

Alta California Regional Center Home and Community-Based Services 1915(i) State Plan Amendment Monitoring Review Report

Conducted by: Department of
Developmental Services and
Department of Health Care Services

Review Dates: June 2–20, 2025



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SECTION I: REGIONAL CENTER RECORD REVIEW

For the review period of March 1, 2024, through February 28, 2025, a total of 27 records of individuals enrolled on the Home and Community Based 1915(i) State Plan Amendment and receiving services at Alta California Regional Center (ACRC), were reviewed for individual choice, notification of proposed action and fair hearing rights, individual program plans (IPP) and periodic reviews and reevaluations of services.

The 27 records reviewed were 98 percent in overall compliance for this review. Findings for six criteria are detailed below.

- 1.3 The IPP for every individual is reviewed and revised as appropriate, at least every 12-months, by the planning team and modified, as necessary, in response to the individual’s changing needs, wants, or health status. [42 C.F.R. § 441.301(C)(3) (2025)]; [W.I.C. §4646.5(b) (2023)]

Findings

Twenty-three of the twenty-five (92 percent) sample records of individuals contained documentation that the individual’s IPP had been reviewed annually by the planning team. However, there was no documentation that the IPPs for two individuals were reviewed annually as indicated below:

- 1. Individual #7: The IPP was dated December 4, 2023. There was no documentation that the IPP was reviewed annually. A new IPP was completed January 1, 2025; and,
- 2. Individual #25: The IPP was dated January 30, 2024. There was no documentation that the IPP was reviewed annually. A new IPP was completed on April 22, 2025.

1.3 Recommendation	Regional Center Plan/Response
ACRC should ensure that the IPP for individuals #7, and #25 are reviewed at least annually by the planning team.	ACRC will provide ongoing training to ensure Service Coordinators are aware of the requirement to review IPPs within a 12-month period. SCs & CSMs will monitor IPP due dates in Atlas to ensure compliance.

- 1.4.a The IPP is signed, prior to its implementation, by an authorized representative of the regional center and the individual or, where appropriate, his/her parents, legal guardian, or conservator. [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)]

Finding

Twenty-six of the twenty-seven (96 percent) applicable sample records of individuals contained IPPs that were signed by ACRC and the individuals, or their legal representatives. However, The IPP dated June 17, 2024 for individual #17, was not signed by the individual and the regional center until April 14, 2025. Accordingly, no recommendation is required.

- 1.4.b IPP addenda are signed by an authorized representative of the regional center and the individual or, where appropriate, their parents, legal guardian, or conservator. *[W.I.C. § 4646(g) (2023)]; [42 C.F.R. § 441.301(c)(2)(ix) (2025)]*

Finding

Eight of the nine (89 percent) applicable sample records of individuals contained addendums that were signed by ACRC and the individuals or their legal representatives. However, the addenda dated June 17, 2024, for individual #1, was not signed by the individual or, where appropriate, their parents, legal guardian, or conservator until April 11, 2025. Accordingly, no recommendation is required.

- 1.9 Periodic reviews and reevaluations of progress for the individual are completed (at least annually) to ascertain that planned services have been provided, that progress has been achieved within the time specified, and the individual and their family are satisfied with the IPP and its implementation. *[W.I.C § 4646.5(a)(6) (2023)]*

Finding

Twenty-three of the twenty-four (96 percent) sample records of individuals contained documentation of periodic review and reevaluation of progress at least annually. However, the record for individual #25 did not contain documentation that the individual's progress had been reviewed annually.

1.9 Recommendation	Regional Center Plan/Response
ACRC should ensure that a review and reevaluation of progress regarding planned services, timeframes and satisfaction for individual #25 is completed and documented at least annually.	The IPP for #25 was completed on 4/22/25. ACRC will provide ongoing training to ensure Service Coordinators are aware of the requirement to review and document the progress of planned services annually. SCs & CSMs will monitor IPP due dates in Atlas to ensure compliance.

- 1.9.a Quarterly face-to-face meetings are completed with 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, § 56047*

(2023)]; [Cal. Code. Regs tit. 17, §56095 (2023)]; [Cal. Code. Regs tit. 17, § 58680 (2023)]; (Contract Requirement)

Finding

Eight of the nine (89 percent) applicable sample records of individuals had quarterly face-to-face meetings completed and documented. However, the record for individual #7 contained documentation of three of the four required meetings that were consistent with the quarterly timeline.

1.9.a Recommendation	Regional Center Plan/Response
ACRC should ensure that all future face-to-face meetings are completed and documented each quarter for individual #7.	ACRC will complete trainings by 3/31/26 to ensure that the staff are aware of the requirements to document face-to-face meetings for the consumers they visit.

- 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)

Finding

Eight of the nine (89 percent) applicable sample records of individuals had quarterly reports of progress completed for individuals living in community out-of-home settings. However, the record for individual #7 contained documentation of three of the four required quarterly reports of progress that were consistent with the quarterly timeline.

1.9.b Recommendation	Regional Center Plan/Response
ACRC should ensure that future quarterly reports of progress are completed for individual #7.	ACRC will complete trainings by 3/31/26 to ensure staff are aware of the need to complete quarterly face-to-face meetings, as well as the documentation required to record the meetings.

SECTION II: SPECIAL INCIDENT REPORTING

The records of the 27 individuals supported by Alta California Regional Center (ACRC) and selected for the Home and Community-Based Services (HCBS) 1915(i) State Plan Amendment sample were reviewed to verify that special incidents have been reported. A supplemental sample of 10 records of individuals receiving services were also reviewed to verify that special incident reports (SIR) 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 SPA supported by ACRC who passed away during the review period.

Summary of Findings

ACRC reported all special incidents in the sample of 27 records selected for the HCBS 1915(i) State Plan Amendment review, to the Department. ACRC's vendors reported all (100 percent) incidents in the supplemental sample to the regional center within the required timeframes. ACRC reported all (100 percent) incidents in the supplemental sample to the Department within the required timeframe. ACRCs follow-up activities on incidents in the supplemental sample were appropriate for the severity of the situations for all incidents. In addition, ACRC reported all deaths during the review period.