



ADMINISTRATIVE COMMITTEE MEETING NOTICE/AGENDA

Posted at www.scdd.ca.gov

DATE: August 29, 2013
TIME: 2-4 p.m.
LOCATION: State Council on Developmental Disabilities
1507 21st Street, Suite 210
Sacramento, CA 95811
(916) 322-8481

TELECONFERENCE SITES:

Area Board 7

2580 North First Street, Ste. 240
San Jose, CA 95131

Area Board 11

2000 E. Fourth Street, Ste. 115
Santa Ana, CA 92705

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 Robin Maitino at (916) 322-8481 or email robin.maitino@scdd.ca.gov. Requests must be received by 5:00 pm August 23, 2013.

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|----------------------------------|------------|---|
| 1. CALL TO ORDER | M. KENNEDY | |
| 2. ESTABLISHMENT OF QUORUM | M. KENNEDY | |
| 3. WELCOME/INTRODUCTIONS | M. KENNEDY | |
| 4. APPROVAL OF JULY 2013 MINUTES | M. KENNEDY | 3 |

5. PUBLIC COMMENTS

This item is for members of the public only to provide an opportunity to comments and/or present information to the Committee 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. The Committee will provide a public comment period, not to exceed a total of seven minutes, for public comment prior to action on each agenda item.

6. PROPOSED DSS INTERAGENCY AGREEMENT	R. NEWTON	5
7. 2013-14 AREA BOARD BUDGET ALLOCATIONS	R. NEWTON	7
8. 2012-13 YEAR END EXPENDITURES	R. NEWTON	9
9. 2012-13 CONTRACT EXPENDITURES	R. NEWTON	11
10. ROLLOVER FUNDS	R. NEWTON	14
11. DRAFT CONFLICT OF INTEREST POLICY	M. CORRAL	17
12. SCHEDULE NEXT MEETING	ALL	
13. ADJOURNMENT	M. KENNEDY	

For additional information regarding this agenda, please contact Robin Maitino,
1507 21st Street, Suite 210, Sacramento, CA 95811, (916) 322-8481

DRAFT

**Administrative Committee Meeting Minutes
July 25, 2013**

Attending Members

Ray Ceragioli
David Forderer
Kris Kent
Molly Kennedy

Members Absent

Brian Gutierrez

Others Attending

Roberta Newton
Robin Maitino

1. **Call to Order**

Molly Kennedy called the meeting to order at 2:02 p.m. and established a quorum present.

2. **Welcome and Introductions**

Members and others introduced themselves.

3. **Approval of June 2013 Minutes**

It was moved/second (Ceragioli/Kent) and carried to approve the June 20, 2013 minutes as presented.

4. **Public Comments**

There were no public comments.

5. **Fiscal Information from AIDD**

Roberta Newton went over the handouts on pages 13-39 of the packet that outlined various federal guidelines. The Committee found the information very helpful.

Molly Kennedy stated that she would like SCDD's budget to follow the outline used on page 16 of the packet which broke down expenses by:

- Salaries and Benefits
- Council Member Travel Expenses
- Staff Travel Expenses
- Other Expense Items that Support Staff Operations
- Professional Service Contracts

- Grants or Funds Available for Grants
- Administrative Reimbursement to DSA

She asked if staff could work on this breakout as soon as possible. Molly also requested that a list of current SCDD policies and procedures be provided again at the next meeting.

6. **Discussion of Rollover Funds**

Roberta Newton and Lynn Cach met with DSS on July 22nd to discuss clarification on “rollover funds.” DSS provided SCDD with a spreadsheet that outlined obligated and liquidated funds by fiscal year. DSS has offered to provide additional detail which we are awaiting.

The Committee requested that the revised spreadsheet be provided to the Committee as well. Additionally, Molly requested that SCDD provide the Committee with the total funds liquidated.

7. **CDSS Interagency Agreement**

Roberta Newton advised the Committee that she had no new information to provide. She was awaiting response from Health and Human Services Agency. Kris Kent will work with Robin Maitino to arrange a meeting in the next week to get the ball rolling.

8. **Schedule Next Meeting**

The next meeting was set for August 29, 2013 at 2:00 pm.

9. **Adjournment**

Chair Kennedy adjourned the meeting at 3:10 pm.



SCDD-CDSS Interagency Agreement Number CDSS012013

Proposal for FY 2013-14

1. Accounting Services
Propose that current level of support services remain unchanged
2. Business Services
 - a. Forms Management
SCDD assumes responsibility
 - b. Property Management
SCDD assumes responsibility for maintaining equipment inventory
DSS staff train SCDD staff to prepare service agreements
 - c. Telecommunications
SCDD to purchase and review use of telephone systems
SCDD to maintain cellular phone and calling card inventories
 - d. Purchasing
SCDD to assume duties of preparing formal bids for purchases, once trained by DSS
 - e. Space Planning
SCDD to assume duties of acquiring space, lease renewals, furniture relocations, and computer moves, with DSS staff mentorship
Savings to DSS.....Unknown
3. Human Resources
Propose that current level of support services remain unchanged, pending appropriate training and readiness of SCDD staff. CDSS staff to facilitate enrollment of SCDD staff in SCO required trainings (Katie Henry, Training Coordinator).
4. IT Services
Propose the elimination of DSS support in this area. SCDD would require that a portion of the funds allocated for this category be deducted from the total IA allotment to allow SCDD to obtain IT support through another source. Specifically, we would require that the IA be reduced by \$50,000, thereby gaining for DSS a savings of \$50,000 (currently, DSS estimates \$100,000 cost for IT support.)

TOTAL SAVINGS TO DSS FOR FY 2013-14.....\$50,000 + unknown amount in Business Services

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

Date 7/31/13
To Kris Kent
Page 2

Proposal for FY 2014-15

1. Accounting Services
Propose that current level of support services remain unchanged (Cost \$335,000)
2. Business Services
Propose that SCDD assume specific duties as enumerated above.
Savings to DSS.....\$30,000 (estimated) (Cost \$74,000)
3. Human Resources
Propose that SCDD assume all duties in this category
Savings to DSS.....\$81,000
4. IT Services
SCDD will have assumed these duties as of FY 2013-14

SCDD pays \$340,000

DSS cost of support \$409,000 (estimated)

2013-14 EXPENDITURE REPORT

4100 State Council on Developmental Disabilities

July 1, 2013 -- June 30, 2014

	Personal Services			Operating Expenses & Equipment			Total Expenditures		
	Budgeted	Year-to-Date Expenditures	Percentage Expended	Budgeted	Year-to-Date Expenditures	Percentage Expended	Budgeted	Year-to-Date Expenditures	Percentage Expended
Council Operations & Administration	\$1,187,567			\$469,831			\$1,657,398		
Community Program Development Grant				\$727,000			\$727,000		
Area Board 1									
* BSG	\$194,257			\$57,230			\$251,487		
* QA	\$140,120			\$52,520			\$192,640		
Area Board 2									
* BSG	\$243,378			\$53,997			\$297,375		
Area Board 3									
* BSG	\$211,156			\$82,187			\$293,343		
* QA	\$143,378			\$59,800			\$203,178		
Area Board 4									
* BSG	\$285,905			\$63,281			\$349,186		
* CRA	\$242,634			\$50,595			\$293,229		
Area Board 5									
* BSG	\$294,729			\$88,469			\$383,198		
* QA	\$141,491			\$77,329			\$218,820		
Area Board 6									
* BSG	\$213,606			\$69,491			\$283,097		
* QA	\$141,791			\$52,652			\$194,443		
Area Board 7									
* BSG	\$203,658			\$91,286			\$294,944		
* QA	\$0			\$0			\$0		
Area Board 8									
* BSG	\$294,153			\$69,368			\$363,521		
* CRA	\$361,594			\$80,000			\$441,594		
Area Board 9									
* BSG	\$262,811		0%	\$90,000			\$352,811		

Personal Services			Operating Expenses & Equipment			Total Expenditures			
	Budgeted	Year-to-Date Expenditures	Percentage Expended	Budgeted	Year-to-Date Expenditures	Percentage Expended	Budgeted	Year-to-Date Expenditures	Percentage Expended
Area Board 10									
* BSG	\$335,639			\$80,037			\$415,676		
* QA	\$358,837			\$231,675			\$590,512		
* CRA	\$234,895			\$27,913			\$262,808		
Area Board 11									
* BSG	\$276,528			\$88,011			\$364,539		
* CRA	\$211,434			\$22,838			\$234,272		
Area Board 12									
* BSG	\$155,324			\$69,000			\$224,324		
* QA	\$135,143			\$56,800			\$191,943		
* CRA	\$170,520			\$20,300			\$190,820		
Area Board 13									
* BSG	\$259,668			\$99,481			\$359,149		
* QA	\$141,791			\$65,685			\$207,476		
All Area Boards									
* BSG	\$3,230,812			\$1,001,838			\$4,232,650		
* QA	\$1,202,551			\$596,461			\$1,799,012		
* CRA	\$1,221,077			\$201,646			\$1,422,723		

2012-13 EXPENDITURE REPORT

4100 State Council on Developmental Disabilities
 July 1, 2012 thru June 30, 2013

	Personal Services			Operating Expenses & Equipment			Total Expenditures		
	Budgeted	Year-to-Date Expenditures	Percentage Expended	Budgeted	Year-to-Date Expenditures	Percentage Expended	Budgeted	Year-to-Date Expenditures	Percentage Expended
Council Operations & Administration		\$1,240,807			\$404,572		\$1,792,000	\$1,645,379	92%
Community Program Development Grant				\$997,372	\$110,285	11%	\$997,372	\$110,285	11%
Area Board 1									
* BSG	\$180,704	\$162,424	90%	\$55,780	\$62,370	112%	\$236,484	\$224,794	95%
* QA	\$132,546	\$114,699	87%	\$42,520	\$54,566	128%	\$175,066	\$169,265	97%
Area Board 2									
* BSG	\$226,398	\$232,060	103%	\$53,997	\$51,842	96%	\$280,395	\$283,902	101%
Area Board 3									
* BSG	\$281,639	\$258,874	92%	\$82,187	\$76,405	93%	\$363,826	\$335,279	92%
* QA	\$132,945	\$139,683	105%	\$53,880	\$38,758	72%	\$186,825	\$178,441	96%
Area Board 4									
* BSG	\$210,144	\$271,155	129%	\$62,641	\$44,525	71%	\$272,785	\$315,680	116%
* CRA	\$229,519	\$226,032	98%	\$30,595	\$58,706	192%	\$260,114	\$284,738	109%
Area Board 5									
* BSG	\$284,399	\$254,826	90%	\$88,469	\$77,909	88%	\$372,868	\$332,735	89%
* QA	\$134,127	\$130,365	97%	\$51,429	\$38,524	75%	\$185,556	\$168,889	91%
Area Board 6									
* BSG	\$198,703	\$189,858	96%	\$69,491	\$39,311	57%	\$268,194	\$229,169	85%
* QA	\$134,127	\$173,582	129%	\$48,439	\$35,361	73%	\$182,566	\$208,943	114%
Area Board 7									
* BSG	\$280,329	\$290,153	104%	\$90,086	\$65,482	73%	\$370,415	\$355,635	96%
* QA	\$134,127	\$127,837	95%	\$52,122	\$14,814	28%	\$186,249	\$142,651	77%
Area Board 8									
* BSG	\$273,631	\$216,288	79%	\$69,368	\$47,317	68%	\$342,999	\$263,605	77%
* CRA	\$342,048	\$301,399	88%	\$45,675	\$91,657	201%	\$387,723	\$393,056	101%
Area Board 9									
* BSG	\$244,475	\$248,585	102%	\$90,000	\$80,382	89%	\$334,475	\$328,967	98%

	Personal Services			Operating Expenses & Equipment			Total Expenditures		
	Budgeted	Year-to-Date Expenditures	Percentage Expended	Budgeted	Year-to-Date Expenditures	Percentage Expended	Budgeted	Year-to-Date Expenditures	Percentage Expended
Area Board 10									
* BSG	\$312,222	\$333,879	107%	\$99,430	\$61,210	62%	\$411,652	\$395,089	96%
* QA	\$339,440	\$355,444	105%	\$189,682	\$106,895	56%	\$529,122	\$462,339	87%
* CRA	\$222,198	\$248,766	112%	\$27,913	\$17,736	64%	\$250,111	\$266,502	107%
Area Board 11									
* BSG	\$257,235	\$287,301	112%	\$88,011	\$52,000	59%	\$345,246	\$339,301	98%
* CRA	\$200,005	\$197,034	99%	\$22,838	\$22,710	99%	\$222,843	\$219,744	99%
Area Board 12									
* BSG	\$144,487	\$184,034	127%	\$69,000	\$58,912	85%	\$213,487	\$242,946	114%
* QA	\$120,270	\$131,464	109%	\$56,800	\$33,102	58%	\$177,070	\$164,566	93%
* CRA	\$162,245	\$109,608	68%	\$20,300	\$10,645	52%	\$182,545	\$120,253	66%
Area Board 13									
* BSG	\$241,552	\$261,621	108%	\$117,730	\$78,364	67%	\$359,282	\$339,985	95%
* QA	\$134,127	\$144,881	108%	\$65,685	\$65,937	100%	\$199,812	\$210,818	106%
All Area Boards									
* BSG	\$3,135,918	\$3,191,058	102%	\$1,036,190	\$796,029	77%	\$4,172,108	\$3,987,087	96%
* QA	\$1,261,709	\$1,317,955	104%	\$560,557	\$387,957	69%	\$1,822,266	\$1,705,912	94%
* CRA	\$1,156,015	\$1,082,839	94%	\$147,321	\$201,454	137%	\$1,303,336	\$1,284,293	99%

4100 - State Council on Developmental Disabilities
 Cycle 35 Grants
 Fiscal Year 2012-13

Location	Grant Recipient	Contract Amount	Funds Expended 10/01/12 -6/30/13
Headquarters	Youth Leadership Forum (YLF)	\$9,999.00	\$9,999.00
	Jay Nolan Community Services	\$359,782.00	\$104,486.53
	Board Resource Center*	\$288,950.00	\$65,625.85
	Total:	\$658,731.00	\$180,111.38
Area Board 1	Progressive Employment Concepts	\$20,000.00	\$18,490.01
	Subtotal:	\$20,000.00	\$18,490.01
Area Board 2	Glen County Office of Education	\$9,500.00	\$4,523.79
	Focus Film Festival	\$10,500.00	\$6,375.00
	Subtotal:	\$20,000.00	\$10,898.79
Area Board 3	None Awarded	\$0.00	\$0.00
Area Board 4	Kidpower Teenpower Fullpower	\$20,000.00	\$8,264.00
	Subtotal:	\$20,000.00	\$8,264.00
	Area Board 5	CALICO	\$20,000.00
	Subtotal:	\$20,000.00	\$14,639.12
Area Board 6	San Diego State University Research Foundation	\$19,363.00	\$7,346.51
	Subtotal:	\$19,363.00	\$7,346.51

Area Board 7	Kidpower Teenpower Fullpower	\$20,000.00	\$6,220.00
	Subtotal:	\$20,000.00	\$6,220.00
Area Board 8	Resource's for Independence , Central Valley	\$19,277.00	\$4,730.13
	Subtotal:	\$19,277.00	\$4,730.13
Area Board 9	First 5 Moorpark/Simi Valley Neighborhood for Learning UCP-San Luis Obispo	\$9,000.00 \$11,000.00	\$4,142.81 \$4,300.00
	Subtotal:	\$20,000.00	\$8,442.81
Area Board 10	Project Get Safe	\$20,000.00	\$4,664.00
	Subtotal:	\$20,000.00	\$4,664.00
Area Board 11	Project Get Safe NOC CCD School of Continuing Education	\$6,933.00 \$13,067.00	\$0.00 \$2,568.83
	Subtotal:	\$20,000.00	\$2,568.83
Area Board 12	Project Get Safe	\$20,000.00	\$2,354.00
	Subtotal:	\$20,000.00	\$2,354.00

Area Board 13

San Diego State University Interwork
Institute's Creative Support Alternative
and SDSU's Department of
Administration, Rehabilitation, and
Postsecondary Education

\$19,992.00
Subtotal : \$19,992.00
\$4,500.11
\$781.96

All Area Board's Regional Self-Advocacy Grant
Total: \$100,009.00

\$8,441.47
\$8,441.47

HQ and AB Dollars Spent

\$274,320.01

SCDD-4100 B05 REPORTING SYSTEM

Inception-to-Date Appropriation Report For

ORG: 4100

PERIOD: 7/29/2013

REPORT: APPROP_RPT-SO

APPROPRIATION ACCT		APPROP AMT	EXPENDITURES	ENCUMBRANCE	BALANCE
2012 001 0890					
FFY DATA					
2012 001 0890	CLEARING ACCOUNT - FTF	\$0.00	\$0.00	\$0.00	\$0.00
2012 001 0890 10	STATE COUNCIL OPERATIONS	\$1,697,900.00	\$1,604,224.02	\$63,700.87	\$29,975.11
2012 001 0890 20	COMMUNITY PROGRAM DEVELOPMEN	\$1,000,000.00	\$233,764.15	\$499,766.48	\$266,469.37
2012 001 0890 40	AREA BOARD SERVICES - FTF	\$8,700,752.00	\$8,182,686.93	\$204,301.31	\$313,763.76
2012 001 0890 90	PGM 40 - SCH REIMB FED - S/O	(\$1,224,446.00)	(\$3,975,956.22)	\$0.00	(\$248,469.78)
	TOTAL:	\$7,174,204.00	\$6,044,716.88	\$767,768.66	\$361,718.46

2011 001 0890

FFY DATA

2011 001 0890	CLEARING ACCOUNT - FTF	\$0.00	\$0.00	\$0.00	\$0.00
2011 001 0890 10	STATE COUNCIL OPERATIONS	\$1,744,459.74	\$1,549,528.44	\$44,280.15	\$150,651.15
2011 001 0890 20	COMMUNITY PROGRAM DEVELOPMEN	\$2,348,281.46	\$704,460.68	\$193,217.82	\$1,450,602.96
2011 001 0890 40	AREA BOARD SERVICES - FTF	\$9,345,263.37	\$8,549,600.45	\$33,071.17	\$762,591.75
2011 001 0890 90	PGM 40 - SCH REIMB FED - S/O	(\$4,708,352.01)	(\$4,006,295.56)	\$0.00	(\$762,056.46)
	TOTAL:	\$8,669,652.56	\$6,797,294.01	\$270,569.14	\$1,601,789.41

2010 001 0890

FFY DATA

2010 001 0890 10	STATE COUNCIL OPERATIONS	\$1,782,913.10	\$1,673,464.42	\$44,420.44	\$65,028.24
2010 001 0890 20	COMMUNITY PROGRAM DEVELOPMEN	\$1,009,169.54	\$551,666.38	\$42,046.61	\$415,456.55
2010 001 0890 40	AREA BOARD SERVICES - FTF	\$8,487,159.70	\$8,085,592.62	\$103,923.03	\$297,644.05
2010 001 0890 90	PGM 40 - SCH REIMB FED - S/O	(\$4,149,233.61)	(\$3,712,343.00)	\$0.00	(\$436,894.11)
	TOTAL:	\$7,130,008.73	\$6,598,373.92	\$190,390.08	\$341,244.73

2009 001 0890

FFY DATA

2009 001 0890	CLEARING ACCOUNT - FTF	\$0.00	\$0.00	\$0.00	\$0.00
2009 001 0890 10	STATE COUNCIL OPERATIONS	\$1,717,336.00	\$1,658,980.79	\$0.00	\$58,355.21
2009 001 0890 20	COMMUNITY PROGRAM DEVELOPMEN	\$1,213,005.58	\$845,566.98	\$0.00	\$367,438.60
2009 001 0890 40	AREA BOARD SERVICES - FTF	\$9,309,582.17	\$8,166,047.77	\$0.00	\$1,143,534.40
2009 001 0890 90	PGM 40 - SCH REIMB FED - S/O	(\$5,318,594.15)	(\$4,344,539.03)	\$0.00	(\$974,025.12)
	TOTAL:	\$6,921,329.60	\$6,326,026.51	\$0.00	\$595,303.09

2008 001 0890

FFY DATA

2008 001 0890 10	STATE COUNCIL OPERATIONS	\$1,919,405.95	\$1,919,405.95	\$0.00	\$0.00
2008 001 0890 20	COMMUNITY PROGRAM DEVELOPMEN	\$1,080,833.53	\$1,080,833.53	\$0.00	\$0.00
2008 001 0890 40	AREA BOARD SERVICES - FTF	\$9,862,841.57	\$9,862,841.57	\$0.00	\$0.00
2008 001 0890 90	PGM 40 - SCH REIMB FED - S/O	(\$6,336,616.75)	(\$6,336,616.73)	\$0.00	\$0.00
	TOTAL:	\$6,526,464.32	\$6,526,464.32	\$0.00	\$0.00

1944 898 0890

FFY DATA

1980 898 0890	FEDERAL CATALOG ONLY-STATE OPS	(\$36,818.62)	(\$43,678.74)	\$0.00	\$6,860.12
	TOTAL:	(\$36,818.62)	(\$43,678.74)	\$0.00	\$6,860.12

SCDD-4100 B05 REPORTING SYSTEM

Inception-to-Date Appropriation Report For

RUN ON:

7/30/2013 10:32 AM

ORG: 4100

PERIOD: 7/29/2013

REPORT: APPROP_RPT-SO

APPROPRIATION ACCT	APPROP AMT	EXPENDITURES	ENCUMBRANCE	BALANCE
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STATE COUNCIL ON DEVELOPMENTAL DISABILITIES - 4100

GRANT PERIOD	GRANT AWARD	GRANT AUTHORIZATION	TOTAL EXPENDITURES *		ENCUMBRANCE * AS OF 06/30/13	BALANCE
			AS OF 06/30/13	AS OF 06/30/13		
10/01/10 - 09/30/13	G-1101CABS05	\$6,904,064.00	\$6,708,493.88	\$195,570.12	\$0.00	
10/01/11 - 09/30/14	G1201CABS05	\$6,888,078.00	\$5,955,556.55	\$350,816.43	\$581,705.02	
10/01/12 - 09/30/15	G1301CABSDD	\$6,496,150.00	\$3,940,196.12	\$595,545.44	\$1,960,408.44	

Note:

Excludes Reimbursements

* Expenditures and Encumbrances based on Federal Fiscal Year (October 1 - September 30)

Jill Sabado 7/26/2013

INCOMPATIBLE ACTIVITIES POLICY

The California State Council on Developmental Disabilities (SCDD) adopted the attached Incompatible Activities Statement (IAS) in accordance with Government Code Section 19990. This IAS prohibits employees, board and Council members from engaging/participating in any activity that is incompatible with their official role as an employee/board/Council member.

Employees that do not comply with the IAS may be subject to disciplinary action and board/Council members may be subject to notice given to the appropriate appointing authority.

For purposes of this policy, a contractor is defined as a person or company that undertakes a contract to provide materials or labor to perform a service or do a job for the SCDD.

Incompatible activities include, but are not limited to:

1. Accepting employment (you or a close family member) from a contractor.
2. Serving as a consultant (you or a close family member) to a contractor.
3. Owning or having a financial interest in a contractor or their business.
4. Accepting any gift, money or any other thing of value from a contractor (including reimbursements for expenses.)
5. Using confidential information, time or any materials that belong to SCDD for personal use or the personal use of another person.
6. Using any SCDD resource for something or someone other than the SCDD.

If you are uncertain whether your outside work or activity could represent an incompatible activity, please contact the SCDD Executive Director for assistance.

STATEMENT OF INCOMPATIBLE ACTIVITIES STATE COUNCIL ON DEVELOPMENTAL DISABILITIES

Pursuant to Government Code section 19990, the prohibited activities enumerated below are inconsistent, incompatible, and/or in conflict with the duties of officers and employees of the State Council on Developmental Disabilities (SCDD).

1. Using the prestige or influence of an office or employment with the SCDD for the officer's or employee's private gain or advantage, or the private gain or advantage of another.
2. Using time, facilities, equipment or supplies of the SCDD for the officer's or employee's private gain or advantage, or the private gain or advantage of another.
3. Using confidential information acquired by virtue of employment by the SCDD for the officer's or employee's private gain or advantage, or the private gain or advantage of another.
4. Receiving or accepting money or any other consideration from anyone, other than the State, for performance of an act which the officer or employee would be required or expected to render in the regular course of hours of his/her state employment or as part of his/her duties as an officer or employee of the SCDD.
5. Performing an act or activity in a capacity other than that of an officer or employee of the SCDD when the act or activity performed is subject to direct control, inspection, investigation, review, audit or enforcement by the officer or employee or is normally subject to the direct control, inspection, investigations, review, audit or enforcement by the SCDD Area Board to which the officer or employee is assigned.
6. Directly or indirectly receiving or accepting any gift, service, gratuity, favor, entertainment, hospitality, loan or any other thing of value, from anyone who is doing or seeking to do business of any kind with the state, under circumstances from which it could reasonably be inferred that the gift, service, gratuity, favor, entertainment, hospitality, loan or any other thing of value was intended to influence him/her in his/her official duties or was intended as a reward of any official action on his/her part.
7. Subject to any other laws, rules, or regulations as pertain hereto, not devoting his/her full time, attention, and efforts to his/her state office or employment during his/her hours of duty as a state officer or employee.

8. Divulging confidential information, data or records of the SCDD to any person to whom the issuance of such information, data or records has not been authorized, or divulging or making use of any records of the SCDD for a mailing list or any other unauthorized purpose.

NAME: _____

Employee's signature below acknowledges receipt of the SCDD Statement of Incompatible Activities.

SIGNATURE

DATE

Work Plan to Address November 2012 Audit Recommendations
April 2, 2013

Recommendations	Tasks	Next Steps/Timeline
<p>1a. SCDD and staff should review COL and codes of conduct under state and federal regulations.</p>	<p>a. SCDD members and staff shall receive copies of 42 USC Section 15024(c)(5)(D), 45 CFR Section 74.42, GC Sections 87100, 19130, 19990 and the SCDD Incompatible Activities Statement and shall indicate in writing that they have read and understand its provisions.</p>	<p>By May 15, 2013 Completed</p>
<p>2a. Establish strong financial personnel</p> <p>2b. Establish internal control procedures for processing and approval of contracts and invoices.</p> <p>2c. Develop a written policy concerning travel of contractors</p>	<p>2a. Recruit for and train Budget Officer. Ensure that contract and procurement analysts receive appropriate training. Ensure that managerial staff receive appropriate training. Recruit for highly qualified Deputy for Administration. Ensure that the Procurement and Contracts Manual includes section with federal and state regulations regarding all applicable billing requirements.</p> <p>2b. RA/Deputy to establish chain of command and process for documenting progressive review of submissions. Also to develop Policy for required backup documentation when submitting invoices.</p> <p>2c. Develop policy on acceptable travel for contractors, including documentation required (receipts) for reimbursement and an authorization process for out-of-state</p>	<p>2a. Awaiting resolution on SSM I employee, expected April 1, 2013. Recruitment for Budget Officer April 1, 2013 – May 15, 2013. Budget Officer position filled July 8, 2013.</p> <p>Analyst training initiated in March 2013, ongoing through December 31, 2013. Managerial training initiates April 2013. GO appointment of Deputy for Administration tentatively early 2014. Currently awaiting approval of CalHR to fill Retired Annuitant (RA) appointment to act as Deputy, to start April 8, 2013. RA Sarah VanDyke hired as of April 9, 2013 Sarah VanDyke resigned as of July 19, 2013.</p> <p>Contract staff will be attending 4 additional classes: "Evaluation Criteria"; "Documentation"; "Services Contracting"; "Statement of Work."</p>

	travel.	2b. 90 days following hire of an RA/Deputy.
3a. Develop regular expenditure reports to reconcile budget by actual expenses incurred by contracts.	3a. Budget Officer to submit expenditure reports to Administrative Committee no less than quarterly. Reports to include budgeted/expenditures by Contracts, HQ and regional offices.	2c. 90 days following hire of an RA/Deputy
3b. Recommend pairing a SCDD member with fiscal expertise to work with staff.	3b. Newly reconstituted Administrative Committee to serve this function. Committee is composed of a current department deputy, an attorney, and an MPA.	3a. Began March 2013, though hampered by lack of a Budget Officer. 3b. Began January 2013.
4a. Contracts must comply with DGS guidelines.	4a. Have Administrative Committee receive an overview of the DGS State Contracting Guidelines. Contract staff are attending DGS Contract Training class.	4a. At April 25, 2013 Administrative Committee meeting. Completed – DGS Contract Manual Summary, DSS Purchasing Policies and Procedures Handbook, DSS Contract Process Handbook obtained and disseminated to Admin Committee and contract staff. Said handbooks to be reviewed and revised as needed by RA/Deputy.
4b. A Procurement and Contract Handbook should be developed.	4b. RA/Deputy to query other small commissions for examples of Procurement and Contract Handbooks. Contract analysts to ask for samples from DGS staff.	4b. 90 days following hire of an RA/Deputy.
4c. Develop a procedure for contract approval verification.	4c. See 2b.	4c. 90 days following hire of an RA/Deputy
5a. DGS Training should be required for contract analysts, managers and their supervisors	5a. Ensure that all relevant staff register for and attend all pertinent classes. Interim E.D. will approve all appropriate	5a. Contract analysts have attended 40 hour DGS Contract Training class in March 2013. Staff Counsel and Interim E.D.

	training opportunities.	completed the same class in April. Additional training that is offered by DGS will be registered for throughout 2013.
<p>6a. Staff needs to use detailed and specific contract language including measurable goals.</p> <p>6b. Staff Legal Counsel should review all proposed new contracts.</p> <p>6c. Contracts should include provision for audits.</p>	<p>6a. Staff will be trained in best practices for contract language and provisions.</p> <p>6b. Staff Legal Counsel to review all new contracts resulting from a bid prior to SCDD approval.</p> <p>6d. SCDD to revise its contract format to include provision for auditing.</p>	<p>6a. Contract analysts have attended first basic contract class and will be registering for additional classes.</p> <p>Staff now have resources (Bid Sync) to find examples of contract language. Staff will also be attending a DGS class entitled "Statement of Work" that focuses on contract language.</p> <p>6b. Effective immediately, all newly drafted contracts that were the result of a bid will be reviewed by both Staff Legal Counsel and Interim Executive Director, the latter in lieu of the hiring of a RA/Deputy.</p> <p>6c. Effective immediately, all newly developed contracts will include a provision for auditing. Contracts will include a link to STD 213 Exhibit C #37 Examination and Audit</p>
<p>7a. Assign staff to perform duties of contract manager to include monitoring compliance and performance.</p> <p>7b. SCDD should receive progress reports including final report that details goals achieved or not.</p>	<p>7a. Identify staff to monitor contract/fiscal compliance, programmatic performance and a final approver. Assign substitute staff to cover said functions while staff vacancies exist.</p> <p>Identify source to provide training to staff on elements of grant oversight.</p> <p>7b. SCDD PDC to receive progress reports at a minimum of semi-annually. PDC to</p>	<p>7a. Effective currently, contract/fiscal compliance is assigned to contract analyst. Programmatic performance review for grants initiated by the Area Boards are assigned to Area Board staff who currently signify approval/disapproval before contract analyst approves invoices for payment. Programmatic review of statewide grants would be assigned to</p>

	include progress report at next SCDD meeting. Accomplished	Planning Specialist, a vacant position. In lieu of the Planning Specialist, existing program staff (CPS II) will take on that function effective May 1, 2013, overseen by the Deputy for Policy and Planning. Final approver would be assigned to Deputy for Administration. While vacant, that duty falls to the Executive Director. UCEDDs will be queried by May 16, 2013 for any recommended sources for grant administration training. Initiated 7b. PDC will receive first quarterly report of grants/contracts at April 23, 2013 meeting. Accomplished
Recommendations	Tasks	Next Steps/Timeline
8a. Contracts need to be reviewed for justification that work cannot be performed by state employees (GC 19130).	8a. Procurement and Contract Handbook (see Recommendation 4) to include provision for review of prospective contracts by Planning Specialist for compliance with GC 19130. Before awarding personal services contract, specialist shall identify any current state staff that may perform duties within the scope of requested services and advise SCDD of contract appropriateness.	90 days following hire of an RA/Deputy. While position is vacant, duty falls to Executive Director.
9a. There need to be written policies and procedures that inform members and staff of their responsibilities. 9b. There need to be signed authorization forms that document approval steps for contracts.	9a. Council members need to be educated as to their fiscal oversight responsibilities. Staff need to review and revise, as necessary, their duty statements and sign a statement that they understand its provisions. 9a and b. Procurement and Contract Handbook needs to include progressive	9a. Interim E.D. and Chair are attempting to arrange governance and fiscal oversight training for SCDD members by November 2013. Completed in May 2013 and July 2013. The Personnel Officer will oversee process of review and revision of duty statements of fiscal and contract staff, to be

	<p>steps and assigned staff for each step of contracting and procuring. Appropriate forms need to be included as Appendices. An approval document should be created that includes the Administrative Committee and full Council regarding all contracts and procurements exceeding \$5,000.00. Contracts under \$5,000 will be reviewed by the Administrative Committee and approved by the Executive Committee.</p>	<p>completed by July 1, 2013.</p> <p>9b. 120 days following hire of RA/Deputy In process</p> <p>Executive Committee/Council are now approving all contracts effective April 2013</p>
<p>10a. Ensure that fiscal intermediaries are not be used without DOF approval.</p>	<p>10a. All relevant staff shall be educated on this regulation.</p>	<p>10a. The Interim Executive Director shall put this regulation into a written memorandum to be disseminated to all relevant staff by April 30, 2013.</p> <p>Completed</p> <p>Contract staff have completed basic Contract training with DGS effective March 28, 2013.</p>

EXISTING SCDD POLICIES

Approved by Council

- Workplace Violence
- Sexual Harassment
- Reasonable Accommodations

Approved Administratively

- Work Hours and Attendance
- Information Security
- Hands Free Cellular Usage
- Internet, Email, Phone Policy
- Parking
- Teleworking

Draft Policies

- Grievance (represented employees)
- Grievance (excluded employees)
- Nepotism
- Administrative Procedures Manual (2003)
 - Including rough draft contract management, accounting, training, personnel policies