

**Far Northern Regional Center
Home and Community-based Services Waiver
Monitoring Review Report**

Conducted by:

**Department of Developmental Services
and
Department of Health Care Services**

March 10 - 14, 2014

TABLE OF CONTENTS

EXECUTIVE SUMMARY	page 3
SECTION I REGIONAL CENTER SELF ASSESSMENT	page 7
SECTION II REGIONAL CENTER CONSUMER RECORD REVIEW	page 10
SECTION III COMMUNITY CARE FACILITY RECORD REVIEW	page 17
SECTION IV DAY PROGRAM CONSUMER RECORD REVIEW	page 21
SECTION V CONSUMER OBSERVATIONS AND INTERVIEWS	page 24
SECTION VI	
A. SERVICE COORDINATOR INTERVIEWS	page 25
B. CLINICAL SERVICES INTERVIEW	page 27
C. QUALITY ASSURANCE INTERVIEW	page 29
SECTION VII	
A. SERVICE PROVIDER INTERVIEWS	page 31
B. DIRECT SERVICE STAFF INTERVIEWS	page 32
SECTION VIII VENDOR STANDARDS REVIEW.....	page 33
SECTION IX SPECIAL INCIDENT REPORTING.....	page 34
SAMPLE CONSUMERS AND SERVICE PROVIDERS/VENDORS	page 36

EXECUTIVE SUMMARY

The Department of Developmental Services (DDS) and the Department of Health Care Services (DHCS) conducted the federal compliance monitoring review of the Home and Community-based Services (HCBS) Waiver from March 10 – 14, 2014 at Far Northern Regional Center (FNRC). The monitoring team members were Mary Ann Smith, (Team Leader), Lisa Miller and Linda Rhoades from DDS, and Annette Hanson and Raylyn Garrett from DHCS.

Purpose of the Review

DDS contracts with 21 private, non-profit corporations to operate regional centers, which are responsible under state law for coordinating, providing, arranging or purchasing all services needed for eligible individuals with developmental disabilities in California. All HCBS Waiver services are provided through this system. It is the responsibility of DDS to ensure, with the oversight of DHCS, that the HCBS Waiver is implemented by regional centers in accordance with Medicaid statute and regulations.

Overview of the HCBS Waiver Programmatic Compliance Monitoring Protocol

The compliance monitoring review protocol is comprised of sections/components designed to determine if the consumers' needs and program requirements are being met and that services are being provided in accordance with the consumers' individual program plans (IPPs). Specific criteria have been developed for the review sections listed below that are derived from federal/state statutes and regulations and from Centers for Medicare & Medicaid Services directives and guidelines relating to the provision of HCBS Waiver services.

Scope of Review

The monitoring team reviewed a sample of 33 HCBS Waiver consumers. In addition, the following supplemental sample consumer records were reviewed: 1) three consumers whose HCBS Waiver eligibility had been previously terminated; and 2) Ten consumers who had special incidents reported to DDS during the review period of January 1, 2013 through December 31, 2013.

The monitoring team completed visits to five community care facilities (CCFs) and eight day programs. The team reviewed seven CCF and eight day program consumer records consumer records and interviewed and/or observed 30 selected sample consumers.

Overall Conclusion

FNRC is in substantial compliance with the federal requirements for the HCBS Waiver program. Specific recommendations that require follow-up actions by FNRC are included in the report findings. DDS is requesting documentation of follow-up actions taken by FNRC in response to each of the specific recommendations within 30 days following receipt of this report.

Major Findings

Section I – Regional Center Self Assessment

The self assessment responses indicated that FNRC has systems and procedures in place for implementing the state and HCBS Waiver requirements addressed in the self assessment criteria.

Section II – Regional Center Consumer Record Review

Thirty-three sample consumer records were reviewed for 31 documentation requirements (criteria) derived from federal and state statutes and regulations and HCBS Waiver requirements. Two criteria were rated as not applicable for this review.

The sample records were 99% in overall compliance for this review. FNRC's records were 99% in overall compliance for the collaborative reviews conducted in 2012 and in 2010.

Section III – Community Care Facility Consumer (CCF) Record Review

Seven consumer records were reviewed at five CCFs for 19 documentation requirements (criteria) derived from Title 17, California Code of Regulations. The sample records were 86%-100% in compliance for 16 applicable criteria. Three criteria were rated as not applicable for this review.

The sample records were 99% in compliance for this review. FNRC's records were 100% in overall compliance for the collaborative reviews conducted in 2012 and in 2010.

Section IV – Day Program Consumer Record Review

Eight consumer records were reviewed at eight day programs for 17 documentation requirements (criteria) derived from Title 17, California Code of Regulations. The sample records were 100% in overall compliance for 14 criteria. Three criteria were rated as not applicable for this review.

FNRC's records were 100% in overall compliance for the collaborative reviews conducted in 2012 and in 2010.

Section V – Consumer Observations and Interviews

Thirty sample consumers, or in the case of minors, their parents, were interviewed and/or observed at their CCFs, day programs, or in independent living settings. The monitoring team observed that all of the consumers were in good health and were treated with dignity and respect. All of the interviewed consumers/parents indicated that they were satisfied with their services, health and choices.

Section VI A – Service Coordinator Interviews

Six service coordinators were interviewed using a standard interview instrument. The service coordinators responded to questions regarding their knowledge of the consumer, the IPP/annual review process, the monitoring of services, health issues, and safety. The service coordinators were very familiar with the consumers and knowledgeable about their roles and responsibilities.

Section VI B – Clinical Services Interview

FNRC's Associate Director of Case Management was interviewed using a standard interview instrument. She responded to informational questions regarding the monitoring of consumers with medical issues, medications and behavior plans, the coordination of medical and mental health care for consumers, the provision of clinical supports to service coordinators, and the clinical team's participation in the Risk Management Assessment and Planning Committee.

Section VI C – Quality Assurance Interview

A resource development quality assurance specialist was interviewed using a standard interview instrument. She responded to informational questions regarding how FNRC is organized to conduct Title 17 monitoring reviews, verification of provider qualifications, resource development activities, special incident reporting, and QA activities where there is no regulatory requirement.

Section VII A – Service Provider Interviews

Four CCF and three day program service providers were interviewed using a standard interview instrument. The service providers responded to questions in the context of the sample consumers regarding their knowledge of the consumer, the annual review process and the monitoring of health issues, medications, progress, safety and emergency preparedness. The service providers were familiar with the consumers and knowledgeable about their roles and responsibilities.

Section VII B – Direct Service Staff Interviews

Four CCF and three day program direct service staff were interviewed using a standard interview instrument. The direct service staff responded to questions regarding their knowledge of consumers, the IPP, communication, service delivery, procedures for safety, emergency preparedness, and medications. The staff were familiar with the consumers and knowledgeable about their roles and responsibilities.

Section VIII – Vendor Standards Review

The monitoring team reviewed four CCFs and three day programs utilizing a standard checklist with 23 criteria that are consistent with HCBS Waiver requirements. All of the reviewed vendors were in good repair with no immediate health or safety concerns observed.

Section IX – Special Incident Reporting

The monitoring team reviewed the records of the 33 HCBS Waiver consumers and ten supplemental sample consumers for special incidents during the review period. FNRC reported all of the 32 of the 33 special incidents for the sample selected for the HCBS Waiver review. For the supplemental sample, the service providers reported nine of the ten incidents to FNRC within the required timeframes, and FNRC subsequently transmitted nine of the ten special incidents to DDS within the required timeframes. FNRC's follow-up activities were timely and appropriate for the severity of the situations for nine of the 10 consumer incidents.

SECTION I

REGIONAL CENTER SELF ASSESSMENT

I. Purpose

The regional center self assessment addresses the California Home and Community-based Services (HCBS) Waiver assurances criteria and is designed to provide information about the regional center's processes and practices. The responses are used to verify that the regional center has processes in place to ensure compliance with federal and state laws and regulations.

The self assessment obtains information about Far Northern Regional Center's (FNRC) procedures and practices to verify that there are processes in place to ensure compliance with state and federal laws and regulations as well as the assurances contained in the HCBS Waiver application approved by the Centers for Medicare & Medicaid Services.

II. Scope of Assessment

FNRC is asked to respond to questions in four categories that correspond to the HCBS Waiver assurances with which the regional center is responsible for complying. The questions are shown at the end of this section.

III. Results of Assessment

The self assessment responses indicate that FNRC has systems and procedures in place for implementing the state and HCBS Waiver requirements addressed in the self assessment criteria.

✓ The full response to the self assessment is available upon request.

Regional Center Self Assessment HCBS Waiver Assurances	
HCBS Waiver Assurances	Regional Center Assurances
<p>State conducts level of care need determinations consistent with the need for institutionalization</p>	<p>The regional center ensures that consumers meet ICF/DD, ICF/DD-H, or ICF/DD-N facility level of care requirements as a condition of initial and annual eligibility for the HCBS Waiver Program.</p> <p>Regional center ensures that the regional center staff responsible for certifying and recertifying consumers' HCBS Waiver eligibility meet the federal definition of a Qualified Mental Retardation Professional (QMRP).</p> <p>The regional center ensures that consumers are eligible for full scope Medi-Cal benefits before enrolling them in the HCBS Waiver.</p>
<p>Necessary safeguards have been taken to protect the health and welfare of persons receiving HCBS Waiver Services</p>	<p>The regional center takes action(s) to ensure consumers' rights are protected.</p> <p>The regional center takes action(s) to ensure that the consumers' health needs are addressed.</p> <p>The regional center ensures that behavior plans preserve the right of the consumer to be free from harm.</p> <p>The regional center maintains a Risk Management, Risk Assessment and Planning Committee.</p> <p>The regional center has developed and implemented a Risk Management/Mitigation Plan.</p> <p>Regional centers and local Community Care Licensing offices coordinate and collaborate in addressing issues involving licensing requirements and monitoring of CCFs pursuant to the MOU between DDS and Department of Social Services.</p> <p>The regional center has developed and implemented a quality assurance plan for Service Level 2, 3 and 4 community care facilities.</p> <p>The regional center reviews each community care facility annually to assure services are consistent with the program design and applicable laws, and development and implementation of corrective action plans as needed.</p> <p>The regional center conducts not less than two unannounced monitoring visits to each CCF annually.</p> <p>Service coordinators perform and document periodic reviews [at least annually] to ascertain progress toward achieving IPP objectives, and the consumer's and the family's satisfaction with the IPP and its implementation.</p> <p>Service coordinators have quarterly face-to-face meetings with consumers in CCFs, Family Home Agencies, Supported Living Services, and Independent Living Services to review services and progress toward achieving the IPP objectives for which the service provider is responsible.</p>

Regional Center Self Assessment HCBS Waiver Assurances	
HCBS Waiver Assurances	Regional Center Assurances
Necessary safeguards have been taken to protect the health and welfare of persons receiving HCBS Waiver Services (cont.)	<p>The regional center ensures that needed services and supports are in place when a consumer moves from a developmental center (DC) to a community living arrangement.</p> <p>Service coordinators provide enhanced case management to consumers who move from a DC by meeting with them face-to-face every 30 days for the first 90 days they reside in the community.</p>
Only qualified providers serve HCBS Waiver participants	<p>The regional center ensures that all HCBS Waiver service providers have signed the "HCBS Provider Agreement Form" and meet the required qualifications at the time services are provided.</p>
Plans of care are responsive to HCBS Waiver participant needs	<p>The regional center ensures that all HCBS Waiver consumers are offered a choice between receiving services and living arrangements in an institutional or community setting.</p> <p>Regional centers ensure that planning for IPPs includes a comprehensive assessment and information gathering process which addresses the total needs of HCBS Waiver consumers and is completed at least every three years at the time of his/her triennial IPP.</p> <p>The IPPs of HCBS Waiver consumers are reviewed at least annually by the planning team and modified, as necessary, in response to the consumers' changing needs, wants and health status.</p> <p>The regional center uses feedback from consumers, families and legal representatives to improve system performance.</p> <p>The regional center documents the manner by which consumers indicate choice and consent.</p>

SECTION II

REGIONAL CENTER CONSUMER RECORD REVIEW

I. Purpose

The review is based upon documentation criteria derived from federal/state statutes and regulations and from the Centers for Medicare & Medicaid Services directives and guidelines relating to the provision of Home and Community-based Services (HCBS) Waiver services. The criteria address requirements for eligibility, consumer choice, notification of proposed action (NOA) and fair hearing rights, level of care, individual program plans (IPPs) and periodic reviews and reevaluations of services. The information obtained about the consumers' needs and services is tracked as a part of the on-site program reviews.

II. Scope of Review

1. Thirty-three HCBS Waiver consumer records were selected for the review sample.

Living Arrangement	# of Consumers
Community Care Facility (CCF)	11
With Family	6
Independent or Supported Living Setting	16

2. The review period covered activity from January 1, 2013 – December 31, 2013.

III. Results of Review

The 33 sample consumer records were reviewed for 31 documentation requirements derived from federal and state statutes and regulations and HCBS Waiver requirements. Two criteria were not applicable for this review.

- ✓ The sample records were in 100% compliance for 26 applicable criteria. There are no recommendations for these criteria.
- ✓ Findings for three criteria are detailed below.
- ✓ A summary of the results of the review is shown in the table at the end of this section.

IV. Findings and Recommendations

2.10.a The IPP includes a schedule of the type and amount of all services and supports purchased by the regional center. (*WIC §4646.5(a)(4)*)

Finding

Thirty-two of the 33 (97%) sample consumer records contained IPPs that include all services and supports purchased by the regional center. However, the IPP for consumer #28 did not include dental services purchased by the regional center.

2.10.a Recommendation	Regional Center Plan/Response
FNRC should ensure that the IPP for consumer #28 includes all services and supports purchased by the regional center.	The payment of the dental services incurred by consumer #28 was the result of the contract developed between DDS and Delta Dental for which no mechanism was developed notifying case management when a service for dental under this contract occurred. An IPP addendum, dated 8/27/14, has been developed for consumer #28 (attached); SCs have been informed of the need to include another step in consumer's IPPs who potentially may have a service funded under the contract between DDS and Delta Dental.

2.13.a Quarterly face-to-face meetings are completed for consumers living in community out-of-home settings, i.e., Service Level 2, 3 or 4 community care facilities, family home agencies or supported living and independent living settings. (*Title 17, CCR, §56047*), (*Title 17, CCR, §56095*), (*Title 17, CCR, §58680*), (*Contract requirement*)

Findings

Twenty-three of the 27 (85%) applicable sample consumer records had quarterly face-to-face meetings completed and documented. However, the records for consumers #21, #23, #29 and #30 contained documentation of three of the required meetings.

2.13.a Recommendations	Regional Center Plan/Response
FNRC should ensure that all future face-to-face meetings are completed and	This is not a systemic issue within FNRC. FNRC mandates all Service

<p>documented each quarter for consumers #21, #23, #29 and #30.</p>	<p>Coordinators (SCs) have quarterly face-to-face meetings with consumers residing outside their family homes. All SCs receive training on documentation requirements of those meetings during their initial SC's orientation and through on-going intermediate training. SCs for consumers #21, #23, #29 and #30 have received one-on-one technical assistance on fulfilling required documentation of all quarterly contact meetings via id notation.</p>
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2.13.b Quarterly reports of progress are completed for consumers living in community out-of-home settings, i.e., Service Level 2, 3 or 4 community care facilities, family home agencies or supported living and independent living settings. (*Title 17, CCR, §56047*), (*Title 17, CCR, §56095*), (*Title 17, CCR, §58680*), (*Contract requirement*)

Findings

Twenty-five of the 27 (93%) applicable sample consumer records had quarterly reports of progress completed for consumers living in community out-of-home settings. However, the records for consumers #21 and #29 contained documentation of three of the required reports of progress.

2.13.b Recommendations	Regional Center Plan/Response
<p>FNRC should ensure that future quarterly reports of progress are completed for consumer #21 and #29.</p>	<p>All SCs receive training on required written reports of quarterly face-to-face meetings during their initial SCs orientation and through on-going intermediate training. The SC assigned to consumer #29 was on medical leave and caseload was distributed to other SC's. The temporarily assigned SC did not conduct the quarterly face-to-face that was required. Management has drafted a procedure to prevent further oversights (attached). As of March 2014, FNRC also implemented the use of "Smart Views" operating system to assist supervisors with tracking of quarterly meetings and</p>

	written reports. SC for #21 and the temporarily assigned SC for #29 have received one-on-one technical assistance on fulfilling required written reports.
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Regional Center Consumer Record Review Summary						
Sample Size = 33 + 3 Supplemental Records						
	Criteria	+	-	N/A	% Met	Follow-up
2.0	The consumer is Medi-Cal eligible. (SMM 4442.1)	33			100	None
2.1	Each record contains a Medicaid Waiver Eligibility Record (DS 3770), signed by a Qualified Mental Retardation Professional (QMRP), which documents the date of the consumer's initial HCBS Waiver eligibility certification, annual recertifications, the consumer's qualifying conditions and short-term absences. (SMM 4442.1), (42 CFR 483.430(a))	Criterion 2.1 consists of four sub-criteria (2.1a-d) that are reviewed and rated independently.				
2.1.a	The DS 3770 is signed by a Qualified Mental Retardation Professional and the title "QMRP" appears after the person's signature.	33			100	None
2.1.b	The DS 3770 form identifies the consumer's qualifying conditions and any applicable special health care requirements for meeting the Title 22 level of care requirements.	33			100	None
2.1.c	The DS 3770 form documents annual recertifications.	33			100	None
2.1.d	The DS 3770 documents short-term absences of 120 days or less, if applicable.	1		32	100	None
2.2	Each record contains a dated and signed Medicaid Waiver Consumer Choice of Services/Living Arrangements form, (DS 2200). (SMM 4442.7), (42 CFR 441.302(d))	33			100	None
2.3	There is a written notification of a proposed action and documentation that the consumer has been sent written notice of their fair hearing rights whenever choice of living arrangements is not offered, services or choice of services are denied, the consumer/parent/legal guardian or legal representative does not agree with all, or part of the components in the consumer's IPP, or the consumer's HCBS Waiver eligibility has been terminated. (SMM 4442.7), (42 CFR Part 431, Subpart E), (WIC §4646(g))	3		33	100	None

Regional Center Consumer Record Review Summary						
Sample Size = 33 + 3 Supplemental Records						
	Criteria	+	-	N/A	% Met	Follow-up
2.4	Each record contains a current Client Development Evaluation Report (CDER) that has been reviewed within the last 12 months. (SMM 4442.5), (42 CFR 441.302)	33			100	None
2.5.a	The consumer's qualifying conditions and any special health care requirements used to meet the level of care requirements for care provided in an ICF-DD, ICF-DDH, and ICF/DD-N facility are documented in the consumer's CDER and other assessments. (SMM 4442.5), (42 CFR 441.302(c)), (Title 22, CCR, §51343)	33			100	None
2.5.b	The consumer's qualifying conditions documented in the CDER are consistent with information contained in the consumer's record.	33			100	None
2.6.a	IPP is reviewed (at least annually) by the planning team and modified as necessary, in response to the consumer's changing needs, wants or health status. (42 CFR 441.301(b)(1)(I))	33			100	None
2.6.b	The HCBS Waiver Standardized Annual Review Form is completed and signed annually by the planning team to document whether or not a change to the existing IPP is necessary, and health status and CDER have been reviewed. (HCBS Waiver requirement)			33	NA	None
2.7.a	The IPP is signed, prior to its implementation, by an authorized representative of the regional center and the consumer, or where appropriate, his/her parents or legal guardian or conservator. (WIC §4646(g))	33			100	None
2.7.b	IPP addenda are signed by an authorized representative of the regional center and the consumer, or where appropriate, his/her parents, legal guardian, or conservator.	20		13	100	None
2.7.c	The IPP is prepared jointly with the planning team. (WIC §4646(d))	33			100	None
2.8	The IPP includes a statement of goals based on the needs, preferences and life choices of the consumer. (WIC §4646.5(a))	33			100	None

Regional Center Consumer Record Review Summary						
Sample Size = 33 + 3 Supplemental Records						
	Criteria	+	-	N/A	% Met	Follow-up
2.9	The IPP addresses the consumer's goals and needs. (WIC §4646.5(a)(2))	Criterion 2.9 consists of seven sub-criteria (2.9 a-g) that are reviewed independently				
2.9.a	The IPP addresses the qualifying conditions identified in the CDER and Medicaid Waiver Eligibility Record (DS 3770).	33			100	None
2.9.b	The IPP addresses the special health care requirements.	19		14	100	None
2.9.c	The IPP addressed the services for which the CCF provider is responsible for implementing.	11		22	100	None
2.9.d	The IPP addressed the services for which the day program provider is responsible for implementing.	25		8	100	None
2.9.e	The IPP addresses the services for which the supported living services agency or independent living services provider is responsible for implementing.	16		17	100	None
2.9.f	The IPP addresses the consumer's goals, preferences and life choices.	33			100	None
2.9.g	The IPP includes a family plan component if the consumer is a minor. (WIC §4685(c)(2))	3		30	100	None
2.10.a	The IPP includes a schedule of the type and amount of all services and supports purchased by the regional center. (WIC §4646.5(a)(4))	32	1		97	See narrative
2.10.b	The IPP includes a schedule of the type and amount of all services and supports obtained from generic agencies or other resources. (WIC §4646.5(a)(4))	33			100	None
2.10.c	The IPP specifies the approximate scheduled start date for the new services. (WIC §4646.5(a)(4))	20		13	100	None
2.11	The IPP identifies the provider or providers of service responsible for implementing services, including, but not limited to vendors, contract providers, generic service agencies and natural supports. (WIC §4646.5(a)(4))	33			100	None

Regional Center Consumer Record Review Summary						
Sample Size = 33 + 3 Supplemental Records						
	Criteria	+	-	N/A	% Met	Follow-up
2.12	Periodic review and reevaluations of consumer progress are completed (<i>at least annually</i>) to ascertain that planned services have been provided, that consumer progress has been achieved within the time specified, and the consumer and his/her family are satisfied with the IPP and its implementation. (<i>WIC §4646.5(a)(6)</i>)	33			100	None
2.13.a	Quarterly face-to-face meetings are completed for consumers living in community out-of-home settings, i.e., Service Level 2, 3 or 4 community care facilities, family home agencies or supported living and independent living settings. (<i>Title 17, CCR, §56047</i>), (<i>Title 17, CCR, §56095</i>), (<i>Title 17, CCR, §58680</i>), (<i>Contract requirement</i>)	23	4	6	85	See Narrative
2.13.b	Quarterly reports of progress are completed for consumers living in community out-of-home settings, i.e., Service Level 2, 3 or 4 community care facilities, family home agencies or supported living and independent living settings. (<i>Title 17, CCR, §56047</i>), (<i>Title 17, CCR, §56095</i>), (<i>Title 17, CCR, §58680</i>), (<i>Contract requirement</i>)	25	2	6	93	See Narrative
2.14	Face-to-face reviews are completed no less than once every 30 days for the first 90 days following the consumer's move from a developmental center to a community living arrangement. (<i>WIC §4418.3</i>)			33	N/A	None

SECTION III

COMMUNITY CARE FACILITY CONSUMER RECORD REVIEW

I. Purpose

The review addresses the requirements for community care facilities (CCFs) to maintain consumer records and prepare written reports of consumer progress in relation to the services addressed in the individual program plan (IPP) for which the facility is responsible. The criteria are derived from Title 17, California Code of Regulations.

II. Scope of Review

Seven consumer records were reviewed at five CCFs visited by the monitoring team. The facilities' consumer records were reviewed to determine compliance with 19 criteria.

III. Results of Review

The consumer records were 99% in compliance for 16 of the applicable criteria.

- ✓ The sample records were 100% in compliance for 15 criteria. There are no recommendations for these criteria.
- ✓ A finding for one criterion is detailed below.
- ✓ A summary of the results of the review is shown in the table at the end of this section.

IV. Finding and Recommendation

- 3.2 A written admission agreement is completed and signed by the consumer or his/her authorized representative, the regional center, and the facility administrator that includes the certifying statements specified in Title 17. (*Title 17, CCR, §56019(c)(1)*)

Finding

Six of the seven (86%) consumer records contained written admission agreements with the required signatures. However, the admission agreement for consumer #7 at CCF #1 was signed by the consumer who is a conserved adult.

3.2 Recommendation	Regional Center Plan/Response
FNRC should ensure that the conservator for consumer #7 at CCF #1 signs the admission agreement.	In 2007, an un-conserved adult (consumer #7) signed the initial admission agreement; a subsequent conservatorship was established and a new admissions agreement was signed by conservator on 7/30/2014.

Community Care Facility Record Review Summary						
Sample Size: Consumers = 7; CCFs = 5						
	Criteria	+	-	N/A	% Met	Follow-up
3.1	An individual consumer file is maintained by the CCF that includes the documents and information specified in Title 17 and Title 22. (Title 17, CCR, §56017(b)), (Title 17, CCR §56059(b)), (Title 22, CCR, §80069)	7			100	None
3.1.a	The consumer record contains a statement of ambulatory or nonambulatory status.	7			100	None
3.1.b	The consumer record contains known information related to any history of aggressive or dangerous behavior toward self or others.	1		6	100	None
3.1.c	The consumer record contains current health information that includes medical, dental and other health needs of the consumer including annual visit dates, physicians' orders, medications, allergies, and other relevant information.	7			100	None
3.1.d	The consumer record contains current emergency information: family, physician, pharmacy, etc.	7			100	None
3.1.e	The consumer record contains a recent photograph and a physical description of the consumer.	7			100	None
3.1.i	Special safety and behavior needs are addressed.	2		5	100	None
3.2	The consumer record contains a written admission agreement completed for the consumer that includes the certifying statements specified in Title 17, and is signed by the consumer or his/her authorized representative, the regional center and the facility administrator. (Title 17, CCR, §56019(c)(1))	6	1		86	See Narrative
3.3	The facility has a copy of the consumer's current IPP. (Title 17, CCR, §56022(c))	7			100	None

Community Care Facility Record Review Summary						
Sample Size: Consumers = 7; CCFs = 5						
	Criteria	+	-	N/A	% Met	Follow-up
3.4.a	Service Level 2 and 3 facilities prepare and maintain written semiannual reports of consumer progress. (<i>Title 17, CCR, §56026(b)</i>)	7			100	None
3.4.b	Semiannual reports address and confirm the consumer's progress toward achieving each of the IPP objectives for which the facility is responsible.	7			100	None
3.5.a	Service Level 4 facilities prepare and maintain written quarterly reports of consumer progress. (<i>Title 17, CCR, §56026(c)</i>)			7	NA	None
3.5.b	Quarterly reports address and confirm the consumer's progress toward achieving each of the IPP objectives for which the facility is responsible.			7	NA	None
3.5.c	Quarterly reports include a summary of data collected. (<i>Title 17, CCR, §56013(d)(4)</i>), (<i>Title 17, CCR, §56026</i>)			7	NA	None
3.6.a	The facility prepares and maintains ongoing, written consumer notes, as required by Title 17. (<i>Title 17, CCR §56026(a)</i>)	7			100	None
3.6.b	The ongoing notes/information verify that behavior needs are being addressed.	7			100	None
3.7.a	Special incidents are reported to the regional center within 24 hours after learning of the occurrence of the special incident. (<i>Title 17, CCR, §54327</i>)	2		5	100	None
3.7.b	A written report of the special incident is submitted to the regional center within 48 hours after the occurrence of the special incident. (<i>Title 17, CCR, §54327</i>)	2		5	100	None
3.7.c	Follow-up activities were undertaken to prevent, reduce or mitigate future danger to the consumer. (<i>Title 17, CCR, §54327</i>)	2		5	100	None

SECTION IV

DAY PROGRAM CONSUMER RECORD REVIEW

I. Purpose

The review criteria address the requirements for day programs to maintain consumer records and prepare written reports of consumer progress in relation to the services addressed in the individual program plan (IPP) that the day program provider is responsible for implementing. The criteria are derived from Title 17, California Code of Regulations.

II. Scope of Review

Eight sample consumer records were reviewed at eight day programs visited by the monitoring team. The records were reviewed to determine compliance with 17 criteria.

III. Results of Review

The consumer records were 100% in compliance for 14 criteria. Three criteria were not applicable for this review.

- ✓ A summary of the results of the review is shown in the table at the end of this section.

Day Program Record Review Summary						
Sample Size: Consumers = 8; Day Programs = 8						
	Criteria	+	-	N/A	% Met	Follow-up
4.1	An individual consumer file is maintained by the day program that includes the documents and information specified in Title 17. (Title 17, CCR, §56730)	8			100	None
4.1.a	The consumer record contains current emergency and personal identification information including the consumer's address, telephone number, names and telephone numbers of residential care provider, relatives, and/or guardian or conservator, physician name(s) and telephone number(s), pharmacy name, address and telephone number and health plan, if appropriate.	8			100	None
4.1.b	The consumer record contains current health information that includes current medications, known allergies, medical disabilities, infectious, contagious, or communicable conditions, special nutritional needs, and immunization records.	8			100	None
4.1.c	The consumer record contains any medical, psychological, and social evaluations identifying the consumer's abilities and functioning level, provided by the regional center.	8			100	None
4.1.d	The consumer record contains an authorization for emergency medical treatment signed by the consumer and/or the authorized consumer representative.	8			100	None
4.1.e	The consumer record contains documentation that the consumer and/or the authorized consumer representative has been informed of his/her personal rights.	8			100	None
4.1.f	Data is collected that measures consumer progress in relation to the services addressed in the IPP for which the day program provider is responsible for implementing.	8			100	None

Day Program Record Review Summary						
Sample Size: Consumers = 8; Day Programs = 8						
	Criteria	+	-	N/A	% Met	Follow-up
4.1.g	The consumer record contains up-to-date case notes reflecting important events or information not documented elsewhere.	8			100	None
4.1.h	The consumer record contains documentation that special safety and behavior needs are being addressed.	8			100	None
4.2	The day program has a copy of the consumer's current IPP. (<i>Title 17, CCR §56720(b)</i>)	8			100	None
4.3.a	The day program provider develops, maintains, and modifies as necessary, documentation regarding the manner in which it implements the services addressed in the IPP. (<i>Title 17, CCR, §56720(a)</i>)	8			100	None
4.3.b	The day program's ISP or other program documentation is consistent with the services addressed in the consumer's IPP.	8			100	None
4.4.a	The day program prepares and maintains written semiannual reports. (<i>Title 17, CCR, §56720(c)</i>)	8			100	None
4.4.b	Semiannual reports address the consumer's performance and progress relating to the services for which the day program is responsible for implementing.	8			100	None
4.5.a	Special incidents are reported to the regional center within 24 hours after learning of the occurrence of the special incident. (<i>Title 17, CCR, §54327</i>)			8	NA	None
4.5.b	A written report of the special incident is submitted to the regional center within 48 hours after the occurrence of the special incident. (<i>Title 17, CCR, §54327</i>)			8	NA	None
4.5.c	There is appropriate follow-up to special incidents to resolve issue and eliminate or mitigate future risk. (<i>Title 17, CCR, §54327</i>)			8	NA	None

SECTION V

CONSUMER OBSERVATIONS AND INTERVIEWS

I. Purpose

The consumer observations are conducted to verify that the consumers appear to be healthy and have good hygiene. Interview questions focus on the consumers' satisfaction with their living situation, day program and work activities, health, choice, and regional center services.

II. Scope of Observations and Interviews

Thirty of the 33 consumers, or in the case of minors, their parents, were interviewed and/or observed at their day programs, employment sites, community care facilities (CCFs), or in independent living settings.

- ✓ Twenty-one adult consumers agreed to be interviewed by the monitoring teams.
- ✓ Seven consumers did not communicate verbally or declined an interview, but were observed.
- ✓ Two interviews were conducted with parents of minors.
- ✓ Three consumers/parents of minors were unavailable for or declined interviews.

III. Results of Observations and Interviews

All consumers and parents of minors interviewed indicated satisfaction with their living situation, day program, work activities, health, choices, and regional center services. The consumers' overall appearance reflected personal choice and individual style.

SECTION VI A

SERVICE COORDINATOR INTERVIEWS

I. Purpose

The interviews determine how well the service coordinators know their consumers, the extent of their participation in the IPP/annual review process, and how they monitor services, health and safety issues.

II. Scope of Interviews

1. The monitoring team interviewed six Far Northern Regional Center (FNRC) service coordinators.
2. The interview questions are divided into two categories.
 - ✓ The questions in the first category are related to the consumers selected by the monitoring team.
 - ✓ The questions in the second category are related to general areas.

III. Results of Interviews

1. The service coordinators were very familiar with their respective consumers. They were able to relate specific details regarding the consumers' desires, preferences, life circumstances, and service needs.
2. The service coordinators were knowledgeable about the IPP/annual review process and monitoring requirements. Service providers and family members provided input on the consumers' needs, preferences and satisfaction with services outlined in the IPP. For consumers in out-of-home placement settings, service coordinators conduct quarterly face-to-face visits and develop written assessments of consumer progress and satisfaction. In preparation for the quarterly visits, service coordinators review their previous progress reports, pertinent case notes, special incident reports, and vendor reports of progress.
3. To better understand issues related to consumers' use of medication and issues related to side-effects, the service coordinators utilize FNRC's clinical team and internet medication guides as resources. FNRC offers periodic trainings on new and commonly used medications.

4. The service coordinators monitor the consumers' services, health and safety during periodic visits. They are aware of the consumers' health issues. The service coordinators were knowledgeable about the special incident report (SIR) process and work with the vendors to ensure all special incidents are reported and appropriate follow-up activities are completed.

SECTION VI B

CLINICAL SERVICES INTERVIEW

I. Purpose

The clinical services interview is used to obtain supplemental information on how the regional center is organized to provide clinical support to consumers and service coordinators. This interview aids in determining what measures the regional center is utilizing to ensure the ongoing health and safety of all Home and Community-based Services Waiver consumers.

II. Scope of Interview

1. The interview questions cover the following topics: routine monitoring of consumers with medical issues, medications and behavior plans; coordination of medical and mental health care for consumers; circumstances under which actions are initiated for medical or behavior issues; clinical supports to assist service coordinators (SCs); improved access to preventive health care resources; role in Risk Management Committee and special incident reports (SIRs).
2. The monitoring team interviewed the Associate Director of Case Management at Far Northern Regional Center (FNRC).

III. Results of Interview

The clinical team at FNRC is comprised of two medical directors, registered nurses, and psychologists.

The clinical team functions as a resource for the service coordinators, and is available to assess consumers with medical and medication concerns. Regional center nurses and SCs actively participate in consumer's health care through case reviews, placement committees, and community multi-disciplinary teams. The nurses also perform assessments, review specialized health care plans and visit hospitalized consumers and assist in discharge planning. FNRC nurses are available to review consumers' medications, and provide medication management training as requested. Both regional center physicians are involved with other specialists in conducting evaluations to determine autism diagnosis.

FNRC provides training to service coordinators. Recent topics have included, special incident reports (SIRs), autism, cerebral palsy, and epilepsy. Vendor training has included medication errors, SIRs, and health & wellness topics.

The regional center psychologist and case management staff participate with local mental health agencies for consumer case review. FNRC also utilizes North Valley Adult Services, a residential stabilization home for consumers in transition with mental health issues and/or severe behaviors. In addition, FNRC utilizes Remi Vista, a residential stabilization home for children with mental health concerns. FNRC collaborates with Turning Point, which provides psychiatric services with individuals who are dual diagnosed. Monitoring of consumer's mental health/psychiatric medications is done by telepsychiatry clinics and through contracts with local providers.

The regional center has improved access to preventative health care resources. Some examples include:

- ✓ Autism Clinic in collaboration with Chico State University
- ✓ Assistance for consumer's without medical insurance
- ✓ Contracts for Telepsychiatry with Kings View & Cedar Sinai Hospitals
- ✓ Contracts for home health nursing evaluations
- ✓ Contracts for neurology, autism, psychiatry, behavior, nutrition, optometry, podiatry, and dental services.
- ✓ Contracts for occupational, physical, and speech therapy services
- ✓ Health Education Series- trainings for caregivers, medical providers, and clients on health issues
- ✓ Abuse prevention programs
- ✓ Risk Awareness Campaign for Pedestrian Safety
- ✓ Family Health Clinics
- ✓ Indian Rural Health Clinics
- ✓ Sierra Rural Healthcare
- ✓ Purchase medication dispensing units for consumers

Members of the regional center clinical team are involved in FNRC's Risk Management Assessment and Planning Committee. The committee reviews and analyzes SIRs to assess needed action and to reduce future risk. The regional center utilizes Mission Analytics Group Inc., the State's risk management contractor, to analyze special incidents for trends. The mortality review committee meets as needed to review all death related SIRs.

SECTION VI C

QUALITY ASSURANCE INTERVIEW

I. Purpose

The informational interview with quality assurance (QA) staff ascertains how the regional center has organized itself to conduct Title 17 monitoring of community care facilities (CCFs), two unannounced visits to CCFs, and service provider training. The interview also inquires about verification of provider qualifications, resource development activities, and quality assurance among programs and providers where there is no regulatory requirement to conduct quality assurance monitoring.

II. Scope of Interview

The monitoring team interviewed a resource development quality assurance specialist who is an integral part of the team responsible for conducting QA activities at Far Northern Regional Center (FNRC).

III. Results of Interview

1. The annual Title 17 visits are conducted by service coordinators who function as facility liaisons to CCFs. They conduct a minimum of two unannounced visits annually. When substantial inadequacies are identified, corrective action plans (CAPs) are issued by the service coordinator who also conducts the follow up. A quality assurance specialist will assist the service coordinator, if requested. All CAPs and sanctions are reviewed the quality assurance specialist and by the Community Services Committee and the findings are forwarded to FNRC staff.
2. The risk assessment specialist receives all special incident reports (SIRs) and participates on the Risk Management Assessment and Planning Committee. All SIRs are forwarded to the community services team. The team will check to see if the vendor has other SIRs on file. If so, they will determine whether a corrective action plan needs to be issued or provide further technical assistance and training as appropriate to the vendor.
3. The Community Services team at FNRC developed a program for vendor review that includes a team of trained, paid consumers who monitor CCFs. Consumers document their observations and findings on standardized forms and use photographs to communicate to FNRC potential safety or other related issues they observe. This gives FNRC perspective from a consumer's point of view. Findings from consumer based reviews are followed up by the Community Specialist staff and appropriate intervention is provided on a case by case basis.

The Community Services team also monitors the day programs, Independent Living Services and Supported Living Services vendor. They also provide trainings to providers, facility liaisons and FNRC staff.

SECTION VII A

SERVICE PROVIDER INTERVIEWS

I. Purpose

The interviews determine how well the service provider knows the consumers, the extent of their assessment process for the annual Individual Program Plan Development (IPP) and/or review, the extent of their plan participation, how the plan was developed, how service providers ensure accurate documentation, communicate, address and monitor health issues, their preparedness for emergencies, how they monitor safety and safeguard medications.

II. Scope of Interviews

1. The monitoring team interviewed seven service providers at four community care facilities (CCFs) and three day programs where services are provided to the consumers that were visited by the monitoring team.
2. The interview questions are divided into two categories.
 - ✓ The questions in the first category are related to sample consumers selected by the monitoring team.
 - ✓ The questions in the second category are related to general areas.

III. Results of Interviews

1. The service providers were familiar with the strengths, needs and preferences of their respective consumers.
2. The service providers indicated that they conducted assessments of the consumers, participated in their IPP development, provided the program specific services addressed in the IPPs and attempted to foster the progress of consumers.
3. The service providers monitored consumer health issues and safeguarded medications.
4. The service providers communicated with people involved in the consumers' lives and monitored progress documentation.
5. The service providers were prepared for emergencies, monitored the safety of consumers, and understood special incident reporting and follow-up processes.

SECTION VII B

DIRECT SERVICE STAFF INTERVIEWS

I. Purpose

The interviews determine how well the direct service staff knows the consumers and their understanding of the IPP and service delivery requirements, how they communicate, and their level of preparedness to address safety issues, their understanding of emergency preparedness, and knowledge about safeguarding medications.

II. Scope of Interviews

1. The monitoring team interviewed seven direct service staff at four community care facilities (CCF) and three day programs where services are provided to the consumers that were visited by the monitoring team.
2. The interview questions are divided into two categories.
 - ✓ The questions in the first category are related to sample consumers selected by the monitoring team.
 - ✓ The questions in the second category are related to general areas.

III. Results of Interviews

1. The direct service staff were familiar with the strengths, needs and preferences of their respective consumers.
2. The direct service staff were knowledgeable about their roles and responsibilities for providing the services addressed in the consumers' IPPs.
3. The direct service staff demonstrated that they understood the importance of communication with all individuals concerned with the consumers.
4. The direct service staff were prepared to address safety issues and emergencies, and were familiar with special incident reporting requirements.
5. The direct service staff demonstrated an understanding about emergency preparedness.
6. The direct service staff were knowledgeable regarding safeguarding and assisting with self-administration of medications where applicable.

SECTION VIII

VENDOR STANDARDS REVIEW

II. Scope of Review

1. The monitoring teams reviewed a total of four Community Care Facilities (CCFs) and three day programs.
2. The teams used a monitoring review checklist consisting of 24 criteria. The review criteria are used to assess the physical environment, health and safety, medications, services and staff, consumers' rights, and the handling of consumers' money.

III. Results of Review

All of the CCFs and the day programs were found to be in good condition with no immediate health and safety concerns. Specific findings and recommendations are detailed below.

IV. Finding and Recommendation

8.2 d PRN Medications

Day program #8 was not documenting the consumers' response to PRN medications.

8.2 d Recommendation	Regional Center Plan/Response
FNRC should ensure day program #8 properly documents all required PRN medication information.	FNRC nurse provided technical assistance to day program #8's nurse regarding documenting PRN medications on September 22, 2014. The Day Program's medication log has been updated to include PRN medications. FNRC nurse will make subsequent unannounced follow up visits (planning to do so approximately every month for the next three months) to ensure program follow up.

SECTION IX

SPECIAL INCIDENT REPORTING

I. Purpose

The review verifies that special incidents have been reported within the required timeframes, that documentation meets the requirements of Title 17, California Code of Regulations, and that the follow-up was complete.

II. Scope of Review

1. Special incident reporting of deaths by Far Northern Regional Center (FNRC) was reviewed by comparing deaths entered into the Client Master File for the review period with special incident reports (SIRs) of deaths received by the Department of Developmental Services (DDS).
2. The records of the 33 consumers selected for the Home and Community-based Services (HCBS) Waiver sample were reviewed to determine that all required special incidents were reported to DDS during the review period.
3. A supplemental sample of 10 consumers who had special incidents reported to DDS within the review period was assessed for timeliness of reporting and documentation of follow-up activities. The follow-up activities were assessed for being timely, appropriate to the situation, and resulting in an outcome that ensures the consumer is protected from adverse consequences, and that risks are either minimized or eliminated.

III. Results of Review

1. FNRC reported all deaths during the review period to DDS.
2. FNRC reported all but one of the special incidents in the sample of 33 records selected for the HCBS Waiver review to DDS.
3. FNRC's vendors reported 9 of the 10 (90%) incidents in the supplemental sample within the required timeframes.
4. FNRC reported 8 of the 10 (80%) incidents in the supplemental sample within the required timeframes
5. FNRC's follow-up activities on consumer incidents were appropriate for the severity of the situations in 9 of the 10 incidents in the supplemental sample.

IV. Findings and Recommendations

Consumer #2: The incident occurred at CCF #3 on July 25, 2013. FNRC did not report the incident to DDS.

Consumer #43: The incident occurred on May 17, 2013. The vendor did not submit a special incident report to the regional center until June 3, 2013. Although the incident was reported by the conservator to FNRC on May 29, 2013, FNRC did not report the incident to DDS until June, 5, 2013. Additionally, there was no documentation of follow-up by FNRC to determine what actions were or needed to be taken to rectify the situation and prevent reoccurrence

Recommendations	Regional Center Plan/Response
9.2.a FNRC should ensure that the vendor for consumer #43 submits special incidents within the required timeframes.	On March 19, 2014, Case Management Supervisor, Wayne Doering, met with the vendor's director and staff to provide technical assistance on special incident reporting timeframes.
9.2.b FNRC should ensure that special incidents are reported within the required timeframes.	On April 2, 2014, Risk Assessment Specialist, Debbie Carmona, provided FNRC staff training on special incident reporting timeframes.
9.3 FNRC should ensure that appropriate follow-up actions are completed to mitigate the potential of future incidents for consumer #43.	One-on-one technical assistance was provided by Case Management Supervisor, Wayne Doering, to assigned service coordinator for consumer #43 to ensure follow-up actions are completed to mitigate future incidents.

SAMPLE CONSUMERS AND SERVICE PROVIDERS/VENDORS

HCBS Waiver Review Consumers

#	UCI	CCF	DP
1	XXXXXXXX		
2	XXXXXXXX		
3	XXXXXXXX		7
4	XXXXXXXX	5	13
5	XXXXXXXX	4	
6	XXXXXXXX	5	
7	XXXXXXXX	1	
8	XXXXXXXX		
9	XXXXXXXX		6
10	XXXXXXXX	2	
11	XXXXXXXX	3	
12	XXXXXXXX		11
13	XXXXXXXX		8
14	XXXXXXXX		
15	XXXXXXXX		
16	XXXXXXXX		9
17	XXXXXXXX		
18	XXXXXXXX		
19	XXXXXXXX		
20	XXXXXXXX		
21	XXXXXXXX		
22	XXXXXXXX		10
23	XXXXXXXX		
24	XXXXXXXX		
25	XXXXXXXX		
26	XXXXXXXX		
27	XXXXXXXX		
28	XXXXXXXX		
29	XXXXXXXX		12
30	XXXXXXXX		
31	XXXXXXXX		
32	XXXXXXXX		
33	XXXXXXXX		

Terminated Consumers

#	UCI
60	XXXXXXXX
61	XXXXXXXX
62	XXXXXXXX

HCBS Waiver Review Service Providers

CCF #	Vendor
1	XXXXXXXX
2	XXXXXXXX
3	XXXXXXXX
4	XXXXXXXX
5	XXXXXXXX

Day Program #	Vendor
6	XXXXXXXX
7	XXXXXXXX
8	XXXXXXXX
9	XXXXXXXX
10	XXXXXXXX
11	XXXXXXXX
12	XXXXXXXX
13	XXXXXXXX

SIR Review Consumers

#	UCI	Vendor
40	XXXXXXXX	XXXXXXXX
41	XXXXXXXX	XXXXXXXX
42	XXXXXXXX	XXXXXXXX
43	XXXXXXXX	XXXXXXXX
44	XXXXXXXX	XXXXXXXX
45	XXXXXXXX	XXXXXXXX
46	XXXXXXXX	XXXXXXXX
47	XXXXXXXX	XXXXXXXX
48	XXXXXXXX	XXXXXXXX
49	XXXXXXXX	XXXXXXXX