

SYSTEMS EVALUATION PACKAGE

A REVIEW  
OF

STATE OF CALIFORNIA  
DEPARTMENT OF DEVELOPMENTAL SERVICES

MARCH 1982

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## PREFACE

The Systems Evaluation Package (SEP) was developed to provide the State of California, the Department of Developmental Services, and the contracting agency with a common instrument for measuring regional center operations. The intent is to assure uniformity and consistency in the monitoring of management and operational efficiency, as well as the quality of services provided to those persons eligible for developmental services. The legal basis for such evaluation is found in Welfare and Institutions (W&I) Code Sections 4501, 4629(f), and 4752.

The State service program for persons with special developmental needs is based upon legislation which defines a particular methodological approach. The approach is empirical in nature. It presumes that understanding the individual and his needs is possible; that from this understanding a set of hypotheses or expectations of change can be developed; and that a specific plan of intervention can be conceptualized that, when implemented, has a high probability of achieving the predicted change.

The statute further provides for a person whose function it is to assure that the activity plan is implemented and for the evaluation of both this person's effectiveness in assuring the plan implementation and the plan effectiveness in achieving the predicted change. The statute anticipates one of two consequences if the plan is implemented:

1. The predicted change will occur, resulting in the need for an update of the assessment and the development of a new set of expectations and a plan for achieving them; or
2. the predicted change will not occur, requiring a reassessment of the individual, his developmental needs, the services provided, and modification of his program plan.

The SEP criteria reflect the methodological approach at both the organizational and client levels.

The SEP employs a document review/interview methodology which is designed to evaluate various aspects of regional center operations. Some criteria are derived from law, regulation, and the State of California/Regional Center contract; others from the Standards for Services for Developmentally Disabled Individuals (ACMRDD). The former are defined as required criteria, and the citations on which they are based are indicated. The required criteria are further identified as those criteria which refer to actions or conditions that are specifically referenced in law or code and those criteria that are necessary to meet the requirements of the law although the specific actions or conditions of the criterion are not specified in law or code. The latter are indicated by an asterisk accompanying the citation(s). The citations of this latter group are those parts of the law upon which the determination of necessity is based. It should be noted that although the required criteria are of prime importance, the sum total of criteria equates to optimal center operations.

SECTION 1. ADMINISTRATION

1.1 PHILOSOPHY

Preface

A philosophy is a theoretical or conceptual framework of basic beliefs and values. The regional center's philosophy is reflected in its goals, objectives and policies, and the methodology used to achieve them. The philosophy sets forth the regional center's conception of its purpose and its role within the community and within the statewide system of services for persons eligible for developmental services.

<u>Criteria</u>		<u>Findings</u>	
		C	N/C
1.1.1	There is a written statement of the philosophy of the regional center. (W&I Code 4501, 4620)*	—	—
1.1.2	The statement of the philosophy is consistent with the intent of the Lanterman Act. (W&I Code 4620)*	—	—
1.1.3.	The statement of philosophy is approved by the contracting agency, or by the Program Policy Committee when this committee is required by the Welfare and Institutions Code. (W&I Code 4620, 4623)*	—	—

Number of Required Items:            3            Compliance \_\_\_\_\_            Percent \_\_\_\_\_

SECTION 1. ADMINISTRATION

1.2.5 The statement of goals is reviewed and updated as appropriate but at least annually. (W&I Code 4620, 4501, Par. 5)\*

— —

1.2.6 There is a written procedure which, in practice, provides for obtaining input from staff, consumers and interested community members in the development of regional center goals.

— —
-----

1.2.7 The statement of goals is distributed to all regional center personnel.

— —
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1.2.8 The statement of goals is distributed to the community.

— —
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SECTION 1. ADMINISTRATION

1.3 OBJECTIVES

Preface

It is the intent of the Legislature that expenditures on State programs for persons eligible for developmental services shall have measurable and desirable results. Objectives translate goals (statements of intended accomplishments) into measurable units. Objectives specify and quantify the agency goals. As objectives direct and constrain the center's activity, there will be an objective or objectives for each element of program or service.

<u>Criteria</u>	<u>Findings</u>	
	<u>C</u>	<u>N/C</u>
1.3.1 There is a written statement of client-related program objectives. (W&I Code 4501, 4650, 4750)	—	—
1.3.2 The statement of objectives is derived from the philosophy and goals of the regional center. (W&I Code 4620, 4750)*	—	—
1.3.3 The written program objectives are specific. (W&I Code 4631(b), 4750)*	—	—
1.3.4 The written program objectives are measurable. (W&I Code 4631(b), 4750)*	—	—

SECTION 1. ADMINISTRATION

1.3.10 There is a written procedure which, in practice, provides for obtaining the input from staff, consumers and interested community members in the development of regional center objectives.

___	___
-----	-----

1.3.11 The statement of objectives is distributed to all regional center personnel.

___	___
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Number of Required Items: 9 Compliance \_\_\_ Percent \_\_\_

Number of Recommended Items: 

2
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 Compliance \_\_\_ Percent \_\_\_

Recommended criteria are indicated by the findings being within a box.

SECTION 1. ADMINISTRATION

<u>Criteria</u>	<u>Findings</u>	
	C	N/C
1.4.2 The organizational structure provides for a governing board, or Program Policy Committee, responsible for policy-making functions. (W&I Code 4620, 4621, 4622, 4623, 4624, 4625; State Contract)	---	---
1.4.3 The governing board or Program Policy Committee is composed of individuals who collectively meet the requirements of W&I Code Section 4622(a) through (e) or 4623, as appropriate.	---	---
1.4.4 Members of the governing board or Program Policy Committee are not permitted to serve longer than six consecutive years. (W&I Code 4622(f))	---	---
1.4.5 In order to prevent potential conflicts of interest, no member of the governing board or Program Policy Committee is an employee of the Department of Developmental Services, State Council, Area Board, or has a financial interest in center operations except as a consumer. (W&I Code 4626)	---	---

SECTION 1. ADMINISTRATION

1.5 FINANCIAL ADMINISTRATION

Preface

The budget process should begin with identification of program elements. These elements should be based upon the needs of the constituency being served. It should be determined in what operational manner the program elements are best performed. Unit costs per program element should be computed and line items. Financial records and service statistics should be maintained to assist in this process.

Criteria

Findings  
C N/C

1.5.1	The regional center has a documented budget development procedure. (W&I Code 4648(d), 4631)*	—	—
1.5.2	There is an annual plan/program budget which is consistent with the center's goals and objectives. (W&I Code 4650, 4776)	—	—
1.5.3	Procedures specified in the contract are followed in regard to advance payments. (W&I Code 4621; State Contract)	—	—

SECTION 1. ADMINISTRATION

1.5.9 There is a written policy which, in practice, accounts for the acceptance of gifts and bequests. (State Contract; Regional Centers Operations Manual Section 3805)

— —

1.5.10 The center has a documented procedure for vendorization. (RCOM Appendix XX)

— —

1.5.11 The regional center has a procedure for claiming which is consistent with Department instructions concerning the appropriate service code and appropriate program code. (State Contract)

— —

1.5.12 The written authorization process and billing schedule for purchase of service funds is disseminated to all vendors.

— —

1.5.13 The regional center budget procedure provides for community input.

— —

## SECTION 1. ADMINISTRATION

### 1.6 PUBLIC INFORMATION AND EDUCATION

#### Preface

This program involves the preparation and dissemination of information for the purpose of developing community awareness of the nature, cause and needs of the individual eligible for developmental services. The regional center is also responsible for informing individuals with developmental disabilities and their families of the services available to them.

	<u>Criteria</u>	<u>Findings</u>	
		<u>C</u>	<u>N/C</u>
1.6.1	The regional center has documentation of joint efforts with the local area board to inform the public of available services and unmet needs. (W&I Code 4649)	---	---
1.6.2	The center has a planned program of public information and education. (W&I Code 4649)*	---	---
1.6.3	The regional center provides materials and education programs to interested agencies and community groups. (W&I Code 4649)*	---	---

## SECTION 1. ADMINISTRATION

### 1.7 EVALUATION

#### Preface

Evaluation practices are also referred to in other areas of the Systems Evaluation Package. These should be incorporated in the overall program of evaluation. As evidenced in the criteria, evaluation should encompass both the operation as a whole and specific elements and services. Evaluation is the process of determining the effectiveness of current practices and procedures.

#### Criteria

#### Findings C N/C

1.7.1	The regional center has identified an individual who is primarily responsible for a continuous evaluation of the regional center's program operations. (W&I Code 4501, 4631(b))	—	—
1.7.2	The regional center has a written procedure for determining Client Program Coordinator effectiveness. (W&I Code 4648(a))	—	—
1.7.3	The regional center has a written procedure for determining delegate agency Client Program Coordinator effectiveness. (W&I Code 4648(a))	—	—
1.7.4	The regional center has a written procedure for determining parent program coordinator effectiveness. (W&I Code 4648(a))	—	—

SECTION 1. ADMINISTRATION

Number of Required Items: 8 Compliance \_\_\_\_\_ Percent \_\_\_\_\_

Number of Recommended Items: 1 Compliance \_\_\_\_\_ Percent \_\_\_\_\_

Recommended criteria are indicated by the findings being within a box.

SECTION 2. PROGRAMMING

2.1 RESOURCE DEVELOPMENT AND INTERACTION

Preface

The Lanterman Developmental Disabilities Services Act gives the regional center a unique responsibility to persons eligible for developmental services. Because of this unique responsibility, the center must actively participate in the development of the service system as well as assure client access to services, generic and specific. The fulfillment of this responsibility requires agreements and liaison with other agencies; encouraging the development of missing services; and providing consultation and technical assistance to individuals and organizations to initiate and improve services.

Criteria

Findings  
C N/C

2.1.1	The regional center has written working agreements with local service agencies which are consistent with any existing Department of Developmental Services agreements. (State Contract)	---	---
2.1.2	The regional center maintains liaison activities with local service agencies which provide services for mutual clients. (W&I Code 4648(d); State Contract)	---	---
2.1.3	Except in emergency situations, the regional center does not provide direct treatment and therapeutic services but utilizes appropriate public and private agencies, facilities and service providers to obtain such services for its clients. (W&I Code 4648(d)(4))	---	---

2.1.8 The regional center actively participates in the development of service agency applications for various grants.

--

Number of Required Items: 7 Compliance \_\_\_\_\_ Percent \_\_\_\_\_

Number of Recommended Items: 

1
---

 Compliance \_\_\_\_\_ Percent \_\_\_\_\_

Recommended criteria are indicated by the findings being within a box.

SECTION 2. PROGRAMMING

2.1.8 Studies and demonstration projects are conducted which contribute to improvement of administrative procedures, program methods and services. (W&I Code 4631(b), 4651)\*

—	—
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Number of Required Items: 6 Compliance \_\_\_ Percent \_\_\_

Number of Recommended Items: 

2
---

 Compliance \_\_\_ Percent \_\_\_

Recommended criteria are indicated by the findings being within a box.

SECTION 2. PROGRAMMING

- 2.2.4 Facility records contain documentation that a single regional center person has been assigned as primary liaison to the facility and has reviewed with the facility administrator during the last quarter the quality and efficiency of the facility program. (W&I Code 4647(b), 4743, 4745) \_\_\_\_\_
- 2.2.5 Any deficiencies or negative findings are confirmed in writing to the facility operator within 48 hours after the oral notice. (W&I Code 4745) \_\_\_\_\_
- 2.2.6 The program Purchase of Service authorizations are consistent with the regional center encumbrance journal. (W&I Code 4631(a)) \_\_\_\_\_
- 2.2.7 The facility has a current license to provide the required service as identified in the client(s) IPP. (W&I Code 4648; State Contract; RCOM 3006) \_\_\_\_\_

## SECTION 3. PERSONNEL

### 3.1 PERSONNEL PRACTICES

#### Preface

A regional center's ability to attract and retain qualified staff, maintain morale and ensure equitable application of procedures and treatment of employees is reflected in its personnel practices.

Personnel practices reflect the implementation or lack of implementation of policies and procedures approved by the governing board, formalized in writing, and made available to all employees.

#### Criteria

#### Findings C N/C

3.1.1	There is a manual of personnel policies and procedures. (State Contract; RCOM 3402)	___	___
3.1.2	The manual includes policies and procedures relating to personnel functional areas. (State Contract; RCOM 3402)	___	___
3.1.3	There is a job specification for each position which includes a description of the typical tasks performed and the minimum qualifications for the position. (State Contract)	___	___

SECTION 3. PERSONNEL

- 3.1.9 A procedure for dismissal is clearly defined. (State Contract; RCOM 3402) \_\_\_
  
- 3.1.10 An employee grievance procedure is clearly defined. (State Contract; RCOM 3402) \_\_\_
  
- 3.1.11 There is a written description of employee benefits. (State Contract; RCOM 3402) \_\_\_
  
- 3.1.12 The personnel policies and procedures are approved by the contracting agency, or by the Program Policy Committee when this committee is required by W&I Code 4623. (W&I Code 4620, 4621) \_\_\_
  
- 3.1.13 The roster of all regional center personnel is consistent with the current position salary report on file with the Department. (State Contract; RCOM 3410) \_\_\_

SECTION 3. PERSONNEL

3.2 VOLUNTEERS

Preface

A volunteer services program is an organized and supervised activity in which the varied skills of unpaid personnel are utilized to support, supplement and expand the efforts of paid staff. The use of community expertise through volunteers can increase regional center capabilities, provide an effective outreach/referral program and facilitate positive relationships between the regional center and the community it serves.

	<u>Criteria</u>	<u>Findings</u>	
		<u>C</u>	<u>N/C</u>
3.2.1	The regional center has an active volunteer program. (W&I Code 4651, 4652)*	—	—
3.2.2	The regional center has policies and procedures governing parents' performance as client program coordinators. (W&I Code 4648(a))	—	—
3.2.3	There are policies and procedures governing the volunteer program.	— —	

Number of Required Items:            2            Compliance \_\_\_\_\_            Percent \_\_\_\_\_

Number of Recommended Items:    1            Compliance \_\_\_\_\_            Percent \_\_\_\_\_

Recommended criteria are indicated by the findings being within a box.

SECTION 3. PERSONNEL

3.3.4 The Affirmative Action Plan provides for a discrimination complaint process. (State Contract)

— —

3.3.5 The Affirmative Action Plan provides for an annual report to the contracting agency, or to the Program Policy Committee when this committee is required by Welfare and Institutions Code Section 4623, of the center's effectiveness in implementing the Plan and current status in regard to ethnic composition of staff. (W&I Code 4620, 4621)

— —

3.3.6 The Affirmative Action Plan provides for making the discrimination complaint process known to all employees. (State Contract)

— —

3.3.7 The center has a training program concerning affirmative action issues and goals for all individuals who make hiring decisions.

— —

## SECTION 4. SPACE AND EQUIPMENT

### 4.1 MANAGEMENT OF SPACE AND EQUIPMENT

#### Preface

Efficient and systematized space and equipment management involves securing adequate space and utilizing a preventative maintenance system. Facilities must also be physically accessible.

#### Criteria

#### Findings C N/C

- |       |   |      |      |
|-------|---|------|------|
| 4.1.1 | All regional center office leases entered into after <u>July 1, 1981</u> contain provisions to hold the State harmless and provide documentation that the rental rate is within fair market value for the area.<br>(State Contract) | ____ | ____ |
| 4.1.2 | Main and field offices are free of all architectural barriers and/or other arrangements are made to make the services accessible to disabled persons.<br>(W&I Code 4620; State Contract)  | ____ | ____ |
| 4.1.3 | Regional center equipment purchased by State funds has a State seal bearing the registered number matched on the equipment inventory indicating State of California ownership.<br>(State Contract: RCOM 3008(3))                    | ____ | ____ |

SECTION 5. REGIONAL CENTER SERVICE OPERATIONS

5.1 FAIR HEARING

Preface

The regional center is responsible for developing and maintaining a system that assures the individual rights of persons eligible for developmental services in relation to the center's function. Services provided include but are not limited to those which promote the understanding of human rights, monitoring program performance, providing assistance and guidance to clients in exercising their rights.

Criteria

Findings  
C N/C

5.1.1	The regional center has a fair hearing procedure for resolving conflicts between the center and consumers or potential consumers. (W&I Code 4700)	___	___
5.1.2	The fair hearing procedure is prominently displayed on regional center premises. (W&I Code 4700)	___	___
5.1.3	The fair hearing procedure provides for oral and written notification to all regional center clients and prospective clients regarding the center's fair hearing procedure in a language which they can comprehend. (W&I Code 4700)	___	___
5.1.4	The regional center provides assistance as requested or required to any consumer or potential consumer making an oral request for a fair hearing. (W&I Code 4701(a))	___	___

SECTION 5. REGIONAL CENTER SERVICE OPERATIONS

- 5.1.10 The fair hearing procedure provides for a stenographic or recorded record of the proceedings before the Appeals Board at regional center expense. (W&I Code 4707) \_\_\_
  
- 5.1.11 The regional center fair hearing procedure provides for a written decision by the Appeals Board within 15 days of the submission of all evidence and arguments before the Board. (W&I Code 4708, 4709) \_\_\_
  
- 5.1.12 The regional center fair hearing procedure provides for Appeals Board hearings to be open to the public except when personnel matters are being reviewed. (W&I Code 4710) \_\_\_
  
- 5.1.13 The regional center fair hearing procedure provides for the submission of fair hearing decisions to the responsible State agency for review in the event that either party disagrees with the decision of the Appeals Board. (W&I Code 4715) \_\_\_

Number of Required Items: 13      Compliance             Percent

SECTION 5. REGIONAL CENTER SERVICE OPERATIONS

- 5.2.3 A list of rights is conspicuously posted in English and Spanish in each living area serving persons with a developmental disability. (W&I Code 4503; CAC Title 17, Section 50520) \_\_\_\_\_
  
- 5.2.4 The posted clients rights contain the name, address and telephone number of the Clients Rights Advocate (W&I Code 4503; CAC Title 17, Section 50520(a)(1) and 50520(b)(1)) \_\_\_\_\_
  
- 5.2.5 A written notice of the individual's rights has been sent to the resident's parents, guardian, conservator or legally authorized personal representative. (CAC Title 17, Section 50520) \_\_\_\_\_
  
- 5.2.6 The regional center has a procedure concerning seclusion and restraints which is consistent with the Department guidelines on aversive techniques. (W&I Code 4502; CAC Title 17, Section 50530) \_\_\_\_\_
  
- 5.2.7 The regional center documents its investigation of alleged violation of each individual's denied rights. (W&I Code 4504; CAC Title 17, Section 50540) \_\_\_\_\_
  
- 5.2.8 The regional center has an established written procedure for internal documentation of special incidents involving regional center clients. (W&I Code 4648(c)) \_\_\_\_\_

## SECTION 5. REGIONAL CENTER SERVICE OPERATIONS

### 5.3 CASE FINDING

#### Preface

Case finding is the process of systematically reaching into the community to identify individuals who require services which are, or should be available within the service delivery system. This responsibility is not limited to identifying individuals who require services provided by the regional center, but also includes assuring generic service availability.

<u>Criteria</u>	<u>Findings</u>	
	C	N/C
5.3.1 The regional center has a written case finding policy. (W&I Code 4641)	___	___
5.3.2 The regional center has a written case finding procedure. (W&I Code 4641)	___	___
5.3.3 The regional center has a written plan of outreach to provide services to specific populations within the catchment area as identified by the center's management. (W&I Code 4641)	___	___
5.3.4 Notification of the availability of services occurs in English and any other language which is appropriate to the service area. (W&I Code 4641)	___	___

Number of Required Items:            4                    Compliance \_\_\_\_\_            Percent \_\_\_\_\_

SECTION 5. REGIONAL CENTER SERVICE OPERATIONS

5.5 ASSESSMENT PROCESS

Preface

Assessment is the process whereby the regional center collects and evaluates comprehensive data from multidisciplinary sources to determine an applicant's eligibility. Further, assessment is the basis of the understanding resulting from this planning to meet the individual needs of the eligible client.

	<u>Criteria</u>	<u>Findings</u>	
		<u>C</u>	<u>N/C</u>
5.5.1	The regional center has a written assessment policy. (W&I Code 4633)*	---	---
5.5.2	The regional center has a written assessment procedure. (W&I Code 4643)*	---	---
5.5.3	The assessment procedure provides that when assessment culminates in a decision of eligibility, the developmental disability and substantial handicap are documented. (W&I Code 4512(a); CAC Title 17, Section 54010)	---	---
5.5.4	The regional center assessment procedure, in practice, includes documented multidisciplinary assessment of the potential client. (CAC Title 17, Section 54001(c))	---	---

Percent Compliance

Medical Evaluation  
 Psychological Evaluation  
 Social Evaluation

SECTION 5. REGIONAL CENTER SERVICE OPERATIONS

5.6 CASE MANAGEMENT

Preface

The purpose of this Section is to examine the contents of the client records as an indicator of case management activities of each agency. A random sample of case records will be drawn from the regional center's total active caseload, excluding state hospital and prevention cases. Since the sample size is based on the total number of active case records, it cannot discriminate between branch offices or the performance of individual case managers. A trend sample of state hospital cases and prevention cases will also be reviewed.

<u>Criteria</u>	<u>Percent Compliance</u>
5.6.1 Each record has a completed personal data form. (IPP Manual, Section VIII(7)(a))	_____
5.6.2 Each record contains a completed Client Development Evaluation Report (CDER). (W&I Code 4629(f), 4646(a) and (d))	_____
5.6.3 All regional center client records exhibit written documentation that the client is diagnosed as being developmentally disabled and substantially handicapped. (W&I Code 4512; CAC Title 17, Sections 54000, 54001)	_____

	<u>Percent Compliance</u>
DD Diagnosis	_____
Substantial Handicap	_____

SECTION 5. REGIONAL CENTER SERVICE OPERATIONS

- 5.6.10 The IPP includes a schedule of the types and amounts of services needed to achieve program plan objectives. (W&I Code 4646(c)) \_\_\_\_\_
  
- 5.6.11 The IPP includes the identification of the provider or providers of service responsible for attaining each objective. (W&I Code 4646(c)) \_\_\_\_\_
  
- 5.6.12 All current Purchase of Service authorizations are identified in the client's current IPP. (W&I Code 4648(b)) \_\_\_\_\_
  
- 5.6.13 Regional center funds are not used to supplant the budget of any agency which has a legal responsibility to serve all members of the general public and is receiving fundings for providing such services. (W&I Code 4648(b)) \_\_\_\_\_
  
- 5.6.14 The renewal for purchasing a particular service from a particular vendor is based upon the vendor's documented success in achieving the objectives identified in the IPP. (W&I Code 4648(b)) \_\_\_\_\_

5.6.19 The regional center investigates every appropriate and economically feasible alternative within the region for the care of persons with special developmental needs. (W&I Code 4652)

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## SECTION 6. CONSUMER SATISFACTION

### Preface

Section 4620 of the Welfare and Institutions Code delineates that the network of regional centers for persons with developmental disabilities and their families be accessible to every family in need of regional center services. Section 4648 (b) and (d) further defines the quality of those services by admonishing that no service be continued unless the regional center, the client and, as appropriate, the client's guardian agree the services have been effective in reaching the Individual Program Plan (IPP) objectives. Further, the regional center is mandated to expand the availability of services of good quality and to identify services of poor quality. The center is also responsible to provide or secure technical assistance for any agency identified as needing to upgrade the quality of its programs.

An important aspect in identifying the quality and effectiveness of services is through the consumers' perceptions of the adequacy of those services. This data can be obtained through interviewing a sample of consumers within the regional center jurisdiction to determine their experiences with regional center services.

This data collection approach has been addressed in the ARCA Task Force report of June 19, 1980, which recommended that the Systems Evaluation Package include "Interviews with consumers, vendors, board members, and other significant service system...". Such interviews are generally conducted by written questionnaire, mailings, or a standardized person-to-person interview format.

There are three distinct population groups which interface with regional center services: clients or parents/guardians, vendors (service providers) and related generic agencies. From the collected data, descriptive statistics can be drawn which will give a general indication of how each group perceives the accessibility and adequacy of regional center services.

## SECTION 7. PLAN OF CORRECTIVE ACTION PROCEDURE

- A. Three weeks following the SEP Exit Interview, the regional center will receive a final copy of the findings of the Monitoring Team. The regional center will then have one week to do a preliminary review.
- B. At the end of that time, staff from the Department's Community Operations and Monitoring Branches will contact the regional center to review the format and content required for the Plan of Corrective Action.
- C. The regional center will then have 30 days in which to prepare and submit to DDS a formal response to the SEP. The response will address each legally mandated criteria that is found deficient, using the following format:
  1. The number and statement of criteria being addressed.
  2. Regional center comment on the SEP recommendation(s).
  3. Specific action plan including measurable objectives, target dates for completion, plan of activities, and identification of the regional center unit and/or staff person directly responsible.
- D. The Plan of Corrective Action submitted by the regional center becomes part of the final SEP report. The release of the SEP as a public document occurs five weeks after the regional center receives the Monitoring Team's report. This is true regardless of whether the Plan of Corrective Action has been received and accepted by DDS (see attached Flow Chart and Distribution Policy).
- E. The Community Monitoring Branch Review Team Leader and the appropriate Community Operations Branch Liaison person will analyze the regional center's Plan of Corrective Action for appropriateness and completeness. Concerns will be communicated in writing to the Regional Center Director and his/her board by the regional center liaison analyst. The Community Operations Branch Analyst is responsible for working with the designated center staff and monitoring the implementation of the corrective action plan.
- F. Approximately ninety days following the release of the SEP to the public, Community Operations Branch staff will conduct a follow-up review to ascertain Plan of Corrective Action implementation status. A written report will be submitted to the center. This report becomes a public document two weeks following receipt by the regional center board. Subsequent follow-up is done by the Community Monitoring Branch as required to identify whether appropriate corrective actions have been implemented. Written reports on findings will be provided to DDS Administration and the regional center. Follow-up activities related to the SEP and Plan of Corrective Action can include:
  1. Distribution of Department generated operations manuals such as the IPP Manual and application of the related training package pertaining to deficit areas.

FACILITY SITE VISIT REPORT

Criteria

Findings  
C N/C

The case records at the community program are appropriate.

— —

NUMBER OF CASES REVIEWED										
Data Base					Program Plan		POS	Program Reports		

The case records at the community facility contain a program plan which is consistent with a current regional center Individual Program Plan (IPP).

— —

The client's facility case record contains documentation that the regional center or delegate agency Client Program Coordinator monitors the client in his/her program in accord with case leveling or at least quarterly, during which the client's progress toward each of his/her IPP objectives is reviewed.

— —

Facility records contain documentation that a single regional center person has been assigned as primary liaison to the facility and has reviewed with the facility administrator during the last quarter the quality and efficiency of the facility program.

— —

## SYSTEMS EVALUATION PACKAGE SCORING PROCEDURE

### General

The Systems Evaluation Package (SEP) consists of six major review areas: Administration, Programming, Personnel, Space and Equipment, Regional Center Service Operations and Consumer Satisfaction. Each major review area is divided into sections pertaining to a specific element within the major area. Some sections consist of both required items and recommended items. Required items are based on laws and regulations; recommended items are based on nationally accepted standards (ACMRDD) and accepted good business practices.

A determination of compliance (C) or noncompliance (N/C) is made for each criteria. When a criterion is multifaceted and requires that findings regarding subtopics, multiple programs or multiple case records be summarized, the determination of compliance is reported as a percentage of total compliance. A total score is presented for each section for both required criteria and recommended criteria. Each major topic has a composite percentage of compliance for both required and recommended elements. No attempt is made to develop a composite percentage of compliance with the entire SEP instrument.

### Selection of Community Program Section

Six to ten community programs are visited to review service provision and to establish a trend of case record documentation. The trend establishes the level of regional center involvement in ensuring and documenting that services benefit/do not benefit the client. As several community programs are seen, the scoring is presented as a percentage of total compliance.

## SEP DISTRIBUTION POLICY

The following represents departmental policy regarding the distribution of the Systems Evaluation Package (SEP):

1. A SEP report becomes a public document after the Department of Developmental Services (DDS) has received a Plan of Corrective Action from the subject regional center, or if a plan is not submitted within six weeks after the report was mailed to the center.
2. External Requests

The local area board will receive from DDS one copy of the final SEP report without cost. All other requests should be directed to the subject regional center. If the regional center does not provide a copy, the Area Board can then request in writing a copy of the SEP from the Department's Community Monitoring Branch. The request must be in writing, directed to the Branch Manager.

The Branch will then transmit to the requestor forms DAS 43 and DSP 3 with duplication and postage cost information. Upon receipt of a completed form DAS 43 and check made payable to the Department of Developmental Services - 473-205, the report will be duplicated and forwarded to the requestor.