



Arc Mid-Cities

Orange County Office
12397 Lewis St., Suite 102
Garden Grove, CA 92840
Ph: (714) 867-6622
Fax: (714) 867-6684

Corporate Office
14208 Towne Ave
Los Angeles, CA 90061
Ph: (310) 329-9272
Fax: (310) 323-3839

Riverside County Office
14340 Elsworth St, Suite 121B
Moreno Valley, CA 92553
Ph: (951) 214-6950
Fax: (951) 214-6955

South LA Office
1011 N. Willowbrook Ave
Compton, CA 90220
Ph: (310) 631-9176
Fax: (310) 631-9100

Lena Cole
Dennis
Board President

JB Wagoner
Executive Director

Whistleblower Protection Policy

The Joint Legislative Audit Committee in conjunction with the California Department of Developmental Services (DDS) requests that regional centers make sure ALL vendors be made aware of their rights when filing complaints.

The Whistle Blower Policy shall not be used to resolve disputes concerning the nature, scope, or amount of services and supports that should be included in an Individual Program Plan (IPP) or Individualized Family Service Plan (IFSP). In addition, the Whistle Blower Policy shall not be used for disputes regarding rates or audits. Those disputes shall be resolved through the appeals procedures established by the Lanterman Act or in regulations.

Board Committee Responsible for This Policy:

The Executive Committee

Purpose:

This policy is established to ensure that consumers, families, service providers, agencies, community members, and the Arc Mid-Cities staff can report suspicions, concerns, or evidence of illegal, unethical or other inappropriate activity without fear of retaliation.

Definition of Regional Center or Vendor/Contractor Whistle Blower Complaints

Regional Center or Vendor/Contractor Whistle Blower Complaints are defined as the reporting of an “improper regional center or vendor/contractor activity”.

An “improper regional center activity” means an activity by a regional center or an Employee, officer, or board member of a regional center, in the conduct of regional center business, that is in a violation of a state or federal law or regulation: violation of contract provisions; fraud or fiscal malfeasance; misuse of government property; or constitutes gross misconduct, incompetency, or inefficiency.

An “improper vendor/contractor activity” means an activity by a vendor/contractor or an employee, officer, or board member of a vendor/contractor, in the provision of the Department of Developmental Services (DDS) funded services, that is in a violation of the state or federal law or regulation; violation of contract provisions; fraud or fiscal malfeasance; misuse of government property; or constitutes gross misconduct, incompetency, or inefficiency.

Arc Mid Cities requires directors, officers and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of Arc Mid Cities we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

Filing Complaints and Appeals

The Department of Developmental Services (DDS) has a variety of complaint and appeal processes available to vendors/contractors, agencies, facilities, parents, and consumers. These include Consumer Rights Complaints, Early Start Complaints, Due Process Requests, Mediation Conference Requests, Lanterman Act Fair Hearing Requests, Title 17 Complaints, and Citizen Complaints and Comments. Each of these complaint and appeal processes can be found on the Department of Developmental Services (<http://www.dds.ca.gov/complaints>) website and have separate and distinct procedures for resolution. **This process directive relates only to the Regional Center of Vendor/Contractor Whistle Blower complaints as described above.**

Like the Department of Developmental Services, SCLARC, OCRC, HRC, IRC, and WRC believes our community is best served by the open exchange of information and opinions. We are committed to providing mechanisms for the resolution of problems and complaints when they arise. There are a number of formal processes that have been established for handling appeals and complaints.

All Regional Centers will need a clear and concise statement of the improper activity and any evidence you have to support the allegation. If you do not provide a name or other information (witnesses or documents) that clearly identifies the person you are alleging has acted improperly, and the regional center or vendor/contractor where that person works, Regional Centers may not have sufficient information to investigate. Copies of documents, rather than originals, should be submitted, as they cannot be returned. Although complaints may be filed anonymously, if insufficient information is provided and the Regional Center has no means to contact you, they may not be able to investigate your allegations.

Policy:

Definition of Arc Mid-Cities or Vendor/Contractor Whistleblower Complaints:

Arc Mid-Cities or Vendor/Contractor Whistleblower complaints are defined as the reporting of an “improper Arc Mid-Cities or vendor/contractor activity”.

- An “improper Arc Mid-Cities activity” means an activity by Arc Mid-Cities or an employee, officer, or board member of Arc Mid-Cities, in the conduct of Arc Mid-Cities business, that is in a violation of a state or federal law or regulation; violation of contract provisions; fraud or fiscal malfeasance; misuse of government property; or constitutes gross misconduct, incompetency, or inefficiency.
- An “improper vendor/contractor activity” means an activity by a vendor/contractor or an employee, officer, or board member of a vendor/contractor; in the provision of the Department of Developmental Services (DDS) funded services, that is in violation of a state or federal law or regulation; violation of contract provisions; fraud or fiscal malfeasance; misuse of government property; or constitutes gross misconduct, incompetency, or inefficiency.

Complaint may be filed with Arc Mid-Cities staff by contacting:

Executive Director-Arc Mid-Cities, 14208 Towne Ave., L.A., CA 90061, (310)329-9272

jbwagone@arcmidcities.org, Fax (310)323-3839

Director, Quality Assurance – thood@arcmidcities.org, (310)329-9272,

Fax (310)323-3839

Human Resources Director – scunningham@arcmidcities.org, (310)329-9272, Fax (310)323-3839

Complaints may also be filed with The Regional Center

South Central Regional Center complaints maybe filed with staff by contacting:

Executive Director – South Central Los Angeles Regional Center

650 W. Adams Blvd.

Los Angeles, CA 90007

dexterh@sclarc.org

Phone: 213-744-8412

Director, Community Services

marshamb@sclarc.org

Phone: 213-743-3061,

Fax 213-744-8494

Chief, Community Services

kimb@sclarc.org

Phone: 213-744-8452

Human Resources Director

jamesf@sclarc.org

213-744-8425

Fair Hearing Manager

karmellw@ssclarc.org

213-744-8899

Harbor Regional Center complaints maybe filed with staff by contacting:

Executive Director,
Harbor Regional Center,
21231 Hawthorne Boulevard, Torrance, CA 90503
(310) 543-0630
pat.delmonico@harborrc.org

Compliance Officer,
(310) 543-0625
judy.wada@harborrc.org

Director of Human Resources,
(310) 543-0602
tammy.carter@harborrc.org

Violations may be reported to the President of the Harbor Regional Center Board at any time as follows:

- By letter directed to HRC Board President, c/o Jennifer Lauro, Board Assistant, 21231 Hawthorne Boulevard, Torrance, CA 90503

By email at: boardpresident@harborrc.org

Orange County Regional Center complaints maybe filed with:

By mail:

Address envelope to:
Custodian of Records
PO Box 22010
Santa Ana, CA 92701-2010

By inter-office mail:

Place the written complaint in an inter-office mail envelope and address it to the attention of Custodian of Records

By email:

Send to Custodian of Records at custofrecords@rcocdd.com.

Each whistleblower complaint shall be logged on the Whistleblower Complaint Tracking Form by the Custodian of Records. The person forwarding a complaint to the Custodian of Records shall note on the complaint:

- the date of receipt,
and the date of submission to Custodian of Records.

All whistleblower complaints will be kept confidential to the extent practicable within the legitimate needs of law and any ensuing evaluation or investigation.

Inland Regional Center complaints maybe filed with:

The Executive Directors may be contacted at:

Lavinia Johnson
Executive Director
Inland Regional Center 1365 S. Waterman Avenue San Bernardino, CA 92408
Office: (909) 890-3400 Fax: (909) 890-3495
<https://inlandrc.seamlessdocs.com/f/IRCWhistleExec>

Kevin Urtz
Associate Executive Director
Office: (909) 890-3400 Fax: (909) 890-3495
<https://inlandrc.seamlessdocs.com/f/IRCWhistleExec> ii.

The Human Resources Department may be contacted at:
HR Manager Inland Regional Center
1365 S. Waterman Avenue San Bernardino, CA 92408
Office: (909) 890-3450 Fax: (909) 890-3352
<https://inlandrc.seamlessdocs.com/f/IRCWhistleHRMgr> iii.

The IRC Board of Trustees Executive Committee may be contacted at:
<https://inlandrc.seamlessdocs.com/f/IRCWhistleBoard>

Westside Regional Center complaints maybe filed with:

Executive Director, Michael Danneker
5901 Green Valley Circle, Suite 230, Culver City, CA 90230
(310) 258-4100, fax (310) 649-2033
mike@westsiderc.org

Community Services Director, Mary Lou Weise-Stusser
(310) 258-4042, fax (310) 649-1312
marylou@westsiderc.org

Human Resources Director, Denise H. Fernald
(310) 258-4105, fax (310) 258-4280
denisef@westsiderc.org

Complaints may also be filed with DDS contacting:

- Community Operations Division (916) 654-1958, Fax (916) 654-1987, 1600 9th Street, Room 320, MS3-9, Sacramento, CA 95814

Filing a Complaint with the Board of Directors:

A complaint may also be filed with President of Arc Mid-Cities Board of Directors by contacting: cole.coledennis@gmail.com

1. Reporting Responsibility

[Revised 12-6-17sc]

This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns internally so that Arc Mid Cities can address and correct inappropriate conduct and actions. It is the responsibility of all board members, officers, employees and volunteers to report concerns about violations of Arc Mid Cities code of ethics or suspected violations of law or regulations that Arc Mid Cities operations.

2. No Retaliation

It is contrary to the values of Arc Mid Cities for anyone to retaliate against any board member, officer, and employee or volunteer who in good faith reports an ethics violation, or a suspected violation of law, such as a complaint of discrimination, or suspected fraud, or suspected violation of any regulation governing the operations of Arc Mid Cities. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable consumers, families, service providers, agencies, community members, and Arc Mid-Cities staff to report serious concerns within Arc Mid-Cities prior to seeking resolution outside of the agency.

3. Reporting Violations

Arc Mid Cities has an open door policy and suggests that board members, directors, officers, employees, and families/parents share their questions, concerns, suggestions or complaints, or evidence of wrongdoing, with someone who can address them properly. In most cases, an employee's supervisor is in the best position to address an area of concern. However, if an employee is not comfortable speaking with his/her supervisor or the employee is not satisfied with his/her supervisor's response, he/she is encouraged to speak with someone in the Human Resource Department or anyone in management whom he/she is comfortable in approaching. Supervisors and managers are required to report complaints or concerns about suspected ethical and legal violations in writing to Arc Mid Cities Human Resources Director or Quality Assurance Director, who has the responsibility to investigate all reported complaints and will determine if referral is needed to the Executive Boards Member Committee, who have specific and exclusive responsibility to investigate all reported violations. For suspected fraud, or when a person is not satisfied or uncomfortable with reporting to the aforementioned people, or following Arc Mid-Cities open door policy, individuals should contact Arc Mid-Cities Executive Board Member Committee directly.

4. HR Director & Quality Assurance Director

Arc Mid Cities Human Resource Director and the Quality Assurance Director are responsible for ensuring that all complaints about unethical or illegal conduct are investigated and resolved. The Human Resource Director will advise the Executive Director and/or the Board of Directors of all complaints and their resolution and will report at least annually to the Treasurer/Chair of the Finance Committee/Audit Committee on compliance activity relating to accounting or alleged financial improprieties.

5. Accounting and Auditing Matters

Arc Mid Cities Executive Director shall immediately address all reported concerns or complaints regarding corporate accounting practices, internal controls or auditing. The Executive Director shall immediately notify Boards of Directors of any such complaint and work until the matter is resolved.

6. Acting in Good Faith

Anyone filing a written complaint concerning a violation or suspected violation must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

7. Confidentiality

Arc Mid-Cities will do everything possible to maintain the confidentiality of a complainant making a whistleblower complaint if the complainant requests confidentiality. However, in the rare circumstances where Arc Mid-Cities is unable to maintain confidentiality due to its statutory responsibilities (including ensuring the health and safety of consumers and Arc Mid-Cities contact compliance), Arc Mid-Cities will attempt to inform the complainant of its need to disclose certain information prior to releasing identifying information. Additionally, the identity of the complainant may be revealed to appropriate law enforcement agencies conducting a criminal investigation. All mandatory abuse reporting requirements will remain in effect as an exception to confidentiality.

8. NOTIFICATION OF WHISTLE BLOWER POLICY

Arc Mid-Cities will notify employees, board members, consumers, families, of both Arc Mid-Cities and the State Whistleblower policy within 30 days of Arc Mid-Cities effective date and annually thereafter by the following manner:

- Employees will receive and receive an initial attachment of the policy when hired. Subsequently, employees will be reminded of the policy existence at the time they sign their annual performance evaluation policy review statement.
- Board Members will receive copies of the policies in their Board Packets and they will also receive an update during Arc Mid-Cities annual board meeting.
- Consumers and families will receive a hard copy with their annual reviews.
- The Whistleblower Policy will be added to Arc Mid-Cities external website located at www.arcmidcities.org.

9. Handling of Reported Violations

Arc Mid-Cities Executive Director or Human Resource Director will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

Arc Mid-Cities, Inc., reserves the right to employ its legal counsel in order to facilitate the investigation of complaints lodged against Arc Mid-Cities, its vendors or its staff.

Employee Printed Name

Employee Signature/Date

HR Department Representative/Date



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WHISTLEBLOWER POLICY RECIEPT ACKNOWLEDGEMENT

Arc Mid-Cities must ensure that its employees receive a copy of its whistleblower Policy on an annual basis. A copy of the Board approved policy is attached to this document. After reading he policy, please complete this acknowledgement and return it to Arc Mid-Cities.

My signature serves as acknowledgement that I have received a copy of Arc Mid-Cities whistleblower policy. I will share this information with staff and maintain a copy of the policy in my file for future reference.

Program Name: Arc Mid-Cities

Employee Print Name

Signature/Date

HR Department Signature/Date

