

Valley Mountain 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: March 10–28, 2025



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SECTION I: REGIONAL CENTER RECORD REVIEW

For the review period of December 1, 2023, through November 30, 2024, a total of 21 records of individuals enrolled on the Home and Community Based Services 1915(i) State Plan Amendment and receiving services at Valley Mountain Regional Center (VMRC), 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 six 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)]

Finding

Twenty of the twenty-one (95 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 IPP dated July 18, 2023 was reviewed annually for individual #14. A new IPP was completed on November 18, 2024.

1.3 Recommendations	Regional Center Plan/Response
VMRC should ensure that the IPP for individual #14 is reviewed at least annually by the planning team.	Case was reactivated 6/14/23 and initial IPP was held 7/18/23 for starting services. Birth month is September and IPP was due in September. SC attempted to contact family 10/8/24, 10/15/24, 10/21/24, 10/22/24. Inactivation letter was sent 10/24/24, 11/7/24 mom responded, and meeting was scheduled. VMRC will continue to train SCs on timelines for completing IPPs and documenting all attempts to schedule required meetings.

- 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

Eighteen of the twenty-one (86 percent) applicable sample records of individuals contained IPPs that were signed by VMRC and the individuals, or their legal representatives. However, the following individuals' IPPs were not signed by the appropriate individual:

1. Individual #5: The IPP dated September 27, 2024, was not signed by the individual and the regional center. The IPP was signed on February 7, 2025. Accordingly, no recommendation is required;
2. Individual #9: The IPP dated May 24, 2024, was not signed by the individual and the regional center. The IPP was signed on December 5, 2024. Accordingly, no recommendation is required; and
3. Individual #11: The IPP dated October 24, 2024, was not signed by the individual and the regional center. The IPP was signed on March 5, 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, his/her parents, legal guardian, or conservator. *[W.I.C. § 4646(g) (2023)]; [42 C.F.R. § 441.301(c)(2)(ix) (2025)]*

Finding

Five of the six (83 percent) applicable sample records of individuals contained addendums that were signed by VMRC and the individuals or their legal representatives. However, for individual #4 the addendum dated February 4, 2025 was not signed by the individual or, where appropriate, his/her parents, legal guardian, or conservator. The addendum was signed on February 7, 2025. Accordingly, no recommendation is required.

1.4.b Recommendation	Regional Center Plan/Response
VMRC should evaluate what actions may be necessary to ensure IPP addenda are signed by the appropriate individuals.	VMRC will provide additional training to case management staff by November 26, 2025 to ensure that IPP addenda are signed by the appropriate individuals.

- 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

Eighteen of the twenty-one (86 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 three individuals did not include VMRC funded services as indicated below:

1. Individual #11: Registered Nurse was not included for the month, September 2024 in the IPPs covering the review period. An addendum was completed on March 19, 2025, addressing the service. Accordingly, no recommendation is required;
2. Individual #12: Personal Assistant, In-Home Respite Service Agency, and Translator were not included for the month, January 2024 in the IPP dated January 4, 2023. An addendum was completed on March 19, 2025, addressing In-Home Respite Service Agency and Translator. Accordingly, no recommendation is required for In-Home Respite Service Agency and Translator; and,
3. Individual #14: FMS Co-Employer was not included for the months, January 2024, April 2024, and July 2024 through October 2024 in the IPP dated July 18, 2023.

1.7.a Recommendations	Regional Center Plan/Response
VMRC should ensure that the IPPs for individuals #12 and #14 include a schedule of the type and amount of all services and supports purchased by VMRC.	VMRC will ensure to include IPP outcomes for service code 491 for individuals #12 and #14 and has completed addendums to the IPP.

- 1.7.c The IPP specifies the approximate scheduled start date for new services and supports. *[W.I.C. § 4646.5(a)(5) (2023)]*

Finding

Five of the six (83 percent) sample IPPs of individuals included the approximate scheduled start date of new services and supports. However, IPP for individual #16 did not include a start date for In-Home Respite Service Agency in the IPP dated July 25, 2023. An addendum was completed on March 19, 2025, addressing the service. Accordingly, no recommendation is required.

1.7.c Recommendation	Regional Center Plan/Response
VMRC should evaluate what actions may be necessary to ensure that the IPP includes the approximate scheduled start date for new services and supports for the appropriate individual.	VMRC will provide training to case management staff so that the Service Coordinator ensures that the IPP includes the approximate scheduled start date for new services and supports for the appropriate individual.

- 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)]*

Finding

Twenty of the twenty-one (95 percent) sample records of individuals contained documentation of periodic review and reevaluation of progress at least annually. However, the record for individual #14 did not contain documentation that the individual's progress had been reviewed annually.

1.9 Recommendations	Regional Center Plan/Response
VMRC should ensure that a review and reevaluation of progress regarding planned services, timeframes and satisfaction for individual #14 is completed and documented at least annually.	Case was reactivated 6/14/23 and initial IPP was held 7/18/23 for starting services. Birth month is September and IPP was due in September. SC attempted to contact family 10/8/24, 10/15/24, 10/21/24, 10/22/24. Inactivation letter was sent 10/24/24, 11/7/24 mom responded, and meeting was scheduled. VMRC will train SCs regarding timelines for completing IPPs and documenting all attempts to schedule required meetings.

SECTION II: SPECIAL INCIDENT REPORTING

The records of the 21 individuals supported by Valley Mountain Regional Center (VMRC) and selected for the 1915(i) Home and Community-Based Services (HCBS) State Plan Amendment 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 VMRC who passed away during the review period.

Summary of Findings

VMRC reported all special incidents in the sample of 21 records selected for the HCBS 1915(i) State Plan Amendment review, to the Department. VMRC’s vendors reported five of the five (100 percent) incidents in the supplemental sample to the regional center within the required timeframes. VMRC reported four of the five (80 percent) incidents in the supplemental sample to the Department within the required timeframe. VMRC’s follow-up activities on incidents in the supplemental sample were appropriate for the severity of the situations for all 5 incidents. In addition, VMRC reported all deaths during the review period.

Finding

SIR #5: The incident occurred on December 8, 2023. However, VMRC did not submit a written report to the Department until February 6, 2024.

Recommendations	Regional Center Plan/Response
VMRC should ensure that all special incidents are reported to the Department within the required timeframes.	VMRC will ensure that all special incidents are reported to the Department within the required timeframes.