

SERVICE COORDINATOR CASELOAD SURVEY INSTRUCTIONS AND DEFINITIONS MARCH 2026

The following workbooks must be used for reporting caseload ratios:

1. **“Caseload Ratio Worksheet - March 2026.xlsx”** (Attachment C). This survey contains formulas and macros that automatically pull information from a SANDIS report into the spreadsheet. The "Caseload Ratio Automated Survey Instructions.pdf" (Attachment B) must be followed to ensure the survey is completed accurately.
2. **“Low or No POS 2026.xlsx”** (Attachment D). This workbook must be used to identify the select individuals who were reported in the low or no purchase of service (POS) expenditures category of the “Caseload Ratio Worksheet - March 2026”.
3. **“Complex_Needs_Client 2026.xls”** (Attachment E). This workbook must be used to identify the select individuals who were reported in the complex needs category of the “Caseload Ratio Worksheet – March 2026.”

Please adhere to the following instructions when completing the surveys:

1. Include only data on service coordinator positions as defined above.
2. For individuals enrolled in the Home and Community-Based Services (HCBS) Waiver, vacant positions may not be included in the calculations pursuant to Welfare and Institutions Code (WIC) Section [4640.6\(e\)\(4\)](#).
3. For individuals who are not enrolled on the HCBS Waiver, do not include positions that have been vacant for more than 60 days (since January 1, 2026) or new positions established within 60 days (since January 1, 2026) that are still vacant, pursuant to WIC Section 4640.6(e)(3).
4. If a service coordinator has a mixed caseload (e.g., is serving individuals on the HCBS Waiver and individuals through 5 years of age and under), the appropriate proportions of the position and caseload should be reported in both the "Medicaid Waiver" and "Age 0-5" columns. ***This format may result in an individual being counted in more than one caseload category, except for the individuals with complex needs category.***
5. Regional centers were allocated service coordinator positions for low or no POS caseloads to maintain a 1 to 40 caseload ratio. Article IX, Section 2.b. of the FY 2025-2026 Regional Center Contract does not permit mixed low or no POS caseloads.
6. For audit purposes, the regional center must maintain supporting documentation for a minimum of three years. The law requires the Department of Developmental Services (Department), as part of its routine auditing responsibility, to review and verify documentation used to respond to this survey.

Additional Notes:

1. Floating Positions: The Department will allow regional centers to include service coordinator positions that are temporarily assigned caseloads. However, this is specific to service coordinators only and excludes manager/supervisory positions.

Definitions:

- "Service coordinator" means a regional center employee whose primary responsibility includes preparing, implementing, and monitoring individual program plans, securing and coordinating services and supports for individuals, and providing placement and monitoring activities. (WIC Section 4640.6(d))
- Status 1 individuals are infants and toddlers from birth through age two with a developmental delay of 25 percent or more in one of the following six developmental areas: cognitive development; physical and motor development, including vision and hearing; receptive communication development; expressive communication development; social or emotional development; or adaptive development; OR infants and toddlers with established risk conditions, who are infants and toddlers with conditions of known etiology or conditions with established harmful developmental consequences; OR infants and toddlers who are at high risk of having substantial developmental disability due to a combination of biomedical risk factors.
- Status 2 individuals are persons diagnosed with a developmental disability as defined in WIC Section [4512\(a\)\(1\)](#). This includes children ages 36 months and under who have been diagnosed with a developmental disability. Report status 2 individuals ages 5 years and under in the "Age birth through age five" column.
- Status U individuals are children under five years of age who do not have a developmental disability as defined in WIC Section 4512(a)(2)(A), but have significant functional limitations in at least two of the specified categories of major life activity, as determined by a regional center and as appropriate to the age of the child.

Clarification of Categories:

Medicaid Waiver:

Report only those **status 2** individuals who:

- Are on the HCBS Waiver;
- Are 6 years of age and older; and,
- May or may not have moved from a developmental center (DC) to the community.

Ages 5 years (or 72 months) and Under:

Report only those **status 1, 2, and U** individuals who:

- Are 5 years of age and younger;
- May or may not be on the HCBS Waiver.

Moved from Porterville Developmental Center-Secured Treatment Program (PDC-STP) or Canyon Springs or from an acute crisis home operated by the Department offering Stabilization Treatment and Reintegration (STAR) services, to the community in the last 12 months. Report only those **status 2** individuals who:

- Have been living in the community continuously for 12 months or less;
- May or may not be on the HCBS Waiver.

All Others:

Report only those **status 2** individuals who:

- Are over 5 years of age;
- Are not on the HCBS Waiver; and,
- Have not moved from a DC to the community since April 14, 1993.
- Are identified as status U (provisionally eligible), who do not have one of the listed five developmental disabilities (Intellectual Disability/Developmental Delay, Cerebral Palsy, Epilepsy, Autism, 5th Category), but have significant functional limitations in at least two of the specified categories of major life activity.

Individuals with Complex Needs:

Report only those **status 2** individuals who:

- Are receiving regional center-funded mobile crisis services by a Department-approved vendor or have received those services within the past six months.
 - The Department surveyed regional centers in December 2021 to obtain information about mobile crisis service vendors for purposes of the 1:25 specialized caseload ratio for individuals with complex needs, as specified in WIC Section 4640.6(c)(6)(C)(i). If those vendors continue to provide the same services in 2026, regional centers should use the list of approved vendors to identify individuals with complex needs.
- Are receiving state-operated crisis assessment stabilization team services or have received those services within the past six months.
- Are placed in a community crisis home, as defined in WIC Section [4698](#).
- Are placed in an acute crisis home operated by the Department, pursuant to WIC Section [4418.7](#).
- Are placed in a locked psychiatric setting or have been placed in a locked psychiatric setting in the past six months.
- Are placed in an institution for mental disease, as described in Part 5

(commencing with WIC Section [5900](#)) of Division 5.

- Are placed out of state as a result of appropriate services being unavailable within the state, pursuant to WIC Section [4519](#).
- Are placed in a county jail and are either eligible for diversion pursuant to Chapter 2.8 (commencing with section 1001.20) of Title 6 of Part 2 of the Penal Code or found incompetent to stand trial as described in section 1370.1 of the Penal Code.
- Are a person the Department has determined cannot be safely served in a DC, as described in WIC Section [6510.5](#).

Individuals with Low or No POS

Report only those **status 2** individuals who:

- Were selected from the Department's Low or No POS Quarterly reports, or
- Were included in Low or No POS caseload after submitting an exception proposal to the Department.