



**TRI-COUNTIES REGIONAL CENTER (TCRC)  
TCADD BOARD POLICY**

**Policy Title:** Conflict of Interest for Board of Directors, Officers, TCRC Employees, Contractors, Agents and Consultants

**Policy Number:** B0006

**Date Revised:** 10/06/12

**BOARD COMMITTEE RESPONSIBLE FOR THIS POLICY:**

Administrative Committee

**PURPOSE:**

The purpose of this conflict of interest policy is to protect the interests of TRI-COUNTIES ASSOCIATION FOR THE DEVELOPMENTALLY DISABLED, INC. (“TCADD”), d.b.a. Tri-Counties Regional Center (“Corporation”) in a transaction or arrangement that might benefit the private interest of one or more of its officers, directors, their family members or the Corporation’s employees, contractors, agents and consultants or family members, and comply with the California Code of Regulations (“CCR”), Title 17 - Regional Center Conflict of Interest Standards and Procedures [Division 2, Chapter 3, Subchapter 3, Article 1], Sections 54500 through 54535 attached hereto (Attachment A) and incorporated herein by reference.

**POLICY:**

**A. POLICY STATEMENT**

The TCADD Board of Directors and the Corporation shall ensure that regional center board members and employees and other covered individuals act in the course of their duties solely in the best interest of the regional center persons served and their families without regard to the interests of any other organization with which they are associated or persons to whom they are related. Board members, employees, and others acting on the regional center's behalf, as defined in regulations issued by the Department of Developmental Services (“the Department”), shall be free from conflicts of interest that could adversely influence their judgment, objectivity, or loyalty to the regional center, its persons served, or its mission.

**B. COMPLIANCE WITH TITLE 17 REGULATIONS**

TCRC shall comply with the Title 17 Regional Center Conflict of Interest Standards and Procedures (“Regulations”) which apply to members of the regional center governing boards, executive directors, employees, and those acting on the regional center’s behalf. The Regulations specify those positions which create a conflict of interest for individuals acting in these roles. The

Regulations prescribe conflict of interest standards and procedures, define conflicts of interest, including those created by a financial interest and other types of conflicts, specify the requirements for Conflict of Interest Reporting Statements and provide a uniform Conflict of Interest Reporting Statement, outline sanctions for violations, and provide provisions for resolving present or potential conflicts of interest, including submission of a Conflict Resolution Plan.

TCRC shall disseminate these Regulations to all board members and regional center employees at least annually and in accordance with the Regulations. TCRC shall also ensure that contractors, agents, consultants and others acting on the regional center's behalf are aware of these Conflict of Interest Regulations.

1. For all individuals to whom the Regulations apply, the Conflict of Interest Reporting Statement (DS 6016) (Attachment B) must be completed and filed by August 1 of each year and/or within 30 calendar days of assuming a position subject to these regulations. Regional center executive directors and board members must submit their reporting statements to the Department of Developmental Services (DDS); all others must file Conflict of Interest Reporting Statements with the regional center executive director. All persons must also file new Conflict of Interest Reporting Statements upon any change in status that creates a potential or present conflict of interest between the August 1 annual filing dates.

All board members, regional center employees and other individuals acting on behalf of TCRC shall review and abide by these Conflict of Interest Regulations. Refer to Attachment A for the full text of the Regulations.

### **C. RECORDS OF PROCEEDINGS**

The minutes of the board and all committees with board delegated powers shall contain:

1. The names of the persons who disclosed or otherwise were found to have a financial interest in connection with an actual or possible conflict of interest, the nature of the financial interest, any action taken to determine whether a conflict of interest was present, and the board's or committee's decision as to whether a conflict of interest in fact existed.
2. The names of persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection with the proceedings.

### **D. CONFLICT OF INTEREST REPORTING STATEMENTS**

1. Each TCADD governing board member and the Tri-Counties Regional Center executive director shall complete and file an annual Conflict of Interest Reporting Statement (DS 6016) with the TCADD Board of Directors, whether or not the individual has identified a present or potential conflict of interest, by August 1 of each year, and in accordance with the procedures specified in the Title 17 Conflict of Interest Regulations. They must also file new Conflict of Interest Reporting Statement upon any change in status that creates a potential or present conflict of interest between the August 1 annual filing dates.

Each Tri-Counties Regional Center employee, contractor, agent, and consultant, shall complete and file an annual Conflict of Interest Reporting Statement (DS 6016) with Tri-Counties Regional Center, whether or not the individual has identified a present or potential conflict of interest, by August 1 of each year, and in accordance with the procedures specified in the Title 17 Conflict of Interest Regulations. They must also file new Conflict of Interest Reporting Statement upon any change in status that creates a potential or present conflict of interest between the August 1 annual filing dates.

**E. PERIODIC REVIEWS**

The regional center and its governing board shall regularly and consistently monitor and enforce compliance with this conflict-of-interest policy. The executive director shall enforce and ensure compliance with the conflict of interest policy for all Corporate employees.

**F. USE OF OUTSIDE EXPERTS**

When conducting the periodic reviews as provided for in this policy, the Corporation may, but not need, to engage consultants. If consultants are used, their use shall not relieve the board or committee of its responsibility for ensuring that periodic reviews are conducted.

**G. TRANSPARENCY**

This TCADD Conflict of Interest Policy, the Title 17 Conflict of Interest Regulations and the Conflict of Interest Reporting Statement shall be posted on the Tri-Counties Regional Center website.

**REVISION HISTORY**

06/06/09: First approved

07/01/11: Revision

10/06/12: Revision