approve** the Contract.

Ana Quiles, Board Treasurer

October 27, 2021

Date

Contract Summary and Board Resolution

The North Los Angeles County Regional Center’s (“NLACRC”) Board of Trustees reviewed and discussed the Agreement for Independent Living Program Services (“**Agreement**”, or “**Contract**”) for **American Living Skills, Inc.** and passed the following resolution:

RESOLVED THAT in compliance with NLACRC’s Board of Trustees Contract Policy, the Contract between NLACRC and **American Living Skills, Inc.** was reviewed and approved by NLACRC’s Board of Trustees on **November 10, 2021.**

NLACRC’s Board of Trustees hereby authorizes and designates any officer of NLACRC to finalize, execute and deliver the Contract on behalf of NLACRC, in such form as NLACRC’s legal counsel may advise, and on such further terms and conditions as such Officer may approve. The final terms of the Contract shall be conclusively evidenced by the execution of the Contract by such Officer. 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 Development Officer, and no one else.

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

Lillian Martinez, Board Secretary

November 10, 2021
Date

American Living Skills, Inc.

Vendor #: HL0954

Svc Code: 520

Other Vendorizations with Vendor's Tax Identification Number (TIN): n/a

Service Address: 21045 Erwin St. Suite 1A #12, Woodland Hills, CA 91367

Service Area: San Fernando Valley

Service Description: Independent Living Program

American Living Skills' (ALS) Independent Living Skills (ILS) program is designed to train and help adults with developmental disabilities acquire functional skills to be more successful and independent at home and in the community. Each consumer's learning style is considered and incorporated into all training sessions and methodology. Services are provided in-home and within community settings.

ALS' goal is to promote a growing sense of personal dignity and empowerment for our consumers through individualized programs designed to provide the tools necessary for maximum independence and community participation. ALS provides functional skills training in the following areas:

- Cooking
- Cleaning
- Shopping in natural environments
- Menu planning
- Meal preparation
- Money management, including check cashing and purchasing activities
- Use of public transportation in natural environments
- Personal health and hygiene
- Self-advocacy training
- Independent recreation and participation in natural environments
- Use of medical and dental services, as well as other community resources
- Community resource awareness such as police, fire, or emergency help; and
- Home and community safety
- Assistance to the Consumer in structuring and maintaining independence:
 - An environment within the home typical of other homes in the community.
 - A community-oriented life in which all generic and natural supports are accessed consistently with the needs and preferences of the consumer.
 - A network of critical and durable relationships with others, including a circle of support consisting of a majority of members who are not paid to support the consumer and with appropriate family participation.

American Living Skills, Inc.

Vendor #: HL0954

Svc Code: 520

Staffing:

Program Director Qualifications

- MA/MS in Psychology, Sociology, Human Development or related field and a minimum of 18 months of experience in the management of a human services delivery system OR five years of experience in a human services delivery system, including at least two years in a management or supervisory system.
- First aid and CPR certification
- Excellent verbal and written communication skills

Supervisor Qualifications

- Three years of experience in a human services delivery system, including at least one year in a comparable program or a bachelor's degree in a human service-related field; and
- The demonstrated ability to provide staff training, supervision, and planning. (1+ years of supervisor experience)
- First aid and CPR certification

Independent Living Specialist Qualifications

- Must have a high school diploma
- Six months of experience in a human services delivery system required.
- Valid California driver's license
- Must pass pre-employment and maintain a clean criminal background screening/fingerprint clearance while employed
- Must pass a health screening and TB testing
- First aid and CPR certification

Employment Component: n/a

Exceptional Conditions: n/a

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.

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:

Contract Summary and Board Resolution (Revised)

No.	Description	Contract Summary
1	Contract Overview: (New or Amendment) (POS or OPS)	Operations Second Amendment Document Preparation Services Agreement
2.	The Name of Vendor or Service Provider	Viatron Systems, Inc. ("Viatron")
3.	The Purpose of the Contract	<p>Digitize paper consumer charts and records and prepare the digitized records for storage in NLACRC's electronic document management system ("EDMS") known as "Therefore".</p> <p>The contract is based on digitizing approximately 2.6 million pages being scanned and digitized during FY2019-2020; and 3.5 million pages being scanned and digitized during FY2020-2021.</p>
4.	The Contract Term	<p>Eighteen (18) months</p> <p>January 1, 2020 through June 30, 2021</p>
5.	The Total Amount of the Contract	<p>Original Contract: Estimated to be \$495,908</p> <p><u>Sources of Funding:</u> \$248,192: FY2019-2020 \$247,716: FY2020-2021</p> <p>First Amendment: No Change in Contract Value; revision to reflect modification of services requested by NLACRC for digitizing records</p> <p>Second Amendment: No Change in Contract Value; revision to reflect modification of services requested by NLACRC to restore and scan water damaged paper records as a result of the May 24, 2021 water damage incident on the 7th Floor of the SFV office building.</p>
6.	The Rate of Payment or Payment Amount	<p>Original Agreement \$0.057 per page to be scanned & digitized \$3.00 for boxing records to be digitized \$3.25 per banker's box \$21.00 per hour Professional Services \$0.80 per Box stored after 90 days; if NLACRC should seek to have Viatron store</p>

		<p>paper records beyond 90 days. Once NLACRC verifies the accuracy of the scanned paper documents, paper records are destroyed by Viatron.</p> <p><u>1st Amendment added the following fees & services</u> 9.5% Sales Taxes on banker's boxes \$30.00 per Separate Pickup Trip \$1.25 per Box Picked Up</p> <p><u>2nd Amendment added the following services</u> Data conversion of water damaged paper records as a result of May 24, 2021 water damage incident on the 7th floor</p> <p>Payment based on actual scanning services performed.</p>
7.	Method or Process Utilized to Award the Contract.	The IT Director solicited proposals from various vendors and determined that Viatron's proposal best met NLACRC's business needs and strategic plan goals.
8.	Method or Process Utilized to Establish the Rate or the Payment Amount	Usual & Customary Rate
9.	Exceptional Conditions or Terms: Yes/No If Yes, provide explanation	It is anticipated that our insurance carrier, Great American, will reimburse NLACRC for the cost of the data conversion costs to restore and digitize water damaged paper records

Contract Summary and Board Resolution

The North Los Angeles County Regional Center (“NLACRC”) Board of Trustees reviewed and discussed the Second Amendment to the Document Preparation Services Agreement between NLACRC and Viatron Systems, Inc. (“Viatron”).

RESOLVED THAT in compliance with NLACRC’s Board of Directors Contract Policy, on November 10, 2021, the Second Amendment to the Document Preparation Services Agreement between NLACRC and Viatron was reviewed and discussed by the NLACRC Board of Trustees. The NLACRC Board of Trustees hereby authorizes and designates any Officer of NLACRC to execute and deliver the Second Amendment to the Document Preparation Services Agreement on behalf of NLACRC, in such form as NLACRC’s legal counsel may advise, and on such further terms and conditions as such Officer may approve. The final terms of the Second Amendment to the Document Preparation Services Agreement shall be conclusively evidenced by the execution of the Document Preparation Services Agreement by such Officer. 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.

November 10, 2021

Lillian Martinez, Board Secretary



CONTRACT

Contract Process

Kim Rolfes
Wednesday, October 27, 2021

Contract Process

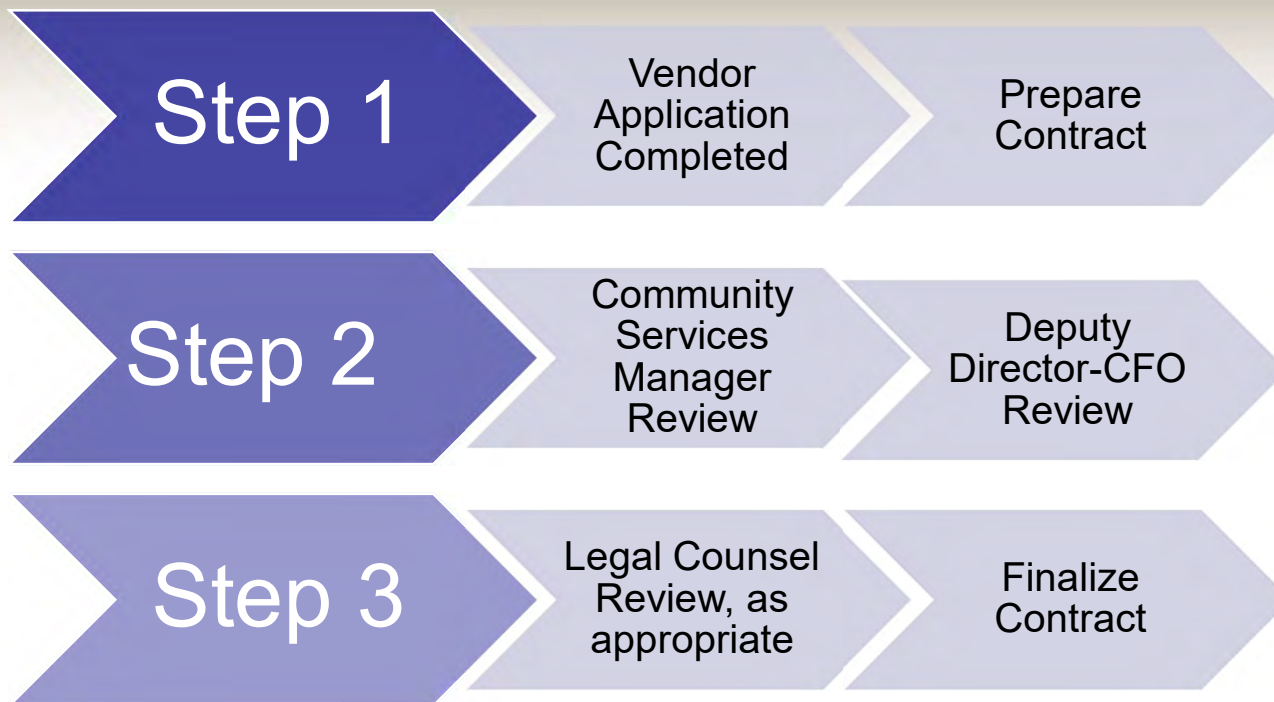
POS Contract Process

- Vendor application
- Contract preparation
- Contract/Compliance Manager Review
- Deputy Director-CFO Review
- Admin Affairs/Board
- Executed by Officer

OPS Contract Process

- Quote, Proposal, SOW
- Contract Preparation
- Contract/Compliance Manager Review
- Deputy Director-CFO Review
- Admin Affairs/Board
- Executed by Officer

Contract Process: POS



Contract Process: POS



Contract Guidelines

Requirements & Practices	Purchase of Services (“POS”)	Operations (“OPS”)
Statute	XX	XX
Regulations	XX	n/a
DDS Contract	XX	XX
Board Policy	XX	XX
Business Practice(s)	XX	XX

Statutory Requirements

Statutory Requirements	Purchase of Services ("POS")	Operations ("OPS")
WIC 4625.5, requires Board approval of all contracts in excess of \$250,000	XX	XX
WIC 4640(k)(3), employment contract between NLACRC and an employee or contract shall not exceed the term of the State's contract with the regional center	XX, Up to five (5) years	XX, Up to three (3) years
WIC 4648(a)(3), regional center may pursuant to vendorization or contract, purchase services or supports for a consumer	XX	n/a
WIC 4648.12, prohibition to utilize a service provider that has been found to be convicted/liable for fraud or abuse	XX	n/a
WIC 4629.7(a), not more than 15% of regional center payments shall be spent on administrative costs	XX, negotiated rate vendors only	n/a
WIC 4704.6, requirement to post a hyperlink to DDS's website regarding the consumer & applicant appeal process	XX	n/a
WIC 4629, the State shall enter into five-year contracts with regional centers, subject to the annual appropriation of funds by the Legislature (the "Funding Contingency")	XX	XX
Service Specific Statutory Requirements <ul style="list-style-type: none"> • Family Home Agency • ARFPSHN • EBSH • Habilitation Services 	WIC 4689.1-4689.6 WIC 4684.50-4684.75 WIC 4684.80-4684.86 WIC 4850-4867	n/a

Regulatory Requirements

- **For Operations (OPS)**
 - There are no regulatory requirements
- **For Purchase of Services (POS)**
 - CCR, Title 17, §50604-50612, contracting
 - CCR, Title 17, §50612 termination provision
 - CCR, Title 17, §54302 et al, vendorization
 - CCR, Title 17, §54322(a) The vendoring regional center shall approve vendorization within 45 days of receipt of all information which specifies that the applicant is in compliance with Section 54320(a).

Duties & Responsibilities: POS Service Providers

- Program Design must be part of the contract (T17 § 50608 & § 54310)
 - Purpose & Goals
 - Description of services
 - Description of program methods
 - Consumer entrance & exit criteria
 - Job Descriptions of all positions
 - Staff qualifications for each job description
 - A staffing plan, including staff to consumer ratio
 - A staff training plan, if any
 - Hours & Location of service
 - Must adopt & periodically review, a written internal procedure to resolve consumer grievances, pursuant to WIC4705

DDS Contract

- Contract Policy
 - Article II, Section 3
 - WIC 4625.5 & Title 17, Section 54322
- Copyrights/Patents
 - Article I, Section 14
- Zero Tolerance Policy
 - Article I, Section 17
- Drug Free Workplace
 - Government Code, Section 8355(c)
 - Article I, Section 16
- HIPAA Security & Privacy program
 - Exhibit F

Board of Trustee Policy(s)

- Contract Policy
 - WIC 4625.5(a) & Article II, Section 3
- Service Provider Insurance Policy
 - All service providers with one (1) or more employee(s) shall maintain Workers Compensation Insurance: Labor Code Section 3700
 - ARFPSHNs shall maintain Commercial General Liability Insurance: WIC 4684.60(j)
 - Transportation providers shall maintain liability insurance for bodily injuries/death & damage/destruction of property: WIC 4648.3
 - Vouchered Community-Based Training service provider, who transports consumers, shall maintain proof of insurance: WIC 4688.21(c)(6)
- Zero Tolerance for Consumer Abuse or Neglect
 - Article I, Section 17

Business Practice

- Contracts under \$250,000 that are specific to Board activities, are reviewed by Board Committees and the Board of Trustees
 - Examples: Board Conflict Resolution Training, or Legucator Contract

Quality Vs Compliance

- Individualized Planning Team (IPP) monitors whether goals & objectives are being met
- Regional Center monitors compliance and noncompliance may lead to termination of vendorization

Quality: POS

- WIC 4646.5(a): IPP shall include a statement goals, based on the needs, preferences, and life choices of the individual and statement of specific, time-limited objectives for implementing a person's goals and addressing the person needs
- 4648(a)(6): The IPP planning team shall, pursuant to the IPP, consider the following:
 - A provider's ability to deliver quality services or supports that can accomplish all or part of the consumer's IPP
 - A provider's success in achieving the objectives set forth in the IPP
 - If appropriate, the existence of licensing, accreditation, or professional certification

Quality: POS

- WIC 4648(a)(7):
 - A service or support provided by an agency or individual shall not be continued unless the consumer, or if appropriate, parents, legal guardian conservator, or authorized guardian agree that planned services and supports have been provided and reasonable progress toward objectives have been made.

Compliance: POS

- WIC4648(d): In order to increase the quality of community services & protect consumers, the regional center shall, if appropriate, take either of the following actions:
 - Identify services & supports that are ineffective or of poor quality and provide or secure consultation, training, or technical assistance services for an agency or individual to assist that agency or individual provider in upgrading the quality of services or support
 - Identify providers or services or supports that may not be in compliance with local, state, and federal statutes & regulations and notify the appropriate licensing or regulatory authority to investigate the possible noncompliance.

Contract Termination Reasons (POS & OPS)

- The Term of the Contract Ended and Completed
 - Elect the right to bring the contract to an end
- Breach of Contract
 - unsatisfactory performance, breach of contract provision(s)
- Funding Contingency
 - The validity of the Contract is conditioned upon NLACRC receiving adequate funds/appropriation from DDS
- Board of Trustees Does Not Approve Contract
 - i.e. Usual & Customary Rate not consistent with similar rates for services offered

Contract Termination Reasons: (POS)

- Voluntary Termination of Services
 - Service Provider discontinues providing services: CCR, Title 17, § 54330(b)
 - Requires 60 days notice
 - Change in ownership or location: CCR, Title 17, § 54330(a)
 - Requires 30 days notice
- Inability to ensure Health & Safety of Consumers
 - Anything that may cause harm or injury to the physical, mental, or social wellbeing of an individual
- Inability to maintain substantial compliance with state laws, regulations or contract with the regional center
 - i.e. Noncompliance with independent audit/review requirement

Contract Non-Compliance: POS

1. The vendor is serving consumers without a current license, credential, registration, accreditation, certificate, degree or permit that is required for the performance or operation of the service
2. Vendorization has been transferred to another person or entity
§
3. The vendor has refused to make available any books and records pertaining to the vendor service, including those of the management organization for audit, inspection or reproduction by regional center, Department or authorized agency representative staff
4. The service currently provided is not the same service that was approved by vendorization
5. The vendor is using planned behavior modification interventions that cause pain or trauma without meeting the conditions specified in Title 17, sections 50800 through 58023

Contract Non-Compliance: POS

6. The regional center has determined the continued utilization of the vendor threatens the health and safety of the consumer(s)

7. The vendor knowingly and willfully makes or causes to be made a false statement or representation, including omissions, of any vendor application information specified in Section 54310 upon initial application or request for information from the regional center.

8. The vendor or any person with an ownership interest in the vendor, or person who is a director, officer, or managing employee of a vendor, has been determined to be an excluded individual or entity as defined in Section 54302(b)(1)

9. If a vendor is not in compliance with any other requirement not specified above.

Contract Monitoring/Audit

- Regional Center Audit Requirement (Article III, Section 9)
 - 4% of total separately vendored services for the following services
 - Community Care Facilities (CCF) with licensed capacity of 6 or fewer
 - Transportation
 - Day programs
 - In-home respite agencies or facilities
 - Prior Year Revenue Less than \$100,000 or a CCF with licensed capacity of 6 or fewer
- DDS provides the minimum number of audits by June 1 of each year
 - 35% must be billing audits
 - 20% must be cost verification (verification of costs used by regional center to set rates) or staffing audits
 - Minimum of 1 Audit must be of a program that serves children under the age of 3 years
- By October 1 of each year, NLACRC provides a report to DDS of the audits completed during the prior fiscal year; & amount of audit recoveries
 - For FY2021-2022, 13 audits required
 - For FY2020-2021, 12 audits required, completed 16 audits; \$278,982 was recovered

Quality Assurance Monitoring

- **Residential Facilities**

- WIC 4648.1, must conduct 2 unannounced visits per year
- CCR, Title 17, § 56046 et. al.
 - Requires regional center to meet with consumer quarterly; 2 must be unannounced visits; 2 must take place at consumer's residence
- DDS conducts fiscal reviews of NLACRC to ensure compliance with statute

- **Intermediate Care Facilities**

- WIC 4648.1, must conduct 2 unannounced visits per year
- CCR, Title 17, § 56103
 - Requires regional center to meet with consumer quarterly; 2 must be unannounced visits; 2 must take place at consumer's residence
- DDS conducts fiscal reviews of NLACRC to ensure compliance with statute

Quality Assurance Monitoring

- **Family Home Agency**

- WIC 4648.1, must conduct 2 unannounced visits/year
- CCR, Title 17 § 56095
 - requires FHA to monitor family home providers monthly
 - Requires regional center to monitor quarterly & 2 must be unannounced visits
- DDS conducts fiscal reviews of NLACRC to ensure compliance with statute

- **ARFPSHN**

- WIC 4684.70
 - a registered nurse must conduct monthly visits, of which 4 must be unannounced visits/year
- WIC 4648.1, must conduct 2 unannounced visits per year
- CCR, Title 17, § 56046 et. al.
 - Requires regional center to meet with consumer quarterly; 2 must be unannounced visits; 2 must take place at consumer's residence
- DDS conducts audits to ensure compliance with statute every 6 months

Quality Assurance Monitoring

- **Enhanced Behavioral Supports Homes**

- WIC 4684.84, a qualified behavior modification professional must conduct 4 unannounced visits/year
- CCR, Title 17, § 59055
 - Requires regional center to monitor quarterly & 2 must be unannounced visits
- DDS audits NLACRC to ensure compliance with statute every 6 months

- **Supported Living Services**

- CCR, Title 17, § 58680
 - Requires at least quarterly face-to-face meetings with each SLS consumer in the consumer's home, except when the consumer withholds permission

Quality Assurance Monitoring

- **Habilitation Programs**

- WIC 4856, service providers must comply with applicable CARF (Rehabilitation Accreditation Commission) standards (every 2 years)
- CCR, Title 17, § 58850 et al)

Contract Termination Appeal Rights: POS

- WIC4648(a)(3)(C), Regulations shall include, but not be limited to: the vendor application process, and the basis for accepting or denying an application; the qualification and requirements for each category of services that may be provided to a regional center consumer through a vendor; requirements for emergency vendorization; procedures for **termination** of vendorization; and the procedure for an individual or an agency to **appeal** a vendorization decision made by the department or regional center.
- CCR, Title 17, § 54370, Termination of vendorization for noncompliance
 - Correct violation or appeal
- CCR Title 17, § 54380, Vendorization Appeal
 - Denial of a vendorization application
 - Failure of the vendoring regional center to comply with the provisions of regulations
 - Findings of non-compliance

Appeal Timelines

- Must correct violation or file an appeal within 30 days of regional center decision
 - 1 day rather than 30 day for H&S Issues
- Regional center has 30 days after receipt of appeal and all required information to issue a decision
- DDS has 60 days after receipt of appeal and all required information to issue a decision
- The decision of DDS is final
- During appeal process, regional centers may place moratorium on referrals until violations corrected

Resources

- <https://Leginfo.legislature.ca.gov>
- <https://govt.westlaw.com/calregs>
- <https://www.dds.ca.gov/transparency/laws-regulations/>

Questions



**NORTH LOS ANGELES COUNTY REGIONAL CENTER
FINANCIAL REPORT-MONTHLY RECAP
FISCAL YEAR 2021-2022
September 2021**

BUDGET CATEGORY	Projected Annual C-1 Budget	Month Exp	Y-T-D Expenditures	Projected Annual Expenditures	Projected Annual Surplus/(Deficit)	Percent Under(Over) Budget
Operations						
Salaries & Benefits	\$51,245,450	\$3,444,086	\$10,385,187	\$51,245,450	\$0	0.00%
Operating Expenses	\$14,172,461	\$765,015	\$3,159,823	\$14,172,461	\$0	0.00%
Subtotal OPS General	\$65,417,911	\$4,209,100	\$13,545,010	\$65,417,911	\$0	0.00%
Salaries & Benefits - CPP Regular	\$0	\$45,230	\$120,821	\$0	\$0	0.00%
Operating Expenses - CPP Regular	\$0	\$0	\$0	\$0	\$0	0.00%
Subtotal OPS CPP Regular	\$0	\$45,230	\$120,821	\$0	\$0	0.00%
Salaries & Benefits - DC Closure/Ongoing Workload	\$0	\$25,816	\$72,517	\$0	\$0	0.00%
Operating Expenses - DC Closure/Ongoing Workload	\$0	\$0	\$46	\$0	\$0	0.00%
Subtotal OPS DC Closure/Ongoing Workload	\$0	\$25,816	\$72,563	\$0	\$0	0.00%
Family Resource Center (FRC)	\$207,187	\$0	\$0	\$207,187	\$0	0.00%
Self Determination Program (SDP) Participant Supports	\$149,331	\$0	\$0	\$149,331	\$0	0.00%
Subtotal OPS Projects	\$356,518	\$0	\$0	\$356,518	\$0	0.00%
Total Operations:	\$65,774,429	\$4,280,146	\$13,738,394	\$65,774,429	\$0	0.00%
Purchase of Services						
Purchase of Services ("POS") (General)	\$661,064,740	\$48,772,600	\$133,283,528	\$661,064,740	\$0	0.00%
CPP Regular and DC Closure/Ongoing Workload	\$100,000	\$30,369	\$32,039	\$100,000	\$0	0.00%
Total Purchase of Services:	\$661,164,740	\$48,802,970	\$133,315,567	\$661,164,740	\$0	0.00%
Total NLACRC Budget:	\$726,939,169	\$53,083,116	\$147,053,962	\$726,939,169	\$0	0.00%

Note A: C-2 Amendment will include additional OPS Funding, CRDP/PPP-OPS Funding, and PPP-POS Funding

Note B: POS Projected Annual Expenditures will be adjusted with the POS Expenditure Projection ("PEP") report due to DDS on December 10, 2021

NORTH LOS ANGELES COUNTY REGIONAL CENTER
FISCAL YEAR 2021-2022
September 2021

TOTAL BUDGET SOURCES Fiscal Year 2021-2022	
Prelim from DDS for OPS	\$51,469,243
C-1 from DDS for OPS, Projects, and CRDP/CPP	\$14,143,635
C-2 from DDS for OPS, Projects, and CRDP/CPP	
C-3 from DDS for OPS, Projects, and CRDP/CPP	
C-4 from DDS for OPS, Projects, and CRDP/CPP	
C-5 from DDS for OPS, Projects, and CRDP/CPP	
C-6 from DDS for OPS, Projects, and CRDP/CPP	
Prelim from DDS for POS	\$507,005,727
C-1 from DDS for POS and POS-CRDP/CPP	\$144,946,938
C-2 from DDS for POS-CRDP/CPP	
C-3 from DDS for POS-CRDP/CPP	
C-4 from DDS for POS-CRDP/CPP	
C-5 from DDS for POS-CRDP/CPP	
C-6 from DDS for POS-CRDP/CPP/HCBSW	
Subtotal - Total Budget received from DDS	\$717,565,543
Projected Revenue	\$161,551
Subtotal - Projected Revenue Operations	\$161,551
Projected ICF/SPA Transportation/Day Program Revenue	\$9,212,075
Subtotal - Projected Revenue Purchase of Services	\$9,212,075
Total Budget	\$726,939,169

OPERATIONS BUDGET SOURCES Fiscal Year 2021-2022	
GENERAL OPERATIONS (Excludes Projects, CPP Regular, CRDP/CPP)	
Preliminary, General Operations (OPS)	51,469,243
C-1, OPS Allocation	13,787,117
C-2, OPS Allocation	
C-3, OPS Allocation	
C-4, OPS Allocation	
C-5, OPS Allocation	
Total General OPS	65,256,360
Projected Interest Income	\$6,701
Projected Other Income	\$24,850
Projected ICF/SPA Admin Fee	\$130,000
Total Other Revenue	161,551
TOTAL GENERAL OPS	65,417,911
Preliminary, Community Resource Development Plan ("CRDP") /Community Placement Plan ("CPP")	\$0
C-1, OPS CRDP/CPP	\$0
C-2, OPS CRDP/CPP	\$0
Total CRDP/CPP Regular	\$0
Preliminary, Developmental Center ("DC") Closure/Ongoing Workload	\$0
C-1, OPS DC Closure/Ongoing Workload	\$0
C-2, OPS DC Closure/Ongoing Workload	\$0
Total CPP DC Closure/Ongoing Workload	\$0
Family Resource Center ("FRC")	\$207,187
SDP Participant Supports	\$149,331
Total OPS PROJECTS	\$356,518
Total Operations Budget	\$65,774,429

PURCHASE OF SERVICES (POS) BUDGET SOURCES Fiscal Year 2021-2022	
General POS (Excludes CPP-POS Regular, CRDP/CPP)	
Preliminary, POS	\$507,005,727
C-1, POS Allocation	\$144,846,938
C-2, POS Allocation	\$0
C-3, POS Allocation	\$0
C-4, POS Allocation	\$0
Total General POS Allocation	\$651,852,665
ADD:	
Projected ICF SPA Revenue	\$9,212,075
Total Budget, General POS	\$661,064,740

**NORTH LOS ANGELES COUNTY REGIONAL CENTER
CONSOLIDATED LINE ITEM REPORT
FISCAL YEAR 2021-2022
September 2021**

	Projected Annual C-1 Budget	Net Month	Expended Y-T-D	Projected Remaining Expenses	Proj Annual Expenses	Projected Surplus/ (Deficit)
PURCHASE OF SERVICE						
POS (General)						
3.2 Out of Home	117,585,839	7,923,777	23,056,990	94,528,849	117,585,839	0
4.3 Day Programs	86,029,173	6,313,064	17,896,488	68,132,685	86,029,173	0
4.3 Habilitation Programs	4,556,032	284,216	871,226	3,684,806	4,556,032	0
5.4 Transportation	22,158,528	1,727,756	4,655,082	17,503,446	22,158,528	0
6.5 Other Services	430,735,168	32,523,787	86,803,741	343,931,427	430,735,168	0
Total POS (General):	661,064,740	48,772,600	133,283,528	527,781,212	661,064,740	0
CRDP & CPP						
CRDP & CPP Placements	100,000	10,470	12,140	92,168	100,000	0
CRDP & CPP Assessments	0	0	0	0	0	0
CRDP & CPP Start Up	0	0	0	0	0	0
Deflection CRDP & CPP	0	19,899	19,899	(19,899)	0	0
Total CRDP & CPP:	100,000	30,369	32,039	72,269	100,000	0
HCBS Compliance Funding	0	0	0	0	0	0
Total HCBS:	0	0	0	0	0	0
Total Purchase of Service:	661,164,740	48,802,970	133,315,567	527,853,481	661,164,740	0
OPERATIONS						
25010 Salaries/Benefits	48,129,903	3,263,314	9,866,756	38,263,147	48,129,903	0
25010 ABX2-1	3,115,547	251,817	711,770	2,403,777	3,115,547	0
Total Salaries/Benefits:	51,245,450	3,515,131	10,578,526	40,666,924	51,245,450	0
OPERATING EXPENSE						
30010 Equipment Rental	449,184	5,686	60,235	388,949	449,184	0
30020 Equipment Maint	87,499	0	1,548	85,951	87,499	0
30030 Facility Rent	5,024,907	402,045	1,595,856	3,429,051	5,024,907	0
30040 Facility.Maint. AV	261,820	9,474	27,093	234,727	261,820	0
30041 Facility Maint. SFV	149,087	5,733	32,826	116,261	149,087	0
30042 Facility Maint. SCV	97,220	11,142	27,467	69,753	97,220	0
30050 Communication	819,708	68,262	116,968	702,740	819,708	0
30060 General Office Exp	273,752	13,504	32,481	241,271	273,752	0
30070 Printing	36,302	1,587	16,394	19,908	36,302	0
30080 Insurance	469,879	0	430,428	39,451	469,879	0
30090 Utilities	156,398	17,904	29,093	127,305	156,398	0
30100 Data Processing	157,248	24,628	37,231	120,017	157,248	0
30110 Data Proc. Maint	305,700	7,145	42,846	262,854	305,700	0
30120 Interest Expense	245,986	0	36,778	209,208	245,986	0
30130 Bank Fees	185,156	0	0	185,156	185,156	0
30140 Legal Fees	935,500	60,861	61,861	873,639	935,500	0
30150 Board of Trustees Exp	101,500	3,322	9,518	91,982	101,500	0
30151 ARCA Dues	109,598	0	0	109,598	109,598	0
30160 Accounting Fees	99,050	0	0	99,050	99,050	0
30170 Equipment Purchases	1,075,979	22,275	303,548	772,431	1,075,979	0
30180 Contr/Consult-Adm	1,220,970	67,580	215,983	1,004,987	1,220,970	0
30220 Mileage/Travel	232,140	8,571	17,379	214,761	232,140	0
30240 General Expenses	1,536,474	35,297	61,026	1,475,448	1,536,474	0
30240 ABX2-1	141,404	0	3,310	138,094	141,404	0
Total Operating Expenses:	14,172,461	765,015	3,159,868	11,012,593	14,172,461	0
Total Operations:	65,417,911	4,280,146	13,738,394	51,679,517	65,417,911	0
Total Gross Budget :	726,582,651	53,083,116	147,053,962	579,532,998	726,582,651	0
OPS Projects:	356,518	0	0	356,518	356,518	0
Total Gross Budget with Projects:	726,939,169	53,083,116	147,053,962	579,889,516	726,939,169	0

NORTH LOS ANGELES COUNTY REGIONAL CENTER
Operations ("OPS") Project Line Item Report
FISCAL YEAR 2021-2022
September 2021

	Projected Annual C-1 Budget	EXPENDED MONTH	EXPENDED Y-T-D	BALANCE REMAINING	PROJECTED EXPENDITURES	SURPLUS/ (DEFICIT)
Family Resource Center ("FRC")	\$207,187	\$0	\$0	\$207,187	\$207,187	\$0
Self Determination Program ("SDP") Participant Support	\$149,331	\$0	\$0	\$149,331	\$149,331	\$0
TOTAL:	\$356,518	\$0	\$0	\$356,518	\$356,518	\$0

Family Resource Center: Family Resource Center provides services and support for families and infants and toddlers, under the age of three years, that have a developmental delay, disability, or condition that places them at risk of a disability. Services include, as specified in Government Code 95024(d)(2), parent-to-parent support, information dissemination, public awareness, and family-professional collaboration activities; and per Government Code 95001(a)94), family-to-family support to strengthen families' ability to participate in service planning.

Self Determination Program Participant Support: The SDP allows for regional center consumers and their families more freedom, control, and responsibility in choosing services, supports, and providers to help meet the objectives in their individual program plans. The SDP Participant Support is for regional centers, in collaboration with the local volunteer advisory committees, to assist selected participants in their transition to SDP.

NORTH LOS ANGELES COUNTY REGIONAL CENTER
PROVIDER RELIEF FUNDS aka CARES ACT FUNDING
FINANCIAL REPORT-MONTHLY RECAP
FISCAL YEAR 2020-2021
September 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	\$1,050.00	\$976,963.29	\$14,263.33	\$991,226.62	\$0
TOTAL:	\$991,226.62	\$1,050.00	\$976,963.29	\$14,263.33	\$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 Act Funds received is on or before March 31, 2022.

North Los Angeles County Regional Center
Board of Trustees Policy

Awarding Start-Up and Development Funding

Effective Date: January 9, 2003

Issue Purpose

North Los Angeles County Regional Center's (NLACRC's) contract with the California Department of Developmental Services (DDS) includes a provision under Article II., Program Provisions, (2) Resource Development, that states, "for fiscal year 2002-2003 Contractor may use Purchase of Service (POS) funds for developing new community resources to protect the consumers' health or safety or because of other extraordinary circumstances, and the State has granted prior written authorization for the expenditure. This provision does not apply to: 1) POS funds allocated as part of the State's community placement plan process, and 2) Expenditures for start-up of new programs made pursuant to a contract entered into prior to July 1, 2002."

Policy

It is the policy of NLACRC to ensure that the awarding of start-up funds is a fair and equitable process. The granting of start-up funds is subject to receipt of POS start-up funds received from DDS funds availability as determined by the center's executive director.

Requests for POS start-up funds must be necessary for establishing a new or additional program, project or resource for providing services and supports to consumers. Use of POS start-up funds must directly benefit consumers.

Start-up funds may not be used for routine maintenance of a provider's plant or facility or for the purchase, lease or maintenance of a provider's vehicle.

The use of POS start-up funds (i) for routine maintenance of a provider's plant or facility; or (ii) for the lease of a provider's vehicle is prohibited, unless approved in advance by the Director of DDS or their designee. The use of POS start-up funds for the purchase of a vehicle is prohibited. The use of POS start-up funds for construction, renovation, alteration, improvement, or repair of real property that is not of direct medical or remedial benefit to the consumer is also prohibited.

Contracts for POS start-up funds must include sufficient detail and measurable performance expectations and results. Contracts for POS start-up funds must include a provision for fair and equitable recoupment of POS start-up funds should the vendor and/or fund recipient cease to provide services to consumers after a specified period of time. This includes POS start-up funds to purchase real property.

NLACRC shall provide notice of POS start-up funds availability by various communication strategies means including, but not limited to, ~~written~~ notification to NLACRC's Vendor Advisory Committee, posting on the website, use of social media, sending of email blasts, and mailing information providing fliers.

All applicants who wish to be considered for the awarding of POS start-up funds shall be required to submit a proposal pursuant to the Board of Trustees Request for Proposal (RFP) Policy. to include the following specifications: documentation of an identified need for POS start-up funds; documentation that identifies the under-served or unserved population to receive services; and program plan, budget, and location.

~~All start-up fund applicants shall be required to submit a financial statement indicating that they have adequate funding to continue the program within the appropriate rate system or an agreed upon negotiated rate with NLACRC. NLACRC shall organize an internal process for screening proposals. The executive director shall appoint a screening committee, which may include consumers, professionals and community members, depending on the proposal's scope and content.~~

~~All applicants shall receive notification of NLACRC's decision regarding their proposal. Final funding for all proposals shall receive final approval by NLACRC's executive director.~~

[policy.bd.award.sup] Approved 01-08-03 (Revised 10/27/2021)

North Los Angeles County Regional Center
Board of Trustees Policy

Awarding Start-Up and Development Funding

Effective Date: January 9, 2003

Issue

North Los Angeles County Regional Center's (NLACRC's) contract with the California Department of Developmental Services (DDS) includes a provision under Article II., Program Provisions, (2) Resource Development, that states, "for fiscal year 2002-2003 Contractor may use Purchase of Service (POS) funds for developing new community resources to protect the consumers' health or safety or because of other extraordinary circumstances, and the State has granted prior written authorization for the expenditure. This provision does not apply to: 1) POS funds allocated as part of the State's community placement plan process, and 2) Expenditures for start-up of new programs made pursuant to a contract entered into prior to July 1, 2002."

Policy

It is the policy of NLACRC to ensure that the awarding of start-up funds is a fair and equitable process. The granting of start-up funds is subject to POS funds availability as determined by the center's executive director.

Requests for start-up funds must be necessary for establishing a new or additional program, project or resource for providing services and supports to consumers. Use of start-up funds must directly benefit consumers. Start-up funds may not be used for routine maintenance of a provider's plant or facility or for the purchase, lease or maintenance of a provider's vehicle.

Contracts for start-up funds must include sufficient detail and measurable performance expectations and results. Contracts for start-up funds must include a provision for fair and equitable recoupment of start-up funds should the vendor and/or fund recipient cease to provide services to consumers after a specified period of time. This includes start-up funds to purchase real property.

NLACRC shall provide notice of start-up funds availability by various means including, but not limited to, written notification to NLACRC's Vendor Advisory Committee, posting on the website, and providing fliers.

All applicants who wish to be considered for the awarding of start-up funds shall be required to submit a proposal to include the following specifications: documentation of an identified need for start-up funds; documentation that identifies the under-served or unserved population to receive services; and program plan, budget, and location.

All start-up fund applicants shall be required to submit a financial statement indicating that they have adequate funding to continue the program within the appropriate rate system or an agreed upon negotiated rate with NLACRC. NLACRC shall organize an internal process for screening proposals. The executive director shall appoint a screening committee, which may include consumers, professionals and community members, depending on the proposal's scope and content.

All applicants shall receive notification of NLACRC's decision regarding their proposal. Final funding for all proposals shall receive final approval by NLACRC's executive director.

DEPARTMENT OF DEVELOPMENTAL SERVICES

1215 O Street, MS 8-30
Sacramento, CA 95814
TTY: 711
(916) 654-1958



October 12, 2021

Leticia Garcia, Board President
North Los Angeles County Regional Center, Inc.
9200 Oakdale Avenue, Suite 100
Chatsworth, CA 91311

Dear Mrs. Garcia:

The Department of Developmental Services' (DDS) Audit Section has completed the audit of the North Los Angeles County Regional Center (NLACRC). The period of review was from July 1, 2019 through June 30, 2021, with follow-up as needed into prior and subsequent periods. The enclosed report discusses the areas reviewed.

NLACRC provided a letter dated October 5, 2021, agreeing to waive the formal exit conference since there were no findings in the draft audit report. Therefore, the enclosed audit is released as final. The final report includes the letter submitted by NLACRC as Appendix A.

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

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

Sincerely,

DocuSigned by:

EBCB8A2FCD4245A...

ERICA REIMER SNELL
Deputy Director
Community Services Division

Enclosure(s)

cc. See next page

"Building Partnerships, Supporting Choices"

Leticia Garcia, Board President
October 12, 2021
Page two

cc: Ruth Janka, NLACRC
Kim Rolfes, NLACRC
Vini Montague, NLACRC
Bob Sands, DHCS
Carla Castañeda, DDS
Pete Cervinka, DDS
Brian Winfield, DDS
Hiren Patel, DDS
Jim Knight, DDS
Ernie Cruz, DDS
Vicky Lovell, DDS
Edward Yan, DDS
Aaron Christian, DDS
Luciah Ellen Nzima, DDS
Dong Le, DDS

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

§50730. Request for Administrative Review.

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

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

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

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

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

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



**AUDIT OF THE
NORTH LOS ANGELES COUNTY REGIONAL CENTER
FOR FISCAL YEARS 2019-20 AND 2020-21**

Department of Developmental Services

October 12, 2021

This audit report was prepared by the
California Department of Developmental Services
1215 O Street
Sacramento, CA 95814

Pete Cervinka, Chief Deputy Director, Data Analytics and Strategy
Vicky Lovell, Chief, Research, Audit, and Evaluation Branch
Edward Yan, Manager, Audit Section
Luciah Ellen Nzima, Chief, Regional Center Audit Unit
Dong Le, Supervisor, Regional Center Audit Unit

Audit Staff: Shoua Vue, Rajiv Raman, and Abel Chappell

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

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EXECUTIVE SUMMARY

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

No findings were identified during the audit of NLACRC for Fiscal Years (FYs) 2019-20 and 2020-21.

BACKGROUND

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

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

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

DDS and NLACRC, Inc. entered into State Contract HD149012, effective July 1, 2019, through June 30, 2026. This contract specifies that NLACRC, Inc. will operate an agency known as the NLACRC to provide services to individuals with DD and their families in East Valley, San Fernando, West Valley, and Antelope Valley areas. The contract is funded by state and federal funds that are dependent upon NLACRC performing certain tasks, providing services to eligible consumers, and submitting billings to DDS.

This audit was conducted remotely from July 26, 2021, through September 23, 2021, by the Audit Section of DDS.

AUTHORITY

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

CRITERIA

The following criteria were used for this audit:

- W&I Code,
- “Approved Application for the HCBS Waiver for the Developmentally Disabled,”
- CCR, Title 17,
- OMB Circulars A-122 and A-133, and
- The State Contract between DDS and NLACRC, effective July 1, 2019.

AUDIT PERIOD

The audit period was July 1, 2019, through June 30, 2021, with follow-up, as needed, into prior and subsequent periods.

OBJECTIVES, SCOPE, AND METHODOLOGY

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

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

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

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

DDS reviewed the annual audit report that was conducted by an independent CPA firm for Fiscal Year (FY) 2019-20, issued on March 10, 2021. It was noted that no management letter was issued for NLACRC. This review was performed to determine the impact, if any, upon the DDS audit and, as necessary, develop appropriate audit procedures.

The audit procedures performed included the following:

I. Purchase of Service

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

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

II. Regional Center Operations

DDS selected a sample of OPS claims billed to DDS to determine compliance with the State Contract. The sample included various expenditures claimed for administration that were reviewed to ensure NLACRC's accounting staff properly input data, transactions were recorded on a timely basis, and expenditures charged to various operating areas were valid and reasonable. The following procedures were performed:

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

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

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

- Reviewed applicable TCM records and NLACRC's Rate Study. DDS examined the month of May 2020 and traced the reported information to source documents.
- The last Case Management Time Study, performed in May 2019, was reviewed in the prior DDS audit that included FY 2018-19. As a result, there was no Case Management Time Study to review for this audit period.

IV. Service Coordinator Caseload Survey

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

- “(c) Contracts between the department and regional centers shall require regional centers to have service coordinator-to-consumer ratios, as follows:
- (1) An average service coordinator-to-consumer ratio of 1 to 62 for all consumers who have not moved from the developmental centers to the community since April 14, 1993. In no case shall a service coordinator for these consumers have an assigned caseload in excess of 79 consumers for more than 60 days.
 - (2) An average service coordinator-to-consumer ratio of 1 to 45 for all consumers who have moved from a developmental center to the community since April 14, 1993. In no case shall a service coordinator for these consumers have an assigned caseload in excess of 59 consumers for more than 60 days.
 - (3) Commencing January 1, 2004, the following coordinator-to-consumer ratios shall apply:
 - (A) All consumers three years of age and younger and for consumers enrolled in the Home and Community-based Services Waiver program for persons with developmental disabilities, an average service coordinator-to-consumer ratio of 1 to 62.
 - (B) All consumers who have moved from a developmental center to the community since April 14, 1993, and have lived continuously in the community for at least 12 months, an average service coordinator-to-consumer ratio of 1 to 62.
 - (C) All consumers who have not moved from the developmental centers to the community since April 14, 1993, and who are not described in subparagraph (A), an average service coordinator-to-consumer ratio of 1 to 66.”

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

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

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

VI. Family Cost Participation Program (FCPP)

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

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

VII. Annual Family Program Fee (AFPF)

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

- The adjusted gross family income is at or above 400 percent of the federal poverty level based upon family size.
- The child has a DD or is eligible for services under the California Early Intervention Services Act.
- The child is less than 18 years of age and lives with his or her parent.
- The child or family receives services beyond eligibility determination, needs assessment, and service coordination.

- The child does not receive services through the Medi-Cal program.
- Documentation was maintained by the RC to support reduced assessments.

VIII. Parental Fee Program (PFP)

The PFP was created for the purpose of prescribing financial responsibility to parents of children under the age of 18 years who are receiving 24-hour, out-of-home care services through an RC or who are residents of a state hospital or on leave from a state hospital. Parents shall be required to pay a fee depending upon their ability to pay, but not to exceed (1) the cost of caring for a child without DD at home, as determined by the Director of DDS, or (2) the cost of services provided, whichever is less. To determine whether NLACRC is in compliance with the W&I Code, Section 4782, DDS requested a list of PFP assessments and verified the following:

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

IX. Procurement

The Request for Proposal (RFP) process was implemented to ensure RCs outline the vendor selection process when using the RFP process to address consumer service needs. As of January 1, 2011, DDS requires RCs to document

their contracting practices, as well as how particular vendors are selected to provide consumer services. By implementing a procurement process, RCs will ensure that the most cost-effective service providers, amongst comparable service providers, are selected, as required by the Lanterman Act and the State Contract. To determine whether NLACRC implemented the required RFP process, DDS performed the following procedures during the audit review:

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

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

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

In addition, DDS performed the following procedures:

- To determine compliance with the W&I Code, Section 4625.5 for contracts in place as of March 24, 2011: Reviewed to ensure NLACRC has a written policy requiring the Board to review and approve any of its

contracts of two hundred fifty thousand dollars (\$250,000) or more before entering into a contract with the vendor.

- Reviewed NLACRC Board-approved Operations, Start-Up, and POS vendor contracts of \$250,000 or more, to ensure the inclusion of a provision for fair and equitable recoupment of funds for vendors that cease to provide services to consumers; verified that the funds provided were specifically used to establish new or additional services to consumers, the usage of funds is of direct benefit to consumers, and the contracts are supported with sufficiently detailed and measurable performance expectations and results.

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

X. Statewide/Regional Center Median Rates

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

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

- Reviewed sample vendor files to determine whether NLACRC is using appropriately vendorized service providers and correct service codes, and that NLACRC is paying authorized contract rates and complying with the median rate requirements of W&I Code, Section 4691.9.
- Reviewed vendor contracts to ensure that NLACRC is reimbursing vendors using authorized contract median rates and verified that rates paid represented the lower of the statewide or RC median rate set after June 30, 2008. Additionally, DDS verified that providers vendorized before June 30, 2008, did not receive any unauthorized rate increases, except in situations where required by regulation, or health and safety exemptions were granted by DDS.
- Reviewed vendor contracts to ensure that NLACRC did not negotiate rates with new service providers for services which are higher than the RC's median rate for the same service code and unit of service, or the statewide median rate for the same service code and unit of service,

whichever is lower. DDS also ensured that units of service designations conformed with existing RC designations or, if none exists, ensured that units of service conformed to a designation used to calculate the statewide median rate for the same service code.

XI. Other Sources of Funding from DDS

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

- CPP;
- Part C – Early Start Program;
- Family Resource Center; and
- Self Determination.

XII. Follow-up Review on Prior DDS Audit Findings

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

CONCLUSIONS

Based upon the audit procedures performed, NLACRC was in compliance with applicable sections of the W&I Code; the HCBS Waiver for the Developmentally Disabled; CCR, Title 17; OMB Circulars A-122 and A-133; and the State Contract between DDS and NLACRC for the audit period, July 1, 2019, through June 30, 2021.

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

From the review of the prior audit finding, it has been determined that NLACRC has taken appropriate corrective action to resolve the finding.

VIEWS OF RESPONSIBLE OFFICIALS

NLACRC declined a formal exit conference, since no findings were identified in the draft audit report.

RESTRICTED USE

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

FINDINGS AND RECOMMENDATIONS

The audit indicated that, overall, NLACRC maintains accounting records and supporting documentation for transactions in an organized manner. No findings were identified during the audit of NLACRC for FYs 2019-20 and 2020-21.

APPENDIX A

NLACRC REGIONAL CENTER

RESPONSE



North Los Angeles County Regional Center

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October 5, 2021

Ed Yan, Audit Branch Manager
Department of Developmental Services
1600 9th Street, Room #230, MS 2-10
P.O. Box 9444202
Sacramento, CA 95814

RE: Audit of Fiscal Years 2019-2020 and 2020-2021, Waiver of Audit Exit Conference

Dear Ed Yan,

Based on our understanding that there are no audit findings in the Department of Developmental Services' ("DDS") audit of North Los Angeles County Regional Center ("NLACRC") for fiscal years 2019-2020 and 2020-2021, NLACRC would like to waive the formal audit exit conference.

NLACRC appreciates all the work of DDS's audit team in completing the audit.

Sincerely,

Kim Rolfes
Deputy Director-Chief Financial Officer

cc: Ruth Janka, Executive Director
Alan Darby, Chief Financial Officer
Vini Montague, Director of Finance

REPORT ON PERSONNEL CLASSIFICATIONS FY 20 - 21

Regional Center: North Los Angeles County Regional Center

Date: November 10, 2021

INSTRUCTIONS: Please provide a listing of ALL personnel classifications used by the regional center and their associated Monthly and hourly salary schedule (range). You may copy and use additional sheets of this form.

Personnel Classification	Monthly or Hourly Salary Range¹	Monthly and Hourly¹ Salary Range Including ABX2-1²
Accountant	\$24.0300 - \$33.1256	\$26.3969 - \$36.3884
Accountant, Junior	\$20.8920 - \$31.2574	\$22.9499 - \$34.3362
Accounting Specialist	\$18.8700 - \$26.0125	\$20.7287 - \$28.5747
Accounting Specialist, Senior	\$18.8784 - \$29.6386	\$20.7379 - \$32.5580
Accounting Supervisor	\$5,293.75 - \$7,781.00	\$5,815.15 - \$8,547.43
Accounting/Payroll Analyst	\$26.4260 - \$35.0125	\$29.0289 - \$38.4612
Administrative Aide	\$15.8250 - \$20.9668	\$17.3837- \$23.0320
Administrative Assistant	\$21.8894 - \$31.2314	\$24.0455 - \$34.30769

¹Monthly Salary Rages for Exempt Staff and Hourly Salary Ranges for Non-Exempt Staff.

² Pursuant ABX2-1, Section 3 (a California law effective March 1, 2016), in this current fiscal year, employees in all eligible personnel classifications will receive a temporary "add on" enhancement of 9.85% to the calculation of wages earned and the pay for use of many, but not all, benefits. For purposes of this report, the term "eligible personnel classifications" is defined as all personnel classifications at North Los Angeles County Regional Center, except for the Executive Director, Deputy Director-Chief Financial Officer, Chief Financial Officer, Chief Organizational Development Officer and Chief of Program Services.

Personnel Classification	Monthly or Hourly Salary Range¹	Monthly and Hourly¹ Salary Range Including ABX2-1²
Aging Adult Specialist	\$20.8920 - \$31.2574	\$22.9499 - \$34.3362
Autism Program Clinical Services Specialist	\$27.4117 - \$37.6933	\$30.1117 - \$41.4060
Autism Program Coordinator	\$18.8784 - \$29.6386	\$20.7379 - \$32.5580
Behavioral Consultant	\$27.4117 - \$37.6933	\$30.1117 - \$41.4060
Behavioral Services Supervisor	\$8,402.00 - \$12,349.00	\$9,229.60 - \$13,565.38
Branch Supervisor	\$5,509.00 - \$8,097.00	\$6,051.64 - \$8,894.55
Chief Financial Officer	\$11,237.00 - \$17,417.00	\$11,237.00 - \$17,417.00
Chief of Program Services	\$10,000.00 - \$12,500.00	\$10,000.00 - \$12,500.00
Chief Organizational Development Officer	\$10,732.00 - \$15,147.00	\$10,732.00 - \$15,147.00
Clinical Services Director	\$15,724.00 - \$21,731.00	\$17,272.81 - \$23,872.00
Community Living Specialist	\$20.8920 - \$31.2574	\$22.9499 - \$34.3362

Personnel Classification	Monthly or Hourly Salary Range¹	Monthly and Hourly¹ Salary Range Including ABX2-1²
Community Services Director	\$8,592.00 - \$12,979.00	\$9,438.31 - \$14,257.43
Community Services Manager	\$6,192.00 - \$11,075.00	\$6,801.91 - \$12,165.89
Community Services Specialist (inclusive of HCBS, CPP, RQA)	\$20.8920 - \$31.2574	\$22.9498 - \$34.3362
Community Services Supervisor	\$5,234.00 - \$7,693.00	\$5,749.55 - \$8,450.76
Consumer Advocate	\$16.3965 - \$22.5524	\$18.0115 - \$24.7738
Consumer Services Coordinator	\$18.8784 - \$29.6386	\$20.7379 - \$32.5580
Consumer Services Coordinator Specialist - Floater	\$20.8920 - \$31.2574	\$22.9499 - \$34.3362
Consumer Services Coordinator Specialist – Officer of the Day	\$20.8920 - \$31.2574	\$22.9499 - \$34.3362
Consumer Services Coordinator Specialist – Self-Determination	\$20.8920 - \$31.2574	\$22.9499 - \$34.3362

Personnel Classification	Monthly or Hourly Salary Range¹	Monthly and Hourly¹ Salary Range Including ABX2-1²
Consumer Services Director	\$8,592 - \$12,979	\$9,438.31 - \$14,257.43
Consumer Services Manager	\$6,192.00 - \$11,075.00	\$6,801.91 - \$12,165.89
Consumer Services Supervisor	\$5,234.00 - \$7,693.00	\$6,051.64 - \$8,894.55
Consumer Services Supervisor – LCSW	\$5,509.00 - \$8,097.00	\$6,051.64 - \$8,894.55
Contract Administration and Privacy Manager	\$6,192.00 - \$11,075.00	\$6,801.91 - \$12,165.89
Contract and Compliance Specialist	\$20.8920 - \$31.2574	\$22.9499 - \$34.3362
Contract and Compliance Supervisor	\$5,234.00 - \$7,693.00	\$5,749.55 - \$8,450.76
Controller	\$6,192.00 - \$11,075.00	\$6,801.91 - \$12,165.89

REPORT ON PERSONNEL CLASSIFICATIONS (continued)

Personnel Classification	Monthly or Hourly Salary Range¹	Monthly and Hourly¹ Salary Range Including ABX2-1²
CPP Specialist	\$20.8920 - \$31.2574	\$22.9499 - \$34.6860
Data Entry Operator	\$15.2195 - \$18.5254	\$16.7186 - \$20.3502
Deputy Director - Chief Financial Officer	\$11,861.00 - \$18,384.00	\$11,861.00 - \$18,384.00
Diversity, Equity and Inclusion Supervisor	\$5,509.00 - \$8,097.00	\$6,051.64 - \$8,894.55
Director of Finance	\$9,060.00 - \$12,257.00	\$9,952.41 - \$13,464.31
Due Process Officer	\$5,509.00 - \$8,097.00	\$6,051.64 - \$8,894.55
Educational Advocate	\$5,509.00 - \$8,097.00	\$6,051.64 - \$8,894.55
Employment Services Specialist	\$20.8920 - \$28.7445	\$22.9499 - \$34.3362
Executive Administrative Assistant	\$26.4260 - \$35.4503	\$29.0289 - \$38.9421

REPORT ON PERSONNEL CLASSIFICATIONS (continued)

Personnel Classification	Monthly or Hourly Salary Range¹	Monthly and Hourly¹ Salary Range Including ABX2-1²
Executive Director	\$12,500.00 - \$23,605.00	\$12,500.00 - \$23,605.00
Facilities Services Manager	\$5,546.00 - \$8,151.00	\$6,092.28 - \$8,953.87
Facilities Supervisor	\$5,293.75 - \$7,781.00	\$5,815.15 - \$8,547.43
Fair Hearings and Administrative Procedures Manager	\$6,192.00 - \$11,075.00	\$6,801.91 - \$12,165.89
Family Advocate	\$16.3965 - \$22.5524	\$18.0116 - \$24.7738
Federal Revenues Specialist	\$20.8920 - \$28.7445	\$22.9499 - \$34.3362
Federal Revenues Supervisor	\$5,234.00 - \$7,693.00	\$5,749.55 - \$8,450.76
Human Resources Director	\$9,060.00 - \$12,257.00	\$9,952.41 - \$13,464.31
HR Specialist I	\$21.8894- \$31.2314	\$24.0455 - \$34.30769

REPORT ON PERSONNEL CLASSIFICATIONS (continued)

Personnel Classification	Monthly or Hourly Salary Range¹	Monthly and Hourly¹ Salary Range Including ABX2-1²
HR Specialist II	\$22.9615- \$31.9622	\$25.2232 - \$35.1104
HR Supervisor	\$5,293.75 - \$7,781.00	\$5,815.15 - \$8,547.43
Intake Associate	\$15.5138 - \$21.3350	\$17.0419 - \$23.4365
Intake Specialist	\$20.8920 - \$28.7445	\$22.9498 - \$34.3362
iSeries System Operator	\$23.8788 - \$31.6375	\$26.2308- \$34.7537
IT Business Analyst	\$42.1154 - \$55.7993	\$47.6517 - \$61.2955
IT Director	\$12,500.00 - \$18,167.00	\$13,731.25 - \$19,956.45
IT Operations Manager	\$6,192.00 - \$11,075.00	\$6,801.91 - \$12,165.89
IT Specialist I	\$23.8788 - \$36.0453	\$26.2308- \$39.5957
IT Specialist II	\$28.5487 - \$37.8475	\$31.3607- \$41.5754

REPORT ON PERSONNEL CLASSIFICATIONS (continued)

Personnel Classification	Monthly or Hourly Salary Range¹	Monthly and Hourly¹ Salary Range Including ABX2-1²
Judicial/Forensics Specialist	\$20.8920 - \$31.2574	\$22.9498 - \$34.3362
Medical Services Supervisor	\$12,292.00 - \$17,372.00	\$13,502.76 - \$19,083.14
Nursing Consultant	\$27.4117 - \$37.6933	\$30.1118 - \$41.4061
Office Assistant I	\$15.5138 - \$21.3350	\$17.0419 - \$23.4365
Office Assistant II	\$15.5600 - \$21.4496	\$17.0927 - \$23.5623
Office Assistant III	\$17.1500 - \$23.6415	\$18.8392 - \$25.9701
Office Services Assistant	\$21.8894 - \$31.2314	\$24.0455 - \$34.30769
Organizational Development Director	\$9,060.00 - \$12,257.00	\$9,952.41 - \$13,464.31
Parent Mentor	\$16.3965 - \$22.5524	\$18.0116 - \$24.7738

REPORT ON PERSONNEL CLASSIFICATIONS (continued)

Personnel Classification	Monthly or Hourly Salary Range¹	Monthly and Hourly¹ Salary Range Including ABX2-1²
Payroll Specialist	\$21.8894- \$31.2314	\$24.0455 - \$34.30769
Placement Specialist	\$20.8920 - \$31.2574	\$22.9498 - \$34.3362
Psychologist	\$34.1969 - \$47.0286	\$37.5653 - \$51.6609
Psychological Services Supervisor	\$8,402.00 - \$12,349.00	\$9,229.60 - 13,565.38
Public Information Specialist	\$20.8920 - \$31.2574	\$22.9498 - \$34.3362
Publication Information Supervisor	\$5,293.75 - \$7,781.00	\$5,815.15 - \$8,547.43
Records and Document Management Supervisor	\$5,293.75 - \$7,781.00	\$5,815.15 - \$8,547.43
Resource Developer (inclusive of CPP, Residential and Day Program)	\$20.8920 - \$31.2574	\$22.9498 - \$34.3362
Resource Development Specialist	\$20.8920 - \$31.2574	\$22.9498 - \$34.3362
Risk Assessment Specialist	\$20.8920 - \$31.2574	\$22.9498 - \$34.3362

REPORT ON PERSONNEL CLASSIFICATIONS (continued)

Personnel Classification	Monthly or Hourly Salary Range¹	Monthly and Hourly¹ Salary Range Including ABX2-1²
Risk Assessment Supervisor	\$5,234.00 - \$7,693.00	\$5,749.55 - \$8,450.76
Senior Contract and Privacy Specialist	\$28.8462 - \$38.2190	\$31.6875 - \$41.9835
Senior Human Resources Generalist	\$28.8462 - \$38.2190	\$31.6875 - \$41.9835
System Administrator	\$42.1154 - \$55.7993	\$47.6517 - \$61.2955
Technical Support Engineer	\$42.1154 - \$55.7993	\$47.6517 - \$61.2955
Training and Development Supervisor	\$5,293.75 - \$7,781.00	\$5,815.15 - \$8,547.43
Training Specialist	\$20.8920 - \$31.2574	\$22.9498 - \$34.3362
Transfer Coordinator	\$15.2195 - \$18.5254	\$16.7186 - \$20.3502
Vendor Coordinator	\$15.5138 - \$21.3350	\$17.0419 - \$23.4365

North Los Angeles County Regional Center
Consumer Services Committee Meeting Minutes

October 20, 2021

Present: Gabriela Herrera, Nicholas Abrahms, Cathy Blin, David Coe, Jennifer Koster, Alma Rodriguez, Rocio Sigala, Silvia Brooks Griffin – Committee Members.

Sharoll Jackson – Vendor Advisory Committee Representative

Jeremy Sunderland, Leticia Garcia, Angelina Martinez, Ana Quiles, Suad Bisogno, Lilian Martinez, Alexander Farkas, Tal Grinblat - Guests

Isabel Romero, Nancy Gallardo- Interpreters

Evan Ingber, Ruth Janka, Michele Marra, Ana Maria Parthenis-Rivas, Cristina Preuss, Kim Rolfes, Dr. Jesse Weller, Jennifer Williamson, Jazmin Zinnerman, Dr. Michael Fernandez, Gabriela Eshrati, Alan Darby, Marlene Vargas, Victor Vitalis, Sandra Rizo – Staff Members

Absent: Christina Cannarella, Jennifer Siguenza, Deshawn Turner

I. Call to Order & Introductions

At 6:03 p.m., Gabriela Herrera, committee chair called the meeting to order.

II. Public Input

No public input

III. Consent Items

A. Approval of Agenda

M/S/C (D. Coe/N. Abrahms) To approve the agenda as presented.

B. Approval of Minutes of August 18th Meeting

M/S/C (D. Coe/C. Blin) To approve the August 18, 2021 minutes as presented.

IV. Committee Business

A. Committee FY2021-22 Priorities – Updated with Employment Priority

Committee reviewed the updated Employment Priorities for FY 2021-2022 that included the addition to support individuals in obtaining and maintaining competitive employment opportunities and/or internships.

B. 1st Quarter Consumer Diagnostic Reports

The first quarter consumer diagnostic reports have been revised to streamline data, and a new graph for age group by diagnosis was added, based on recommendations from previous meeting. Reports were included in meeting packet on pages eight and nine for members to review.

C. 1st Quarter Consumer Intake Report

The consumer intake report is a new report. In the first quarter of 2021/22 we had 803 individuals ages 3 and up. Total number of individuals in this first quarter was 1527 that came into our system. Graphs were included in meeting packet on page ten.

D. 1st Quarter Exceptions Report

Exemptions were removed from this report as they no longer apply to these service types now that regional centers are authorized to purchase camp, social recreational services, educational services and alternative nonmedical therapies.

A definition for exceptions was added to this report at the bottom, based on recommendations from previous meeting. Personal and behavioral assistance were removed from this report, thus reflecting now true exceptions for the quarter. Reports were included in meeting packet on pages eleven and twelve for member to review.

E. 1st Quarter Appeals/Notice of Actions/Hearings Reports

The data on these reports was updated to reflect the past three fiscal years. There was a total of 20 appeals filed in current quarter out of 622 notice of actions that were sent.

The Notice of Actions line graph was updated to reflect number of appeals filed vs returned. The number of appeals received graph shows trends from previous quarters. The fair hearings chart show that we held six fair hearing of which, three were denied and three were dismissed. The notice of proposed actions reports by ethnicity and services for FY 2021-22 on page 18 had a clerical error which was corrected for Hispanic/Latino/Latina from 70 to 73 as the total.

We take various steps before a case is inactivated, and we want to add an additional strategy/step: Create a check list for parent mentors of all activities that occurred in attempts to contact a family. This is in addition to phone calls, letters, etc. A suggestion was made to use/build upon this new strategy for the parent's due process rights.

A new report that shows the breakdown by age, ethnicity and valley was added to the notice of action reports on page 19 of the meeting packet.

F. Quarterly 4731 Report

The quarterly 4731 report is required by DDS and is used to meet requirements for Welfare and Institutions code 4731 consumers' rights complaints. DDS uses the date on this report from all regional centers to report to legislators. This report was included in the meeting packet on page 20-21.

G. Quarterly Community Resource Development Plan (CRDP) Report

The resource development plan report used to be presented monthly and will now be presented on a quarterly basis per committee's request. This report has been updated for four vendors and was included as part of the meeting packet on pages 22-23.

H. Self-Determination Program Report

We have 62 participants that have transitioned into SDP. The Chief of Program Services reviewed the statewide implementation updates in the 2021 May Revise.

SDP Workbooks are now available in English/Spanish. NLACRC has openings for SDP Local Volunteer Advisory Committee and applications are being accepted through Oct. 31st. Please note that the start time for this committee has changed to 6:30 p.m. effective this month. We have received a new allocation to support the implementation of SDP.

DDS has appointed Katie Hornberger as the Acting Ombudsperson. Katie will be attending the November SDP local advisory committee.

A list of available FMS services, model and language was also provided as part of the meeting packet on pages 25-26 for member to review.

I. Monthly Consumer Competitive Employment Report

The consumer competitive employment report is sorted by Residence Type and by ethnicity for age range 18-77-year-old and working age consumers with no employment ages 18-59.

The consumer competitive employment report as of the end of September 2021 shows every individual that is competitively employed. This report will be generated monthly.

J. Restoration of Camping, Social Recreation, and Other Services

DDS issued a memo directing regional Centers to restore camping, social recreation and other services.

In memo DDS requests that regional centers provide information to service coordinators and outreach to consumers, families, etc. about these available services.

Each regional center is to submit an outreach plan to DDS by December 15, 2021. As such, we are revising our service standards to ensure they incorporate the restoration of these services. Once they are revised, the service standards and the proposed outreach plan will be brought to this committee (likely in November), then to the Board meeting, before it is submitted to the department.

K. Crisis Intervention Services

NLA has a vendor by the name of CBEM available 24 hours/day, 7 days/week. CBEM provides crisis intervention support regarding safety concerns, behaviors, etc. They currently have a mobile crisis team serving all three valleys, and they will be full face-to-face in November 2021. Our staff liaison with CBEM is Megan Mitchell.

This service can be requested by anyone, but it still needs to be authorized and included in the IPP.

Question was asked as to how do families know about this service? Is it advertised on our website? Dr. Weller will assess with our team and will get back to this committee.

A suggestion was made to have CBEM included as part of the IPP checklist annual meeting.

L. Aging Adult Specialist – Staff Introduction

We are very excited to welcome Marlene Vargas as our Aging Adult Specialist. Welcome Marlene!

M. Program Closures & Service Coordination

Dr. Weller reviewed the actions and steps that NLACRC takes in the event of a program closure.

N. Board Audit: Ensure the service standards are consistent with the center's mission, vision, and values statement

Yes, our service standards are consistent with our mission, vision, and values statements. We will see more of this via our inclusion initiative.

V. Chief of Program Services Report (Jesse Weller)

Chief of Program Services gave his report which touched on NLACRC's Diversity, Equity, and Inclusion Initiative, Proposed Action for Regulations on Participant Directed Services, the DDS Service Access & Equity Grants, the Pfizer Vaccine Booster Dose, upcoming topics for Town Hall meetings (Disaster Preparedness & Safety Planning during Emergencies – October 21, 2021 1:30-2:30 p.m.), the Roundtable with Stanford University (November 17, 2021 3-4 p.m.), Different Thinkers, Different Learners training series upcoming dates (October 26th & November 23rd 10-11:30 a.m.), Festival Educacional (November 6, 2021 8:30am-1:30pm), and the monthly groups (Alianza de Hombres – Oct. 12th, Cafecito Entre Nos – Oct. 14th, Aprendiendo Entre Nos – Oct. 21st, FFRC Support Groups).

A suggestion was made to add the times to the monthly groups for next meeting Chief of Program Services report.

VI. Board Meeting Agenda Items

The following items were identified for the committee's section of the November 10, 2021 board meeting agenda:

- A. Minutes of the October 20th Meeting
- B. 1st Quarter Consumer Diagnostic Reports
- C. 1st Quarter Consumer Intake Report
- D. 1st Quarter Exceptions Report
- E. 1st Quarter Appeals/Notice of Actions/Hearings Reports
- F. Quarterly 4731 Quarterly Report
- G. Approval of Committee's Priorities for FY 2021-22

VII. Announcements / Information Items / Public Input

- A. Next Meeting: Wednesday, November 17th at 6:00 p.m. (via Zoom).

No public Input

VIII. Adjournment

Gabriela, committee chair adjourned the meeting at 7:33 p.m.

Submitted by:

Sandra Rizo

Executive Admin. Assistant



**Board of Trustees Budget vs Expenditures
FY 2021-2022**

Expenditures Paid through October 20, 2021 (September 2021 state claim)

No	A Description	B Approved FY 2021-22 Board Budget	C YTD Expenses	D Budget Remaining (B-C)	E % of Budget Utilized (C/B)
1	Board Retreat, Board Dinner and CAC Holiday Party	\$ 20,000.00	\$ -	\$ 20,000.00	0.00%
2	NLACRC Legislative Events	\$ 10,000.00	\$ -	\$ 10,000.00	0.00%
3	ARCA Meetings, Conferences, & Activities (includes airfare, hotels, cabs, meals, parking, etc.)	\$ 15,000.00	\$ -	\$ 15,000.00	0.00%
4	Board Member Support to Participate in Meeting and Events (ipads, jet packs, supplies, etc)	\$ 15,000.00	\$ 8,332.77	\$ 6,667.23	55.55%
5	Transportation for Board Members (Keolis)	\$ 4,000.00	\$ -	\$ 4,000.00	0.00%
6	Child Care/Attendant Care Support for Board Members	\$ 18,500.00	\$ 731.39	\$ 17,768.61	3.95%
7	Meals for Board and Board Committee Meetings	\$ 5,000.00	\$ -	\$ 5,000.00	0.00%
8	Board & VAC Member Recruitment Expenses	\$ 2,000.00	\$ -	\$ 2,000.00	0.00%
9	Board Meeting Supplies (nameplates, flowers, greeting cards, paper goods)	\$ 1,000.00	\$ 453.88	\$ 546.12	45.39%
10	Sponsorships	\$ 3,000.00	\$ -	\$ 3,000.00	0.00%
11	Translation Services	\$ -	\$ -	\$ -	
12	Board Training	\$ 8,000.00	\$ -	\$ 8,000.00	0.00%
	Total	\$ 101,500.00	\$ 9,518.04	\$ 91,981.96	9.38%

Board Expenditure History

FY2020-2021 (YTD thru September 2021)	\$44,328.89
FY2019-2020	\$52,307.20
FY2018-2019	\$93,673.37
FY2017-2018	\$74,010.54

Board of Trustees Expenses
FY2021-2022
Expenditures Paid through October 20, 2021 (September 2021 state claim)

Description	1 Board Retreat, Board Dinner, & CAC Holiday Party	2 NLACRC Legislative Events	3 ARCA Meetings, Conferences & Activities (inc.Travel exps.)	4 Board Member Support for Meetings (inc. Mileage)	5 Transportation for Board Members (Keolis)	6 Respite Support for Board Members	7 Meals for Board & Board Committee Meetings	8 Board Member & & VAC Members Recruitment	9 Board Meeting Supplies & Other Expenses	10 Sponsorships	11 Translation Services Translation Services	12 Board Trainings	Total Expenditures (1) thru (12)
American Express Credit Card Expenditures													\$0.00
City National Bank Credit Card Expenditures													\$0.00
Reimbursements (Yesenia Martinez)													\$0.00
Board Member #1													\$0.00
Board Member #2													\$0.00
Board Member #3													\$0.00
Board Member #4													\$0.00
Board Member #5													\$0.00
Board Member #6						\$731.39							\$731.39
Board Member #7													\$0.00
Board Member #8													\$0.00
Board Member #9													\$0.00
Board Member #10													\$0.00
Ace Stamp & Sign Co.													\$0.00
Conflict Management													\$0.00
Keolis Transportation													\$0.00
LRA Interpreters, Inc.													\$0.00
Office Depot, Inc									\$453.88				\$453.88
Smart Source of CA. LLC													\$0.00
U.S. Postal Service													\$0.00
United Parcel Service - UPS				\$7,289.41									\$7,289.41
Verizon (ipad Devices)				\$1,043.36									\$1,043.36
Total	\$0.00	\$0.00	\$0.00	\$8,332.77	\$0.00	\$731.39	\$0.00	\$0.00	\$453.88	\$0.00	\$0.00	\$0.00	\$9,518.04



Five Year Strategic Plan

Year 4 (FY2021-2022)

NLACRC

YEAR 4 Review

As of October 27, 2021

OVERVIEW

Purpose of Strategic Plan

NLACRC's Five-Year Strategic Plan identifies specific, mission-driven activities and outcomes designed to effectively serve and support the Consumers and their families that NLACRC serves.

Mission Statement

NLACRC, 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.

Vision Statement

The Board of Trustees for NLACRC 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 a guiding principles in the board's policy development, decision making, and strategic planning:

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.

NLACRC Funding Challenges & Opportunities

- Regional Center Funding not representative of staff cost or structure
- Caseload Growth of over 4.64% or 1,234 consumers per year (Sep21 vs Sep20)
- Community Engagement & Legislative Advocacy

Service System Funding Challenges & Opportunities

- Service Provider Rates Insufficient & Unsustainable
- Regional Center Operations Funding Insufficient
- Individualized Services and Supports Increased Needs
- Employment Services and Supports Increased Need
- CMS Final Rule Implementation
- Self-Determination Program Implementation
- Purchase of Services (POS) Disparities and Inequities Identification, Barriers, & Solutions
- Increased Transparency, Accountability, and Oversight Requirements

OBJECTIVES

1	2	3	4
Objective	Objective	Objective	Objective
<p>Improve advocacy at all levels to support efforts towards preserving the Lanterman Act and a sustainable service system for our consumers and their families</p>	<p>Increase the quality, effectiveness, and available service options to serve and support our consumers and their families</p>	<p>Increase quality services and supports provided by NLACRC to the consumers and their families that we serve</p>	<p>Maximize the public funds received by NLACRC by streamlining department specific business processes and workflows, maximizing the use of technology, increasing opportunities for cost savings; and maximizing the use of office space</p>

PROGRESS: Objective 1A

Legislative Education and Advocacy Activities:

Year 4 Goals

- Continue use of Legucator: Pathways to Advocacy to support and achieve our legislative priorities and advocacy.
- Participate in ARCA Grass Roots Virtual Visits

Status

- Our Legucators continue to provide vital support to prepare, educate and advise NLACRC on activities that will achieve our legislative priorities. (Achieved/Ongoing)
- NLACRC actively participated in the April 20 and 22, 2021 ARCA Grass Roots Virtual Visits which supported the following legislative priorities/advocacies:
 - Provide funding to support additional service coordinators to reduce caseloads
 - AB 445
 - Lessons from the Pandemic
 - Sunset of Uniform Holiday Schedule and Provider rates
 - Better minimum wage rate adjustments (Achieved)

PROGRESS: Objective 1B

Local Community Legislative Education and Advocacy Activities:

Year 4 Goals

- Ongoing legislative activities
(In Process/Ongoing)

Status

- A legislative advocacy training for Board members and management staff was held on September 14, 2021. NLACRC held Legislative Academies on July 20 and 22, 2021. (Achieved)
- Virtual and local Grass Roots visits will be scheduled in FY21 to advocate and support our FY21-22 Legislative Priorities and thank our legislators for their support in FY21-22 and FY22-23 for the following:
 - Reduce service coordinator caseloads
 - Maintenance of service provider rates and investments of the rate study
 - Elimination of the uniform holiday schedule
 - Restoration of social recreation and camp services (In process)

PROGRESS: Objective 1B (cont.)

Local Community Legislative Education and Advocacy Activities:

Year 4 Goals

- Focus on tracking effectiveness of social media platforms through analytic data to drive more visitors to NLACRC's website. (In process)
- Provide more COVID-19 resources that are helpful to our community as we navigate through our pandemic (Achieved/Ongoing)
- Participate on Valley Industry Commerce Association ("VICA"), VIA, Chamber of Commerce and other business organization events or committees to advocate and educate on issues that are relevant to the developmental disability community. (Achieved/Ongoing)

Status

- NLACRC will be meeting with a media consultant on October 27, 2021 to assess effectiveness of communication strategy, social media and communication platforms.
- NLACRC continues to send weekly and biweekly COVID 19 communications to the community including newsletters with resources regarding COVID-19 testing and vaccinations.
- NLACRC promoted relevant VICA, VIA and chamber events to its Board and Executive teams and assigned staff participated in regular business organization committees.
- Staff continue to participate on the VICA Education, Government Affairs, Healthcare, Labor and Employment and Transportation Committees.

PROGRESS: Objective 1B (cont.)

Local Community Legislative Education and Advocacy Activities:

Year 4 Goals

- Establish partnerships with other organizations such as Hispanic or Latino Chamber of Commerce, African American Chamber of Commerce and other similar groups (IN PROCESS)
- Develop media contacts to help promote and support our legislative platform and advocacy activities (ACHIEVED)
- Implement equitable and inclusive engagement practices to ensure diverse representation of our stakeholders participating in legislative advocacy and activities (In Process)
- Expand legislative activities, information and resources on the NLACRC website (ACHIEVED)

Status

- NLACRC joined the AV Hispanic Chamber of Commerce and the SCV Chamber of Commerce Latino Business Alliance. We are also exploring additional business organizations to partner with.
- NLACRC will be meeting with a media consultant on October 27, 2021 to seek recommendations and strategies to develop additional media contacts.
- Inclusion Counts, Diversity, Equity and Inclusion Consultant, has been contracted and will assess current engagement processes for as it relates to diversity.

PROGRESS: Objective 1C

NLACRC Staff Legislative Education and Advocacy Activities:

Year 4 Goals

- Continue to increase efforts to share information and resources to staff related to legislative advocacy (Achieved/Ongoing)

Status

- Management staff attended a legislative advocacy training on September 14, 2021.

PROGRESS: Objective 2A

Develop both internal & external partnerships to improve collaboration and increase service delivery & service options

Year 4 Goals

- Finalize LPA Partnership Agreement for SCV and AV (Achieved)

Status

- The LPA Partnership Agreement for SCV and AV was completed and posted on the California Health & Human Services Agency Website during March 2021 [Local Partnership Agreement Templates - California Health and Human Services](#) **(Achieved)**
- LPA group working on establishing an employment panel of employers who have hired consumers to encourage businesses to provide employment opportunities for consumers **(In Process)**
- LPA group working on education strategies for case management **(In Process)**
- Continue to attend quarterly partnership meetings with LAUSD, Department Of Rehabilitation (“DOR”), and other local regional centers to implement local partnership agreement (“LPA”) and increase employment opportunities for individuals. **(Ongoing)**

PROGRESS: Objective 2B

Develop resources in geographic areas where resources, services, and supports are lacking

Year 4 Goals

- Develop community resources for individuals residing at either Porterville Developmental Center (PDC), Canyon Springs, STAR Facility, IMD, or out-of-state
- Increase clinicians (i.e. clinical psychologists) and licensed Licensed Speech Therapists, Occupational Therapists, Physical Therapist services in the Antelope Valley (“AV”)

Status

- Received FY2020-2021 Community Placement Plan and Community Resource Development Plan (CPP/CRDP) funds from DDS to develop three (3) specialized residential facilities (SRF’s) in order to place individuals residing at PDC, Canyon Springs, IMD, or out-of-state into the community. **(In Progress)**
- Posted \$150k Request for Proposal (“RFP”) on 10/1/2021 to develop an infant development program (service code 805) to serve Early Start consumers residing in the AV. Services will include Speech, Occupational, and Physical Therapies, as well as child development specialist **(In Progress)**
- Request for vendorization (“RFV”) to develop Specialized Therapeutic Services (service code 116) to increase Speech, Occupational, and Physical Therapies for consumers residing in the AV. **(In Progress)**

PROGRESS: Objective 2B

Develop resources in geographic areas where resources, services, and supports are lacking

Year 4 Goals

- Develop community resources for camps, social recreation, and non-medical therapies

Status

- Request for vendorization (“RFV”) to develop community resources for camp, social recreation, and non-medical therapies. **(In Progress)**

PROGRESS: Objective 2B (cont.)

Develop resources in geographic areas where resources, services, and supports are lacking

Year 4 Goals

- Continue efforts directed towards implementation of the Self-Determination Program (SDP)
 - Finalize SDP Budget Tool **(Achieved)**
 - Finalize SDP program Policies & Procedures **(Achieved)**
 - Develop SDP Monitoring Framework **(Achieved)**
 - Develop person centered-friendly SDP handbook for consumers and families **(In Progress)**

Status

- SDP staff team established including a supervisor and 3 SDP specialists. In the process of recruiting an SDP Resource Development Specialist **(SDP Supervisor and 4 Specialist staff were achieved)**
- Received DDS Allocation to support the implementation of SDP **(Achieved)**
- Developing SDP procedures within Accounting **(Achieved)**
- Established 2 Senior Accounting Specialist Positions in accounting dedicated to SDP **(1 hired; Pending)**

PROGRESS: Objective 2C

Employment Opportunities for Consumers

Year 4 Goals

- Increase the number of working Consumers

Status

- NLACRC continues to work with VAC workgroup and service providers on strategies to increase employment opportunities for Consumers (**In Process**)
- NLACRC scheduled informational session between Amazon and service providers to create for employment opportunities (**completed**)
- Continue activities to increase the number of service providers receiving Competitive Incentive Employment (“CIE”) finds or providing Paid Internship Programs (“PIP”). In process of implementing revised statute. (**Ongoing**)

PROGRESS: Objective 2D

Provide Rate Support & more technical assistance and monitoring support for service providers

Year 4 Goals

- Support Health & Safety Exemption waivers for service providers in order not to disrupt or separate consumers and their families from services and supports.
- Support sustainable rates for service providers

Status

- 637 Proposals (WIC 4669.2-4669.75) to change rate structure for Adult Residential Facilities for Persons with Special Health Care Needs (“ARFPSHN”). **(In Process)**
- 637 Proposal (WIC 4669.2-4669.75) to change rate structure for Family Home Agency(s) is under review by DDS **(In Process)**
- Implement Burns Rates effective April 1, 2022 **(pending rate information from DDS)**
- Implement bilingual differential for Direct Care Professionals (DSP) **(Pending information from DDS)**
- Implement pay differentials to DSPs with training on **person-centered, cultural & linguistic competency (Pending information from DDS)**
- Uniform Holiday Prohibition, which now allows certain service providers to be paid for services provided to consumers on holidays. **(Pending information from DDS)**

PROGRESS: Objective 2D (cont.)

Provide Rate Support & more technical assistance and monitoring support for service providers

Year 4 Goals

- Offer Service Provider Training & Resources

Status

- Trainings Provided
 - Special Incident Reporting: 2 + 1 vendor specific
 - Medication Administration Training: 1 + 1 vendor specific
 - Restricted Health Care Condition Plan Training (1)
 - Personal & Incidental Training: 1 Vendor specific
- Trainings Scheduled
 - Special Incident Reporting
 - Medication Administration Training
 - Restricted Health Care Condition Plan Training
 - Personal & Incidental Training
 - Client Rights
- Continue to provide service providers a variety of resources and information via email, News You Can Use, Social Media and Website.

PROGRESS: Objective 2D (cont.)

Provide Rate Support & more technical assistance and monitoring support for service providers

Year 4 Goals

- Support service providers with Home & Community Based Services (HCBS) & Centers for Medicare and Medicaid services (CMS) Final Rule compliance
- Support service providers with implementing Electronic Visit Verification Program (EVV) effective January 1, 2022 for personal care services (PCS) and January 1, 2023 for health care services (HC)

Status

- 15 HCBS assessments completed during Jul21-Sep21. DDS reported on 10/14/2022 all 1,200 (statewide) selected vendors have been completed. Prior to Jul21, 31 site assessments completed
- Three (3) Service providers awarded HCBS Compliance FY2021 funds:
 - Build: person centered planning (PCP) training
 - Pathpoint: PCP staffing and PCP training
 - TASC PCP staffing and training
- Continue to communicate information regarding EVV thru regular communication strategies and VAC.

PROGRESS: Objective 2D (cont.)

Provide Rate Support & more technical assistance and monitoring support for service providers

Year 4 Goals

- Ensure Quality Services and Supports

Status

- In June, NLACRC established six (6) service provider workgroups that meet, at least monthly:
 - Residential Services
 - Transportation Services
 - Individualized Services
 - Early Start Services
 - Site-Based Day Programs
 - Community-Based Day Programs
- Conducted semi-annual reviews with ARFPSHCN and EBSH homes, face-to-face & during COVID-19 virtually
- Over 1.4 million pieces of Personal Protective Equipment (PPE)/Essential Protective Gear (EPG) was distributed to service providers during the COVID-19 pandemic.

PROGRESS: Objective 2D (cont.)

Provide Rate Support & more technical assistance and monitoring support for service providers

Year 4 Goals

- Ensure Quality Services and Supports

Status

Completed 310 monitoring and/or technical assistance visits to residential service programs during Jul21-Sep21

PROGRESS: Objective 2E

Increase access to services & supports by both underserved communities and service area

Year 4 Goals

- Continue Cafecito Entre Nos (Achieved)
- Continue NLACRC Disparity Committee **(Achieved)**
- Continue Disparity Related Projects
 - Parent Mentor Project
- Explore creation of “Advocacy Workgroups” that will engage with disparity communities in AV, SCV & SFV
- Instructional Videos for Social Media in efforts to increase access to regional center services

Status

- Cafecito Enter Nos, Aprendiendo Entre Nos and Alianza de Hombres meetings continue to be held virtually on a monthly basis. **(Achieved)**
- Disparity Committee is continuing robustly, inclusive of Family Focus Resource Center, CBOs, and State Council of Developmental Disabilities. **(Achieved)**
- Parent Mentor Project (Two Parent Mentors continue to support efforts to increase access to regional center services **(Achieved)**)

PROGRESS: Objective 2E (cont.)

Increase access to services & supports by underserved communities and service area

Year 4 Goals

- Community Outreach
 - Development of a Grass Roots Marketing and Outreach Strategy and Plan (In Process)
- Update General Information Brochure (Achieved)
- Commonly Coordinated Services and Family Service Guide (Achieved)
- Ensure our written materials are created utilizing plain language (Ongoing)
- Development of a Consumer and Family Guide (In Process)

Status

- Development of a grass roots marketing and outreach strategy and plan to support our communities who are impacted by the digital divide
- During FY20-21 and FY21-22, NLACRC has been working with a plain language consultant to create easy to understand materials and communications
- NLACRC Service Description Insert for the Commonly Coordinated Services in final review in preparation for mass printing (In process)
- NLACRC's Consumer and Family Guide is projected to be completed in January 2022 (specific deadline forthcoming from Public Information).

PROGRESS: Objective 3A

Increase quality services & supports provided by NLACRC staff to consumers and their families

Year 4 Goals


- Hire service coordinators to bring Non-Early Start Caseloads to 1:84 and Early Start to 1:62 ratios (Ongoing)
- Implement succession planning for the CFO position (Achieved)
- Implement 1:25 specialized Caseload Ratio for individuals with complex needs (Achieved)

Status

- For the first quarter of FY21-22, 36 new employees hired, 24 service coordinators and 12 various case management and non-case management positions (gross hires)
- Secured two contract recruiters to support FY21-22 staffing plan
- Assessing additional recruitment platforms (Zip Recruiter, Monster, FoundationList, Careers.Social Work and Diversity Jobs)
- Seeking temporary staffing agencies to support Administrative, Accounting and Information Technology staffing needs (in process)
- Promoted 10 internal employees to a variety of leadership/non-leadership positions. Supported the lateral transfers of 4 staff members.
- CFO hired as of September 7, 2021

PROGRESS: Objective 3A (cont.)

Increase quality services & supports provided by NLACRC staff to consumers and their families

- 
- Continue efforts to hire CSC Director, DEI Supervisor, Community Services Manager and Consumer Services Manager (Achieved)
 - Develop job descriptions, assessment and interview questions for positions that are required via the Budget or Trailer Bill Language. (In Process)
 - Implement FY21-22 Staffing Plan (In Process)

Status

- Job descriptions for Deaf Specialist, Emergency Coordinator, and Participant Choice Specialists in development. (In process)
- Developing our Enhanced Caseload job descriptions (Supervisor and CSCs). (In process)
- Hired the Consumer Services Supervisor for Provisional Eligibility and recruiting for CSCs to support this program.
- Continue to add CSC positions to maintain 1:62 for Early Start and 1:84 for Non-Early Start
- HR is in the process of opening all FY21-22 remaining positions that have a developed job description

PROGRESS: Objective 3B

Increase Staff Training and Education

Year 4 Goals

- HIPAA, Sexual Harassment and Discrimination Training (Achieved/Ongoing)
- Union Contract & Subsequent Training/Education (Achieved/Ongoing)
- Redesign Onboarding/NSO for staff (In Progress)

Status

- Procured and disseminated to employees and management staff. This training occurs once every two years and is mandatory when new staff are hired.
- Provided training to the Payroll and HR department on the SEIU 721 Collective Bargaining Agreement.
- Based on the COVID-19 pandemic NLACRC converted the majority of our NSO trainings to a virtual platform.

PROGRESS: Objective 3B (cont.)

Increase Staff Training and Education

Year 4 Goals

- Implement training program for supervisors/managers - “How To Academy” as it relates to leadership and management skills needed to support their interactions with staff. (In Process)
- Development of COVID-19 training as required by CDC and CalOSHA Emergency Temporary Standards (Achieved)

Status

- Recruitment module is in development and in the process of finalization. Once finalized, this will be launched in FY21-22.

PROGRESS: Objective 3C

Increase Board Training and Education

Year 4 Goals

- ARCA Board Academy Training
- Board Cultural Diversity, Equity and Inclusion Training (ACHIEVED)
- Develop Annual Board Training Plan (ACHIEVED)

Status

NLACRC coordinated and conducted 7 trainings for Board Members for FY 20-21

ARCA offered 5 “ARCA Academies” for board member training, each with a re-broadcast available

Annual Training Plan in development for FY21-22.

PROGRESS: Objective 3C (cont.)

Increase Board Training and Education

Year 4 Goals

- Annual Board Member annual orientation
- Monthly Board Packet Reviews
- Annual Board Legislative Training
- Provide periodic trainings as requested by the Board or as required by DDS
- Post on NLACRC's website information regarding the training and support provided to Board Members

Status

- A statement regarding Board training is included on the Transparency page of NLACRC's website.

PROGRESS: Objective 3D

Increase Transparency Activities

Year 4 Goals

- Post the following information on NLACRC's Website
 - Assessment tools utilized by NLACRC to make funding decisions (**Achieved**)
 - All documents specified in NLACRC's Board Transparency Policy (**ACHIEVED**)
- Provide the following information at the time of the IPP
 - A list of all agreed upon services (**Achieved**)
- Provide a copy of all Corrective Action Plans ("CAPs") and Sanctions to DDS

Status

- Information was added to the Service Standards posted on the website to direct people where to find Transportation, Personal Assistance, ILS, and SLS information.
- **Update: This was completed**
- Documents specified in the Transparency Policy are posted on NLACRC's website.
- A list of agreed-upon services at the IPP meeting to consumers and their families in both English and Spanish was implemented January 28, 2020
- **Update: This was completed**
- Submitted Corrective Action Plans ("CAPs") and Sanctions for April – June 2020 to DDS on August 10th. NLACRC will continue to submit CAPS to DDS during the months of November, February, May, and August

PROGRESS: Objective 3D (cont.)

Increase Transparency Activities

Year 4 Goals

- Establishment of a dashboard in a machine writable format
- Establishment of standardized information packets
 - Overview of regional center system
 - A resource guide for consumers and their families
 - Consumer rights
 - Contact information for NLACRC, DDS, and protection and advocacy agency

Status

- NLACRC maintains information packets that are distributed at the New Consumer orientations and available on the website in electronic format.
- **Update: DDS has not released the standardized information packets and upon receipt, NLACRC will distribute.**

PROGRESS: Objective 4A

Streamline and Document Workflows

Year 4 Goals

- Develop agency-wide policies and procedures to support the Agency's COVID-19 Prevention Plan and efforts. (Achieved/Ongoing)
- Departments to memorialize department procedures with assistance from the Policy & Procedure department (In Process)
- Develop policies and procedures to support trailer bill implementation (In Process)

Status

- Developed agency-wide policies and procedures to support COVID-19 efforts, including legally required COVID-19 supplemental paid sick leave, COVID-19 testing in the workplace and a legally required COVID-19 Prevention Program.
- Developed department procedures to support agency's COVID-19 efforts, including but not limited to, ergonomic requests for staff working remotely, etc.

PROGRESS: Objective 4A (cont.)

Streamline and Document Workflows

Year 4 Goals

- Continue to update and create Policy(s) & Procedure(s) (In Process/Ongoing)

Status

- Updating and implementing HIPAA policies
- Personnel Policies – we are working with outside counsel to create a timeline for development and implementation for FY21-22.

PROGRESS: Objective 4B

Technology will be considered in all new or existing workflow processes & technology to automate workflows will be the 1st priority

Year 4 Goals

- Technology changes and enhancements

Status

- Laptop Rollout and Technology Transition for 500+ staff
 - Moved staff off of Citrix and over to Microsoft 365 and One Drive
 - Created training and trained staff on new technologies, security, and caring for their laptops
 - Multi-factor Authentication setup will be completed by 11/15/21
 - Staff are officially mobile
 - Set up Teams for internal collaboration
 - Starting video conferencing with consumers through Teams
- EDMS
 - Finished scanning the Vendor files for Accounting.
 - Scanning 50-60 boxes a month of files coming in from Iron Mountain and Transfers from other Regional Centers
 - Beginning the scanning of Operational files in March of 2022

PROGRESS: Objective 4B

Technology will be considered in all new or existing workflow processes & technology to automate workflows will be the 1st priority

Year 4 Goals

- Technology changes and enhancements

Status

- **New Ticketing System**
 - Developed Proof of Concept
 - Piloting for Facilities and IT
- **Identify and begin transition to new VOIP phone system by June 2022**
- **Identify a new eFax solution by June 2022**
- **Upgrade Therefore (Document Management)**
- **Upgrade WASP (asset management system)**
- **Upgrade the battery backup in computer room for SFV**
- **Upgrade the wireless network in SFV (waiting for parts)**

PROGRESS: Objective 4C

Make information easily accessible to staff, service providers, consumers/families, and community partners; improve data integrity; & maintain security and privacy

Year 4 Goals

- Maintain Security and Privacy

Status

- Implemented InTune for laptop mobile device management (mitigates unauthorized access)
- Implemented Intercept X for laptop security (detects and prevents malicious encryption processes)
- Implemented a VPN (secure connection) and Multi-Factor Authentication (verification of user) for laptops
- Business Continuity Plan with MLC Associates (**In Process**)
- Disaster recovery test scheduled for March 2022

PROGRESS: Objective 4D

Increase opportunities for cost savings

Year 4 Goals

- Continue efforts to reduce CalPERS unfunded retirement (pension) liability
- Continue efforts to reduce CalPERS unfunded retiree healthcare liability
- Maximize Operations Funds

Status

- On May 12, 2021, Board of Trustees authorized contribution to UAL in the estimated amount of \$3.4 million from FY2019-2020 **(In Process)**

PROGRESS: Objective 4E

Maximize Office Space Utilization

Year 4 Goals

- San Fernando Valley Office (SFV)
- Antelope Valley Office (AV)
- Santa Clarita Valley Office (SCV), Lease Expires May 31, 2022

Status

- Space optimization of existing SFV space (**In Process with architect**)
- Expansion of leased space on the 1st floor of the SFV Office for public use (**In Process with broker**)
- Piloting hoteling strategy in both SCV and SFV office(s) (**In Process**)
- Piloting hotel strategy in AV (**not yet implemented**)
- Assessing office space for SCV (**In Process with broker**)

GOALS

1	2	3	4
Goal	Goal	Goal	Goal
Increase community education and engagement, build relationships with state legislators locally and in Sacramento; and identify stakeholder priorities in order to help direct our current and future advocacy efforts	Provide consumers and families more choices and options for service delivery	Provide staff within NLACRC that is equipped with information, skills, and expertise to support our consumers and their families, service providers, our staff, and the mission of NLACRC	Provide more time for our staff to spend with our consumers and their families, service providers, and other community partners

NEXT STEPS



NOTIFICATION OF CONFLICT OF INTEREST,
AND
RESUBMISSION OF CONFLICT RESOLUTION PLAN

ANA QUILES - 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 Ms. Quiles

Ana Quiles is a Board Member at North Los Angeles County Regional Center (hereinafter “NLACRC” or “the Regional Center”). Ms. Quiles is a board member, Treasurer and Association of Regional Center Agencies (ARCA) Alternate and as such she participates on the Strategic Planning, Administrative Affairs, Executive and Post-Retirement Medical Trust Committees. NLACRC Executive Director Ruth Janka confirms that Ms. Quiles is a productive and valued member of the Board of Trustees. Attached as **Exhibit A** is Ms. Quiles 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. Quiles’ has disclosed the following conflicts’ of interest:

- A. Her mother, Maria Elena Martinez and sister, Martha Martinez, are employed with Caring Family Supports, a vendor of NLACRC. Her mother and sister, provide respite, personal assistance and day care for her Ms. Quiles’ daughters (consumers of NLACRC).
- B. Her sister, Adriana Martinez; father, Luis Martinez; and brother, Gabriel Martinez are employed with Caring Family Supports, a vendor of NLACRC. Her sister, father and brother provide respite and personal assistance for Ms. Quiles’ nephews (consumers of NLACRC).

This creates a direct conflict for Ms. Quiles as defined by regulation. This document constitutes a disclosure of these conflicts, a Conflict Resolution Plan to mitigate 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 Ms. Quiles remain in her position on the NLACRC Board of Trustees, Treasurer and ARCA Alternate, 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, personal assistance and day care 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 Ms. Quiles’ duties and responsibilities as a board member, Treasurer and ARCA Alternate and her family member’s roles in providing respite, personal assistance and/or day care services based on their employment with Caring Family Supports.

A. Ms. Quiles' Duties as Board Member

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. A copy of the Board Member Responsibilities is attached as **Exhibit B**. The responsibilities as a member of the NLACRC would include, but not limited to:

1. Attendance, either virtual or in-person, at monthly Board of Trustees meetings, usually held on the second Wednesday of each month at one of NLACRC's three offices at 6:30 p.m.
2. Membership and attendance on one (1) or more board committees.
3. Board participation and advocacy will be focused on systems issues; issues regarding an individual consumer, family or program will be directed to the Executive Director's Office.
4. Identification of any potential conflict of interest as identified in Welfare and Institutions Code, Sections 4626 and 4627 during the board member's term on the board will be reported to the administrative assistant to the board.
5. Completion of the Conflict of Interest Statement annually and MediCal Provider Enrollment Form as applicable due to the regional center's funding and contract with the State of California, Department of Developmental Services.
6. Completion of a W-9 form by board members who seek reimbursement for childcare or personal care services under the Board Member Support policy.
7. Adherence to the board's Code of Conduct.
8. Attendance at the annual board orientation for all newly seated board members.
9. Participation in board-coordinated trainings and the annual board retreat.
10. Visitation to NLACRC vendored 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).

Under the suggested Conflict Resolution Plan, Ms. Quiles 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, day care and personal assistance services.

B. Ms. Quiles Duties as Treasurer

The office of treasurer is established in Article V, Section 9 of the bylaws of North Los Angeles County Regional Center. The treasurer shall be a member of the Board of Trustees and elected by the Board of Trustees. The terms of office shall be one (1) year with no limitation on the number of terms. A copy of the Treasure Responsibilities is attached as **Exhibit C**. The treasurer shall serve as the chairperson of the Administrative Affairs Committee and is a member of the Executive Committee.

The treasurer shall:

1. Establish and/or approve all agendas for the Administrative Affairs Committee.
2. Review and report on the regional center contract with the Department of Developmental Services and the preliminary allocation.
3. Oversee and report on the fiscal status of the regional center:
 - a. Review and approve all financial reports and the financial status of the regional center on a quarterly basis.
 - b. Review and approve all audits to assure conformity with accepted practices and contractual requirements.
 - c. Review and approve the initiation of changes to bank accounts, tax returns and other ongoing corporate financial transactions.
4. Assure that regional center personnel policies and procedures are consistent with board policy.
5. Assure that the regional center's requirements for office space are met.
6. Ensure periodic review of procedures for evaluation of the executive director.

C. Ms. Quiles' Duties as ARCA Delegate

The offices of ARCA delegate and ARCA alternate are established in Article V, Sections 10 and 11 of the bylaws of North Los Angeles County Regional Center. The ARCA delegate and ARCA alternate shall be members of the Board of Trustees and elected by the Board of Trustees. The terms of office shall be a minimum of 2 years with no limitations on the number of terms. The ARCA delegate or ARCA alternate shall report to the Executive Committee, as needed. A copy of the ARCA Delegate and ARCA Alternate is attached as **Exhibit D**.

The duties of the ARCA Delegate and ARCA Alternate include:

1. Willing to accept a leadership role in ARCA. The delegate board members play an essential role in ARCA and contribute to its policy direction.
2. Able to clearly articulate the center's position on statewide issues.
3. Able to work effectively in a large group and with individuals who may have differing opinions.
4. Able to explain complex issues to the board in the context of state and local concerns.
5. Willing to commit the time to fully participate in ARCA activities.

ARCA is an incorporated organization of the regional centers. Representatives to ARCA consist of one member from each board and the executive director of each regional center.

ARCA meets regularly to address issues of common concern to the regional centers.

The ARCA delegate and ARCA alternate shall represent the corporation at ARCA meetings. The ARCA delegate and/ or ARCA alternate shall report to the Board of Trustees regarding actions taken at the ARCA meetings and assure that the board votes, when possible, on any issues requiring such action.

D. Ms. Quiles' Family Members' 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
3. Day Care

As a respite worker for Caring Family Supports, Maria Elena Martinez and Martha Martinez provides respite services solely to Ms. Quiles' daughters who are NLACRC consumers. In addition Adriana Martinez, Luis Martinez and Gabriel Martinez provides respite services solely to Ms. Quiles' nephews who are NLACRC consumers. Their respite 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.

As a personal assistant for Caring Family Supports, Maria Elena Martinez and Martha Martinez provides personal assistance and day care services solely to Ms. Quiles' daughters who are NLACRC consumers. In addition Adriana Martinez, Luis Martinez and Gabriel Martinez provides personal assistance services solely to Ms. Quiles' nephew who are NLACRC consumers. Their personal assistance 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.

Day care is a sub-code under the Personal Assistance vendorization to distinguish if the personal assistance is for attendant care (i.e. feeding, toileting) or as a means for day care (i.e. child care)

IV. Conflict Resolution Plan

The Regional Center and its Executive Director, Ruth Janka, have concluded that Ms. Quiles 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 this relationship and seek re-approval of this plan by DDS.

Initially, the first step in the Conflict Resolution Plan is to allow Ms. Quiles to remain in her position on the Board of Trustees, Treasurer, and ARCA Alternate but to cease any activity or action that might in any way impact Caring Family Supports. This will eliminate any instance in which Ms. Quiles 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 Ms. Quiles to recommend Caring Family Supports or other similar available respite, personal assistance and day care vendors.

The second part of the plan is to insulate Ms. Quiles 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, personal assistance and day care 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, Ms. Quiles 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, personal assistance day care 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 Ms. Quiles 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. Quiles suggested Conflict Resolution Plan for this conflict of interest is as follows:

1. Ms. Quiles 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. Ms. Quiles will, in every conceivable manner, cease interacting with the Board on any matter that could conceivably impact Caring Family Supports.
3. Ms. Quiles 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, personal assistance vendors.
4. Ms. Quiles will not review or participate as a board member in any discussions, recommendations, or decisions about Purchase of Service (POS) authorizations for Caring Family Supports and other, respite and personal assistance vendors.

5. Ms. Quiles 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 and day care vendors.

6. Ms. Quiles 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, personal assistance and day care vendors.

7. Ms. Quiles 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, personal assistance and day care vendors.

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

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

10. Ms. Quiles 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, personal assistance and day care vendors. Instead, these tasks will become the responsibility of the other board members.

11. Ms. Quiles 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, personal assistance and day care 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 Ms. Quiles has no involvement whatsoever in any action or business whatsoever involving or affecting Caring Family Supports and other respite, personal assistance and day care vendors.

13. These restrictions only apply to Caring Family Supports and policies impacting other respite, personal assistance and day care vendors. The bulk of Ms. Quiles' 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 Ms. Quiles provides to the NLACRC Board.

14. In the event the board member changes to a different respite, personal assistance and day care 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: _____
Ana Quiles, NLACRC Board Member

Date: _____

By: _____
Letitia Garcia, NLACRC Board President

Date: _____

By: _____
Ruth Janka, Executive Director, NLACRC

Date: _____

Reset Form

CONFLICT OF INTEREST REPORTING STATEMENT
DS 6016 (Rev. 08/2013)

The duties and responsibilities of your position with the regional center require you to file this Conflict of Interest Reporting Statement. The purpose of this statement is to assist you, the regional center and the Department of Developmental Services (DDS) to identify any relationships, positions or circumstances involving you which may create a conflict of interest between your regional center duties and obligations, and any other financial interests and/or relationships that you may have. In order to be comprehensive, this reporting statement requires you to provide information with respect to your financial interests.

A "conflict of interest" generally exists if you have one or more personal, business, or financial interests, or relationships that would cause a reasonable person with knowledge of the relevant facts to question your impartiality with respect to your regional center duties. The specific circumstances and relationships which create a conflict of interest are set forth in the California Code of Regulations, title 17, sections 54500 through 54530. You should review these provisions to understand the specific financial interests and relationships that can create a conflict of interest.

Please answer the following questions to the best of your knowledge. If you find a question requires further explanation and/or there is not enough space to thoroughly answer the question, please attach as many additional sheets as necessary, and refer to the question number next to your answer. If the regional center identifies a conflict involving you, it will be required to prepare a conflict resolution plan. Some relevant definitions have been provided in the footnotes to assist you in responding to this statement.

You are required to file this Reporting Statement within 30 days of beginning your employment with the regional center or from the date that you are appointed to the regional center board or advisory committee board. You are then required to file an annual Reporting Statement by August 1st of every year while you remain employed with the regional center or while you are a member of the regional center board or advisory committee board. You must also file a Reporting Statement within 30 days of any change in your status that could result in a conflict of interest. Circumstances that can constitute a change in your status that can require you to file an updated Reporting Statement are described below in footnote one.

A. INFORMATION OF REPORTING INDIVIDUAL

Name: Ana Laura Quiles Regional Center: North Los Angeles County Regional Center

Regional Center Position/Title: Governing Board Member Executive Director
 Vendor Advisory Committee sitting on Board Employee
 Contractor Agent Consultant

Reporting Status: Annual New Appointment (date): _____
 Change of Status¹

If a change in status, date and circumstance of change in status:

1. Please list your job title and describe your job duties at the regional center.
 Regional Center Board Treasurer

¹ Change of status includes a previously unreported activity that should have been reported, change in the circumstance of a previously reported activity, change in financial interest, familial relationship, legal commitment, change in regional center position or duties, change in regional center, or change to outside position or duties. See California Code of Regulations, title 17, sections 54531(d) and 54532(d).

<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.

Martha Martinez my sister and Maria Elena Martinez my mother provide respite and personal assistance for my daughters Angela and Ariana Quiles.

Adriana my sister, Gabriel my brother and Luis Martinez my dad provide respite and personal assistance for my nephews.

Services are provided through Caring Family Supports

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.

Caring Family Supports provides respite, day care and personal assistance services to regional center consumers.

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.
 See #2 above *del*

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

As a member of the Board of Trustees, I will be voting to approve contracts.

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.

See #2 above

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

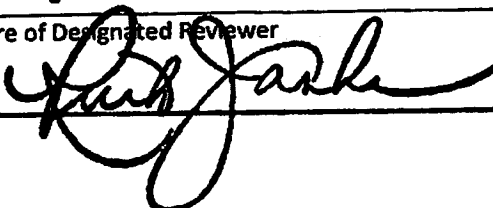
10. Do you evaluate employment applications or contract bids that are submitted by your family member(s)?
 yes no -- If yes, please explain.

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, Ana Laura Quiles (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 07/15/2021

INTERNAL USE ONLY	
Date this Statement was received by Reviewer:	
The reporting individual <input checked="" type="checkbox"/> does <input type="checkbox"/> does not have a <input checked="" type="checkbox"/> present <input checked="" type="checkbox"/> potential conflict of interest	
Signature of Designated Reviewer <u></u>	Date Review Completed <u>7/15/2021</u>

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, either virtual or in-person, at monthly Board of Trustees meetings, usually held on the second Wednesday of each month at one of NLACRC's three offices at 6:30 p.m.
- Membership and attendance on one (1) or more board committees.
- Board participation and advocacy will be focused on systems issues; issues regarding an individual consumer, family or program will be directed to the Executive Director's Office.
- Identification of any potential conflict of interest as identified in Welfare and Institutions Code, Sections 4626 and 4627 during the board member's term on the board will be reported to the administrative assistant to the board.
- Completion of the Conflict of Interest Statement annually and MediCal Provider Enrollment Form as applicable due to the regional center's funding and contract with the State of California, Department of Developmental Services.
- Completion of a W-9 form by board members who seek reimbursement for childcare or personal care services under the Board Member Support policy.
- Adherence to the board's Code of Conduct.
- Attendance at the annual board orientation for all newly seated board members.
- Participation in board-coordinated trainings and the annual board retreat.
- Visitation to NLACRC vendored 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.bdmbbr.resps] 01-13-93 Revised: 08-16-2021 Adopted: 9-9-2021

EXHIBIT B

North Los Angeles County Regional Center
Board of Trustees Policy Statement

Treasurer

The office of treasurer is established in Article V, Section 9 of the bylaws of North Los Angeles County Regional Center. The treasurer shall be a member of the Board of Trustees and elected by the Board of Trustees. The terms of office shall be one (1) year with no limitation on the number of terms. The treasurer shall serve as the chairperson of the Administrative Affairs Committee and is a member of the Executive Committee.

The treasurer shall:

- Establish and/or approve all agendas for the Administrative Affairs Committee.
- Review and report on the regional center contract with the Department of Developmental Services and the preliminary allocation.
- Oversee and report on the fiscal status of the regional center:
 1. Review and approve all financial reports and the financial status of the regional center on a quarterly basis.
 2. Review and approve all audits to assure conformity with accepted practices and contractual requirements.
 3. Review and approve the initiation of changes to bank accounts, tax returns and other ongoing corporate financial transactions.
- Assure that regional center personnel policies and procedures are consistent with board policy.
- Assure that the regional center's requirements for office space are met.
- Ensure periodic review of procedures for evaluation of the executive director.

North Los Angeles County Regional Center
Board of Trustees Policy Statement

Association of Regional Center Agencies (ARCA)
Delegate and Alternate

The offices of ARCA delegate and ARCA alternate are established in Article V, Sections 10 and 11 of the bylaws of North Los Angeles County Regional Center. The ARCA delegate and ARCA alternate shall be members of the Board of Trustees and elected by the Board of Trustees. The terms of office shall be a minimum of 2 years with no limitations on the number of terms. The ARCA delegate or ARCA alternate shall report to the Executive Committee, as needed.

The duties of the ARCA Delegate and ARCA Alternate include:

1. Willing to accept a leadership role in ARCA. The delegate board members play an essential role in ARCA and contribute to its policy direction.
2. Able to clearly articulate the center's position on statewide issues.
3. Able to work effectively in a large group and with individuals who may have differing opinions.
4. Able to explain complex issues to the board in the context of state and local concerns.
5. Willing to commit the time to fully participate in ARCA activities.

ARCA is an incorporated organization of the regional centers. Representatives to ARCA consist of one member from each board and the executive director of each regional center. ARCA meets regularly to address issues of common concern to the regional centers.

The ARCA delegate and ARCA alternate shall represent the corporation at ARCA meetings. The ARCA delegate and/or ARCA alternate shall report to the Board of Trustees regarding actions taken at the ARCA meetings and assure that the board votes, when possible, on any issues requiring such action.

North Los Angeles County Regional Center
Nominating Committee Meeting Minutes

Draft

October 6, 2021 – 5:30 pm

Present: Leticia Garcia, Angelina Martinez, Caroline Mitchell and Jeremy Sunderland – Committee Members
Bob Erio – VAC Representative
Kim Rolfes and Liliana Windover – Staff Members

Absent: All Present

I. Call to Order

Kim Rolfes called the meeting to order at 5:37 p.m.

II. Consent Items

A. Approval of Agenda

M/S/C (A. Martinez/J. Sunderland) To approve the agenda as presented.

III. Committee Business

A. Annual Committee Orientation

1. Policies & Procedures – Page 4

The Nominating Committee Policies and Procedures were reviewed with members of the committee. Discussion was held regarding making the dates for submission of the applications for Board applicants and VAC applicants consistent with the Critical Calendar. It was recommended that the dates for submission of the applications should be December 15th. Further it was recommended that the month be changed from December to November for VAC members whose term of office expires in June of the next year and who is eligible to serve another term.

M/S/C (J. Sunderland/A. Martinez) To approve the proposed changes to this policy as presented.

2. Board Recruitment Guiding Principles – Page 9

The Board Recruitment Guiding Principles were reviewed with members of the committee.

3. Board Internship Policy – Page 10
The Board Internship Policy was reviewed with members of the committee.
4. Board Audit Section – Page 11
The Board Audit Section was reviewed with members of the committee.
5. FY 2021-22 Critical Calendar – Page 13
The draft Nominating Committee Critical Calendar for FY 2021-22 was reviewed with members of the committee.

M/S/C (A. Martinez/L. Garcia) To approve the FY 2021-22 Critical Calendar as presented.

6. Review Committee’s Action Log for FY 2020-21 – Page 15
The Committee’s Action Log for FY 2020-21 was reviewed with members of the committee.

B. Elect a Committee Chair

The members of the committee were asked to nominate a chair of the Nominating Committee.

M/S/C (C. Mitchell/L. Garcia) To elect Angelina Martinez to serve as the FY 2021-22 Nominating Committee Chair.

C. Confidential Statements

The members of the Nominating Committee were informed that they will be reviewing applications and resumes of many different applicants. Committee members were reminded that this information is strictly confidential. Each committee member was asked to sign confidentiality statements which provides that each Nominating Committee member agrees not to reveal any of the discussion and/or deliberations about any of the candidates. It was reported that all members of the nominating committee had signed a Confidential Statement via Adobe Sign. Copies of the Confidential Statement were filed in each board member’s file.

D. Open Board & VAC Positions

1. Open Board Positions in June of 2022 – Page 17 & 18
There are currently 2 open board positions. In addition, there are four (4) board members terming off in June 2022. It was explained that of the

four (4) board members terming off in June 2022, one board member is the chair of the VAC, which will be elected by the VAC. We currently have some board applications on file from the previous fiscal year.

2. Open VAC Positions in June of 2022 – Page 19 & 20

There are no open position on the VAC. However, there are three (3) VAC members terming off in June 2022. One of the VAC members terming off in June 2022 is the VAC Chair. The chair elected by the VAC, will serve on NLACRC's Board during FY2022-2023. We have one (1) VAC application on file from the previous fiscal year.

E. DDS Composition Surveys – *Page 72 & 73*

The DDS Composition survey was reviewed with members of the committee. The center met all the statutory requirements regarding ethnicity, board member representation, various disabilities, and fields of expertise. Based on the board members terming off in June 2022, in order to meet the statutory requirements for board composition during the next fiscal year, the three (3) board positions should be filled by applicants with an ethnicity of Asian (1), Hispanic/Latino (1); and White (1) ; and two (2) of these same applicants must be Consumers.

F. NLACRC Composition Matrix – *Page 74 of Additional Information Packet*

The center's Consumer composition matrix, which includes the current number of board of trustees for this fiscal year, was reviewed with committee members. It was explained that under statute, the Center's board composition must reflect the geographic and ethnic characteristics of the catchment area served by the regional center rather than by the consumers served. The Department uses the 2015 American Community Survey to assess the center's board composition with the ethnic characteristics of the geographic area served by the center to determine the center's compliance with the statute.

G. Existing Board & VAC Interest List

The list of current board members and VAC member seeking to serve another term was reviewed with members of the committee. Additionally, the list of applicants from last year's recruitment was provided to committee members. Board and VAC members requesting another term are as follows:

1. Board of Trustees Members
 - a. Nicholas Abrahms
 - b. Lillian Martinez
 - c. Jennifer Koster
 - d. Alma Rodriguez
 - e. Deshawn Turner

2. VAC members
 - a. Kevin Shields
 - b. Don Lucas

H. Review Recruitment Notices

1. Board Recruitment Notice – Page 21

The Board Recruitment Notice was reviewed with members of the committee. The Board Recruitment Notice will be updated to add White ethnicity and remove Black/African American ethnicity, in order to meet the statutory requirements for board composition for next fiscal year.

2. VAC Recruitment Notice

The VAC Recruitment Notice was reviewed with members of the committee.

I. FY 20-21 Applicants – Page 3-71 & Page 75-78 of Additional Information Packet

A list of applicants and their applications, that applied last fiscal year, was provided to members of the committee. Members of the committee will review the applicants during the Executive Session.

IV. Board Meeting Agenda Items

- A. Minutes of October 6th Meeting
- B. Board & VAC Member Recruitment Notices
- C. Revised Nominating Committee Policies and Procedures
- D. Nominating Committee Critical Calendar for FY 2021-22

V. Executive Session

A. Applicant Deliberations

Committee members went into an Executive Session at 6:20 pm

VI. Announcements/Information

A. Next Meeting: Wednesday, January 5, 2022 at 5:30 pm

Angelina Martinez adjourned the meeting at 6:39 p.m.

Submitted by,

Liliana Windover

Liliana Windover
Executive Administrative Assistant

[ncmin_Oct6_2021]





North Los Angeles County Regional Center

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NOTICE TO SERVICE PROVIDERS

Call for Applications for NLACRC's Vendor Advisory Committee

The Board of Trustees of North Los Angeles County Regional Center (NLACRC) is seeking qualified individuals to serve on the NLACRC Vendor Advisory Committee (VAC). The VAC is an 18-member committee which provides advice, guidance, recommendations and technical assistance to NLACRC's Board of Trustees to assist the board in carrying out its mandated duties. The VAC designates one of its members to serve as chairperson of the committee who also serves as a member of the NLACRC Board of Trustees.

The Nominating Committee of the Board of Trustees will develop a slate of nominees for the VAC that will be presented to the board. The committee is seeking applicants at this time. **We are in particular need of vendors who provide services in any of the following areas:**

- **Community care facility**
- **Health licensed facility**
- **Early intervention**
- **Habilitation**
- **Day care/After school/Saturday programs**
- **Mobility training**

In order to serve as a member of the VAC, an individual must represent a category of providers from whom NLACRC purchases services (vendors) or be a board member or employee of a provider. Members are selected based upon their individual credentials and expertise. VAC members may be elected to serve up to 6 years. The committee meets at 9:30 a.m. on the first Thursday of each month at the regional center's main office in Chatsworth.

If a member of your board or staff is interested in serving on the VAC, please contact Board Support at boardsupport@nlacrc.org for an application.

The deadline for application submission is December 15th. Thank you!



North Los Angeles County Regional Center

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NOTICE TO CONSUMERS, FAMILY MEMBERS and COMMUNITY MEMBERS

Call for Applications for NLACRC's Board of Trustees

North Los Angeles County Regional Center (NLACRC) continuously strives to identify qualified and interested persons as potential members of the Board of Trustees. To assure that all consumer needs are considered, the Nominating Committee is seeking your assistance at this time in recruiting nominees.

The Nominating Committee will first consider current special needs of the board to assure balanced representation and seek the names of appropriate nominees from board members, groups representing persons with developmental disabilities, and the general community. **Our board is currently seeking consumers, family members, or community members, particularly individuals who meet one of the following criteria:**

- **Hispanic/Latino, Asian, or White**
- **Santa Clarita or Antelope Valley resident**
- **Family member of a consumer in the Early Start program**
- **Legal, financial and/or board governance experience**

Please note that NLACRC service providers are unable to serve on the board as it would constitute a conflict of interest. Board members must reside, work, or have a family member who receives services within the Regional Center's catchment area (San Fernando, Santa Clarita, or Antelope Valley). Anyone interested in applying for membership will be provided with an application packet. After receiving completed documents from an applicant, the Nominating Committee will interview the applicants and submit a proposed slate of names to the full Board of Trustees for their approval. Please contact Board Support at boardsupport@nlacrc.org for additional information or for an application packet.

The deadline for application submission is December 15th.

Thank you!

Supporting people with developmental disabilities in the San Fernando, Santa Clarita, and Antelope Valleys since 1974.



North Los Angeles County Regional Center

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AVISO A LOS CONSUMIDORES, MIEMBROS DE FAMILIA Y MIEMBROS DE LA COMUNIDAD

Convocatoria de Candidaturas para La Junta Directiva del NLACRC

El Centro Regional del Norte del Condado de Los Ángeles (NLACRC) se esfuerza continuamente por identificar a las personas calificadas e interesadas como posibles miembros de la Junta Directiva. Para garantizar que se consideren todas las necesidades de los consumidores, el Comité de Nominación está solicitando su asistencia en este momento para la búsqueda de candidatos.

El Comité de Nominación primero considerará las necesidades especiales actuales de la junta para asegurar una representación equilibrada y solicita los nombres de los candidatos apropiados para miembros de la junta, grupos que representan a las personas con discapacidades del desarrollo y la comunidad en general. **Nuestra junta actualmente está buscando candidatos que sean consumidores, miembros de familia o miembros de la comunidad, particularmente personas que cumplan con uno de los siguientes criterios:**

- **Hispano/Latino, Asiático y Blanco**
- **Residentes del Valle de Santa Clarita o Antílope**
- **Miembro de familia de un consumidor del programa de Early Start (Edad Temprana)**
- **Experiencia en gestiones legales, financieros y/o como miembro de una junta directiva.**

Tenga en cuenta que los proveedores de servicios de NLACRC no pueden servir en la junta ya que constituye un conflicto de intereses. Los miembros de la junta deben residir, trabajar o tener un familiar que reciba servicios dentro del área de servicios del Centro Regional (Valle de San Fernando, Santa Clarita o Antílope). Toda persona interesada en aplicar para ser miembro de la junta recibirá un paquete de documentos de candidatura. Después de recibir todos los documentos de un solicitante debidamente completados, el Comité de Nominaciones entrevistará a los postulantes y presentará una lista propuesta de nombres a la Junta Directiva para su aprobación. Para obtener más información o para obtener un paquete de documentos de candidatura, por favor comuníquese con el servicio de soporte de la junta a través de correo electrónico boardsupport@nlacrc.org.

La fecha límite para presentar los documentos de candidatura es el 15 de diciembre.

¡Gracias!

POST RETIREMENT MEDICAL TRUST
Market Value History
September 30, 2004 through September 30, 2021

(A) Quarter Ended	(B) Market Value (Note A)	(C) Contributions	(D) Fees Payment Reimbursement	(E) Cumulative Contributions	(F) Net Change (B) - (E)	(G) Obligation at the end of year	(H) Service Costs and Actuarial Loss (Note B)	(I) Net Benefit Obligation (G) - (B) - (H)
9/30/2021	32,220,586.00	14,981,112.01	805,898.49	15,787,010.50	16,433,575.50			
6/30/2021	32,476,061.17	14,981,112.01	805,898.49	15,787,010.50	16,689,050.67	Pending		Pending
3/31/2021	30,881,909.86	14,932,280.06	740,256.33	15,672,536.39	15,209,373.47			
12/31/2020	29,864,190.06	14,932,280.06	706,197.16	15,638,477.22	14,225,712.84			
9/30/2020	27,184,546.51	14,932,280.06	672,813.12	15,605,093.18	11,579,453.33			
6/30/2020	25,025,730.08	14,932,280.06	643,117.31	15,575,397.37	9,450,332.71	63,387,477.00		38,361,747
3/31/2020	23,151,937.09	14,932,280.06	616,377.25	15,548,657.31	7,603,279.78			
12/31/2019	26,991,192.48	14,932,280.06	586,092.54	15,518,372.60	11,472,819.88			
9/30/2019	25,659,877.53	14,932,280.06	556,083.05	15,488,363.11	10,171,514.42			
6/30/2019	25,407,770.64	14,932,280.06	526,665.37	15,458,945.43	9,948,825.21	52,454,828.00		27,047,057
3/31/2019	24,681,251.82	14,932,280.06	498,041.92	15,430,321.98	9,250,929.84			
12/31/2018	22,750,076.18	14,932,280.06	471,519.69	15,403,799.75	7,346,276.43			
9/30/2018	24,754,120.10	14,932,280.06	442,868.28	15,375,148.34	9,378,971.76			
6/30/2018	24,047,856.89	14,932,280.06	415,236.62	15,347,516.68	8,700,340.21	46,426,713.00		22,378,856
3/31/2018	23,756,424.36	14,932,280.06	387,859.78	15,320,139.84	8,436,284.52			
12/31/2017	23,928,098.35	14,932,280.06	360,494.56	15,292,774.62	8,635,323.73			
9/30/2017	23,165,331.53	14,932,280.06	333,868.65	15,266,148.71	7,899,182.82			
6/30/2017	22,504,425.55	14,932,280.06	307,889.66	15,240,169.72	7,264,255.83	45,760,110		23,255,684
3/31/2017	22,063,191.18	14,932,280.06	282,344.87	15,214,624.93	6,848,566.25			

POST RETIREMENT MEDICAL TRUST
Market Value History
September 30, 2004 through September 30, 2021

(A) Quarter Ended	(B) Market Value (Note A)	(C) Contributions	(D) Fees Payment Reimbursement	(E) Cumulative Contributions	(F) Net Change (B) - (E)	(G) Obligation at the end of year	(H) Service Costs and Actuarial Loss (Note B)	(I) Net Benefit Obligation (G) - (B) - (H)
12/31/2016	20,217,597.26	14,609,319.00	258,395.69	14,867,714.69	5,349,882.57			
9/30/2016	19,958,834.42	13,785,174.00	234,650.27	14,019,824.27	5,939,010.15			
6/30/2016	19,384,955.41	13,785,174.00	211,620.21	13,996,794.21	5,388,161.20	49,459,087		30,074,132
3/31/2016	18,957,650.17	13,785,174.00	189,109.82	13,974,283.82	4,983,366.35			
12/31/2015	18,601,206.79	13,706,179.00	167,060.70	13,873,239.70	4,727,967.09			
9/30/2015	18,107,160.01	13,706,179.00	145,439.46	13,851,618.46	4,255,541.55			
6/30/2015	19,018,017.51	13,706,179.00	145,439.46	13,851,618.46	5,166,399.05	47,370,818		28,352,800
3/31/2015	19,149,903.03	13,690,179.00	145,439.46	13,835,618.46	5,314,284.57			
12/31/2014	18,469,996.94	13,390,179.00	145,439.46	13,535,618.46	4,934,378.48			
9/30/2014	17,993,607.38	13,390,179.00	145,439.46	13,535,618.46	4,457,988.92			
6/30/2014	17,798,665.12	12,990,179.00	145,439.46	13,135,618.46	4,663,046.66	40,265,597		22,466,932
3/31/2014	17,166,361.87	12,874,279.00	145,439.46	13,019,718.46	4,146,643.41			
12/31/2013	14,136,856.25	11,074,279.00	145,439.46	11,219,718.46	2,917,137.79			
9/30/2013	14,040,952.16	10,674,279.00	145,439.46	10,819,718.46	3,221,233.70			
6/30/2013	12,786,869.51	9,974,279.00	145,439.46	10,119,718.46	2,667,151.05	36,533,551		23,746,681
3/31/2013	12,832,688.19	9,960,179.00	145,439.46	10,105,618.46	2,727,069.73			
12/31/2012	11,153,372.04	8,865,179.00	145,439.46	9,010,618.46	2,142,753.58			
9/30/2012	10,994,759.59	8,865,179.00	145,439.46	9,010,618.46	1,984,141.13			
6/30/2012	10,522,360.20	8,815,179.00	145,439.46	8,960,618.46	1,561,741.74	36,001,927		25,479,567
3/31/2012	8,460,566.40	7,607,902.00	145,439.46	7,753,341.46	707,224.94			

POST RETIREMENT MEDICAL TRUST
Market Value History
September 30, 2004 through September 30, 2021

(A) Quarter Ended	(B) Market Value (Note A)	(C) Contributions	(D) Fees Payment Reimbursement	(E) Cumulative Contributions	(F) Net Change (B) - (E)	(G) Obligation at the end of year	(H) Service Costs and Actuarial Loss (Note B)	(I) Net Benefit Obligation (G) - (B) - (H)
12/31/2011	8,799,393.99	7,607,902.00	133,293.27	7,741,195.27	1,058,198.72			
9/30/2011	8,227,259.01	7,607,902.00	121,468.71	7,729,370.71	497,888.30			
6/30/2011	8,977,454.65	7,412,902.00	110,883.94	7,523,785.94	1,453,668.71	25,436,279		16,458,824
3/31/2011	7,302,925.50	5,777,902.00	99,559.75	5,877,461.75	1,425,463.75			
12/31/2010	7,009,509.24	5,777,902.00	89,252.74	5,867,154.74	1,142,354.50			
9/30/2010	6,564,685.61	5,777,902.00	79,720.77	5,857,622.77	707,062.84			
6/30/2010	6,057,022.65	5,777,902.00	70,765.15	5,848,667.15	208,355.50	25,087,477		19,030,454
3/31/2010	5,431,358.92	4,776,902.00	62,669.13	4,839,571.13	591,787.79			
12/31/2009	5,231,806.16	4,776,902.00	55,055.57	4,831,957.57	399,848.59			
9/30/2009	4,361,731.52	4,049,487.00	51,322.62	4,100,809.62	260,921.90			
6/30/2009	3,927,928.50	4,049,487.00	47,826.75	4,097,313.75	(169,385.25)	24,497,711		20,569,783
3/31/2009	3,540,603.35	4,049,487.00	44,662.79	4,094,149.79	(553,546.44)			
12/31/2008	3,075,682.95	3,360,000.00	41,492.49	3,401,492.49	(325,809.54)			
9/30/2008	3,498,140.33	3,360,000.00	38,639.65	3,398,639.65	99,500.68			
6/30/2008	3,723,104.42	3,360,000.00	35,500.58	3,395,500.58	327,603.84	23,999,545		20,276,441
3/31/2008	3,783,960.42	3,360,000.00	32,714.03	3,392,714.03	391,246.39			
12/31/2007	3,970,244.92	3,360,000.00	29,947.05	3,389,947.05	580,297.87			
9/30/2007	4,051,900.78	3,360,000.00	26,861.93	3,386,861.93	665,038.85			
6/30/2007	3,186,671.22	2,560,000.00	23,660.98	2,583,660.98	603,010.24	23,046,848		19,860,177
3/31/2007	3,070,638.39	2,560,000.00	21,192.64	2,581,192.64	489,445.75			
12/31/2006	3,021,148.74	2,560,000.00	18,782.32	2,578,782.32	442,366.42			
9/30/2006	2,855,589.76	2,560,000.00	15,656.75	2,575,656.75	279,933.01			

POST RETIREMENT MEDICAL TRUST
Market Value History
September 30, 2004 through September 30, 2021

(A) Quarter Ended	(B) Market Value (Note A)	(C) Contributions	(D) Fees Payment Reimbursement	(E) Cumulative Contributions	(F) Net Change (B) - (E)	(G) Obligation at the end of year	(H) Service Costs and Actuarial Loss (Note B)	(I) Net Benefit Obligation (G) - (B) - (H)
6/30/2006	1,956,711.04	1,750,000.00	12,928.95	1,762,928.95	193,782.09	20,443,657	11,569,936	6,917,010
3/31/2006	1,968,644.95	1,750,000.00	11,025.59	1,761,025.59	207,619.36			
12/31/2005	1,871,742.20	1,750,000.00	9,116.27	1,759,116.27	112,625.93			
9/30/2005	1,847,106.17	1,750,000.00	7,255.40	1,757,255.40	89,850.77			
6/30/2005	1,055,849.57	1,000,000.00	5,156.85	1,005,156.85	50,692.72	12,356,248	5,137,013	6,163,385
3/31/2005	1,034,705.70	1,000,000.00	3,753.92	1,003,753.92	30,951.78			
12/31/2004	745,659.50	700,000.00	2,186.51	702,186.51	43,472.99			
9/30/2004	700,555.89	700,000.00	779.43	700,779.43	(223.54)			
6/30/2004	-	-	-	-	-	11,878,805	6,266,747	5,612,058

Note A: Market Value is based on US Bank's quarterly "Periodic Cash-Basis Statement".

Note B: In accordance with SFAS No. 158, Employers' Accounting for Defined Benefit Pension and Other Post-Retirement Plans, adopted in 2007, all previously unrecognized actuarial gains or losses are reflected in the statement of financial position. The plan items not yet recognized as a component of periodic plan expenses, were included as a separate charge to net assets at June 30, 2007.

	<u>2006</u>	<u>2005</u>	<u>2004</u>
Prior service cost	\$ 4,621,293.00	\$ 4,951,386.00	\$ 5,281,479.00
Actuarial loss	\$ 6,948,643.00	\$ 185,627.00	\$ 985,268.00
	\$ 11,569,936.00	\$ 5,137,013.00	\$ 6,266,747.00

**Post Retirement Medical Trust
Contributions (04309)**

September 30, 2004 through September 30, 2021

Check Date	Fiscal Year	Check Number	Check Amount	Cumulative Contributions
6/23/2021	FY2019	3034208	48,831.95	14,981,112.01
2/16/2017	FY2015	3026187	322,961.06	14,932,280.06
1/19/2017	FY2015	1067451	824,145.00	14,609,319.00
3/16/2016	FY2014	3024408	78,995.00	13,785,174.00
5/19/2015	FY2013	3022789	16,000.00	13,706,179.00
3/16/2015	FY2013	3022449	300,000.00	13,690,179.00
9/10/2014	FY2013	3021556	400,000.00	13,390,179.00
3/4/2014	FY2013	3020586	500,000.00	12,990,179.00
1/15/2014	FY2013	3020303	1,000,000.00	12,490,179.00
9/16/2013	FY2013	1067412	700,000.00	11,490,179.00
5/20/2014	FY2012	1067422	40,900.00	10,790,179.00
4/9/2014	FY2012	3020781	75,000.00	10,749,279.00
3/4/2014	FY2012	3020588	100,000.00	10,674,279.00
1/15/2014	FY2012	3020306	200,000.00	10,574,279.00
10/7/2013	FY2012	3019802	400,000.00	10,374,279.00
5/8/2013	FY2012	3019121	14,100.00	9,974,279.00
2/20/2013	FY2012	3018720	1,000,000.00	9,960,179.00
2/20/2013	FY2011	3018731	95,000.00	8,960,179.00
9/5/2012	FY2011	3017918	50,000.00	8,865,179.00
4/4/2012	FY2011	3017189	1,207,277.00	8,815,179.00
9/16/2011	FY2010	1067369	195,000.00	7,607,902.00
6/13/2011	FY2010	3015898	635,000.00	7,412,902.00
3/30/2011	FY2010	3015580	1,000,000.00	6,777,902.00
5/19/2010	FY2009	3014212	1,001,000.00	5,777,902.00
9/30/2009	FY2008	3013153	727,415.00	4,776,902.00
1/14/2009	FY2007	3011887	689,487.00	4,049,487.00
6/27/2007	FY2006	3008828	800,000.00	3,360,000.00
7/12/2006	FY2005	3007036	810,000.00	2,560,000.00
6/30/2005	FY2004	1067175	750,000.00	1,750,000.00
12/21/2004	FY2003	3004402	300,000.00	1,000,000.00
6/30/2004	FY2002	1067149	700,000.00	700,000.00
Total			14,981,112.01	14,981,112.01

Post Retirement Medical Trust (04309)

Contributions for Fees

September 30, 2004 through September 30, 2021

A	B	C
Service "Fee" Period	Check Amount	Cumulative Contributions
		805,898.49
07/1/21-09/30/21	-	805,898.49
04/1/21-06/30/21	34,867.82	805,898.49
01/1/21-03/31/21	34,059.17	771,030.67
10/1/20-12/31/20	30,774.34	736,971.50
07/1/20-09/30/20	33,384.04	706,197.16
04/1/20-06/30/20	29,695.81	672,813.12
01/1/20-03/31/20	26,740.06	643,117.31
10/1/19-12/31/19	30,284.71	616,377.25
07/1/19-09/30/19	30,009.49	586,092.54
04/1/19-06/30/19	29,417.68	556,083.05
01/1/19-03/31/19	28,623.45	526,665.37
10/1/18-12/31/18	26,522.23	498,041.92
07/1/18-09/30/18	28,651.41	471,519.69
04/1/18-06/30/18	27,631.66	442,868.28
01/1/18-03/31/18	27,376.84	415,236.62
10/1/17-12/31/17	27,365.22	387,859.78
07/1/17-09/30/17	26,625.91	360,494.56
04/1/17-06/30/17	25,978.99	333,868.65
01/1/17-03/31/17	25,544.79	307,889.66
10/1/16-12/31/16	23,949.18	282,344.87
7/1/16-09/30/16	23,745.42	258,395.69
4/1/16-06/30/16	23,030.06	234,650.27
1/1/16-03/31/16	22,510.39	211,620.21
10/1/15-12/31/15	22,049.12	189,109.82
7/01/15-9/30/15	21,621.24	167,060.70
1/1/12-3/31/12	12,146.19	145,439.46
10/1/11-12/31/11	11,824.56	133,293.27
7/1/11-9/30/11	10,584.77	121,468.71
4/1/11-6/30/11	11,324.19	110,883.94
1/1/11-3/31/11	10,307.01	99,559.75
10/1/10-12/31/10	9,531.96	89,252.74
7/1/10-9/30/10	8,955.62	79,720.78
4/1/10-6/30/10	8,096.02	70,765.16
1/1/10-3/31/10	7,613.56	62,669.14

Post Retirement Medical Trust (04309)

Contributions for Fees

September 30, 2004 through September 30, 2021

A	B	C
Service "Fee" Period	Check Amount	Cumulative Contributions
10/1/09-12/31/09	3,732.95	55,055.58
7/1/09-9/30/09	3,495.87	51,322.63
4/1/09-6/30/09	3,163.96	47,826.76
1/1/09-3/31/09	3,170.30	44,662.80
10/1/08-12/31/08	2,852.84	41,492.50
7/1/08-9/30/08	3,139.07	38,639.66
4/1/08-6/30/08	2,786.55	35,500.59
1/1/08-3/31/08	2,766.98	32,714.03
10/1/07-12/31/07	3,085.12	29,947.05
7/1/07-9/30/07	3,200.95	26,861.93
4/1/07-6/30/07	2,468.34	23,660.98
1/1/07-3/31/07	2,410.32	21,192.64
10/1/06-12/31/06	3,125.57	18,782.32
7/1/06-9/30/06	2,727.80	15,656.75
4/1/06-6/30/06	1,903.36	12,928.95
1/1/06-3/31/06	1,909.32	11,025.59
10/1/05-12/31/05	1,860.87	9,116.27
7/1/05-9/30/05	2,098.55	7,255.40
4/1/05-6/30/05	1,402.93	5,156.85
1/1/05-3/31/05	1,567.41	3,753.92
10/1/04-12/31/04	1,407.08	2,186.51
7/1/04-9/30/04	779.43	779.43
Total Fee Payments	805,898.49	805,898.49

**NLACRC CalPERS Unfunded Accrued Liability ("UAL") Contribution Trust
Market Value History
January 1, 2020 through September 30, 2021**

(A) Quarter Ended	(B) Market Value	(C) Cumulative Contributions	(D) Cumulative Reimbursement Of Bank Fees	(E) One-Time Disbursements	(F) Cumulative Contributions & Disbursements (C thru E)	(G) Net Market Change (B) - (F)	(H) Obligation at the end of year	(I) Net Benefit Obligation (H) - (G)
9/30/2021	\$4,389,013.29	\$3,687,555.00	\$10,580.79	(\$252,368.00)	\$3,445,767.79	\$943,245.50		
6/30/2021	\$4,477,131.81	\$3,687,555.00	\$10,580.79	\$0.00	\$3,698,135.79	\$778,996.02	Pending	Pending
3/31/2021	\$4,477,131.81	\$3,687,555.00	\$10,580.79	\$0.00	\$3,698,135.79	\$778,996.02		
12/31/2020	\$3,656,063.91	\$3,687,555.00	\$7,027.43	\$0.00	\$3,694,582.43	(\$38,518.52)		
9/30/2020	\$3,449,520.59	\$3,687,555.00	\$4,324.47	(\$338,855.00)	\$3,353,024.47	\$96,496.12		
6/30/2020	\$3,366,323.84	\$3,348,700.00	\$1,714.17	\$0.00	\$3,350,414.17	\$15,909.67	\$10,021,434.00	\$6,671,019.83
3/31/2020	\$3,348,700.00	\$3,348,700.00	\$0.00	\$0.00	\$3,348,700.00	\$0.00		

**NLACRC CalPERS Unfunded Accrued Liability ("UAL") Contribution Trust
Contributions**

January 1, 2020 through September 30, 2021

A Check Date	B Fiscal Year	C Check Number	D Check Amount	E Cumulative Contributions
	FY2021			3,687,555.00
7/29/2020	FY2020	3032836	338,855.00	3,687,555.00
1/16/2020	FY2018	3031968	3,348,700.00	3,348,700.00
Total			3,687,555.00	3,687,555.00

**NLACRC CalPERS Unfunded Accrued Liability ("UAL") Contribution Trust
Disbursements to CalPERS
January 1, 2020 through September 30, 2021**

A NLACRC Check Date	B Fiscal Year	C Payment Amount	D Cumulative Disbursements
7/28/2021	FY2021-2022	(252,368.00)	(252,368.00)
7/29/2020	FY2020-2021	(338,855.00)	(338,855.00)
Total		(591,223.00)	(591,223.00)

**NLACRC CalPERS Unfunded Accrued Liability ("UAL")
Contributions for the Reimbursement of Bank Fees
January 1, 2020 through September 30, 2021**

A	C	D
Service "Fee" Period	Check Amount	Cumulative Contributions
07/01/2021-09/30/2021		\$10,580.79
04/01/2021-06/30/2021		\$10,580.79
01/01/2021-03/31/2021	\$3,553.36	\$10,580.79
10/01/2020-12/31/2020	\$2,702.96	\$7,027.43
07/01/2020-09/30/2020	\$2,609.70	\$4,324.47
04/01/2020-06/30/2020	\$1,714.77	\$1,714.77
01/01/2020-03/31/2020	\$0.00	\$0.00
Total Contributions for Fees	\$10,580.79	\$10,580.79