

**Alta California Regional Center
Home and Community-Based Services Waiver
Follow-up Review Report**

Conducted by:

Department of Developmental Services

June 25, 2024

TABLE OF CONTENTS

INTRODUCTION page 3

SECTION I: REGIONAL CENTER RECORD REVIEW OF INDIVIDUALS SERVED
.....page 5

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

SAMPLE OF INDIVIDUALS SERVED page 8

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 June 12-23, 2023 at Alta California Regional Center (ACRC). A final report including review findings and ACRC's written responses to the findings was provided to ACRC on February 5, 2024.

DDS conducted a follow-up review on June 25, 2024 to ensure that issues raised during the collaborative review had been addressed. The monitoring team selected 20 records of individuals served for the HCBS Waiver follow-up review for the period of June 1, 2023 through May 31, 2024. In addition, the team reviewed a supplemental sample of 10 records of individuals 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 individual's needs and program requirements are being met, and that services are being provided in accordance with the 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 June 2023 collaborative review requested ACRC to provide clarification or follow-up to the report findings and recommendations. ACRC submitted a response to DDS on January 4, 2024. Based on the report recommendations and ACRC'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 sample records for individuals served and discussions with ACRC's personnel.

Summary of Follow-up Review Findings

The June 2024 follow-up review indicated that no further action is needed to ensure that quarterly face-to-face meetings and reports of progress are completed. All special incident reports were reported within the required timeframes.

SECTION I

REGIONAL CENTER RECORD REVIEW OF INDIVIDUALS SERVED

Summary of the June 2023 Collaborative Monitoring Review Recommendations

The June 2023 monitoring review included findings related to ensuring that quarterly face-to-face meetings and reports are completed for individuals living in community out-of-home settings, i.e., Service Level 2, 3 or 4 community care facilities, family home agencies or supported living and independent living settings.

Summary of the June 2024 Follow-up Review Findings

All 20 (100 percent) sample individual records selected for the follow-up review contained documentation ensuring that quarterly face-to-face meetings and reports are completed for individuals living in community out-of-home settings, i.e., Service Level 2, 3 or 4 community care facilities, family home agencies or supported living and independent living settings.

Recommendations

None

SECTION II

SPECIAL INCIDENT REPORTING

Summary of the June 2023 Collaborative Monitoring Review Recommendations

ACRC should continue to determine what actions are necessary to ensure that vendors report special incidents within the required timeframes.

Scope of the June 2024 Follow-up Review

1. Special incident reporting of deaths by ACRC 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 individuals 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 individuals 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 individual served is protected from adverse consequences, and that risks are either minimized or eliminated.

Results of the June 2024 Follow-up Review

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

Findings

None

Further Action Needed

None

SAMPLE OF INDIVIDUALS SERVED RECORDS

HCBS Waiver Review

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

SIR Review

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