

Regional Center of Orange County 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: August 4–15, 2025



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SECTION I: REGIONAL CENTER RECORD REVIEW

For the review period of May 1, 2024 through April 30, 2025, a total of 21 records of individuals enrolled on the Home and Community Based Services 1915(i) State Plan Amendment and receiving services at Regional Center of Orange County (RCOC), 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 21 records reviewed were 96 percent in overall compliance for this review. Findings for four criteria are detailed below.

- 1.4.a The IPP is prepared jointly with the planning team and 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, the individual's 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

Eighteen of the twenty-one (86 percent) applicable 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, there were issues with the following IPPs as indicated below:

1. Individual #2: The IPP dated June 26, 2024, was not signed by the individual and the regional center until July 27, 2025. Accordingly, no recommendation is required;
2. Individual #9: The IPP dated September 26, 2024, was not signed by the individual and the regional center until August 18, 2025. Accordingly, no recommendation is required; and,
3. Individual #14: The IPP dated January 21, 2025, was not signed by the individual and the regional center until August 13, 2025. Accordingly, no recommendation is required.

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

Findings

Ten of the fifteen (67 percent) applicable sample records of individuals contained addendums that were signed by RCOC and the individuals or their legal representatives. However, the following individuals' addenda were not signed by the appropriate individual:

1. Individual #3: The addenda dated August 14, 2024 and March 18, 2025 were not signed until July 23, 2025 by the individual or, where appropriate their parents, legal guardian, or conservator. Accordingly, no recommendation is required;
2. Individual #5: The addenda dated March 25, 2025 and April 22, 2025 were not signed until July 15, 2025 and August 8, 2025 by the individual or, where appropriate their parents, legal guardian, or conservator. Accordingly, no recommendation is required.
3. Individual #8: The addendum dated December 20, 2024 was not signed until July 21, 2025 by the individual or, where appropriate their parents, legal guardian, or conservator. Accordingly, no recommendation is required;
4. Individual #17: The addenda dated December 20, 2024 and March 24, 2025 were not signed until August 8, 2025 by the individual or, where appropriate their parents, legal guardian, or conservator. Accordingly, no recommendation is required; and,
5. Individual #19: The addendum dated December 20, 2024 was not signed until July 21, 2025 by the individual or, where appropriate their parents, legal guardian, or conservator. Accordingly, no recommendation is required.

1.4.b Recommendation	Regional Center Plan/Response
RCOC should evaluate what actions may be necessary to ensure that all individual records which contain addenda are signed by RCOC and the individuals or their legal representatives.	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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- 1.6.a The IPP addresses the special health care requirements and safety risks. *[W.I.C. § 4646.5(a)(2) (2023)]; [42 C.F.R. § 441.301(c)(2)(vi) (2025)]*

Finding

Eight of the nine (89 percent) applicable sample IPPs for individuals address the individuals' healthcare requirements, current health conditions, and safety risks. However, the IPP for individual #18 does not address the specialized health care requirement of Diabetic or other injections. An addendum was completed August 22, 2025 that addresses the Diabetic or other injections in the IPP. Accordingly, no recommendation is required.

- 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

Nineteen of the twenty-one (91 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 two individuals did not include RCOC funded services as indicated below:

1. Individual #18: Transportation was not included for the months of September 2024 through October 2024 in the IPP dated November 26, 2024; and,
2. Individual #21: Individual or Family Training Services was not included for the month of March 2025 in the IPP dated July 15, 2024.

1.7.a Recommendation	Regional Center Plan/Response
RCOC should ensure that the IPPs for individuals #18 and #21 include a schedule of the type and amount of all services and supports purchased by RCOC.	For individual #18, the 10/16/24 IPP Addendum was completed to include RCOC funded service for transportation coverage for 10/2024 (no authorization for 9/2024) and submitted to DDS on 08/26/25. The 11/26/24 IPP includes a schedule of

	the type and amount of all services and supports purchased by RCOC. For individual #21, the 02/21/25 IPP Addendum was completed to include RCOC funded service for individual/family training services addressing coverage for 03/2025 and submitted to DDS on 08/16/25.
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SECTION II: SPECIAL INCIDENT REPORTING

The records of the 21 individuals supported by Regional Center of Orange County (RCOC) and selected for the Home and Community-Based Services (HCBS) 1915(i) State Plan Amendment (SPA) sample were reviewed to verify that special incidents have been reported. A supplemental sample of five 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 1915i SPA supported by RCOC who passed away during the review period.

Summary of Findings

RCOC reported all special incidents in the sample of 21 records selected for the HCBS 1915(i) SPA review, to the Department. RCOC's vendors reported four of the five (80 percent) incidents in the supplemental sample to the regional center within the required timeframes. RCOC reported four of the five (80 percent) incidents in the supplemental sample to the Department within the required timeframe. In addition, RCOC reported all deaths during the review period.

Findings

SIR #1: The incident occurred on April 3, 2025. However, the vendor did not submit a written report to RCOC until April 8, 2025; and,

SIR #4: The incident occurred on July 19, 2024. RCOC became aware of the incident on July 19, 2024, but did not submit a written report to the Department until July 24, 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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