

Department of Developmental Services (DDS) Oversight of Regional Centers Activities by Frequency*

Italicized items are associated with statutory requirements added by 2019 Trailer Bill, SB 81.

Daily/Ongoing as Received

- Review of special incident reports submitted pursuant to Title 17 section 54327.1
- Review of regional center purchase of service policies *and assessment tools*, staff instructions and training materials, board meeting agendas and minutes, notifications to consumers and providers [WIC §4434(d)]
- Review of regional center conflict-of-interest statements and waiver requests [WIC §4626]
- Follow-up on WIC section 4731 appeals and complaints (Early Start, Citizen's, Whistleblower, and general complaints)

Monthly

- Survey of regional centers on Self-Determination Program enrollment status [RC Contract Art. II, Sec. 10]
- Attendance at regional center board meetings conducted pursuant to WIC section 4660.

Quarterly

- Review of purchase of service data related to Competitive Integrated Employment Incentive Payments and Paid Internship Program
- Review of data related to utilization of institutions for mental diseases, out-of-state placements and other settings
- Review of Disparity Funds Program quarterly progress reports
- *Ensure regional center submission of service provider corrective action plans and sanctions* [WIC §4640.9]

Semi-annually

- Review of Adult Residential Facilities for Persons with Special Health Care Needs, Enhanced Behavioral Supports Homes and Community Crisis Homes [WIC §4684.70, §4684.84, §4698; CCR T17, §59055, §59013]
- Review of data reports on fair hearing requests submitted pursuant to WIC section 4710
- *Review regional center websites to confirm posting of information on Home and Community-Based Services (HCBS) Final Rule provider compliance* [WIC §4519.2(b)]

Annually

- Ensure development and submission of regional center outcome-based performance plan/contract, DDS review of baseline and year-end performance data, *and regional center reporting to DDS on public meetings held to discuss the prior year's performance contract objectives and outcomes* [WIC §4629]
- Survey of regional center administrative expenditures, personnel salaries and executive director compensation [WIC §4639.5]

- Survey of regional center service coordinator caseloads, including but not limited to, *reviewing compliance with the 1-to-25 ratio for “consumers with complex needs”* [WIC §4640.6]
- Survey of regional center board composition, including but not limited to, *confirming whether each board has members with management or board governance expertise and members with financial expertise, and ensuring each board submits a plan for compliance when it is out of compliance with board composition requirements* [WIC §4622 and 4622.5]
- Survey of regional centers on Competitive Integrated Employment Incentive Payments and Paid Internship Program [WIC §4870]
- Review regional center websites to confirm posting of service disparity data and ensure related reporting to DDS [WIC §4519.5]
- Review of independent CPA audit of regional center [WIC §4639]
- Review of regional center behavior modification treatment reports [CCR, T17 §50823]
- *Compile and review information and update the Legislature on WIC section 4731 complaints and fair hearing requests submitted to regional centers* [WIC §4731]
- *Ensure regional center reporting to DDS on public meetings held to discuss National Core Indicators (NCI) data* [WIC §4571]

Biennially

- Fiscal compliance audit of regional center
- Monitoring of Adult Family Home Agencies
- Monitoring review of federal Medicaid HCBS Waiver
- Review of federal Medicaid Targeted Case Management program
- Review of federal Nursing Home Reform program

Triennially

- Early Start monitoring
- NCI Adult In-Person Survey
- NCI Child Family Survey
- NCI Adult Family Survey
- NCI Family Guardian Survey

Other

- Monitoring of habilitation programs (ongoing)
- Review of NCI survey data, including Mover Longitudinal Survey data (ongoing)
- Special audit of regional center (as needed)
- Oversight of Direct Support Professional (DSP) Training (DDS oversees the work of the California Department of Education by ensuring that training/challenge classes are being held and are accessible for all DSPs and that the test records and historical data is monitored)
- *Review regional center websites to confirm posting of performance dashboards on its website, including information on HCBS Waiver compliance, competitive integrated employment, WIC section 4731 complaints and fair hearings* [WIC §4572]
- Review regional center websites to confirm posting of the following on regional center websites pursuant to WIC section 4629.5(b) (ongoing):
 - “(1) Regional center annual independent audits.
 - (2) Biannual fiscal audits conducted by the department.
 - (3) Regional center annual reports pursuant to Section 4639.5.

- (4) Contract awards, including the organization or entity awarded the contract, and the amount and purpose of the award.
- (5) Purchase of service policies.
- (6) The names, types of service, and contact information of all vendors, except consumers or family members of consumers.
- (7) Board meeting agendas and approved minutes of open meetings of the board and all committees of the board.
- (8) Bylaws of the regional center governing board.
- (9) The annual performance contract and year–end performance contract entered into with the department pursuant to this division.
- (10) The biannual Home and Community–based Services Waiver program review conducted by the department and the State Department of Health Care Services.
- (11) The board–approved transparency and public information policy.
- (12) The board–approved conflict–of–interest policy.
- (13) Reports required pursuant to Section 4639.5.
- (14) A link to the page on the department’s Internet Web site specified in subdivision (d).
- (15) The salaries, wages, and employee benefits for all managerial positions for which the primary purpose is the administrative management of the regional center, including, but not limited to, directors and chief executive officers.”

Oversight Activities by Other Entities

- State Council on Developmental Disabilities (SCDD)/Area Board: One responsibility of the SCDD is to conduct, or to cause to be conducted, investigations or public hearings to resolve disagreements between state agencies, or between state and regional or local agencies, or between persons with developmental disabilities and agencies receiving state funds (e.g. regional centers).
- Disability Rights California (DRC): DRC (formerly Protection and Advocacy, Inc.) is a federally-funded, nonprofit corporation designated by the Governor with the authority and expertise to pursue administrative, legal, and other appropriate remedies or approaches to ensure the protection of the rights of people with disabilities, including investigation of alleged incidents of abuse and neglect that may involve regional center consumers.
- Other state and federal agency oversight and reporting: Regional centers at various intervals file required reports with Franchise Tax Board, Employment Development Department, U.S. Department of Labor, Internal Revenue Service, Bureau of State Audits, Equal Employment Opportunity Commission, Board of Equalization, Centers for Medicare and Medicaid Services, Department of Health Care Services, Social Security Administration, and federal Office of Special Education Programs, among others.

Note: Additional informal oversight activities may not be reflected on this list.