



EXECUTIVE COMMITTEE NOTICE/AGENDA

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THE PUBLIC MAY LISTEN IN BY CALLING:	1-800-839-9416
PARTICIPANT CODE:	2982825

DATE: Tuesday, September 20, 2016

TIME: 10:00 a.m. – 2:00 p.m.

LOCATION: DoubleTree by Hilton
2001 Point West Way
Sacramento, CA 95815

Pursuant to Government code Sections 11123.1 and 11125(f), individuals with disabilities who require accessible alternative formats of the agenda and related meeting materials and/or auxiliary aids/services to participate in this meeting should contact (916) 322-8481. Requests must be received by 5:00 pm on Sept 15, 2016

AGENDA

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|---------------------------------|---------|-------------|
| 1. CALL TO ORDER | N. Yang | |
| 2. ESTABLISH QUORUM | N. Yang | |
| 3. WELCOME/INTRODUCTIONS | N. Yang | |
| 4. PUBLIC COMMENTS | | |
- This item is for members of the public only to provide comments and/or present information to the Council on matters **not** on the agenda. Each person will be afforded up to three minutes to speak. Written requests, if any, will be considered first.*

5.	REGIONAL CENTER CONFLICT OF INTEREST WAIVER REQUESTS AND INTERIM PROCESS	N. Bocanegra	3
	Far Northern Regional Center Boardmembers		
	<ul style="list-style-type: none">• William Battles• Adam Beals• Jennifer Bowman• Ronda Dever• Roger Hatton• Susan Hess• Michelle Phillips• Colleen Ryberg		6 - 14
	Conflict of Interest Reporting Statements & Resolution Plans		15 - 86
6.	CLOSED SESSION – PERSONNEL	Bocanegra/Lopez	
	<i>Pursuant to Government Code 11126 (a)(1), the Council will have a closed session to consider the evaluation of performance of a public employee.</i>		
7.	RECONVENE OPEN SESSION	Bocanegra/Lopez	
	<i>Pursuant to Government Code Section 11126.3 (f), there will be an announcement of any action(s) taken during closed session.</i>		
8.	ADJOURNMENT	N. Yang	

EXECUTIVE COMMITTEE AGENDA ITEM DETAIL SHEET

ISSUE: Far Northern Regional Center Conflict of Interest (COI) Waiver Requests

SUMMARY: Amendments to the Lanterman Act made by AB 1595 resulted in redefining the Area Boards into Regional Advisory Committees, changing their appointment authority and scope. Under an interim process, the State Council on Developmental Disabilities (Council) is presented with recommendations on conflict of interest resolution plans submitted by eight (8) members of the governing board of the Far Northern Regional Center (FNRC).

BACKGROUND: The Lanterman Act requires regional centers to submit conflict of interest statements and proposed resolution plans to the Department of Developmental Services (DDS) and the Council. (W&I Code 4626(l).) Under the Act, as amended by AB 1595, the Director of DDS may waive conflict of interest requirements of a contracting agency (i.e., a regional center) with approval of the State Council. (See W&I Code 4628.) Current DDS regulations address action by an Area Board in addition to action by the Council. The regulations also extend the Council's role to matters involving regional center employees and others. SCDD staff has previously identified a need to appropriately address these issues.

The Council is currently being presented with information reviewed under the existing SCDD criteria and interim process approved by the Council. This interim approach provides for staff analysis of regional center conflict of interest issues.

FACTS: The catchment area of FNRC is predominantly rural, and it is difficult to recruit qualified members for the board. FNRC has a public member recruitment and appointment process which is subject to public review and engagement. FNRC recruits prospective board members by advertising their recruitment efforts within the agency, with their community partners, and using public forums, websites, and e-blast notifications. Where there are County Coordinating Councils, the Councils make recommendation to the County Board of Supervisors who make the actual appointment. Where there are counties without a county Coordinating

Council, final appointments are decided by the membership committee of the FNRC Board of Directors.

See attached pages for facts on each of the following FNRC Board Members:

- **William Battles**
- **Adam Beals**
- **Jennifer Bowman**
- **Ronda Dever**
- **Roger Hatton**
- **Susan Hess**
- **Michelle Phillips**
- **Colleen Ryberg**

LAW: DDS Regulation 54520 provides, in part, that a conflict of interest exists when the board member, or a family member of a regional center board member, holds any of the below positions for a provider:

- (1) a governing board member;
 - (2) a board committee member;
 - (3) a director;
 - (4) an officer;
 - (5) an owner;
 - (6) a partner;
 - (7) a shareholder;
 - (8) a trustee;
 - (9) an agent;
 - (10) an employee;
 - (11) a contractor;
 - (12) a consultant;
 - (13) a person who holds any position of management; or
 - (14) a person who has decision or policy making authority.
- (See 17 Cal. Code § 54520(a).)

However, Welfare and Institutions Code Section 4626(c) contains an exception for certain consumers who work for an employment services provider. This section provides:

A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a

regional center based solely upon receipt of these employment services.
(W&I Code Section 4626(c).)

Welfare and Institutions Code Section 4622(i) requires a regional center board to appoint an advisory committee made up of various categories of regional center providers. Under this section, one advisory committee member is required to serve on the regional center board.

However, in addition to the requirements of Regulation 54520, Welfare and Institutions Code Section 4622(k) says that member of a board who is also an employee of a regional center provider shall not:

- (1) Serve as an officer of the board;
- (2) Vote on any fiscal matter affecting the purchase of services from any regional center provider;
- (3) Vote on any issue in which the member has a financial interest under Government Code Section 87103 and determined by the regional center board.

STAFF RECOMMENDATION(S): See attached pages for recommendations on each FNRC Board Member.

COUNCIL STRATEGIC PLAN OBJECTIVE: None

PRIOR COUNCIL ACTIVITY: See attached pages for prior Council activity.

ATTACHMENT: COI reporting statements and resolution plans submitted by: William Battles, Adam Beals, Jennifer Bowman, Ronda Dever, Roger Hatton, Susan Hess, Michelle Phillips, and Colleen Ryberg.

PREPARED BY: Legal Counsel Natalie Bocanegra, September 7, 2016.

FNRC BOARDMEMBER	FACTS
William Battles	<ul style="list-style-type: none"> • Consumer representative • Works 16 hours per week as a public speaker for provider We Care A Lot • not previously granted a conflict of interest waiver
Adam Beals	<ul style="list-style-type: none"> • Consumer representative • Works 12 hours per week for provider Siskiyou County Opportunity Center • Works 12 hours per week for provider Yreka Community Endeavors • Not previously granted a conflict of interest waiver
Jennifer Bowman	<ul style="list-style-type: none"> • Appointed to the board under W&I Code Section 4622(i) to represent providers • Employed by provider COMPASS, LLC. • Not previously granted a conflict of interest waiver.
Ronda Dever	<ul style="list-style-type: none"> • Ms. Dever's mother is a respite worker for Ms. Dever's autistic son and works for ARC of Butte County (ARC) • Mother does not live with Ms. Dever nor does Ms. Dever receive any financial benefit from her mother. • Not previously granted a conflict of interest waiver.
Roger Hatton	<ul style="list-style-type: none"> • Consumer representative • Works part-time in the food pantry and the gym for provider Individual Personal Supports • Not previously been granted a conflict of interest waiver.
Susan Hess	<ul style="list-style-type: none"> • Consumer representative • works approximately 4 hours per week at provider Little Red Hen • Ms. Hess' husband also works about 4 hours per week at Little Red Hen. • Previously granted waivers in 2013 and 2014.
Michelle Phillips	<ul style="list-style-type: none"> • Consumer representative • Works as a Life Guide and Peer Instructor approximately 15 – 17 hours per week for provider We Care A Lot • Ms. Phillips' sister works as a Program Manager for provider Parent Infant Program • Previously granted a waivers in 2012, 2013, and 2014
Colleen Ryberg	<ul style="list-style-type: none"> • Ms. Ryberg's daughter-in-law is a provider of occupational therapy services to regional center consumers • Daughter-in-law does not live with Ms. Ryberg, and Ms. Ryberg does not receive any financial benefit from her daughter-in-law's employment. • Previously granted conflict of interest waivers by the Council in 2013, 2014, and 2015

FNRC Board Member
William Battles

FACTS (Battles): William Battles is a member of the governing board of the Far Northern Regional Center (FNRC) as a consumer representative of People First. Mr. Battles is a regional center consumer who works 16 hours per week as a public speaker for We Care A Lot, a regional center provider of employment services.

Mr. Battles has not previously been granted a conflict of interest waiver.

DISCUSSION (Battles): With regard to his employment with We Care A Lot, Mr. Battles identifies a conflict of interest under Regulation 54520(a)(10). Therefore, he submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

Since Mr. Battles is an employee of an FNRC provider, his conflict resolution plan must follow the rules of W&I Section 4622(k).

After reviewing the submitted proposal and assuming that Mr. Battles does not serve as an officer of the FNRC board, the staff recommendation is to approve Mr. Battles' waiver request since Section 4626(c) permits him to serve, FNRC engages in the public board member recruitment process, and his proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Battles): Assuming that Mr. Battles complies with Section 4622(k) requirements, the staff recommendation is to approve Mr. Battles' waiver request.

FNRC Board Member
Adam Beals

FACTS (Beals): Adam Beals serves as the consumer representative on the governing board of the Far Northern Regional Center (FNRC). Mr. Beals works 12 hours per week for Siskiyou County Opportunity Center (SCOC) and 12 hours per week for Yreka Community Endeavors (YCE), both regional center providers of employment services.

Mr. Beals has not previously been granted a conflict of interest waiver.

DISCUSSION (Beals): With regard to his employment with SCOC and YCE, Mr. Beals identifies a conflict of interest under Regulation 54520(a)(10). Therefore, he submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

Since Mr. Beals is an employee of an FNRC provider, his conflict resolution plan must follow the rules of W&I Section 4622(k).

After reviewing the submitted proposal and assuming that Mr. Beals does not serve as an officer of the FNRC board, the staff recommendation is to approve Mr. Beals' waiver request since Section 4626(c) permits him to serve, FNRC engages in the public board member recruitment process, and his proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Beals): Assuming that Mr. Beals complies with Section 4622(k) requirements, the staff recommendation is to approve Mr. Beals' waiver request.

FNRC Board Member
Jennifer Bowman

FACTS (Bowman): Jennifer Bowman is a member of the governing board of the Far Northern Regional Center (FNRC). She was appointed to the board under W&I Code Section 4622(i) as the representative of the board's advisory committee made up of providers. Ms. Bowman is employed by regional center provider COMPASS, LLC.

Mr. Bowman has not previously been granted a conflict of interest waiver.

DISCUSSION (Bowman): With regard to her employment with COMPASS, LLC, Ms. Bowman identifies a conflict of interest under Regulation 54520(a)(10). Therefore, she submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

Since Ms. Bowman is an employee of an FNRC provider, her conflict resolution plan must follow the rules of W&I Section 4622(k).

After reviewing the submitted proposal and assuming that Ms. Bowman does not serve as an officer of the FNRC board, the staff recommendation is to approve Ms. Bowman's waiver request since she was appointed under W&I Code Section 4622(i) to represent the regional center provider advisory committee, FNRC engages in the public board member recruitment process, and the proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Bowman): Assuming that Ms. Bowman complies with Section 4622(k) requirements, the staff recommendation is to approve Ms. Bowman's waiver request.

FNRC Board Member
Ronda Dever

FACTS (Dever): Ronda Dever is a member of the governing board of the Far Northern Regional Center (FNRC). Ms. Dever's mother is a respite worker for Ms. Dever's autistic son and works for ARC of Butte County (ARC). Ms. Dever's mother does not live with Ms. Dever nor does Ms. Dever receive any financial benefit from her mother.

Ms. Dever has not previously been granted a conflict of interest waiver.

DISCUSSION (Dever): With regard to her mother's employment with ARC, Ms. Dever identifies a conflict of interest under Regulation 54520(a)(10). Therefore, she submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

After reviewing the submitted proposal, the staff recommendation is to approve Ms. Dever's waiver request since she receives no financial benefit from her mother, FNRC engages in the public board member recruitment process, described above, and the proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Dever): The staff recommendation is to approve Ms. Dever's waiver request.

FNRC Board Member
Roger Hatton

FACTS (Hatton): Roger Hatton serves on the governing board of the Far Northern Regional Center (FNRC) as a consumer representative. Mr. Hatton works part-time in the food pantry and the gym for Individual Personal Supports (IPS), a regional center provider.

Mr. Hatton has not previously been granted a conflict of interest waiver.

DISCUSSION (Hatton): With regard to his employment with IPS, Mr. Hatton identifies a conflict of interest under Regulation 54520(a)(10). Therefore, he submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

Since Mr. Hatton is an employee of an FNRC provider, his conflict resolution plan must follow the rules of W&I Section 4622(k).

After reviewing the submitted proposal and assuming that Mr. Hatton does not serve as an officer of the FNRC board, the staff recommendation is to approve Mr. Hatton's waiver request since Section 4626(c) permits him to serve, FNRC engages in the public board member recruitment process, and his proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Hatton): Assuming that Mr. Hatton complies with Section 4622(k) requirements, the staff recommendation is to approve Mr. Hatton's waiver request.

FNRC Board Member
Susan Hess

FACTS (Hess): Susan Hess serves on the governing board of the Far Northern Regional Center (FNRC) as a consumer representative. Ms. Hess works approximately 4 hours per week at Little Red Hen, a regional center provider. Her husband also works about 4 hours per week at Little Red Hen.

Ms. Hess was previously granted conflict of interest waivers by the Council in 2013 and 2014.

DISCUSSION (Hess): With regard to her and her husband's employment with Little Red Hen, Ms. Hess identifies a conflict of interest under Regulation 54520(a)(10). Therefore, she submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

Since Ms. Hess is an employee of an FNRC provider, her conflict resolution plan must follow the rules of W&I Section 4622(k).

After reviewing the submitted proposal and assuming that Ms. Hess does not serve as an officer of the FNRC board, the staff recommendation is to approve Ms. Hess' waiver request since Section 4626(c) permits her to serve (and it is reasonable also to apply this rationale to her husband's employment), FNRC engages in the public board member recruitment process, and her proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Hess): Assuming that Ms. Hess complies with Section 4622(k) requirements, the staff recommendation is to approve Ms. Hess' waiver request.

FNRC Board Member
Michelle Phillips

FACTS (Phillips): Michelle Phillips serves on the governing board of the Far Northern Regional Center (FNRC) as a consumer representative. Ms. Phillips works as a Life Guide and Peer Instructor approximately 15 – 17 hours per week for We Care A Lot, a regional center provider. In addition, her sister works as a Program Manager for Parent Infant Program, also a FNRC-vendored service provider.

Ms. Phillips was previously granted a conflict of interest waiver by the Council in 2012, 2013, and 2014.

DISCUSSION (Phillips): With regard to her employment with We Care A Lot, Ms. Phillips identifies a conflict of interest under Regulation 54520(a)(10). In addition, her sister's employment also falls under this subsection and is a separate basis for a conflict of interest. Therefore, Ms. Phillips submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

Since Ms. Phillips is an employee of an FNRC provider, her conflict resolution plan must follow the rules of W&I Section 4622(k).

After reviewing the submitted proposal and assuming that Ms. Phillips does not serve as an officer of the FNRC board, the staff recommendation is to approve Ms. Phillips' waiver request since Section 4626(c) permits her to serve even though she works for a provider, FNRC engages in the public board member recruitment process, and the proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Phillips): Assuming that Ms. Phillips complies with Section 4622(k) requirements, the staff recommendation is to approve Ms. Phillips' waiver request.

FNRC Board Member
Colleen Ryberg

FACTS (Ryberg): Colleen Ryberg is a member of the governing board of the Far Northern Regional Center (FNRC). Ms. Ryberg's daughter-in-law is a provider of occupational therapy services to regional center consumers. Her daughter-in-law does not live with Ms. Ryberg, and Ms. Ryberg does not receive any financial benefit from her daughter-in-law's employment.

Ms. Ryberg was previously granted conflict of interest waivers by the Council in 2013, 2014, and 2015.

DISCUSSION (Ryberg): With regard to her daughter-in-law's provision of services to regional center consumers, Ms. Ryberg identifies a conflict of interest. Specifically, depending on the daughter-in-law's business, a conflict of interest may be identified under one of a number of regulatory sections including subsections (a)(5), (a)(10), (a)(11), or (a)(13) of Regulation 54520. Therefore, Ms. Ryberg submits a Conflict of Interest Resolution Plan for approval. (See attached plan.)

After reviewing the submitted proposal, the staff recommendation is to approve Ms. Ryberg's waiver request since she receives no financial benefit from her daughter-in-law, FNRC engages in the public board member recruitment process, and the proposed plan mitigates the opportunity for a resulting conflict of interest.

STAFF RECOMMENDATION (Ryberg): The staff recommendation is to approve Ms. Ryberg's waiver request.



Far Northern Regional Center

Providing services and supports which allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 30, 2016

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Acting Executive Director

Re: Conflict of Interest, FNCC Board Member, William Battles

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, William Battles:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,



Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
William Battles

www.farnorthernrc.org

MAIN OFFICE: P. O. Box 492418 Redding, CA 96019-2418 • 1900 Churn Creek Rd., Suite 319 Redding, CA 96002 • 9277-3510 • 222-0791 Fax: (530) 242-8903

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Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 24, 2016

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest –
FNCC Board Member William Battles

Dear Mr. Smith:

FNCC Board member William Battles has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* He is requesting a conflict waiver.

Mr. Battles serves on the Board of Directors as a consumer representative for People First. In his annual Conflict of Interest Reporting Statement for 2016-17, Mr. Battles disclosed that he works approximately 16 hours per week as a public speaker for We Care A Lot. We Care A Lot is a regional center provider of employment services.

Under Welfare and Institutions Code section 4626(c): "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services." Aside from his employment with We Care A Lot, Mr. Battles has not disclosed any other potential conflict.

As a FNCC Board member, Mr. Battles has not had the opportunity or authority to approve any contract with We Care A Lot. However, in light of the potential conflict of interest raised by his employment, he has prepared a plan to avoid or mitigate an actual conflict of interest. (See proposed conflict resolution plan, attached).

The Board Chairperson, with support from the remaining Board members, will be responsible for ensuring that the conditions stated in the plan are applied.

This letter, with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

www.farnorthernrc.org

REDDING MAIN OFFICE: P. O. Box 492410 Redding, CA 96049 2418 1900 Churn Creek Rd. Suite 319 Redding, CA 96002 0277 (530) 222-4291 Fax (530) 222-8908

CHICO OFFICE: 1377 East Lassen Ave. Chico, CA 95973 2824 (530) 895-8633 FAX (530) 332-1497

REGIONAL OFFICES in Lake Almanor and Mount Shasta

Allan Smith
June 24, 2016
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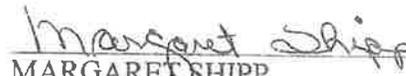
Please contact Executive Director Laura Larson if you have any questions concerning this matter.

Thank you for your assistance.

Sincerely,



LAURA L. LARSON
Executive Director



MARGARET SHIPP
Chairperson, FNCC Board of Directors

Encls: Conflict of Interest Reporting Statement – William Battles (6/24/16)
Proposed Conflict of Interest Resolution Plan – William Battles

cc: State Council on Developmental Disabilities
FNCC Executive Committee
William Battles

June 24, 2016

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member **William Battles**

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a consumer representative for People First.

I have completed my annual Conflict of Interest Reporting Statement for 2016-17, disclosing a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to ask for approval of a conflict waiver.

I work approximately 16 hours per week as a public speaker for We Care A Lot. We Care A Lot is regional center provider of employment services..

Welfare and Institutions Code section 4626(c) provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."

Aside from my employment with We Care A Lot, I do not have any other involvement that would present a possible conflict.

However, under the circumstances, there may be situations when a conflict of interest could come up. As a result, I have prepared a plan to avoid any actual conflict:

1. As a member of FNRC's Board of Directors I will not make any recommendation, participate in any discussion or vote on any contract regarding We Care A Lot;
2. Should these issues arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;

Proposed Conflict of Interest Resolution Plan – William Battles
June 24, 2016
Page 2

3. I will not access any files kept by FNRC relating to We Care A Lot;
4. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of plans, policies, analyses, or recommendations pertaining to We Care A Lot.

I believe that this plan will resolve or mitigate any potential conflict of interest.

Thank you for your assistance,

A handwritten signature in black ink that reads "William Battles". The signature is written in a cursive style with a large, sweeping initial "W".

WILLIAM BATTLES
Member, FNRC Board of Directors

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: William Bottles Regional Center: Far Northern

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.
Governing Board Member - Far Northern Regional Center

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.

This Board member is a consumer who is employed by a provider of employment services and falls within Welfare & Institutions Code section 4626(c), which provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services." - Continued to #3 below -

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.

I work approximately 16 hours per week for We Care A Lot as a public speaker.

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.

N/A

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.

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

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

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

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

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

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

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

<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, William Battles (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 William Battles Date 6/24/14

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

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

Signature of Designated Reviewer

Date Review Completed



Far Northern Regional Center

Providing services and supports which allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 30, 2016

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Acting Executive Director

Re: Conflict of Interest, FNCC Board Member, Adam Beals

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Adam Beals:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,



Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Adam Beals

www.farnorthernrc.org

MAIN OFFICE: P.O. Box 199418 Redding, CA 96019-1900 (Burn Creek Rd) Suite 319 Redding, CA 96002 0277-15301 272-4291 FAX 15301 222-8909

BRANCH OFFICE: 1377 East Lassen Ave Chico, CA 95973 7094 15301 895-8631 FAX 15301 895-1501

BRANCH OFFICE: 170 H Russell Avenue Susanville, CA 96130 4216 15301 257-5317 FAX 15301 257-3526

BRANCH OFFICE: 921 Chestnut St. Shasta, CA 96067 15301 926-6496 FAX 15301 926-6499



Laura Larson
Executive Director

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

June 24, 2016

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest –
FNCC Board Member Adam Beals

Dear Mr. Smith:

FNCC Board member Adam Beals has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* He is requesting a conflict waiver.

Mr. Beals serves on the Board of Directors as a consumer representative for Siskiyou County. In his annual Conflict of Interest Reporting Statement for 2016-17, he disclosed that he works for Siskiyou County Opportunity Center and Yreka Community Endeavors, both are regional center providers of employment services.

Under Welfare and Institutions Code section 4626(c): “A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services.” Aside from his employment with Siskiyou County Opportunity Center and Yreka Community Endeavors, Mr. Beals has not disclosed any other potential conflict.

As a FNCC Board member, Mr. Beals has not had the opportunity or authority to approve any contract with Siskiyou County Opportunity Center or Yreka Community Endeavors. However, in light of the potential conflict of interest raised by his employment, he has prepared a plan to avoid or mitigate an actual conflict of interest. (See proposed conflict resolution plan, attached).

The Board Chairperson, with support from the remaining Board members, will be responsible for ensuring that the conditions stated in the plan are applied.

This letter, with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

www.farnorthernrc.org

REDDING MAIN OFFICE P. O. Box 492418 Redding, CA, 96049 2418 1900 Churn Creek Rd. Suite 319 Redding, CA 96002 0277 (530) 222 4794 Fax (530) 222 8908

CHICO OFFICE 1377 East Lassen Ave. Chico, CA 95973 7828 (530) 895 8633 FAX (530) 332 1497

REGIONAL OFFICES in Lake Almanor and Mount Shasta

Allan Smith
June 24, 2016
Page 2

Please contact Executive Director Laura Larson if you have any questions concerning this matter.

Thank you for your assistance.

Sincerely,



LAURA L. LARSON
Executive Director



MARGARET SHIPP
Chairperson, FNCC Board of Directors

Encls: Conflict of Interest Reporting Statement – Adam Beals
Proposed Conflict of Interest Resolution Plan – Adam Beals

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Adam Beals

June 24, 2016

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan --
Board of Directors Member Adam Beals

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a consumer representative for Siskiyou County.

I have completed my annual Conflict of Interest Reporting Statement for 2016-17, disclosing a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to ask for approval of a conflict waiver.

I work approximately 12 hours per week at Siskiyou County Opportunity Center and 12 hours per week at Yreka Community Endeavors. Siskiyou County Opportunity Center and Yreka Community Endeavors are regional center providers of employment services.

Welfare and Institutions Code section 4626(c) provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."

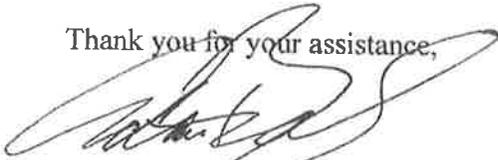
Aside from my employment with Siskiyou County Opportunity Center and Yreka Community Endeavors, I do not have any other involvement that would present a possible conflict.

However, under the circumstances, there may be situations when a conflict of interest could come up. As a result, I have prepared a plan to avoid any actual conflict:

1. As a member of FNRC's Board of Directors I will not make any recommendation, participate in any discussion or vote on any contract regarding Siskiyou County Opportunity Center;
2. As a member of FNRC's Board of Directors I will not make any recommendation, participate in any discussion or vote on any contract regarding Yreka Community Endeavors;
3. Should these issues arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;
4. I will not access any files kept by FNRC relating to Siskiyou County Opportunity Center;
5. I will not access any files kept by FNRC relating to Yreka Community Endeavors;
6. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of plans, policies, analyses, or recommendations pertaining to Siskiyou County Opportunity Center;
7. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of plans, policies, analyses, or recommendations pertaining to Yreka Community Endeavors.

I believe that this plan will resolve or mitigate any potential conflict of interest.

Thank you for your assistance,



ADAM BEALS
Member, FNRC Board of Directors

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: Adam Beals Regional Center: Far Northern 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:

- Please list your job title and describe your job duties at the regional center.
 Governing Board Member - Far Northern Regional Center

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).

- Governing Board Member
- Vendor Advisory on Board
- Executive Director
- 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.

This Board member is a consumer who is employed by a provider of employment services and falls within Welfare & Institutions Code section 4626(c), which provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."
Adam Beals works for the Siskiyou Co CC 12 hours per week and Yreka Community Endeavors 12 hours per week.

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

See #2

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

N/A

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.

N/A

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.

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

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

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

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

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

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

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

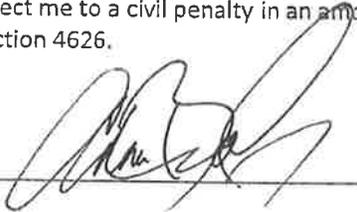
<input checked="" type="checkbox"/>	Governing Board Member
<input type="checkbox"/>	Vendor Advisory on Board
<input type="checkbox"/>	Executive Director
<input type="checkbox"/>	Employee/Other

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, Adam Beals (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 6/24/2016

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

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

Signature of Designated Reviewer

Date Review Completed





Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 30, 2016

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Acting Executive Director

Re: Conflict of Interest, FNCC Board Member, Jennifer Bowman

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Jennifer Bowman:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,



Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Jennifer Bowman

www.farnorthernrc.org



Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 24, 2016

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest –
FNCC Board Member Jennifer Bowman

Dear Mr. Smith:

FNCC Board member Jennifer has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* She is requesting a conflict waiver.

Mrs. Bowman is employed by COMPASS, LLC. COMPASS, LLC provides supported and independent living services in Shasta, Tehama and Siskiyou Counties. This falls within the exception provided in Title 17 of the California Code of Regulations, section 54505(b).

As a FNCC Board member, Mrs. Bowman has not had an opportunity or authority to approve any contract with COMPASS, LLC. However, in light of the potential conflict of interest raised by her employment, she has prepared a plan to avoid or mitigate any actual conflict of interest. (See proposed conflict resolution plan, enclosed)

The Board Chairperson, with support from the remaining Board members, shall be responsible for ensuring that the conditions stated in the plan are applied. This letter with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

www.farnorthernrc.org

Allan Smith
June 24, 2016
Page 2

Please contact Executive Director, Laura Larson, if you have any questions concerning this matter.

Thank you for your assistance,

Sincerely,



LAURA L. LARSON
Executive Director



MARGARET SHIPP
Chairperson, FNCC Board of Directors

Enclosures

Conflict of Interest Report Statement – Jennifer Bowman, June 24, 2016
Proposed Conflict of Interest Resolution Plan – Jennifer Bowman

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Jennifer

June 24, 2016

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member **Jennifer Bowman**

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a representative for the Service Provider Advisory Committee.

I work for COMPASS, LLC. COMPASS, LLC provides supported and independent living services in Shasta, Tehama, and Siskiyou Counties.

This falls within the exception provided in Title 17 of the California Code of Regulations, section 54505(b).

Since COMPASS, LLC is a FNRC provider, I understand that my employment raises potential for a conflict of interest. Under the circumstances, I have prepared a plan to avoid or mitigate my actual conflict with COMPASS, LLC, and request assistance from the Board in obtaining a DDS waiver.

In my capacity as a FNRC Board Member, I do not have opportunity or authority to approve any contract with COMPASS, LLC, or with any other provider of Supported or Independent Living Services.

In my employment with COMPASS, LLC, I do not have any business decision-making authority, nor do I have authority to approve or enter into a contract on behalf of COMPASS, LLC.

The purpose of this letter is to ask the Board to approve my avoidance/mitigation plan, and to submit a request for conflict waiver to DDS on my behalf. My plan is:

1. I do not currently, nor will I in the future, make any recommendation, participate in any discussion or vote on any vendor contract with FNRC regarding COMPASS, LLC or any other vendor providing Supported or Independent Living Services to consumers or families of consumers who have a diagnosed disability or who are at risk of developing a disability;

Proposed Conflict of Interest Resolution Plan – Jennifer Bowman

June 24, 2016

Page 2

2. Should the issue COMPASS, LLC or any other vendor providing Supported or Independent Living Services arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;
3. I will not promote COMPASS, LLC to FNRC staff or consumers;
4. I will not discuss FNRC business or activities, or consumers with any principals or employees of COMPASS, LLC;
5. I will not access any files kept by FNRC relating to COMPASS, LLC's vendorization, nor will I access any files relating to other respite, should there be one.
6. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of reports, plans, policies, analyses, opinions or recommendations pertaining to COMPASS, LLC.

Executive Director Laura Larson and the Chairperson of FNRC's Board of Directors have agreed to oversee the plan and ensure that its safeguards are applied.

Thank you for your assistance,

Very truly yours,



JENNIFER BOWMAN

Member, FNRC, Board of Directors.

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: Jennifer Bowman Regional Center: Far Northern 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.

Governing Board Member - Far Northern Regional Center

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).

- Governing Board Member
- Vendor Advisory on Board
- Executive Director
- 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.

I work for COMPASS, LLC. COMPASS provides supported and independent living services in Shasta, Tehama, and Siskiyou Counties

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.

My husband also works at Compass LLC as a facilities manager

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.

N/A

COMPASS, LLC providing supported and independent services.

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.

As SPAC member, I cannot be an officer or vote.

N/A

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

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

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

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

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

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

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

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

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

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

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

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

B. ATTESTATION

I Jennifer Bowman (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 6/24/16

INTERNAL USE ONLY

Date this Statement was received by Reviewer: _____

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

Signature of Designated Reviewer _____

Date Review Completed _____

ES



Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives.

Laura Larson
Executive Director

June 30, 2016

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Acting Executive Director

Re: Conflict of Interest, FNCC Board Member, Ronda Dever

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Ronda Dever:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,



Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Ronda Dever

www.farthernrc.org

June 24, 2016

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan --
Board of Directors Member Ronda Dever

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a representative as a Member-at-Large.

My mother is a respite worker for my autistic son. She works for ARC of Butte County. She does not live with us nor do we gain any financial benefit from her. She does not live with us nor do we gain any financial benefit from her. She lives in a different town than we do.

This falls within the exception provided in Title 17 of the California Code of Regulations, section 54505(b).

Since ARC of Butte County is a FNRC provider, I understand that my involvement raises potential for a conflict of interest. Under the circumstances, I have prepared a plan to avoid or mitigate my actual conflict with ARC of Butte County, and request assistance from the Board in obtaining a DDS waiver.

In my capacity as a FNRC Board Member, I do not have opportunity or authority to approve any contract with ARC of Butte County, or with any other provider of family resource services.

In my involvement with ARC of Butte County, I do not have any business decision-making authority, nor do I have authority to approve or enter into a contract on behalf of ARC of Butte County.

The purpose of this letter is to ask the Board to approve my avoidance/mitigation plan, and to submit a request for conflict waiver to DDS on my behalf. My plan is:

1. I do not currently, nor will I in the future, make any recommendation, participate in any discussion or vote on any vendor contract with FNRC regarding ARCA of Butte County or any other vendor providing respite to families of consumers who have a diagnosed disability or who are at risk of developing a disability;

2. Should the issue ARC of Butte County or any other vendor providing respite arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;
3. I will not promote ARC of Butte County to FNRC staff or consumers;
4. I will not discuss FNRC business or activities, or consumers with any principals or employees of ARC of Butte County;
5. I will not access any files kept by FNRC relating to ARC of Butte County's vendorization, nor will I access any files relating to other respite, should there be one.
6. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of reports, plans, policies, analyses, opinions or recommendations pertaining to ARC of Butte County.

Executive Director Laura Larson and the Chairperson of FNRC's Board of Directors have agreed to oversee the plan and ensure that its safeguards are applied.

Thank you for your assistance,

Very truly yours,



RONDA DEVER
Member, FNRC, Board of Directors.



Laura Larson
Executive Director

Far Northern Regional Center

Providing services and supports which allow persons with developmental disabilities to live productive and valued lives

June 24, 2016

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest –
FNCC Board Member Ronda Dever

Dear Mr. Smith:

FNCC Board member Ronda Dever has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* She is requesting a conflict waiver.

Mrs. Dever's mother is a respite worker for ^{her} autistic son, through ARC of Butte County. She does not live in Mrs. Dever's home (different town), nor does Mrs. Dever gain any financial benefit from her. This falls within the exception provided in Title 17 of the California Code of Regulations, section 54505(b).

As a FNCC Board member, Mrs. Dever has not had an opportunity or authority to approve any contract with ARC of Butte County. However, in light of the potential conflict of interest raised by her involvement, she has prepared a plan to avoid or mitigate any actual conflict of interest. (See proposed conflict resolution plan, enclosed)

The Board Chairperson, with support from the remaining Board members, shall be responsible for ensuring that the conditions stated in the plan are applied. This letter with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

www.far-northernrc.org

MAIN OFFICE: P.O. Box 192115 Redding, CA 96049 709-4966 Elgin Creek Rd. Suite 109 Redding, CA 96002 927-7773 224-4291 FAX 927-322-3969

BRANCH OFFICE: 1177 East Lassen Ave. Chico, CA 95901 924-5330 895-8641 FAX 924-095-1501

BRANCH OFFICE: 170 E. Russell Avenue Siskiyouville, CA 96130 426-5300 252-5327 FAX 4330-252-5526

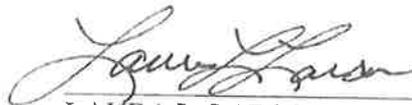
BRANCH OFFICE: 421 Chestnut ME. Shasta, CA 96067 530-926-6496 FAX 530-926-6409

Allan Smith
June 24, 2016
Page 2

Please contact Executive Director, Laura Larson, if you have any questions concerning this matter.

Thank you for your assistance,

Sincerely,



LAURA L. LARSON
Executive Director



MARGARET SHIPP
Chairperson, FNCC Board of Directors

Enclosures

Conflict of Interest Report Statement – Ronda Dever, June 24, 2016
Proposed Conflict of Interest Resolution Plan – Ronda Dever

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Ronda Dever

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: RONDA D. DEVER Regional Center: Far Northern 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.

Governing Board Member - Far Northern Regional Center

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.

My mother is a respite worker for my autistic son. She works for ARC of Butte County. She does not live with us nor do we gain any financial benefit from her. She lives in a different town than we do.

This falls within the exception provided in Title 17 of the California Code of Regulations, section 54505(b)

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

See #2, above.

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.

N/A

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.

N/A

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.

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

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

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

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

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

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

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

<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 Ronda Dever (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 Ronda D Dever Date 6/24/16

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

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

Signature of Designated Reviewer

Date Review Completed





Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 30, 2016

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Acting Executive Director

Re: Conflict of Interest, FNCC Board Member, Roger Hatton

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Roger Hatton:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,



Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Roger Hatton

www.farthernrc.org

REDDING MAIN OFFICE: P O Box 492418 Redding, CA 96049 2418 1900 Churn Creek Rd Suite 319 Redding, CA 96002 0277 (530) 222 4791 Fax (530) 222 8908

CHICO OFFICE 1377 East Lassen Ave Chico, CA 95973 7024 (530) 895 8633 FAX (530) 895 1501

REGIONAL OFFICES in Lake Almanor and Mount Shasta



Laura Larson
Executive Director

Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives.

June 24, 2016

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest –
FNCC Board Member Roger Hatton

Dear Mr. Smith:

FNCC Board member Roger Hatton has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* He is requesting a conflict waiver.

Mr. Hatton serves on the Board of Directors as a consumer representative for Shasta County. In his annual Conflict of Interest Reporting Statement for 2016-17, Mr. Hatton disclosed that he works part-time in the food pantry and the gym for Individual Personal Supports (“IPS”). IPS is a regional center provider of employment services.

Under Welfare and Institutions Code section 4626(c): “A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services.” Aside from his employment with IPS, Mr. Hatton has not disclosed any other potential conflict.

As a FNCC Board member, Mr. Hatton has not had the opportunity or authority to approve any contract with IPS. However, in light of the potential conflict of interest raised by his employment, he has prepared a plan to avoid or mitigate an actual conflict of interest. (See proposed conflict resolution plan, attached).

The Board Chairperson, with support from the remaining Board members, will be responsible for ensuring that the conditions stated in the plan are applied.

This letter, with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

www.farthernrc.org

Allan Smith
June 24, 2016
Page 2

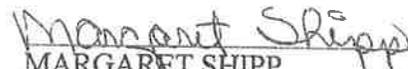
Please contact Executive Director Laura Larson if you have any questions concerning this matter.

Thank you for your assistance.

Sincerely,



LAURA L. LARSON
Executive Director



MARGARET SHIPP
Chairperson, FNCC Board of Directors

Encls: Conflict of Interest Reporting Statement – Roger Hatton (6/24/16)
Proposed Conflict of Interest Resolution Plan – Roger Hatton

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Roger Hatton

June 24, 2016

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member **Roger Hatton**

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN
REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a consumer representative for Shasta County.

I have completed my annual Conflict of Interest Reporting Statement for 2016-17, disclosing a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to ask for approval of a conflict waiver.

I work part-time in the food pantry and the gym for Individual Personal Supports ("IPS"). IPS is a regional center provider of employment services.

Welfare and Institutions Code section 4626(c) provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."

Aside from my employment with IPS, I do not have any other involvement that would present a possible conflict.

However, under the circumstances, there may be situations when a conflict of interest could come up. As a result, I have prepared a plan to avoid any actual conflict:

1. As a member of FNRC's Board of Directors I will not make any recommendation, participate in any discussion or vote on any contract regarding IPS;
2. Should these issues arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;

Proposed Conflict of Interest Resolution Plan – Roger Hatton
June 24, 2016
Page 2

3. I will not access any files kept by FNRC relating to IPS;
4. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of plans, policies, analyses, or recommendations pertaining to IPS.

I believe that this plan will resolve or mitigate any potential conflict of interest.

Thank you for your assistance,

A handwritten signature in black ink that reads "Roger D. Hatton". The signature is written in a cursive style with a large, stylized 'R' and 'H'.

ROGER HATTON
Member, FNRC Board of Directors

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: Roger Hatton Regional Center: Far Northern 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.
Governing Board Member - Far Northern Regional Center

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.

This Board member is a consumer who is employed by a provider of employment services and falls within Welfare & Institutions Code section 4626(c), which provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."

Roger Haddon works for the IPS Food Pantry and Gym, approximately 30 hours per week in non-supervisory position.

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

See #2

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

N/A

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.

N/A

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.

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

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

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

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

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

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

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

<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 Roger D Hatt (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 Roger D Hatt Date 6-24-18

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

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

Signature of Designated Reviewer

Date Review Completed

[Signature]



Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

July 20, 2016

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Acting Executive Director

Re: Conflict of Interest, FNCC Board Member, Susan Hess

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Susan Hess:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,

Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Susan Hess

www.farnorthernrc.org

☐ REDDING MAIN OFFICE: P. O. Box 492418 Redding, CA 96049-2418 1900 Churn Creek Rd. Suite 319 Redding, CA 96002 (530) 222-4791 Fax (530) 222-8908

☐ CHICO OFFICE: 1377 East Lassen Ave. Chico, CA 95973 7024 (530) 895-8634 FAX (530) 895-1501

☐ REGIONAL OFFICES in Lake Almanor and Mount Shasta



Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 24, 2016

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest –
FNCC Board Member Susan Hess

Dear Mr. Smith:

FNCC Board member Susan Hess has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* She is requesting a conflict waiver.

Mrs. Hess serves on the Board of Directors as a consumer representative for Butte County. In her annual Conflict of Interest Reporting Statement for 2016-17, she disclosed that she works approximately four (4) hours per week at Little Red Hen. Her husband, Ted Hess, also works approximately four (4) hours per week at Little Red Hen. Little Red Hen is a regional center provider of employment services.

Under Welfare and Institutions Code section 4626(c): "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services." Aside from her and her husband's employment with Little Red Hen, Mrs. Hess has not disclosed any other potential conflict.

As a FNCC Board member, Susan Hess has not had the opportunity or authority to approve any contract with Little Red Hen. However, in light of the potential conflict of interest raised by employment of her and her husband, Mrs. Hess has prepared a plan to avoid or mitigate an actual conflict of interest. (See proposed conflict resolution plan, attached).

The Board Chairperson, with support from the remaining Board members, will be responsible for ensuring that the conditions stated in the plan are applied.

www.farthernernrc.org

REDDING MAIN OFFICE: P. O. Box 492418 Redding, CA 96049-2418 1900 Chain Creek Rd. Suite 319 Redding, CA 96002 0277 (530) 222-4791 Fax (530) 222-8908

CHICO OFFICE: 1377 East LasSen Ave. Chico, CA 95973 2824 (530) 895-8633 FAX (530) 332-1497

REGIONAL OFFICES in Lake Almanor and Mount Shasta

Allan Smith
June 24, 2016
Page 2

This letter, with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

Please contact Executive Director Laura Larson if you have any questions concerning this matter.

Thank you for your assistance.

Sincerely,



LAURA L. LARSON
Executive Director



MARGARET SHIPP
Chairperson, FNCC Board of Directors
by Cynthia R. Presidio, Executive Assistant

Encls: Conflict of Interest Reporting Statement – Susan Hess
Proposed Conflict of Interest Resolution Plan – Susan Hess

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Susan Hess

June 24, 2016

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member Susan Hess

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a consumer representative for Butte County.

I have completed my annual Conflict of Interest Reporting Statement for 2016-17, disclosing a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to ask for approval of a conflict waiver.

I work at Little Red Hen approximately four (4) hours per week. My husband, Ted Hess, also works at Little Red approximately four (4) hours per week..

Welfare and Institutions Code section 4626(c) provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."

Aside from my employment with Little Red Hen, I do not have any other involvement that would present a possible conflict.

However, under the circumstances, there may be situations when a conflict of interest could come up. As a result, I have prepared a plan to avoid any actual conflict:

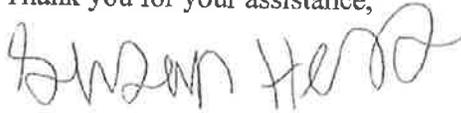
1. As a member of FNRC's Board of Directors I will not make any recommendation, participate in any discussion or vote on any contract regarding Little Red Hen;
2. Should these issues arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;

Proposed Conflict of Interest Resolution Plan – Susan Hess
June 24, 2016
Page 2

3. I will not access any files kept by FNRC relating to Little Red Hen;
4. I will not participate individually, or as part of a group, in the preparation, presentation, formulation or approval of plans, policies, analyses, or recommendations pertaining to Little Red hen.

I believe that this plan will resolve or mitigate any potential conflict of interest.

Thank you for your assistance,

A handwritten signature in black ink, appearing to read "Susan Hess", written in a cursive style.

SUSAN HESS
Member, FNRC Board of Directors

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: Susan Hess Regional Center: Far Northern 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.
 Governing Board Member - Far Northern Regional Center

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).

- Governing Board Member
- Vendor Advisory on Board
- Executive Director
- 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.

This Board member is a consumer who is employed by a provider of employment services and falls within Welfare Institutions Code section 4626(c), which provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."

*Susan Hess is employed by Little Red Hen @ 4 hours per week.
 Susan's husband, Ted Hess, is employed by Little Red Hen @ 4 hours per week*

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

See #2

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

N/A

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.

N/A

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.

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

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

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

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

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

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

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

<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 Susan Hess (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 Susan Hess Date 7-8-16

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

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

Signature of Designated Reviewer

Date Review Completed

[Signature]



Far Northern Regional Center

Providing services and supports which allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 30, 2016

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Acting Executive Director

Re: Conflict of Interest, FNCC Board Member, Michelle Phillips

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Michelle Phillips:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,


Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Michelle Phillips

www.farthernernrc.org

MAIN OFFICE: P.O. Box 192108 Redding, CA 96949 2418 1900 Churn Creek Rd. Suite 309 Redding, CA 96003 (530) 222-4291 FAX (530) 222-8903

BRANCH OFFICE: 1327 East Lassen Ave. Chico, CA 95975 7024 (530) 895-8633 FAX (530) 895-1501

BRANCH OFFICE: 170 H. Russell Avenue Susanville, CA 96130 4216 (530) 257-5317 FAX (530) 257-5526

BRANCH OFFICE: 421 Chestnut Ave. Shasta, CA 96067 (530) 926-6496 FAX (530) 926-6499



Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 24, 2016

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest --
FNCC Board Member Michelle Phillips

Dear Mr. Smith:

FNCC Board member Michelle Phillips has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* She is requesting a conflict waiver.

Ms. Phillips serves on the Board of Directors as a Member-at-Large consumer representative. In her annual Conflict of Interest Reporting Statement for 2016-17, she disclosed that she works as a Life Guide and Peer Instructor 15 – 17 hours per week at We Care A Lot Foundation. Also, her sister is a Program Manager for Parent Infant Program

Under Welfare and Institutions Code section 4626(c): “A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services.” Aside from her and her husband’s employment with Little Red Hen, Mrs. Hess has not disclosed any other potential conflict.

As a FNCC Board member, Michelle Phillips has not had the opportunity or authority to approve any contract with We Care a Lot Foundation. However, in light of the potential conflict of interest raised by her employment and the employment of her sister, Ms Phillips has prepared a plan to avoid or mitigate an actual conflict of interest. (See proposed conflict resolution plan, attached).

The Board Chairperson, with support from the remaining Board members, will be responsible for ensuring that the conditions stated in the plan are applied.

www.farnorthernrc.org

Allan Smith
June 24, 2016
Page 2

This letter, with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

Please contact Executive Director Laura Larson if you have any questions concerning this matter.

Thank you for your assistance.

Sincerely,



LAURA L. LARSON
Executive Director



MARGARET SHIPP
Chairperson, FNCC Board of Directors
by Cynthia R. Presidio, Executive Assistant

Encls: Conflict of Interest Reporting Statement – Michelle Phillips
Proposed Conflict of Interest Resolution Plan – Michelle Phillips

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Michelle Phillips

June 24, 2016

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P.O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan –
Board of Directors Member Michelle Phillips

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN REGIONAL CENTER:

I am a member of Far Northern Regional Center's Board of Directors, a Member-at-Large consumer representative.

I have completed my annual Conflict of Interest Reporting Statement for 2016-17, disclosing a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to ask for approval of a conflict waiver.

I work for We Care A Lot Foundation as a Life Guide & Peer Instructor, approximately 15 – 17 hours per week. In addition, my sister is a Program Manager at Parent Infant Program.

Welfare and Institutions Code section 4626(c) provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services."

Aside from my employment with We Care A Lot Foundation and my sister's employment with Parent Infant Program, I do not have any other involvement that would present a possible conflict.

However, under the circumstances, there may be situations when a conflict of interest could come up. As a result, I have prepared a plan to avoid any actual conflict:

1. As a member of FNRC's Board of Directors I will not make any recommendation, participate in any discussion or vote on any contract regarding We Care A Lot Foundation or Parent Infant Program

Proposed Conflict of Interest Resolution Plan – Michelle Phillips

June 24, 2016

Page 2

2. Should these issues arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;
3. I will not access any files kept by FNRC relating to We Care A Lot Foundation; *or parent*
4. I will not participate individually, or as part of a group, in the preparation, *in infant program* presentation, formulation or approval of plans, policies, analyses, or recommendations pertaining to We Care A Lot Foundation. *or parent infant program*

I believe that this plan will resolve or mitigate any potential conflict of interest.

Thank you for your assistance,



MICHELLE PHILLIPS
Member, FNRC Board of Directors

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: Michelle Phillips Regional Center: Far Northern

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.
 Governing Board Member - Far Northern Regional Center

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.

This Board member is a consumer who is employed by a provider of employment services and falls within Welfare & Institutions Code section 4626(c), which provides: "A person with a developmental disability who receives employment services through a regional center provider shall not be precluded from serving on the governing board of a regional center based solely upon receipt of these employment services." - Continued to #3 below.

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.

I am employed by We Care A Lot.

My sister is the Program Manager for Parent Infant Program.

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.

N/A

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.

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

I am a voting member of the Board of Directors pursuant to Welfare & Institutions Code section 4625.5 and related provisions.

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

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

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

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

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

<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

Michelle Phillips (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 6/28/16

INTERNAL USE ONLY

Date this Statement was received by Reviewer: _____

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

Signature of Designated Reviewer

Date Review Completed





Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 30, 2016

State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811

Attention: Aaron Carruthers, Acting Executive Director

Re: Conflict of Interest, FNCC Board Member, Colleen Ryberg

Dear Mr. Carruthers:

Enclosed, please find the following documents regarding the potential Conflict of Interest of FNRC/FNCC Board Member, Colleen Ryberg:

- Request for Waiver of Potential Conflict of Interest
- Proposed Conflict of Interest Resolution Plan
- Conflict of Interest Report Statement

These documents have been sent to the Department of Developmental Services for review.

Thank you for your consideration in this matter.

Sincerely,


Cynthia Presidio
Executive Assistant

Enclosures

cc: Allan Smith, Department of Developmental Services
FNCC Executive Committee
Colleen Ryberg

www.farthernrc.org

REDDING MAIN OFFICE: P. O. Box 492418 Redding, CA 96049 241B 1900 Churn Creek Rd. Suite 319 Redding, CA 96002 0277 (530) 222-4791 Fax (530) 222-8908

CHICO OFFICE: 1377 East Lassen Ave. Chico, CA 95923 7824 (530) 895-8633 FAX (530) 895-4501

REGIONAL OFFICES in Lake Almanor and Mount Shasta



Far Northern Regional Center

Providing services and supports that allow persons with developmental disabilities to live productive and valued lives

Laura Larson
Executive Director

June 24, 2016

Allan Smith
Regional Center Operations Section
Department of Developmental Services
1600 Ninth Street, Room 320 (MS 3-9)
Sacramento, CA 95814

Re: Request for Waiver of Potential Conflict of Interest –
FNCC Board Member Colleen Ryberg

Dear Mr. Smith:

FNCC Board member Colleen Ryberg has disclosed a potential conflict of interest under California Code of Regulations, Title 7, sections 54500, *et seq.* She is requesting a conflict waiver.

Mrs. Ryberg's daughter-in-law, Stacy Neil-Wiseman, is a provider of occupational therapy services to regional center consumers. Stacy is an independent adult. She does not live with Mrs. Ryberg, and Mrs. Ryberg does not receive any financial benefit as a result of Ms. Neill-Wiseman's employment as an occupational therapist. This falls within the exception provided in Title 17 of the California Code of Regulations, section 54505(b).

As a FNCC Board member, Mrs. Ryberg has not had an opportunity or authority to approve any contract with Stacy Neil-Wiseman. However, in light of the potential conflict of interest raised by her involvement, she has prepared a plan to avoid or mitigate any actual conflict of interest. (See proposed conflict resolution plan, enclosed)

The Board Chairperson, with support from the remaining Board members, shall be responsible for ensuring that the conditions stated in the plan are applied. This letter with its attachments, serves as a Request for Waiver as prescribed by California Code of Regulations, Title 7, section 54533.

www.farnorthernrc.org

Allan Smith
June 24, 2016
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Please contact Executive Director, Laura Larson, if you have any questions concerning this matter.

Thank you for your assistance,

Sincerely,



LAURA L. LARSON
Executive Director



MARGARET SHIPP
Chairperson, FNCC Board of Directors

Enclosures

Conflict of Interest Report Statement – Colleen Ryberg, June 24, 2016
Proposed Conflict of Interest Resolution Plan – Colleen Ryberg

cc: State Council on Developmental Disabilities
FNCC Executive Committee
Colleen Ryberg

Colleen Ryberg
P. O. Box 713
Weaverville, CA 96093

June 23, 2016

Board of Directors and
Laura Larson, Executive Director
Far Northern Regional Center
P. O. Box 492418
Redding, CA 96049-2418

Re: Proposed Conflict of Interest Resolution Plan -
Board of Directors' member Colleen Ryberg

TO THE BOARD OF DIRECTORS AND EXECUTIVE DIRECTOR OF FAR NORTHERN
REGIONAL CENTER

I was appointed to Far Northern Regional Center's Board of Directors on January 1, 2013, as the representative from Trinity County.

On June 24, 2016, I completed a Conflict of Interest Report Statement that disclosed a potential conflict of interest I may have as a member of the Board of Directors. The purpose of this letter is to propose a plan to resolve the potential conflict, and to seek approval of a conflict waiver.

My daughter-in-law, Stacy Neill-Wiseman, is a provider of occupational therapy services to regional center consumers. Stacy is an independent adult. She does not live with me, and I do not receive any financial benefit as a result of her employment as an occupational therapist. This issue appears to be potential conflicts of interest.

As a result, I propose the following plan to avoid and/or mitigate any conflict:

1. I do not currently, nor will I in the future, make any recommendation, participate in any discussion or vote on any vendor contract with FNRC regarding occupational therapy services provided to consumers;
2. Should the issue of occupational therapy services arise during the course of a FNRC Board of Directors' meeting, I will excuse myself from the room;
3. I will not promote my daughter-in-law, to FNRC staff or consumers;

Proposed Conflict of Interest Plan – Colleen Ryberg
June 24, 2016
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4. I will not discuss FNRC business, activities, or consumers with my daughter-in-law;
5. I will not access any files kept by FNRC relating to my daughter-in-law's vendorization, nor will I access any files relating to other providers of occupational therapy services;
6. I will not participate individually, or as part of a group, in the preparation, presentation formulation or approval of reports, plans, policies, analyses, opinions or recommendations pertaining to my daughter-in-law any other FNRC vendor of occupational therapy services.

I believe that this plan will resolve or mitigate any perceived or potential conflict of interest.

Thank you for your assistance,



Colleen Ryberg
Member, FNRC Board of Directors

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

Reset Form

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: Colleen Sue Ryberg Regional Center: Far Northern

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.

Governing Board Member

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.

My daughter-in-law, Stacy neil-Wiseman, is a provider of occupational therapy services to regional center consumers.

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

See #2, above

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.

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

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

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

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

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

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

<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 Colleen Ryberg (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 Colleen S. Ryberg Date 6-24-16

INTERNAL USE ONLY

Date this Statement was received by Reviewer:

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

Signature of Designated Reviewer

Date Review Completed

[Signature]