

San Gabriel/Pomona Regional Center Home and Community-Based Services 1915c Developmental Disabilities Waiver and 1915i State Plan Amendment Follow- Up Review Report

Conducted by: Department of Developmental
Services

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TABLE OF CONTENTS

SECTION I: REGIONAL CENTER RECORD REVIEW 3

SECTION II: SPECIAL INCIDENT REPORTING..... 6

SECTION I: REGIONAL CENTER RECORD REVIEW

The Department of Developmental Services conducted a follow-up review on the Home and Community-Based Services 1915(c) Developmental Disabilities (DD) Waiver and 1915(i) State Plan Amendment (SPA) with San Gabriel/Pomona Regional Center (SG/PRC) on June 23, 2025, to ensure that issues raised during the collaborative review completed March 2024, have been addressed. For the review period of April 1, 2024, through March 31, 2025, 20 records for the 1915(c) DD Waiver and 20 records for the 1915(i) SPA were selected to assess performance on the criteria detailed in the areas below.

1915(c) Developmental Disabilities Waiver Follow-Up Review Summary of Findings

2.10.a The IPP includes a schedule of the type and amount of all services and supports purchased by the regional center. [*W.I.C. § 4646.5(a)(5)(2023)*]; [*42 C.F.R. § 441.301(c)(2)(v)(2025)*]

Findings

Nineteen of the twenty (95 percent) sample IPPs of individuals included a schedule of the type and amount of all services and supports purchased by the regional center. However, the IPP for individual #3 did not include SG/PRC funded service of additional component transportation for the months of April 2024 through July 2024.

Summary of Results for the 1915(c) Developmental Disabilities Waiver Follow-Up Review

The results of the June 2025 follow-up review indicate that the issues identified during the regular biennial monitoring review in March 2024 have been addressed.

1915(i) State Plan Amendment Follow-Up Review Findings

1.4.a The IPP is prepared jointly with the planning team and a list of agreed upon services is signed, prior to its implementation, by an authorized representative of the regional center and the individual or, where appropriate, their parents, legal guardian, conservator or the authorized representative. [*W.I.C. § 4646(d) (2023)*]; [*W.I.C. § 4646(i) (2023)*]; [*42 C.F.R. § 441.301(c)(1)(i) (2025)*]; [*42 C.F.R. § 441.301(c)(2)(ix) (2025)*]

Findings

Seventeen of the twenty (85 percent) applicable sample records of individuals contained IPPs that were signed by SG/PRC and the individuals, or where appropriate, their parents, legal guardian, conservator or the authorized representative prior to implementation. However, there were issues with the following IPPs as indicated below:

1. Individual #2: The signature page for the IPP dated March 17, 2022, was not included in the individual's record;
2. Individual #6: The IPP dated March 4, 2025, was not signed until June 16, 2025; and,
3. Individual #7: The IPP dated February 19, 2025, was not signed until June 11, 2025.

1.7.a The IPP includes a schedule of the type and amount of all services and supports purchased by the regional center. [W.I.C. § 4646.5(a)(5) (2023)]; [42 C.F.R. § 441.301(c)(2)(v) (2025)]

Findings

Eighteen of the twenty (90 percent) sample IPPs of individuals included a schedule of the type and amount of all services and supports purchased by the regional center. However, IPPs for two individuals did not include SG/PRC funded services as indicated below:

1. Individual #2: Supplemental Day Program Support was not included in the IPP for the months of May 2024 through March 2025; and,
2. Individual #12: Independent Living Service was not included in the IPP for the months of May 2024 through June 2024. An addendum was completed July 8, 2025, to add Independent Living Service to the IPP.

1.9.b Quarterly reports of progress are completed for individuals living in community out-of-home settings, i.e., Service Level 2-7 community care facilities or family home agencies or receiving supported living and independent living services. [Cal. Code. Regs tit. 17, CCR, § 56047 (2023)]; [Cal. Code. Regs tit. 17, § 56095 (2023)]; [Cal. Code. Regs tit. 17, § 58680 (2023)]; (Contract Requirement)

Findings

Seventeen of the twenty (85 percent) applicable sample records of individuals had quarterly reports of progress completed for individuals living in community out-of-home settings. However, the records for three individuals did not meet the requirement as indicated below:

1. The record for individuals #11 and #18 contained documentation of three of the four required quarterly reports of progress that were consistent with the quarterly timeline; and,
2. The record for individual #12 contained documentation of two of the four required quarterly reports of progress that were consistent with the quarterly timeline.

Summary of Results for the 1915(i) State Plan Amendment Follow-Up Review

The results of the June 2025 follow-up review indicate that the issues identified during the regular biennial monitoring review in March 2024 require further action to ensure that IPPs are signed prior to its implementation, by an authorized representative of the regional center and the individual or, where appropriate, their parents, legal guardian, conservator or the authorized representative and quarterly documentation of progress is completed timely.

SECTION II: SPECIAL INCIDENT REPORTING

The records of the 40 individuals selected for the HCBS 1915c Developmental Disabilities (DD) Waiver and the 1915(i) State Plan Amendment (SPA) follow-up were reviewed to verify that special incidents have been reported. A supplemental sample of 10 records for the 1915(c) DD Waiver Follow-Up Review and 5 records for the 1915(i) SPA Follow-Up Review were also reviewed to verify 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 appropriate and complete. In addition, the monitoring team verifies that an incident report was completed for all individuals on the 1915(c) DD Waiver and 1915(i) SPA supported by SG/PRC who passed away during the review period.

1915(c) Developmental Disabilities Waiver Follow-Up Review Summary of Findings

SG/PRC reported all deaths for individuals on the waiver during the review period. SG/PRC reported all special incidents in the sample of 20 records selected for the HCBS Waiver follow-up review to the Department. SG/PRC's vendors reported nine out of ten (90 percent) incidents in the supplemental sample to the regional center within the required timeframes. SG/PRC reported all (100 percent) incidents in the supplemental sample to the Department within the required timeframe. SG/PRC's follow-up activities on incidents in the supplemental sample were appropriate for the severity of the situations for all 10 (100 percent) incidents.

Finding

SIR #1: The incident occurred on March 31, 2025. However, the vendor did not report it to the regional center until April 7, 2025.

1915(i) State Plan Amendment Follow-Up Review Summary of Findings

SG/PRC reported all deaths for individuals on the waiver during the review period. SG/PRC reported all special incidents in the sample of 20 records selected for the HCBS Waiver follow-up review to the Department. SG/PRC's vendors reported four out of five (80 percent) incidents in the supplemental sample to the regional center within the required timeframes. SG/PRC reported all (100 percent) incidents in the supplemental sample to the Department within the required timeframe. SG/PRC's follow-up activities on incidents in the supplemental sample were appropriate for the severity of the situations for all five (100 percent) incidents.

Finding

SIR #4: The incident occurred on October 4, 2024. However, the vendor did not report it to the regional center until October 7, 2024.

Recommendation

SG/PRC should ensure that their vendors report special incidents within the required timeframes.