

RISK MANAGEMENT REPORT:

**INDIVIDUALS WHO HAVE
TRANSITIONED FROM
DEVELOPMENTAL CENTERS TO
THE COMMUNITY (MOVERS)**

DATA THROUGH DECEMBER 2016



Developmental Center Mover Report

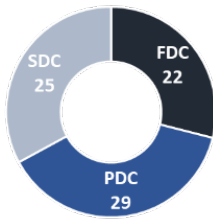
Summary of Key Findings

July - December 2016

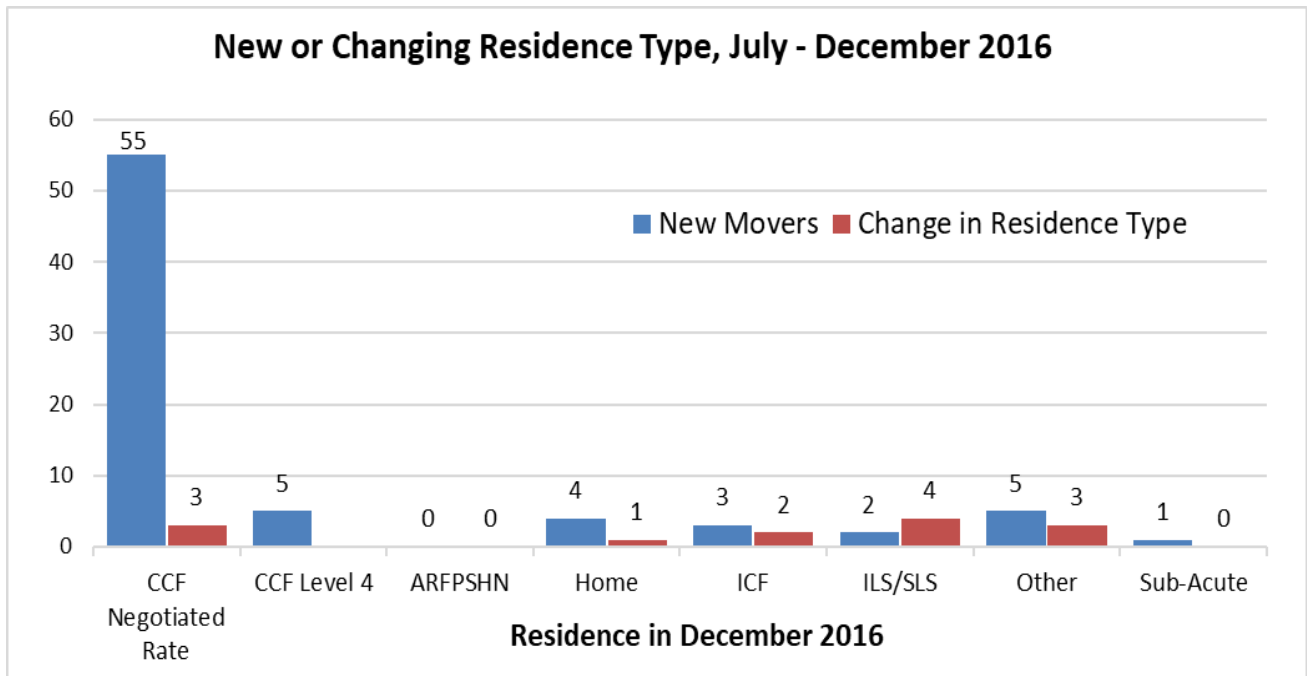
This report summarizes indicators tracked by the risk management contractor regarding individuals who transitioned from a California Developmental Center (DC) to the community (Movers). This report summarizes findings on the period from July to December 2016. For more detail, please see the Technical Appendix.

Transitions and Residential Settings

This report tracks the 775 individuals who moved between January 2012 and December 2016. By December 2016, 684 Movers remained in the community, 72 were deceased, 13 were inactive or moved out of state, and 6 returned to a DC. Of the 684 Movers in the community, most (453) lived in Negotiated Rate Community Care Facilities (CCFs).



Between July and December 2016, 76 individuals moved from DCs into the community. This includes 25 Movers from Sonoma (SDC), 29 from Porterville (PDC), and 22 from Fairview (FDC). Of the 76 new Movers, one became inactive and is not shown in the graph.



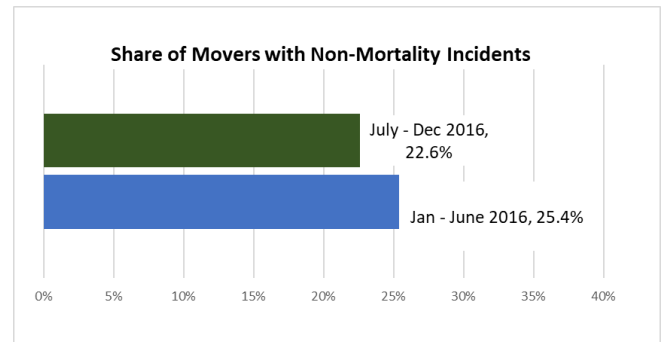
Residence Type and Address Changes



Between July and December 2016, 26 individuals changed addresses, with 7 also changing residence type. For 11 of the 26 individuals, the change was at least the second change of address in the community. Out of 684 Movers in the community in December 2016, 22 have changed addresses at least twice in three years.

Reported Special Incidents

In the July – December 2016 period, there were 240 non-mortality special incident reports (SIRs) among 159 individuals and 11 deaths. The highest incident rate occurred for unplanned medical hospitalizations and medication errors. The overall rate of non-mortality incidents was lower compared to the previous period, due to decreases in the rates of unplanned medical hospitalizations, medication errors, and injuries.



Client Development Evaluation Report (CDER) Changes

Of the 695 Movers in the community during the July – December 2016 period, 642 had a CDER evaluation before moving and an additional evaluation by December 2016. Among the 336 individuals who needed significant health support, there were statistically significant changes in 14 evaluation elements, including:

- Personal Outcomes: Community Outings **Improved (168 improved, 13 declined)**
- Skills: Focusing on Tasks/Activities **Improved (96 improved, 21 declined)**
- Skills: Safety Awareness **Declined (25 improved, 61 declined)**
- Personal Outcomes: Work/Day Programs **Declined (3 improved, 30 declined)**

For the 306 individuals needing significant behavioral support, there were statistically significant changes in 19 elements, including:

- Personal Outcomes: Community Outings **Improved (156 improved, 12 declined)**
- Behaviors: Disruptive Social Behavior **Improved (99 improved, 42 declined)**
- Personal Outcomes: Work/Day Programs **Declined (13 improved, 63 declined)**
- Skills: Walking **Declined (9 improved, 49 declined)**

Technical Appendix

This section provides supporting detail to the Summary of Key Findings.

Background

As one element of risk management and quality assurance, the California Department of Developmental Services (DDS) and California's network of regional centers monitors risks and tracks the occurrence of adverse events for individuals served by regional centers residing in the community. Working under a risk management contract with DDS, Mission Analytics Group (Mission) provides analytical support and regular reports on adverse events to DDS and the regional centers.

This report summarizes findings from January 2012 to December 2016. The analysis includes the following findings:

1. **Changes in residential settings:** Instability in residence may indicate potential care issues. Changes in the type of residential setting may also indicate changes in an individual's needs or level of care. Therefore, this report uses information on residential settings from the Client Master File (CMF) and Purchase of Service (POS) data to identify changes of residence type.
2. **Changes in skills of daily living, challenging behaviors and personal outcomes:** The report also monitors elements tracked on the Client Development Evaluation Report (CDER) for potential deterioration or improvement in these measures. The CDER is completed at the time of transition and at least annually for all individuals who receive residential services in the community.
3. **Number and rate of reportable incidents among the individuals who have transitioned to the community:** As required by Title 17, Section 54327 of the California Code of Regulations, vendors and long-term health care facilities report occurrences of suspected abuse, suspected neglect, injury requiring medical attention, unplanned hospitalization, and missing persons, if they occur when an individual is receiving services funded by a regional center (under vendored care). In addition, any occurrence of mortality or an individual being the victim of a crime must be reported, whether or not it occurred while the individual was under vendored care. These data are available through Special Incident Reports (SIR).

Section 1: Residence Type Placement and Movements

Table 1: Number of Movers by DC and Date as of December 2016

Date Moved from Developmental Center	Fairview	Lanterman	Porterville ¹	Sonoma	TOTAL
Jan - Jun 2012	12	34	21	16	83
Jul - Dec 2012	13	34	12	9	68
Jan - Jun 2013	17	46	13	18	94
Jul - Dec 2013	13	58	15	9	95
Jan - Jun 2014	10	56	11	18	95
Jul - Dec 2014	15	44	9	15	83
Jan - Jun 2015	23	0	26	21	70
Jul - Dec 2015	15	0	15	14	44
Jan - Jun 2016	28	0	20	19	67
Jul - Dec 2016	22	0	29	25	76
Total Movers Tracked	168	272	171	164	775

¹These counts include individuals placed in the general treatment area (GTA) at Porterville.

For the purpose of this report, the list of individuals defined as Movers was supplied to Mission by DDS. Of the list received by Mission, 14 individuals were excluded from this report because they did not transition to a community setting (changed from living in a developmental center to inactive or closed case, or they died shortly after entering a subacute facility to receive specialized healthcare).

Table 2: Number of Movers by Status, as of December 2016

Developmental Center	Total Movers Tracked	As of December 2016, Movers:			
		In Community Setting	Deceased	Inactive or Moved Out of State	Returned to Developmental Center
Fairview	168	144	18	2	4
Lanerman	272	236	34	2	0
Porterville (GTA)	171	151	11	8	1
Sonoma	164	153	9	1	1
Total	775	684	72	13	6

- Of the 72 Movers deceased by the end of December 2016, 11 passed away this period.
- 684 Movers were active in the community in December 2016. Including the 11 Movers who passed away this period, 695 were active in the community at some point between July and December 2016.

Table 3: Number of Movers by Regional Center as of December 2016

Current Regional Center	Movers	New Movers July – December 2016
Alta California	30	4
Central Valley	60	10
East Bay	56	9
Eastern Los Angeles	50	1
Far Northern	11	2
Golden Gate	58	9
Harbor	49	2
Inland	41	2
Kern	33	5
Lanternman	35	1
North Bay	28	3
North Los Angeles	64	8
Orange County	31	5
Redwood Coast	4	0
San Andreas	13	1
San Diego	50	4
San Gabriel/Pomona	71	3
South Central LA	36	4
Tri-Counties	16	3
Valley Mountain	8	0
Westside	31	0
All Developmental Center Movers	775	76

Table 4: Number of Movers Changing Residential Type after Transition, By Initial Setting, Movers in Community as of December 2016

Initial Residential Setting	Number of Movers by Initial Setting	Distribution of Movers by Initial Setting	Changed Residential Type
Home of Parent/Guardian	16	2%	3
ILS/SLS	41	6%	4
CCF Level 4	17	2%	6
FHA	7	1%	1
ARFPSHN	78	11%	0
CCF Negotiated Rate	453	66%	22
ICF DD	2	0%	1
ICF DDH	21	3%	4
ICF DDN	36	5%	1
Nursing	2	0%	1
Sub-Acute	3	0%	0
Other	8	1%	1

Data Notes:

- Initial residence for DC Movers is reported by DDS. Subsequent residence type is based on information recorded in the CMF, combined with rate information to identify the type of CCF.
- Residence types abbreviations are:
 - ILS/SLS: Independent Living Skills or Supported Living Services;
 - CCF: Community Care Facility. Negotiated Rate CCFs are specialized residential facilities where rate is negotiated based on the needs of the individuals;
 - FHA: Family Home Agency;
 - ARFPSHN: Adult Residential Facility for Persons with Special Healthcare Needs;
 - ICF: Intermediate Care Facility,
 - ICF DD: Developmentally Disabled
 - ICF DDH: Developmentally Disabled-Habilitation
 - ICF DDN: Developmentally Disabled-Nursing

Table 5: Number of Movers Changing Residential Type after Transition, By Initial and Current Setting, as of December 2016

Initial Residential Setting	Changed Residential Type	Current Residential Setting
Home of Parent/Guardian	3	ILS/SLS (3)
ILS/SLS	4	CCF Neg. Rate (2), Other (1), ILS/SLS (1)*
CCF Level 4	6	CCF Neg. Rate (3), ILS/SLS (2), Nursing (1)
FHA	1	Other (1)
ARFPSHN	0	
CCF Negotiated Rate	22	ILS/SLS (7), Home of Parent/Guardian (4), CCF Level 4 (4), CCF Neg. Rate (2)*, Nursing (2), CCF Level 4 (1), ICF DDN (1), Other (1)
ICF DD	1	CCF Neg. Rate (1)
ICF DDH	4	ICF DDN (3), Other (1)
ICF DDN	1	Nursing (1)
Nursing	1	Sub-Acute (1)
Sub-Acute	0	
Other	1	ILS/SLS (1)

*3 Movers returned to their initial residential setting after living in a different setting for 1-7 months. These involved moves to these settings: ILS/SLS (1), CCF Negotiated Rate (2).

Data Notes:

- Initial residence for DC Movers is reported by DDS. Subsequent residence type is based on information recorded in the CMF, combined with rate information to identify the type of CCF. If a residential vendor changes type (for example, changes CCF level), a residence type change would be recorded even if the individual did not change physical residences.

Table 6: Summary of Movers Changing Residential Type or Address after Transition as of December 2016

	All Changes Since July 2014	Changes this Period
Movers in the Community December 31, 2016	684	
Changed Residence Type		
Changed Address	28	7
Did Not Change Address	4	4
Changed Address, Same Residence Type	60	19
Among Individuals Who Have Changed Addresses, Those With	88	26
1 Change Since July 2014	66	15
2 Changes Since July 2014	15	7
>2 Changes Since July 2014	7	4

Findings and Data Notes:

- During this period, 26 individuals changed addresses, including seven who changed both address and residence type. For seven of the 26 people, this move represented the second move in the period for which we have data (July 2014 on). Four individuals who moved this period had moved at least twice before.
- 88 individuals living in the community have changed addresses at least once as of December 2016. Of those, 15 changed addresses twice and seven changed more than twice.
- This table displays changes in address and residence type both historically and during the current period. A change in residence type may indicate that an individual's placement did not meet his or her care needs or that care needs changed. Other changes in address may reflect placement problems, such as issues with particular staff or other residents. Changes in residence are associated with an elevated risk of special incidents for 6 to 12 months after the change.
- Address and residence type changes in the CMF and POS data may not match the actual move dates; therefore, Table 5 may not capture a move in this time period if the change was not recorded in the CMF or POS data until later. In addition, if a residential vendor changes type (for example, changes CCF level), a residence type change would be recorded even if the individual did not change physical residences.
- Mission began receiving CMF address data starting July 2014. As a result, the table above only tracks address changes that took place on or after July 1, 2014.

Section 2: Changes in Average CDER Evaluations

Table 7: Number of Movers with CDER Evaluations
Using the 2008 CDER Form, as of December 2016

CDER Evaluations	Number of Individuals	Avg. Days from Previous CDER
Any CDER prior to move	695	-
Any CDER since move	642	345
2 CDERs since move	532	297

Data Notes:

- We have separated CDER scores according to the Preferred Program indicator, which is available on CDERs completed at SDC. The two subgroups are:
 - **Significant Health Support:** continuing medical care, physical development, or physical and social development.
 - **Significant Behavioral Support:** Autism, sensory development, dual diagnosed, behavior support, habilitation, or social development.
- There is some judgment involved in the scoring of the CDER. So, there is some natural variation in scoring over time from evaluator to evaluator.

Table 8: Average CDER Values by Evaluation Element and Before and After Transition, as of December 2016

CDER Element	Significant Health Support			Significant Behavioral Support		
	Average Scores, Last Evaluation at Developmental Center	Percent with Improvements	Percent with Declines	Average Scores, Last Evaluation at Developmental Center	Percent with Improvements	Percent with Declines
Evaluation Elements (low=1, high=5)		Out of 336 Total	Out of 336 Total		Out of 306 Total	Out of 306 Total
Skills in Daily Living						
Walking	2.4	8%	9%	4.7	3%	16%
Eating	2.8	9%	5%	4.3	11%	10%
Using Hands	3.1	17%	10%	4.7	11%	8%
Toileting	2.1	10%	9%	4.0	11%	15%
Bladder and Bowel Control	2.0	10%	7%	3.8	17%	14%
Focusing on Tasks Activities	1.7	29%	7%	2.7	31%	11%
Safety Awareness	1.7	7%	18%	2.2	19%	23%
Social Interaction	2.1	21%	13%	3.0	23%	15%
Taking Prescription Medication	1.1	4%	4%	1.6	12%	15%
Personal Care	1.6	18%	4%	2.9	25%	11%
Dressing	1.9	12%	7%	3.6	16%	16%
Verbal Communication	1.6	8%	5%	2.9	16%	6%
Non-Verbal Communication	2.0	16%	6%	2.9	16%	4%
Challenging Behaviors						
Disruptive Social Behavior	3.3	19%	13%	2.2	32%	14%
Emotional Outbursts	3.5	15%	11%	2.3	28%	15%
Aggressive Social Behavior	4.0	13%	9%	2.8	32%	12%
Self-Injurious Behavior	4.3	12%	12%	3.8	24%	10%
Running or Wandering Around	4.5	8%	7%	3.4	33%	10%
Destruction of Property	4.4	12%	4%	3.5	26%	10%

Data Notes:

- Bold numbers in percent columns indicate that the change was statistically significant.
- Positive changes in the CDER reflect movement toward higher functioning and positive outcomes; for example, a decline in a challenging behavior is reflected in movement from a lower to higher score.
- There is some judgment involved in the scoring of the CDER. So, there is some natural variation in scoring over time from evaluator to evaluator.

Table 8 (cont'd): Average CDER Values by Evaluation Element Before and After Transition, as of December 2016

CDER Element	Significant Health Support			Significant Behavioral Support		
	Average Scores, Last Evaluation at Developmental Center	Percent with Improvements	Percent with Declines	Average Scores, Last Evaluation at Developmental Center	Percent with Improvements	Percent with Declines
Personal Outcomes Element		Out of 336 Total	Out of 336 Total		Out of 306 Total	Out of 306 Total
Physical & Social Environment (low=1, high=4)						
Work or Day Program	1.2	1%	9%	1.4	4%	21%
Community Outings	1.7	50%	4%	2.1	51%	4%
Number of Friends	1.9	27%	9%	2.3	24%	15%
Number of People with Disabilities in Household	1.2	56%	1%	1.3	53%	2%
Number of Moves in the last 2 Years	3.4	8%	47%	3.2	11%	38%
Health & Safety (low=1, high=4)						
Medical Care in the past 12 months	4.0	1%	2%	4.0	1%	3%
Dental Care in the past 12 months	4.0	1%	4%	3.9	2%	6%
Appropriate Medical and/or Dental Provided	4.0	3%	3%	4.0	2%	7%

Data Notes:

- Bold numbers in percent columns indicate that the change was statistically significant.
- Positive changes in the CDER reflect movement toward higher functioning and positive outcomes; for example, a decline in a challenging behavior is reflected in movement from a lower to higher score.
- There is some judgment involved in the scoring of the CDER. So, there is some natural variation in scoring over time from evaluator to evaluator.

Table 9: Consumer Survey Responses in First CDER Evaluation After Transition

CDER Element	Significant Health Support			Significant Behavioral Support		
	Positive Response	Ambivalent or Mixed Response	Negative Response	Positive Response	Ambivalent or Mixed Response	Negative Response
	Out of 336 Total			Out of 306 Total		
Likes Living in a Residence	97%	3%	0%	89%	9%	2%
Likes People who Help Him/Her	94%	6%	0%	92%	6%	2%
Want to Keep Living at Residence	94%	6%	0%	87%	11%	3%
Person to Talk with	49%	24%	27%	66%	18%	15%
Safe or Afraid	87%	13%	0%	83%	16%	2%
Happy or Sad	82%	18%	0%	79%	18%	2%
Tell People What you Want	79%	21%	0%	89%	9%	2%

Data Notes:

- Percentages are of the individuals who responded to the question.
- Responses may sum to more than 100% due to rounding.

Table 10: Average CDER Values by Evaluation Element Before Transition and Second Evaluation, as of December 2016

CDER Element Positive Changes reflect movement toward higher functioning.	Significant Health Support			Significant Behavioral Support		
	Average Scores, Last Evaluation at Developmental Center	Percent with Improvements	Percent with Declines	Average Scores, Last Evaluation at Developmental Center	Percent with Improvements	Percent with Declines
Evaluation Elements (low=1, high=5)	Out of 279 Total			Out of 253 Total		
Skills in Daily Living						
Walking	2.4	8%	10%	4.7	3%	17%
Eating	2.8	10%	6%	4.3	13%	10%
Using Hands	3.0	18%	10%	4.7	12%	8%
Toileting	2.0	10%	10%	4.0	13%	15%
Bladder and Bowel Control	1.9	10%	8%	3.7	21%	13%
Focusing on Tasks Activities	1.8	27%	8%	2.7	31%	14%
Safety Awareness	1.6	8%	20%	2.2	18%	24%
Social Interaction	2.1	21%	13%	3.0	24%	16%
Taking Prescription Medication	1.1	3%	3%	1.6	12%	17%
Personal Care	1.6	19%	4%	2.9	25%	12%
Dressing	1.8	15%	8%	3.6	20%	19%
Verbal Communication	1.6	9%	5%	2.8	17%	7%
Non-Verbal Communication	2.0	16%	7%	2.8	16%	4%
Challenging Behaviors						
Disruptive Social Behavior	3.3	21%	14%	2.2	34%	16%
Emotional Outbursts	3.6	18%	11%	2.4	29%	16%
Aggressive Social Behavior	4.1	14%	10%	2.8	34%	14%
Self-Injurious Behavior	4.3	11%	11%	3.8	23%	11%
Running or Wandering Around	4.5	8%	7%	3.5	36%	11%
Destruction of Property	4.4	13%	5%	3.5	28%	11%
Personal Outcomes Element						
Physical & Social Environment (low=1, high=4)						
Work or Day Program	1.2	1%	8%	1.4	2%	21%
Community Outings	1.7	54%	4%	2.1	56%	5%
Number of Friends	1.9	29%	10%	2.3	28%	18%
Number of People with Disabilities in Household	1.2	57%	3%	1.3	55%	4%
Number of Moves in the last 2 Years	3.4	10%	47%	3.3	15%	38%
Health & Safety (low=1, high=4)						
Medical Care in the past 12 months	4.0	1%	2%	4.0	1%	3%
Dental Care in the past 12 months	4.0	1%	5%	3.9	2%	7%
Appropriate Medical and/or Dental Provided	4.0	3%	2%	4.0	2%	5%

Data Notes:

- Bold numbers in percent columns indicate that the change was statistically significant.
- Positive changes in the CDER reflect movement toward higher functioning and positive outcomes; for example, a decline in a challenging behavior is reflected in movement from a lower to higher score.
- There is some judgment involved in the scoring of the CDER. So, there is some natural variation in scoring over time from evaluator to evaluator.

Section 3: Special Incident Reports

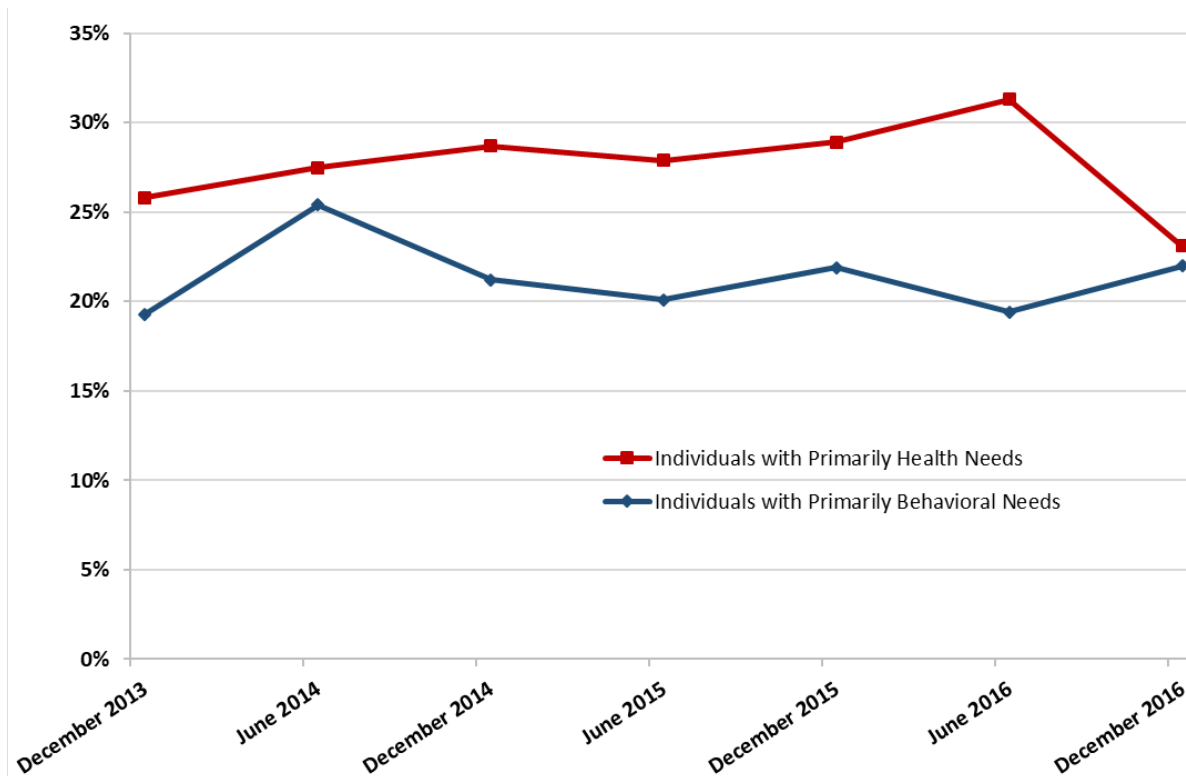
Table 11: Share of Movers with SIRs, July through December 2016

	All Movers	All Movers	Movers with Primary Health Support Needs	Movers with Primary Health Support Needs	Movers with Primary Behavioral Support Needs	Movers with Primary Behavioral Support Needs
Special Incident Type	Previous Period	Current Period	Previous Period	Current Period	Previous Period	Current Period
Number of individuals	622	695	326	363	296	332
Any non-mortality incident	25.4%	22.6%	29.8%	23.1%	20.6%	22.0%
Unplanned medical hosp.	11.1%	8.6%	18.4%	14.3%	3.0%	2.4%
Unplanned psychiatric hosp.	1.1%	1.0%	0.6%	0.3%	1.7%	1.8%
Medication error	6.3%	6.0%	6.7%	5.8%	5.7%	6.3%
Injury	6.1%	5.2%	5.5%	2.8%	6.8%	7.8%
Suspected abuse	3.4%	4.0%	2.1%	2.2%	4.7%	6.0%
Suspected neglect	1.0%	0.7%	1.5%	0.3%	0.3%	1.2%
Missing person	0.8%	1.6%	0.0%	0.8%	1.7%	2.4%
Victim of crime	1.1%	0.3%	0.6%	0.3%	1.7%	0.3%
Mortality	2.1%	1.6%	3.4%	2.8%	0.7%	0.3%

Data Notes:

- Incidents for individuals residing in the DC are tracked in a separate data system and are not included in this analysis.
- The rates reported include all incidents of suspected abuse and suspected neglect. These encompass substantiated and unsubstantiated incidents.
- Rates for the previous period may include incidents reported after the previous report.

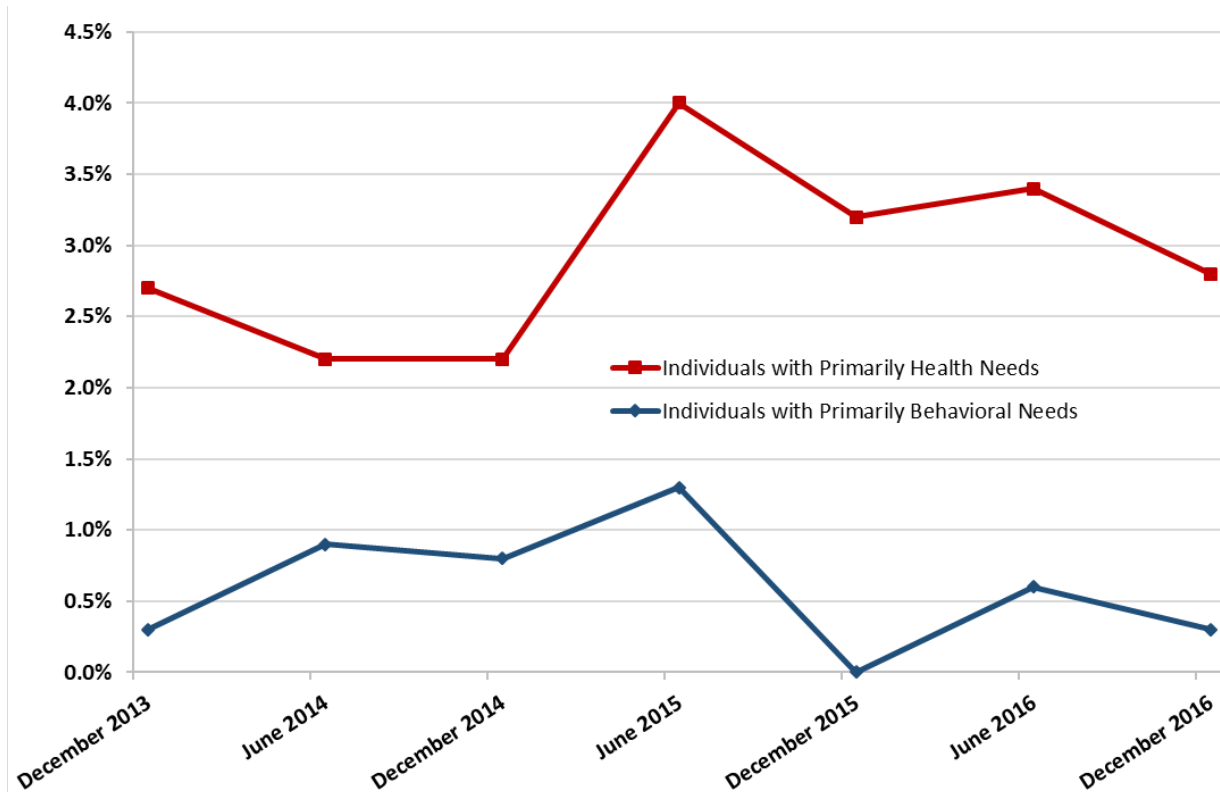
Figure 1: Non-Mortality Incident Rates, as of December 2016



Findings and Data Notes:

- Each point on the graph shows the non-mortality incident rate for the six-month period ending in the month indicated. This corresponds to the non-mortality incident rates reported in Table 11 this current period, ending December 2016, and in past reports.
- The non-mortality incident rate has remained fairly constant over the last three years for both populations. The non-mortality incident rate is consistently higher for individuals with primarily health needs than for individuals with primarily behavioral needs over this period.

Figure 2: Mortality Incident Rates as of December 2016



Findings and Data Notes:

- Each point on the graph shows the mortality incident rate for the six-month period ending in the month indicated. This corresponds to the mortality incident rates reported in Table 11 this current period, ending December 2016, and in past reports.
- The mortality incident rate has been consistently higher for individuals with primarily health needs than for individuals with primarily behavioral needs.

Table 12: Non-Mortality Incidents for Movers, July – December 2016

Incident Type and Sub-Type	Incidents	Individuals	Incident Type and Sub-Type	Incidents	Individuals
Unplanned Hospitalization ²			Injury		
Cardiac-related	2	2	Bite	4	4
Diabetes	0	0	Burns	0	0
Internal infection	34	26	Fracture	8	8
Nutrition deficiency	4	4	Dislocation	0	0
Respiratory illness	37	30	Internal bleeding	6	6
Involuntary psychiatric admission	19	9	Lacerations/sutures/staples	22	19
Seizure	4	4	Medication error	50	42
Wound/skin care	4	4	Medication reactions	0	0
Total	101	69	Puncture wounds	1	1
			Total	91	74
Suspected Abuse ¹			Suspected Neglect ¹		
Alleged emotional/mental abuse	4	4	Fail to assist with personal hygiene	0	0
Alleged financial abuse	8	7	Fail to prevent dehydration	0	0
Alleged physical/chemical restraint	0	0	Fail to prevent malnutrition	0	0
Alleged physical abuse	18	18	Fail to provide care-elder/adult	3	3
Alleged sexual abuse	0	0	Fail to provide food/clothing/shelter	0	0
Total	29	29	Fail to provide medical care	1	1
			Fail to protect from health/safety hazards	1	1
Victim of Crime			Total	5	5
Aggravated assault			Missing person	16	11
Burglary	0	0	Total	16	11
Forcible rape or attempted rape	0	0			
Personal robbery	0	0	TOTAL ALL NON-MORTALITY	240	159
Theft	2	2			
Total	2	2			

¹Reported suspected abuse and neglect incidents include both substantiated and unsubstantiated reports.

²Incident reports had multiple incident types and individuals had multiple incidents, therefore totals cannot be calculated by adding the incident and individual subtypes.

Section 4: Mortality

Table 13: Mortality Incidents for Movers, July – December 2016

Incident Type and Sub-Type	Number
Mortality	
Disease related	6
Non disease-related	0
Unknown	5
Total	11

Data Notes:

- Table 13 will be populated with more detailed data following the roll out of new mortality SIR reporting, which is currently scheduled to begin in January 2018.
- Deaths among developmental center residents are reported in a separate data system and are not included in this table.