

**Redwood Coast Regional Center
Home and Community-based Services Waiver
Follow-up Review Report**

Conducted by:

**Department of Developmental Services
and
Department of Health Care Services**

November 14, 2012

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INTRODUCTION

The Department of Developmental Services (DDS) and the Department of Health Care Services (DHCS) conducted a collaborative federal compliance monitoring review of the Home and Community-based Services (HCBS) Waiver from October 3 – 7, 2011, at Redwood Coast Regional Center (RCRC). A final report including review findings and RCRC's written responses to the findings was provided to RCRC on March 19, 2012.

DDS and DHCS conducted a follow-up review on November 15, 2012, to ensure that issues raised during the collaborative review had been addressed. The monitoring team selected ten consumer records for the HCBS Waiver follow-up review for the period of September 1, 2011- August 31, 2012. In addition, the team reviewed a supplemental sample of ten records of consumers who had special incidents reported to DDS during this review period.

Purpose of the Follow-up Review

DDS contracts with 21 private, not-for-profit corporations to operate regional centers, which are responsible under state law for coordinating, providing, arranging or purchasing all services needed for eligible individuals with developmental disabilities in California. All HCBS Waiver services are provided through this system. It is the responsibility of DDS to ensure, with the oversight of DHCS, that the HCBS Waiver is implemented by regional centers in accordance with Medicaid statute and regulation. As stipulated in the HCBS Waiver application approved by the Centers for Medicare & Medicaid Services (CMS), the monitoring review process is a two year cycle, with a collaborative review in the first year, and a smaller, focused review in the second year addressing issues raised during the collaborative review.

Overview of the HCBS Waiver Federal Follow-up Review

The collaborative monitoring review protocol is composed of sections/components designed to determine if the consumer's needs and program requirements are being met and that services are being provided in accordance with the consumer's individual program plan. Specific criteria have been developed that are derived from federal/state statutes and regulations and from CMS directives and guidelines relating to the provision of the HCBS Waiver services.

The DDS and DHCS monitoring report from the October 3, 2011, collaborative review requested RCRC to provide clarification or follow-up to the report findings and recommendations. RCRC submitted a response to DDS on March 6, 2012. Based on the report recommendations and RCRC's response, the monitoring team evaluated supporting documents to determine the degree and completeness of the implementation process. Specifically, the team reviewed, evaluated and made determinations based on the selected HCBS Waiver eligible consumers' records and discussions with RCRC personnel.

Summary of Follow-up Review Findings

The November 2012 follow-up review indicated that RCRC has made progress in the areas identified during the October 2011 review. However, further action is needed to ensure that quarterly face-to-face meetings and reports of consumer progress are completed for consumers living in community out-of-home settings.

SECTION I

REGIONAL CENTER CONSUMER RECORD REVIEW

Summary of the October 2011 Collaborative Monitoring Review Recommendations

The October 2011 monitoring review included findings related to ensuring that the consumers' quarterly face-to-face meetings and quarterly reports of progress are completed for consumers living in community out-of-home settings,

Summary of the November 2012 Follow-up Review Findings

Seven of the ten (70%) sample consumer records selected for the follow-up review contained documentation of all four of the required quarterly face-to-face meetings and reports of progress during the review period. However, the records for three consumers, #3, #4, and #9 contained documentation of three of the required meetings.

Further Action Needed

RCRC should ensure that future face-to-face meetings and quarterly reports of progress are completed for consumers #3, #4, and #9.

SECTION II

SPECIAL INCIDENT REPORTING

Summary of the October 2011 Collaborative Monitoring Review Recommendations

RCRC should ensure that all special incidents are reported to DDS within the required timeframes.

Scope of the November 2012 Follow-up Review

1. Special incident reporting of deaths by Redwood Coast Regional Center (RCRC) was reviewed by comparing deaths entered into the Client Master File for the review period with special incident reports (SIRs) of deaths received by the Department of Developmental Services (DDS).
2. The records of the ten consumers selected for the Home and Community-based Services (HCBS) Waiver sample were reviewed to determine that all required special incidents were reported to DDS during the review period.
3. The records for the ten consumers who had special incidents reported to DDS within the review period were assessed for timeliness of reporting and documentation of follow-up activities. The follow-up activities were assessed for being timely, appropriate to the situation, and resulting in an outcome that ensures the consumer is protected from adverse consequences, and that risks are either minimized or eliminated.

Results of the November 2012 Follow-up Review

1. RCRC reported all deaths during the review period to DDS.
2. RCRC reported all of the SIRs in the sample of ten records selected for the HCBS Waiver review to DDS.
3. RCRC's vendors reported eight of the nine (89%) applicable special incidents within the required timeframes.
4. RCRC subsequently reported nine of the ten special incidents to DDS within the required timeframes.
5. RCRC's follow-up activities on consumer incidents were appropriate for the severity of the situations.

Further Action Needed

Consumer #21: The incident occurred on March 27, 2012. However, the vendor did not submit a written report to RCRC until April 3, 2012.

Consumer #24: The incident was reported to RCRC on September 25, 2011. However, RCRC did not report the incident to DDS until October 7, 2011.

Further Action Needed

None