

Regional Center of Orange County Home and Community-Based Services 1915(c) Self- Determination Program Waiver Monitoring Review Report

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

Review Dates: August 4–15, 2025

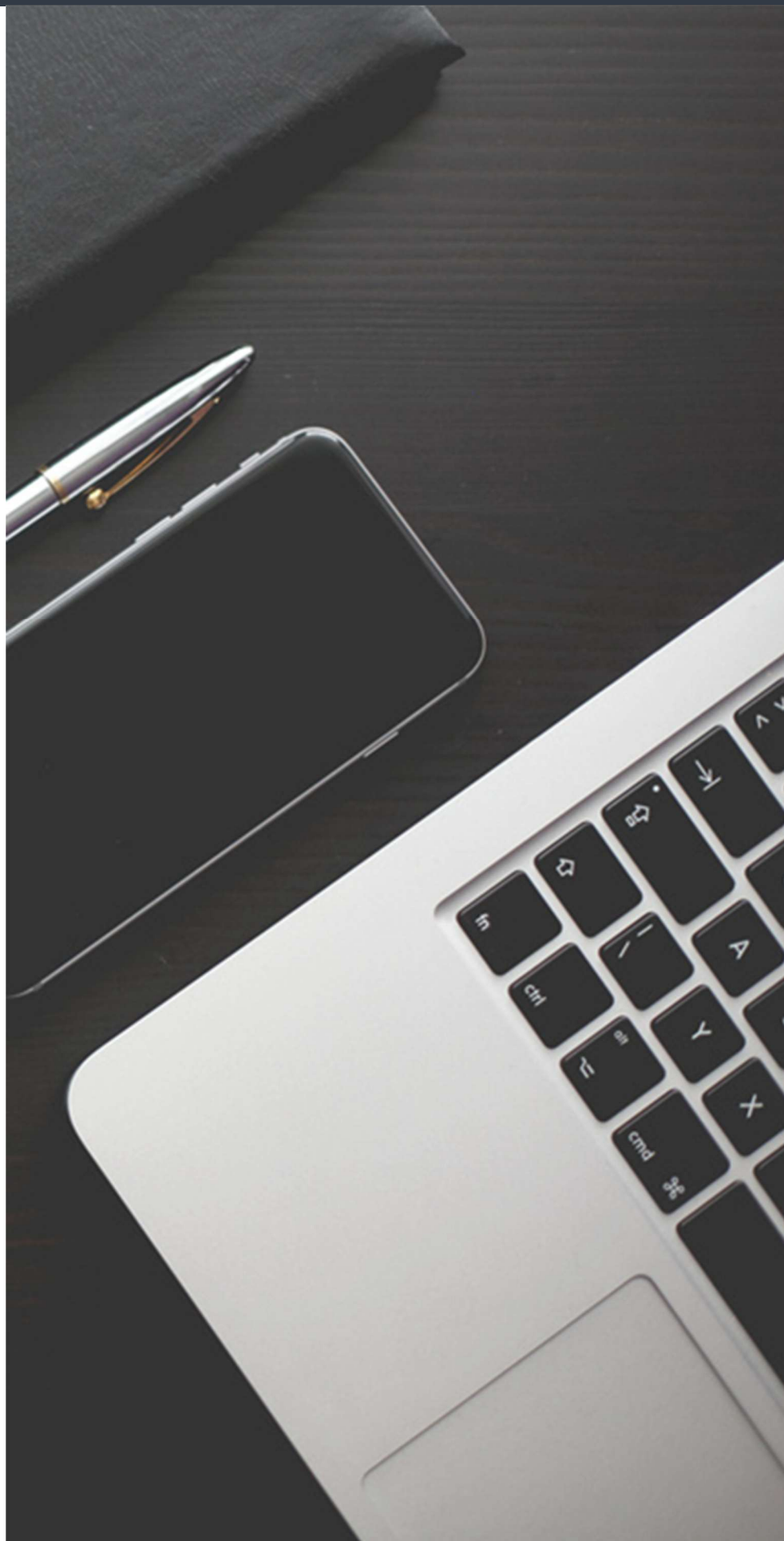


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SECTION I: REGIONAL CENTER SELF-ASSESSMENT

Regional Center of Orange County (RCOC) responded to questions that align with the California Home and Community-Based (HCBS) 1915(c) Self-Determination Program Waiver requirements. The regional center self-assessment addresses the California HCBS Waiver assurances criteria and is designed to provide information about the regional center's processes and practices.

The responses indicated that the regional center has systems and procedures in place for implementing the State and HCBS Waiver laws and regulations addressed in the self-assessment criteria.

The full response to the self-assessment provided by RCOC is available upon request.

SECTION II: REGIONAL CENTER RECORD REVIEW

For the review period of May 1, 2024, through April 30, 2025, a total of 20 records of individuals enrolled on the Home and Community-Based Services (HCBS) 1915(c) Self-Determination Program (SDP) Waiver and receiving services at Regional Center of (RCOC), were reviewed for individual choice, notification of proposed action and fair hearing rights, level-of-care, individual program plans (IPP) and periodic reviews and reevaluations of services. In addition, five supplemental records were reviewed for documentation of voluntary disenrollment or a notice of proposed action, if there was a loss of service. None of these HCBS Waiver disenrollments resulted in a loss of regional center or generic services. Lastly, three additional supplemental records were reviewed for documentation that RCOC determined the individual met the HCBS Waiver level-of-care requirements prior to receiving HCBS Waiver supports.

The 20 records reviewed were 97 percent in overall compliance for this review. Findings for five criteria are detailed below:

- 2.7.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

Fifteen of the twenty (75 percent) sample records of individuals contained IPPs that were signed by RCOC and the individuals or, where appropriate, their parents, legal guardian, conservator or the authorized representative. However, the following IPPs were not signed by the appropriate individual:

1. Individual #9: The IPP dated August 29, 2024, was not signed by the individual and the regional center until July 15, 2025. Accordingly, no recommendation is required;
2. Individual #14: The IPP dated March 27, 2025, was not signed by the conservator until August 13, 2025. Accordingly, no recommendation is required;
3. Individual #17: The IPP dated October 31, 2024, was not signed by the individual and the regional center until July 30, 2025 and August 4, 2025. Accordingly, no recommendation is required;
4. Individual #18: The IPP dated December 10, 2024 was not signed by the individual and the regional center until July 30, 2025. Accordingly, no recommendation is required; and,

5. Individual #20: The IPP dated December 26, 2024 was not signed by the individual and the regional center until June 27, 2025 and July 11, 2025. Accordingly, no recommendation is required.

2.7.a Recommendation	Regional Center Plan/Response
RCOC should evaluate what actions may be necessary to ensure that all IPPs are signed by the appropriate individuals.	RCOC has implemented a task list with reminders for service coordinators when the IPPs are due. The reminder for each due IPP will remain on the task list until the form is returned. A report has also been created for easier tracking of IPPs and IPP Addenda. RCOC will continue to provide ongoing training and oversight to service coordinators regarding the comprehensive completion of all IPPs/IPP Addenda and documentation. In-person refresher trainings for all service coordinators/management regarding the HCBS Waiver requirements were conducted on 04/14/25, 04/16/25, 04/23/25, and 05/07/25 to accommodate staff's availability. In-service refreshers/training with focus on targeted areas of the IPP/IPP Addenda have also been presented to staff in RCOC's Central area office on 01/08/25, 5/14/25, and 11/12/25, as well as the West area office on 01/14/25, 05/13/25, and 11/25/25. Ongoing email guidance for the signature forms were sent 01/06/25, 01/13/25, 01/24/25, 02/26/25, 04/11/25, 05/14/25, 10/14/25, and 10/22/25. Workshops were also conducted on 11/14/25 and 11/21/25 to assist staff with proper completion/documentation of IPPs/IPP Addenda, in addition to upcoming workshops that have been scheduled through the end of 2025 and for the coming 2026 year.

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

Findings

Seventeen of the twenty (85 percent) applicable sample records for individuals contained IPP addenda signed by RCOC and the individual or, where appropriate their parents, legal

guardian, conservator or authorized representative. However, the following IPP addenda were not signed by the appropriate individual:

1. Individual #2: The addendum dated February 24, 2025 was not signed by the individual until June 3, 2025. Accordingly, no recommendation is required;
2. Individual #4: The addendum dated February 12, 2025 was not signed by the individual until July 19, 2025. Accordingly, no recommendation is required; and,
3. Individual #17: The addenda dated June 10, 2024 and July 23, 2024 were not signed by the individual until July 29, 2025. Accordingly, no recommendation is required.

2.7.b Recommendation	Regional Center Plan/Response
RCOC should evaluate what actions may be necessary to ensure that the addenda are signed by the individual.	RCOC has implemented a task list with reminders for service coordinators when the IPP Addenda is due. The reminder for each due IPP Addendum will remain on the task list until the form is returned. A report has also been created for easier tracking of IPPs and IPP Addenda. RCOC will continue to provide ongoing training and oversight to service coordinators regarding the comprehensive completion of all IPPs/IPP Addenda and documentation. In-person refresher trainings for all service coordinators/management regarding the HCBS Waiver requirements were conducted on 04/14/25, 04/16/25, 04/23/25, and 05/07/25 to accommodate staff's availability. In-service refreshers/training with focus on targeted areas of the IPP/IPP Addenda have also been presented to staff in RCOC's Central area office on 01/08/25, 5/14/25, and 11/12/25, as well as the West area office on 01/14/25, 05/13/25, and 11/25/25. Ongoing email guidance for the signature forms were sent 01/06/25, 01/13/25, 01/24/25, 02/26/25, 04/11/25, 05/14/25, 10/14/25, and 10/22/25. Workshops were also conducted on 11/14/25 and 11/21/25 to assist staff with proper completion/documentation of IPPs/IPP addenda, in addition to upcoming workshops that have been scheduled

	through the end of 2025 and for the coming 2026 year.
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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)]*

Finding

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 #18 did not include RCOC funded services for financial management services for the months of October 2024 through November 2024, in the IPP dated December 18, 2023.

2.10.a Recommendation	Regional Center Plan/Response
RCOC should ensure that the IPP for individual #18 includes a schedule of the type and amount of all services and supports purchased by RCOC.	The 10/03/24 IPP Addendum was completed to include RCOC funded service for financial management services addressing coverage for 10/2024-11/2024 and submitted to DDS on 08/25/25. The 12/10/24 IPP includes a schedule of the type and amount of all services and supports purchased by RCOC.

2.12.a Quarterly face-to-face meetings with the individual are completed for individuals living in community out-of-home settings, i.e., Service Level 2-7 community care facilities, 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)*

Finding

Seven of the eight (88 percent) applicable sample records of individuals contained quarterly face-to-face meetings completed and documented. However, the record for individual #9 contained documentation of two of the four required meetings that were consistent with quarterly timeline.

2.12.a Recommendation	Regional Center Plan/Response
RCOC should ensure that all future face-to-face meetings are completed and documented each quarter for individual #9.	RCOC will continue to provide ongoing training and oversight to service coordinators regarding the comprehensive completion of all IPPs and documentation, including quarterly face-to-face visits for all individuals

	living in community out-of-home settings. In-person refresher trainings for all service coordinators/management regarding the HCBS Waiver requirements were also conducted on 04/14/25, 04/16/25, 04/23/25, and 05/07/25 to accommodate staff's availability.
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2.12.b Quarterly reports of progress toward achieving IPP objectives are completed for individuals living in community out-of-home settings, i.e., service Level 2-7 community care facilities, 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)*

Finding

Seven of the eight (88 percent) applicable sample records of individuals contained quarterly reports of progress completed for individuals living in community out-of-home settings. However, the record for individual #9 contained documentation of two of the four required quarterly reports of progress that were consistent with the quarterly timeline.

2.12.b Recommendation	Regional Center Plan/Response
RCOC should ensure that future quarterly reports of progress are completed for individuals #9.	RCOC will continue to provide ongoing training and oversight to service coordinators regarding the comprehensive completion of quarterly reports for all individuals living in community out-of-home settings. In-person refresher trainings for all service coordinators/management regarding the HCBS Waiver requirements were also conducted on 04/14/25, 04/16/25, 04/23/25, and 05/07/25 to accommodate staff's availability.

SECTION III: OBSERVATIONS AND INTERVIEWS WITH INDIVIDUALS

Twelve of the twenty individuals supported by Regional Center of Orange County (RCOC), or in the case of minors, their parents, were interviewed and/or observed at their day programs, employment sites, community care facilities, or in independent living settings to verify that the individuals appear to be supported and healthy. Interview questions focused on the individuals’ satisfaction with their financial management service (FMS) provider, independent facilitator, participation in developing budget and spending plan, and regional center services.

Finding

Nine of the ten individuals/parents of minors interviewed, indicated satisfaction with their financial management service provider, independent facilitator, living situation, day program, work activities, health, choice, and regional center services. All individuals interviewed and observed reflected personal choice and individual style. However, individual #18 was dissatisfied with the FMS provider.

Recommendation	Regional Center Plan/Response
RCOC should follow up with individual #18 regarding concerns with their FMS provider.	The family decided to change FMS providers due to their dissatisfaction with the previous provider.

SECTION IV: REGIONAL CENTER STAFF INTERVIEWS

SECTION IV A: SERVICE COORDINATOR INTERVIEWS

The monitoring team interviewed four service coordinators (SC). The interviews determined that all of the SCs, are knowledgeable about the desires, preferences, life circumstances and service needs of the individuals they support. The SCs had knowledge of the processes for individual program planning, knowledge of self-determination program services and periodic review as well as monitoring the services, health, and safety of the individuals they support.

SECTION V: SPECIAL INCIDENT REPORTING

The records of the 20 individuals supported by Regional Center of Orange County (RCOC) and selected for the Home and Community-Based (HCBS) 1915(c) Self-Determination Program Waiver sample were reviewed to verify that special incidents have been reported. A supplemental sample of four records 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 HCBS Waiver supported by RCOC who passed away during the review period.

Summary of Findings

RCOC reported all special incidents in the sample of 20 records selected for the HCBS 1915(c) Self-Determination Program Waiver review to the Department. RCOC's vendors reported three of the four (75 percent) incidents in the supplemental sample to the regional center within the required timeframes. RCOC reported three of the four (75 percent) incidents in the supplemental sample to the Department within the required timeframe. RCOC's follow-up activities on incidents in the supplemental sample were appropriate for the severity of the situations for all (100 percent) incidents. In addition, RCOC reported all deaths during the review period.

Findings

SIR #1: The incident occurred on August 22, 2024. RCOC became aware of the incident on August 22, 2024, but did not submit a written report to the Department until August 27, 2024.

SIR #3: The incident occurred on May 17, 2024. However, the vendor did not submit a written report to RCOC until May 20, 2024.

Recommendations	Regional Center Plan/Response
RCOC should ensure that vendors report special incidents within the required timeframes.	RCOC will continue to provide ongoing technical assistance to the vendors consisting of training on SIR reporting requirements with a focus on reporting timelines.
RCOC should ensure that all special incidents are reported to the Department within the required timeframe.	A refresher training was conducted with SIR staff in December 2024 to go over SIR reporting timelines and documentation of said reports. SIR refreshers with a focus on various targeted areas have also been provided to staff at both RCOC area offices. West area dates include 03/21/25, 04/08/25,

	05/13/25, 06/10/25, and 07/08/25. Central area dates include 04/09/25, 05/14/25, 06/11/25, 08/13/25, and 09/10/25.
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