

Regional Center of the East Bay 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: February 10 – 28,
2025



TABLE OF CONTENTS

SECTION I: REGIONAL CENTER RECORD REVIEW.....3

SECTION II: SPECIAL INCIDENT REPORTING.....10

SECTION I: REGIONAL CENTER RECORD REVIEW

For the review period of November 1, 2023, through October 31, 2024, a total of 17 records of individuals enrolled on the 1915(i) State Plan Amendment and receiving services at Regional Center of the East Bay (RCEB), 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 17 records reviewed were 85 percent in overall compliance for this review. Findings for eight criteria are detailed below.

- 1.3 The IPP is reviewed (at least annually) 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

Fourteen of the seventeen (82 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 three individuals were reviewed annually as indicated below:

- 1. Individual #2: The IPP was dated October 13, 2022. There was no documentation that the IPP was reviewed annually;
- 2. Individual #7: The IPP was dated November 12, 2021. There was no documentation that the IPP was reviewed annually. A new IPP was completed on November 14, 2024; and,
- 3. Individual #10: There was no documentation that the IPP was completed or reviewed annually.

1.3 Recommendations	Regional Center Plan/Response
RCEB should ensure that the IPP for individuals #2, #7, and #10 are reviewed at least annually by the planning team.	An Annual Review was completed for Individual #2 on 9/24/2024. A report will be completed by RCEB for this contact by 8/7/2025. An IPP was completed for Individual #7 on 11/14/2024. An annual review will be completed by 11/30/2025. An IPP was complete for Individual #10 on 1/21/2025.
In addition, RCEB should evaluate what actions may be necessary to ensure that IPP are reviewed annually for all individuals.	Current practices are under review to identify effective actions and systemic improvements

	that will ensure all individuals receive timely annual IPP reviews.
--	---

- 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)]*

Findings

Fourteen of the sixteen (88 percent) applicable sample records of individuals contained IPPs that were signed by RCEB and the individuals, or their legal representatives. However, the following individuals' IPPs were not signed by the appropriate individual:

1. Individual #4: The IPP dated November 17, 2023, was not signed by the individual and the regional center; and,
2. Individual #9: The IPP dated March 15, 2023, was not signed by the individual. The IPP was signed on January 20, 2025. Accordingly, no recommendation is required.

1.4.a Recommendation	Regional Center Plan/Response
RCEB should ensure that the IPP for individual #4 is signed by the individual and regional center.	Unfortunately, the case manager and supervisor addressing this have both left RCEB since the time of the report response. We are unable to locate in the chart so will be sending someone else out by 10/10/2025 to obtain again.

- 1.4.b IPP addenda are signed 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(g) (2023)]; [42 C.F.R. § 441.301(c)(2)(ix) (2025)]*

Finding

Six of the seven (86 percent) applicable sample records of individuals contained addendums that were signed by RCEB and the individuals or their legal representatives. However, for individual #6 the addenda dated May 18, 2023 and August 2, 2023 were not signed by the individual or, where appropriate, his/her parents, legal guardian, or conservator.

1.4.b Recommendation	Regional Center Plan/Response
RCEB should ensure that the IPP addenda for individual #6 are signed by the individual.	RCEB has obtained signature for IPP Addendums for Individual #6.

- 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

Nine of the seventeen (53 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 eight individuals did not include RCEB funded services as indicated below:

1. Individual #2: In-Home Day Program and Residential Facility were not included in the IPPs covering the review period;
2. Individual #4: Activity Center was not included for the review period and Residential Facility was not included for the months covering January 2024 through September 2024 in the IPP dated November 17, 2023;
3. Individual #6: Crisis Prevention Program was not included for the months covering November 2023 through April 2024, and July 2024 through August 2024 in the IPP dated March 4, 2022;
4. Individual #10: Independent Living Program was not included in the IPPs covering the review period;
5. Individual #11: Independent Living Program was not included for the months covering July 2024 through October 2024 in the IPP dated July 16, 2021;
6. Individual #12: Independent Living Program was not included in the IPPs covering the review period;
7. Individual #13: Independent Living Program was not included in the months May 2024 and June 2024, Activity Center and Transportation were not included in the month September 2024 in the IPP dated March 8, 2024; and,
8. Individual #14: In-Home Respite Service Agency was not included for the months covering November 2023 through June 2024 in the IPP dated March 30, 2022.

1.7.a Recommendations	Regional Center Plan/Response
RCEB should ensure that the IPPs for individuals #2, #4, #6, #10, #11, #12, #13 and #14 include a schedule of the type and amount of all services and supports purchased by RCEB.	An IPP Addendum has been completed to include services and supports for Individual #2. An IPP Addendum has been completed to include services and supports for Individual #4.

	An IPP Addendum has been completed to include services and supports for Individual #6. An IPP was completed for Individual #10 on 1/21/2025 which includes services and supports funded by RCEB. An IPP Addendum has been completed to include services and supports for Individual #11. An IPP Addendum has been completed to include services and supports for Individual #12. An IPP Addendum has been completed to include services and supports for Individual #13. An IPP Addendum has been completed to include services and supports for Individual #14.
In addition, RCEB should evaluate what actions may be necessary to ensure that IPPs include a schedule of the type and amount of services and supports purchased by RCEB.	RCEB is utilizing SANDIS system and is actively training Case Management on IPP requirements.

- 1.8 The IPP identifies the provider or providers of service responsible for implementing services and/or support, including, but not limited to, vendors, contracted providers, generic service agencies, and natural supports. *[W.I.C § 4646.5(a)(4)] (2023); [42 C.F.R. § 441.301(c)(2)(v)]*

Finding

Fifteen of the sixteen (94 percent) sample records of individuals contained IPPs that identified the provider or providers responsible for implementing services. However, the IPP for individual #4 did not indicate the provider for the RCEB-funded service of Activity Center in the IPP dated November 17, 2023.

1.8 Recommendation	Regional Center Plan/Response
RCEB should ensure the IPP for individual #4 identifies the provider for the service listed above.	An IPP Addendum has been completed for Individual #4.

- 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 his/her family are satisfied with the IPP and its implementation. *[W.I.C § 4646.5(a)(6) (2023)]*

Findings

Fourteen of the seventeen (82 percent) sample records of individuals contained documentation of periodic review and reevaluation of progress at least annually. However, the records for individuals #8, #9, and #10 did not contain documentation that the individual's progress had been reviewed annually.

1.9 Recommendations	Regional Center Plan/Response
RCEB should ensure that a review and reevaluation of progress regarding planned services, timeframes and satisfaction for individuals #8, #9, and #10 is completed and documented at least annually.	An IPP meeting was completed 4/24/2025 for Individual #8. An IPP meeting was completed on 3/21/2025 for Individual #9. An IPP was completed for Individual #10 on 1/21/2025. RCEB acknowledges high open caseloads have contributed to delays in annual IPP reviews. RCEB is actively evaluating systemic and strategic solutions to ensure annual IPP reviews.
In addition, RCEB should evaluate what actions may be necessary to ensure that a review and reevaluation of progress regarding planned services, timeframes and satisfaction for individuals are completed and documented at least annually.	Current practices are under review to identify effective actions and systemic improvements that will ensure all individuals receive timely annual IPP reviews.

- 1.9.a Quarterly face-to-face meetings are completed for individuals living in community out-of-home settings, i.e., Service Level 2, 3 or 4 CCFs, family home agencies or supported living and independent living settings. *[Cal. Code. Regs tit. 17, § 56047 (2023)]; [Cal. Code. Regs tit. 17, § 56095 (2023)]; [Cal. Code. Regs tit. 17, § 58680 (2023)]; (Contract requirement)*

Findings

Four of the eleven (36 percent) applicable sample records of individuals had quarterly face-to-face meetings completed and documented. However, the records for seven individuals did not meet the requirement as indicated below:

1. The records for individuals #4, #6, and #8 contained documentation of three of the four required meetings that were consistent with the quarterly timeline;
2. The record for individual #3 contained documentation of two for the four required meetings that were consistent with the quarterly timeline;
3. The record for individual #1 contained documentation of one of the four required meetings that were consistent with the quarterly timeline; and,
4. The records for individuals #10 and #11 did not contain documentation of any of the four required meetings that were consistent with the quarterly timeline.

1.9.a Recommendations	Regional Center Plan/Response
RCEB should ensure that all future face-to-face meetings are completed and documented each quarter for individuals #1, #3, #4, #6, #8, #10, and #11.	RCEB acknowledges delays in completing quarterly face to face visits and is committed to ensuring they are completed timely for all individuals. A root cause analysis has been underway since 3/2025; and RCEB has submitted a Plan of Correction to the Department of Developmental Services to address training, tracking, and compliance. Additionally, RCEB is conducting targeted training on quarterly requirements for current staff.
In addition, RCEB should evaluate what actions may be necessary to ensure that quarterly face-to face meetings are completed and documented for all applicable individuals.	As a part of corrective action initiatives, RCEB is meeting with the Department of Developmental Services. RCEB is committed to take actions necessary ensure that quarterly face-to face meetings are completed and documented for all applicable individuals.

- 1.9.b Quarterly reports of progress are completed for individuals living in community out-of-home settings, i.e., Service Level 2, 3 or 4 CCFs, family home agencies or supported living and independent living settings. *[Cal. Code. Regs tit. 17, § 56047 (2023)]; [Cal. Code. Regs tit. 17, § 56095 (2023)]; [Cal. Code. Regs tit. 17, § 58680 (2023)]; (Contract requirement)*

Findings

Four of the eleven (36 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 seven individuals did not meet the requirement as indicated below:

1. The records for individuals #6 and #8 contained documentation of three of the four required quarterly reports of progress that were consistent with the quarterly timeline;
2. The records for individuals #1 and #3 contained documentation of two of the four required quarterly reports of progress that were consistent with the quarterly timeline;
3. The record for individual #4 contained documentation of one of the four required quarterly reports of progress that were consistent with the quarterly timeline; and,
4. The records for individual #10 and #11 did not contain documentation of any of the four required quarterly reports of progress that were consistent with the quarterly timeline.

1.9.b Recommendations	Regional Center Plan/Response
RCEB should ensure that future quarterly reports of progress are completed for individuals #1, #3, #4, #6, #8, #10 and #11.	RCEB acknowledges delays in completing quarterly progress reports and is committed to ensuring they are completed timely for all individuals. A root cause analysis has been underway since 3/2025; and RCEB has submitted a Plan of Correction to the Department of Developmental Services to address training, tracking, and compliance. Additionally, RCEB is conducting targeted training on quarterly requirements for current staff.
In addition, RCEB should evaluate what actions may be necessary to ensure that quarterly reports of progress are completed for all applicable individuals.	As a part of corrective action initiatives, RCEB is meeting with the Department of Developmental Services. RCEB is committed to take actions necessary ensure that quarterly face-to face meetings are completed and documented for all applicable individuals.

SECTION 2: SPECIAL INCIDENT REPORTING

The records of the 17 individuals supported by Regional Center of the East Bay (RCEB) and selected for the 1915(i) Home and Community-Based Services (HCBS) State Plan Amendment (SPA) sample were reviewed to verify that special incidents have been reported. A supplemental sample of 5 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 RCEB who passed away during the review period.

Summary of Findings

RCEB reported all special incidents in the sample of 17 records selected for the HCBS 1915(i) SPA review, to the Department. RCEB's vendors reported four of the five (80 percent) incidents in the supplemental sample to the regional center within the required timeframes. RCEB reported two of the five (40 percent) incidents in the supplemental sample to the Department within the required timeframe. RCEB's follow-up activities on incidents in the supplemental sample were appropriate for the severity of the situations for all 5 incidents. In addition, RCEB reported all deaths during the review period.

Findings

SIR #1: The incident occurred on August 24, 2024. However, the vendor did not submit a written report to RCEB until August 27, 2024. Consequently, RCEB did not submit a written report to the Department until September 5, 2024.

SIR #2: RCEB became aware of the incident on March 5, 2024, but did not submit a written report to the Department until May 14, 2024.

SIR #4: RCEB became aware of the incident on January 6, 2024, but did not submit a written report to the Department until January 22, 2024.

Recommendations	Regional Center Plan/Response
RCEB should ensure that vendors report special incidents within the required timeframes.	RCEB will provide technical assistance to the identified vendor by 10/31/2025.
RCEB should ensure that all special incidents are reported to the Department within the required timeframe.	RCEB will ensure special incidents are reported to the Department within the required timeframe through continued staff training.