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State of California-Health and Human Services Agency

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Department of Developmental Services

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

H.R.

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 REPORTIN	Regional Center:	Regional Center of the East Bay
Regional Center Position/Title:	☐ Governing Board Member	☐ Executive Director
negional center i osmen, inicia	☐ Vendor Advisory Committee sitting on Board ☐ Contractor ☐ Agent	Employee  Consultant
Reporting Status:	Annual New Appointment (date) Change of Status <sup>1</sup>	:
If a change in status, date and	d circumstance of change in status:	
Please list your job title and of the control	describe your job duties at the regional center.	
Case Manager II	coordination of services and advocacy for adult cl	ients of RCEB.

<sup>&</sup>lt;sup>1</sup> 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).

ocuSigr	Envelope ID: 6762C52F-7316-4A6F-BA16-116F652ABC30	☐ Governing Board Member ☐ Vendor Advisory on Board ☐ Executive Director ☐ Employee/Other
2.	Do you or a family member <sup>2</sup> work for any entity or organization that is a regional center yes no If yes, provide the name of the entity or organization and describe who regional center or regional center consumers. If the provider or contractor is a state provide the specific name of the state or local governmental entity and describe your j governmental entity.	at services it provides for the or local governmental entity,
	My spouse works for Toolworks Agency Deaf Adult SLS services.	
3.	Do you or a family member own or hold a position <sup>3</sup> in an entity or organization that is contractor?   ves  one or organization or organization provides for the regional center or regional center consumers, and describe your or you interest.	on, describe what services it
	My spouse works for Toolworks Agency that provides ILS/SLS/Day Prog services to consumers of the Regional Center.	ram and other support
4.	Are you a regional center advisory committee board member?	vices to the regional center of

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.

what services it provides for the regional center or regional center consumers.

<sup>&</sup>lt;sup>2</sup> 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 54505f().

sections 54505(f).

<sup>3</sup> 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.

		☐ Vendor Advisory on Board ☐ Executive Director ☐ Employee/Other
6.	Do any of the decisions you make when performing your job duties with the regional ce financially benefit you or a family member <sup>4</sup> ? [Note: Governing board members do not he question if the financial benefit would be available to regional center consumers or their fall yes \( \mathbb{Y}\) no If yes, please explain.	ive to answer "yes" to thi
7.	Are you responsible for negotiating, making, <sup>5</sup> executing or approving contracts on beh center?    yes   no If yes, please explain.	alf of the regional
8.		If yes, did you negotiate If yes, please explain.
9.	Do any of your family members have a financial interest in any contract with the regional If yes, did you negotiate, make, execute or approve the contract on behalf of the regional If yes, please explain.	center? ☐ yes 🎾 no center? ☐ yes ☐ no

Governing Board Member

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<sup>&</sup>lt;sup>4</sup> 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.

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.

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.

cuSign Envelope ID: 6762C52F-7316-4A6F-BA16-116	F652ABC30		☐ Governing Board Membe
			Employee/Other
10. Do you evaluate employment applica ☐ yes 🌠 no If yes, please explain.	itions or contract bids that	are submitted by your fa	mily member(s)?
11. Your job duties require you to act in t			
have any circumstances or other fina in the best interests of the regional of			
B. ATTESTATION			
Anne Abeel	(print name) HERI	EBY CONFIRM that I have	ve read and understand
regional center's Conflict of Interest Poli Statement are complete, true, and corre any information that might indicate tha	icy and that my responses ect to the best of my info	to the questions in this ( rmation and belief. I agr	Conflict of Interest Report ee that if I become aware
center's Conflict of Interest Policy or the individual immediately. I understand the	e applicable conflict of inte hat knowingly providing fa	rest laws, I will notify the alse information on this (	regional center's designa Conflict of Interest Report
Statement shall subject me to a civil pen Institutions Code section 4626.	alty in an amount up to fif	ty thousand dollars (\$50,0	000) pursuant to Welfare

Signature \_ dune abul 7/27/2022 INTERNAL USE ONLY Date this Statement was received by Reviewer: does does not have a present potential conflict of interest The reporting individual **Date Review Completed** Signature of Designated Reviewer theraf 8 wan current perolution in place

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Department of Developmental Services

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### 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.

Name: Roena Harten-Wa	1ker	Regional Center	Regional Center of the East Bay
Regional Center Position/Title:	☐ Governing Boa ☐ Vendor Adviso ☐ Contractor	ard Member ary Committee sitting on Boa Agent	Executive Director  Employee Consultant
Reporting Status:	Annual  Change of Stat	☐ New Appointment (da	ste);
If a change in status, date and	d circumstance of c	hange in status:	
Please list your job title and c     Early Start Case Manager II		ities at the regional center.	

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).

Do	cuSigi	n Envelope ID: 444459FE-5471-4ABD-8D7D-86697B7BDAA7  ☐ Governing Board Member ☐ Vendor Advisory on Board ☐ Executive Director ☐ Employes/Other
	2.	Do you or a family member <sup>2</sup> work for any entity or organization that is a regional center provider or contractor?  Pyes on o — 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.
		Rozena Harten, All My Children ~ Child & Family Services Specialized Instruction services for GGRC
	3.	Do you or a family member own or hold a position <sup>3</sup> in an entity or organization that is a regional center provider of contractor?  yes  on If yes, provide the name of the entity or organization, describe what services is provides for the regional center or regional center consumers, and describe your or your family member's financial interest.
		Rozena Harten, All My Children ~ Child & Family Services Specialized Instruction services for GGRC
	4.	Are you a regional center advisory committee board member?
	5.	If you are a regional center advisory committee board member and answered yes to all the questions in Question above, do any of the following apply to you: (a) are you an officer of the regional center board; (b) do you vote of purchasing services from a regional center provider; or (c) do you vote on matters where you might have a financial interest?

<sup>&</sup>lt;sup>2</sup> 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 54505f(f)

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.

uSig	n Envelope ID: 444459FE-5471-4ABD-BD7D-86697B7BDAA7		☐ Vendo	ning Board Member r Advisory on Board tive Director yee/Other
6.	Do any of the decisions you make when performing your job duties with financially benefit you or a family member <sup>4</sup> ? [Note: Governing board mer question if the financial benefit would be available to regional center consult yes no - If yes, please explain.	nbers do not	have to ans	wer "yes" to thi
7.	Are you responsible for negotiating, making, executing or approving cocenter?  yes  no If yes, please explain.	ntracts on b	ehalf of the	regional
8.	Do you have a financial interest in any contract <sup>6</sup> with the regional center? make, execute or approve the contract on behalf of the regional center?			id you negotiate lease explain.
9.	Do any of your family members have a financial interest in any contract will fixes, did you negotiate, make, execute or approve the contract on behalf if yes, please explain.	th the region of the region	al center? al center?	☐ yes

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

<sup>4</sup> 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.

the making of a contract.

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
R	Employee/Other

<ol> <li>Do you evaluate employment applications or contract bids that are</li> <li>yes  no If yes, please explain.</li> </ol>	submitted by your family member(s)?
	i i
11. Your job duties require you to act in the best interests of the region have any circumstances or other financial interests not already distinct the best interests of the regional center or its consumers?	cussed above that would prevent you from acting
B. ATTESTATION	
B. ATTESTATION	
, Roena Harten-Walker (print name) HERERY	
regional center's Conflict of Interest Policy and that my responses to t Statement are complete, true, and correct to the best of my informat any information that might indicate that this statement is not accura center's Conflict of Interest Policy or the applicable conflict of Interest Individual immediately. I understand that knowingly providing false i Statement shall subject me to a civil penalty in an amount up to fifty the Institutions Code section 4626.	ion and belief. I agree that if I become aware of te or that I have not complied with the regional laws, I will notify the regional center's designated information on this Conflict of Interest Reporting
Signature <u>Rouna Harten-Walker</u>	7/14/2022
INTERNAL USE ONLY	
Date this Statement was received by Reviewer:	
The reporting individual does to not have a	present potential conflict of interest
Signature of Designated Reviewer	Date Review Completed
* Philadena	8/1/2022

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State of California-Health and Human Services Agency

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Department of Developmental Services

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### 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.

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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 REPORTIN	IG INDIVIDUAL		
Name: Derrick Levings	ton	Regional Center:	Regional Center of the East Bay
Regional Center Position/Title:	☐ Governing Boa☐ Vendor Adviso☐ Contractor	rd Member ry Committee sitting on Board □ Agent	Executive Director Employee Consultant
Reporting Status:	Annual  Change of Stat	New Appointment (date	):
If a change in status, date an			

Please list your job title and describe your job duties at the regional center.
 Quality Assurance Specialist - Conduct annual T17 QA reviews for assigned residential homes. Conduct bi-annual QA unannounced visits to assigned residential homes. Provide technical assistance and support to assigned residential homes. Monitor health and safety of residents living in assigned residential homes.

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).

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

2. Do you or a family member<sup>2</sup> work for any entity or organization that is a regional center provider or contractor?

yes on o -- 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.

Clausen House - Provides residential services including licensed homes, ILS support services and SLS. Also, adult day program and supported employment services.

3. Do you or a family member own or hold a position<sup>3</sup> 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.

Clausen House - See above description. My spouse is the Executive Director of Clausen House.

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.

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).

<sup>&</sup>lt;sup>3</sup> 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.

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0	Governing Board Member
	Vendor Advisory on Board
a	Executive Director
×	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 member <sup>4</sup> ? [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,<sup>5</sup> executing or approving contracts on behalf of the regional center? 

yes no -- If yes, please explain.

<sup>4</sup> 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.

benefit to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.

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.

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 with occur.

cuSign Envelope ID: 507A9AE9-7397-4423-9E45-794F54B926E1	Governing Board Memb Vendor Advisory on Boa Executive Director Employee/Other
10. Do you evaluate employment applications or contract bids that are submitt ☐ yes 🌠 no If yes, please explain.	ed by your family member(s)?
11. Your job duties require you to act in the best interests of the regional center have any circumstances or other financial interests not already discussed a in the best interests of the regional center or its consumers?	er and regional center consumers. Do not be that would prevent you from act no If yes, please explain.
B. ATTESTATION	
, Derrick Levingston (print name) HERERY CONFIR	
regional center's Conflict of Interest Policy and that my responses to the questatement are complete, true, and correct to the best of my information and any information that might indicate that this statement is not accurate or the center's Conflict of Interest Policy or the applicable conflict of interest laws, I individual immediately. I understand that knowingly providing false information statement shall subject me to a civil penalty in an amount up to fifty thousand Institutions Code section 4626.	belief. I agree that if I become award nat I have not complied with the regional will notify the regional center's designa- tion on this Conflict of Interest Repor
	7 (24 (2022
Signature Derrick Levingston	Date 7/21/2022
	Date
INTERNAL USE ONLY Date this Statement was received by Reviewer:	Date
INTERNAL USE ONLY	
INTERNAL USE ONLY  Date this Statement was received by Reviewer:  The reporting individual does does not have a present	STANCE VALUE OF BUILDING

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

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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.

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A. INFORMATION OF REPORTING INDIVIDUAL				
Name: Marci Martinez	Regional Center:	Regional Center of the East Bay		
Regional Center Position/Title:	☐ Governing Board Member ☐ Vendor Advisory Committee sitting on Board ☐ Contractor ☐ Agent	☐ Executive Director ☐ Employee ☐ Consultant		
Reporting Status:	MAN Annual □ New Appointment (date □ Change of Status¹	):		
If a change in status, date and	d circumstance of change in status:			

Please list your job title and describe your job duties at the regional center.
 Marci Martinez - Case Manager = Advocate for client services, provide resources to family in the community and coordinate appropriate RC services.

<sup>&</sup>lt;sup>1</sup> 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).

☐ Vendor Advisory on Board ☐ Executive Director **▼** Employee/Other 2. Do you or a family member<sup>2</sup> work for any entity or organization that is a regional center provider or contractor? yes on o -- 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. Parents own/operate non-profit organization in Central Valley Regional Center catchment area: Alleluia = Residential Facilities Agape = Day Program Do you or a family member own or hold a position<sup>3</sup> 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. Parents own/operate non-profit organization in Central Valley Regional Center catchment area: Alleluia = Residential Facilities Agape = Day Program uges in o -- If yes, are you a member of the 4. Are you a regional center advisory committee board member? governing board or owner or employee of an entity or organization that provides services to the regional center or ☐ yes ☐ no -- If yes, provide the name of the entity or organization and describe regional center consumers? 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.

☐ Governing Board Member

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<sup>&</sup>lt;sup>2</sup> 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(t)

<sup>&</sup>lt;sup>3</sup> 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.

100	THE PARTY NAMED IN			
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	Governing Board Member
	Vendor Advisory on Board
0	Executive Director
R	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 member<sup>4</sup>? {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 ③ no -- If yes, please explain.

<sup>4</sup> 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.

<sup>5</sup> 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.

<sup>6</sup> 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.

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overning Board Member
endor Advisory on Board
xecutive Director
mployee/Other

10. Do you evaluate employment applications or contract bids that are subn ☐ yes 🗖 no If yes, please explain.	nitted by your family member(s)?
11. Your job duties require you to act in the best interests of the regional ce have any circumstances or other financial interests not already discusse in the best interests of the regional center or its consumers? □ yes	enter and regional center consumers. Do you ed above that would prevent you from acting no If yes, please explain.
B. ATTESTATION	
Marci Martinez (print name) HEREBY CON regional center's Conflict of Interest Policy and that my responses to the q Statement are complete, true, and correct to the best of my information any information that might indicate that this statement is not accurate o center's Conflict of Interest Policy or the applicable conflict of interest laws individual immediately. I understand that knowingly providing false infor Statement shall subject me to a civil penalty in an amount up to fifty thousal Institutions Code section 4626.	and belief. I agree that if I become aware of r that I have not complied with the regional s, I will notify the regional center's designated mation on this Conflict of Interest Reporting
Signature Marci Martinez	Date
INTERNAL USE ONLY	
Date this Statement was received by Reviewer:	
	esent potential conflict of interest
Signature of Designated Reviewer	Date Review Completed
	Date Review Completed 8/1/2022 Wrent resolution W Johnson

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State of California Health and Human Services Agency

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**Department of Developmental Services** 

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: Harrison Nguyen		Regional Center: _	Regional Center of the East Bay		
Regional Center Position/Title:	☐ Governing Board Member☐ Vendor Advisory Committee sitting on Board		☐ Executive Director ☐ Employee		
	☐ Contractor	☐ Agent	☐ Consultant		
Reporting Status:	☐ Annual☐ Change of Stat	■ New Appointment (date)	09/06/2022		
If a change in status, date and					

1. Please list your job title and describe your job duties at the regional center.

Account Clerk - POS: Calculate fiscal data on purchase-of-service authorizations. Update and enter authorizations into the computer system. Verify/input vendors' invoices for payment using paper, E-Billing or EA invoices. Ensure that all appropriate supporting documents are received. Receive, sort and distribute POS mail including POS requests and other incoming. Maintain documents to support paid invoices for vendor files

<sup>&</sup>lt;sup>1</sup> 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).

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2		Do you or a family member <sup>2</sup> work for any entity or organization that is a regional center provided yes on an arrangement of the entity or organization and describe what regional center or regional center consumers. If the provider or contractor is a state or provide the specific name of the state or local governmental entity and describe your job governmental entity.	services it provides for the local governmental entity,
		My brother Tommy Nguyen works for Crisis response project and he provides crisis supp program coordinator.	ort services. He is the
3	1.	Do you or a family member own or hold a position <sup>3</sup> in an entity or organization that is a contractor?  yes  no If yes, provide the name of the entity or organization, provides for the regional center or regional center consumers, and describe your or you interest.	describe what services it
	4.	Are you a regional center advisory committee board member?	, are you a member of the es to the regional center or rorganization and describe
	5.	If you are a regional center advisory committee board member and answered yes to all above, do any of the following apply to you: (a) are you an officer of the regional center purchasing services from a regional center provider; or (c) do you vote on matters where interest?  yes  no If yes, please explain.	r board; (b) do you vote on

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).

For purposes of this question, hold a position generally means that you or a family member is a director, officer, owner, partner, employee,

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.

		☐ Vendor Advisory on Board ☐ Executive Director ☐ Employee/Other
6.	Do any of the decisions you make when performing your job duties with the regional cent financially benefit you or a family member <sup>4</sup> ? [Note: Governing board members do not have question if the financial benefit would be available to regional center consumers or their fam yes $\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \$	e to answer "yes" to this
7.	Are you responsible for negotiating, making, <sup>5</sup> executing or approving contracts on behalf center? ☐ yes ☐ no If yes, please explain.	f of the regional
8.		If yes, did you negotiate If yes, please explain.
9.	Do any of your family members have a financial interest in any contract with the regional ce If yes, did you negotiate, make, execute or approve the contract on behalf of the regional ce If yes, please explain.	
m	Generally, a decision can financially benefit you or a family member if the decision can either directly or indirectly cause ember to receive a financial gain or avoid a financial loss. For a specific description of the types of decisions that can repet to you or a family member see the California Code of Regulations, title 17, sections 54522 and 54527.	e you or a family esult in a financial

☐ Governing Board Member

<sup>5</sup> California Code of Regulations, title 17, sections 54523(b)(2) and 54528(b)(2) describes the types of conduct which constitute involvement in

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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.

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10. Do you evaluate employment applications or contract bids that are s  ☐ yes ☐ no If yes, please explain.	submitted by your family member(s)?
11. Your job duties require you to act in the best interests of the regions	al center and regional center consumers. Do γοι
have any circumstances or other financial interests not already disc in the best interests of the regional center or its consumers? $\Box$	ussed above that would prevent you from acting
B. ATTESTATION	
Harrison Nguyen (print name) HERERY (	CONFIRM that I have read and understand the
regional center's Conflict of Interest Policy and that my responses to the Statement are complete, true, and correct to the best of my information any information that might indicate that this statement is not accurate center's Conflict of Interest Policy or the applicable conflict of interest individual immediately. I understand that knowingly providing false in Statement shall subject me to a civil penalty in an amount up to fifty the Institutions Code section 4626.	ne questions in this Conflict of Interest Reporting ion and belief. I agree that if I become aware of te or that I have not complied with the regional laws, I will notify the regional center's designate information on this Conflict of Interest Reportin
Signature Harrison Muyen	Date 8/19/2022
Signature Marious Mades	The
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Date this Statement was received by Reviewer: 8/29/2022	
The reporting individual	present potential conflict of interest
Signature of Designated Reviewer  White Signat	Date Review Completed 8/29/2022
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Department of Developmental Services

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### 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 REPORTIN	DRMATION OF REPORTING INDIVIDUAL			
Name: Michael Wagner		Regional Center:	Regional Center of the East Bay	
Regional Center Position/Title:	☐ Governing Board ☐ Vendor Advisory	Member Committee sitting on Board	☐ Executive Director ☐ Employee	
	☐ Contractor	☐ Agent	Consultant	
Reporting Status:	Annual Change of Status	New Appointment (date	):	
If a change in status, date an	d circumstance of chai	nge in status:		

1. Please list your job title and describe your job duties at the regional center.

Case Manager: Meet with and communicate with clients and families re: client needs and wants and assist them in meeting their short and long term goals and objectives as stated in the Individual Program Plan, provide generic and Regional Center funded resources that best meet client and family needs, complete required paperwork and notes

<sup>&</sup>lt;sup>1</sup> 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).

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2.	Do you or a family member <sup>2</sup> work for any entity or organization that is a regional center of yes on a notation of the entity or organization and describe what regional center or regional center consumers. If the provider or contractor is a state of provide the specific name of the state or local governmental entity and describe your jour governmental entity.	t services it provides for the r local governmental entity
	Strides Program / Castro Valley: Regional Center clients attend as students and also pa	rticipate in activities
3.	Do you or a family member own or hold a position <sup>3</sup> in an entity or organization that is a contractor?  yes  on If yes, provide the name of the entity or organization	regional center provider on, describe what services
	provides for the regional center or regional center consumers, and describe your or you interest.  Strides Program / Castro Valley: Regional Center clients attend as studer	ur family member's financia
	in activities	no and also participate
	Family member is a teacher at Strides / employee	
4.	Are you a regional center advisory committee board member?  ve  no If ye governing board or owner or employee of an entity or organization that provides servi regional center consumers?  ves  no If yes, provide the name of the entity what services it provides for the regional center or regional center consumers.	ces to the regional center of
5.	If you are a regional center advisory committee board member and answered yes to all above, do any of the following apply to you: (a) are you an officer of the regional cent purchasing services from a regional center provider; or (c) do you vote on matters whe interest?    yes   no If yes, please explain.	er board; (b) do you vote o

<sup>&</sup>lt;sup>2</sup> 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).

sections 54505(f).

The 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.

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Governing Board Member
Vendor Advisory on Board
☐ Executive Director
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 member <sup>4</sup> ? [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].
6	yes ono If yes, please explain.

As a case manager with Regional Center, theoretically I could refer clients and families to the Strides Program, I could encourage clients and families to look into the Strides Program / promote the Strides Program

However, I have no clients or families with Strides Program. When the subject of Strides Program arises, I refer clients and families to speak with my supervisor and do not engage in conversations with them about the program

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

8. Do you have a financial interest in any contract<sup>6</sup> with the regional center? make, execute or approve the contract on behalf of the regional center?

🙀 yes 🚨 no -- If yes, did you negotiate,

uges In o -- If yes, please explain.

9. Do any of your family members have a financial interest in any contract with the regional center? If yes, did you negotiate, make, execute or approve the contract on behalf of the regional center? If yes, please explain.

yes 🗆 no 🗖 yes 🛂 no

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.

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10. Do you evaluate employment applications or contract bids that ☐ yes 🗖 no If yes, please explain.	are submitted by your family member(s)?	
11. Your job duties require you to act in the best interests of the replace any circumstances or other financial interests not already in the best interests of the regional center or its consumers?	discussed above that would prevent you from	. Do y
B. ATTESTATION		
regional center's Conflict of Interest Policy and that my responses Statement are complete, true, and correct to the best of my infor- any information that might indicate that this statement is not ac- center's Conflict of Interest Policy or the applicable conflict of inter- individual immediately. I understand that knowingly providing fa	rmation and belief. I agree that if I become curate or that I have not complied with the rest laws, I will notify the regional center's dalse information on this Conflict of Interest	Report aware regio esigna Report
Statement shall subject me to a civil penalty in an amount up to fift Institutions Code section 4626.	ty thousand dollars (\$50,000) pursuant to We	elfare a
Signature Michael Wagner	Date 7/14/2022	-
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Date this Statement was received by Reviewer:		
The reporting individual does does not have  Signature of Designated Reviewer	a present potential conflict of interest  Date Review Completed	t

current resolution in place

Signature of Designated Reviewer