

**San Gabriel/Pomona Regional Center
Home and Community-Based Services Waiver
Follow-up Review Report**

Conducted by:

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

May 1, 2023

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INTRODUCTION

The Department of Developmental Services (DDS) and the Department of Health Care Services (DHCS) conducted a collaborative federal compliance monitoring review of the Home and Community-Based Services (HCBS) Waiver from May 23, 2022 through June 3, 2022 at San Gabriel/Pomona Regional Center (SG/PRC). A final report including review findings and SG/PRC's written responses to the findings was provided to SG/PRC on August 22, 2023.

DDS and DHCS conducted a follow-up review on May 1, 2023, to ensure that issues raised during the collaborative review had been addressed. The monitoring team selected 20 consumer records for the HCBS Waiver follow-up review for the period of February 1, 2022, through January 31, 2023. In addition, the team reviewed a supplemental sample of 10 records of consumers who had special incidents reported to DDS during this review period.

Purpose of the Follow-up Review

DDS contracts with 21 private, not-for-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 regulation. As stipulated in the HCBS Waiver application approved by the Centers for Medicare & Medicaid Services (CMS), the monitoring review process is a two-year cycle with a collaborative review in the first year, and a smaller, focused review in the second year addressing issues raised during the collaborative review.

Overview of the HCBS Waiver Federal Follow-up Review

The collaborative monitoring review protocol is composed of sections/components designed to determine if the consumer's needs and program requirements are being met, and that services are being provided in accordance with the consumer's individual program plan. Specific criteria have been developed that are derived from federal/state statutes and regulations and from CMS directives and guidelines relating to the provision of the HCBS Waiver services.

The DDS and DHCS monitoring report from the May 23, 2022 through June 3, 2022 collaborative review requested SG/PRC to provide clarification or follow-up to the report findings and recommendations. SG/PRC submitted a response to DDS on January 27, 2023. Based on the report recommendations and SG/PRC's response, the monitoring team evaluated supporting documents to determine the degree and completeness of the implementation process. Specifically, the team reviewed, evaluated and made determinations based on the selected HCBS Waiver eligible consumers' records and discussions with SG/PRC's personnel.

Summary of Follow-up Review Findings

The May 2023 follow-up review indicated that no further action is needed to ensure that the Standard Annual Review Forms (SARF) are completed. All special incident reports were reported within the required timeframes

SECTION I

REGIONAL CENTER CONSUMER RECORD REVIEW

Summary of the May 23, 2022 through June 3, 2022 Collaborative Monitoring Review Recommendations

The May 23, 2022 through June 3, 2022 monitoring review included findings related to ensuring that the HCBS Waiver Standardized Annual Review Form (SARF) is completed and signed annually by the planning team to document whether or not a change to the existing IPP is necessary and that the consumer's health status and CDER have been reviewed.

Summary of the May 1, 2023 Follow-up Review Findings

All 20 (100 percent) sample consumer records selected for the follow-up review contained documentation that a Standard Annual Report Form (SARF) was completed.

Recommendations

None

SECTION II

SPECIAL INCIDENT REPORTING

Summary of the May 23, 2022 through June 3, 2022 Collaborative Monitoring Review Recommendations

San Gabriel/Pomona Regional Center (SG/PRC) should continue to determine what actions are necessary to ensure that vendors report special incidents within the required timeframes.

Scope of the February 1, 2022 through January 31, 2023 Follow-up Review

1. Special incident reporting of deaths by SG/PRC was reviewed by comparing deaths entered into the Client Master File for the review period with special incident reports (SIR) of deaths received by the Department of Developmental Services (DDS).
2. The records of the 20 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, resulting in an outcome that ensures the consumer is protected from adverse consequences, and that risks are either minimized or eliminated.

Results of the May 1, 2023 Follow-up Review

1. SG/PRC reported all deaths during the review period to DDS.
2. SG/PRC reported all of the SIRs in the sample of 20 records selected for the HCBS Waiver review to DDS.
3. SG/PRC's vendors reported all 10 (100 percent) special incidents within the required timeframes.
4. SG/PRC reported all 10 (100 percent) special incidents to DDS within the required timeframes.
5. SG/PRC's follow-up activities on consumer incidents were appropriate for the severity of the situations for all 10 consumer incidents.

Findings

None

Further Action Needed

None

SAMPLE CONSUMERS

HCBS Waiver Review Consumers

#	UCI
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	
15	
16	
17	
18	
19	
20	

SIR Review Consumers

#	UCI	Vendor #
SIR1		
SIR2		
SIR3		
SIR4		
SIR5		
SIR6		
SIR7		
SIR8		
SIR9		
SIR10		