

# North Bay 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: May 12–23, 2025



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# SECTION I: REGIONAL CENTER RECORD

For the review period of February 1, 2024, through January 31, 2025, a total of six records of individuals enrolled on the Home and Community Based Services 1915(i) State Plan Amendment and receiving services at North Bay Regional Center (NBRC), 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.

The 6 records reviewed were 93 percent in overall compliance for this review. Findings for four criteria are detailed below.

- 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)]

### Findings

Two of the four (50 percent) applicable sample records of individuals contained addendums that were signed by NBRC and the individuals or their legal representatives and there was no documentation of planning team agreement.

1. Individual #2: The addendum dated April 4, 2024, was not signed by the individual until March 28, 2025; and,
2. Individual #6: The addendum dated January 24, 2025, was not signed by the regional center until April 10, 2025.

1.4.b Recommendation	Regional Center Plan/Response
NBRC should evaluate what actions may be necessary to ensure that the IPP addenda are signed by the appropriate individuals.	For individuals #2 and 6, both addendums were signed as part of the audit prep which falls outside the audit expectations for compliance. NBRC has added this task to the internal IPP checklist form to remind SC's to seek signatures in a timely manner. The Federal Revenue team has also added this requirement to their monthly audit reviews.

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

Four of the six (67 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 NBRC funded services as indicated below:

1. Individual #1: Behavior Management Program was not included for the months July 2024 and September 2024 through January 2025 and Residential Facility was not included for the months July 2024 through January 2025 in the IPP dated May 12, 2022; and,
2. Individual #2: Independent Living Services was not included for the months April 2024 through May 2024 in the IPP dated June 15, 2023.

1.7.a Recommendations	Regional Center Plan/Response
NBRC should ensure that the IPPs for individuals #1 and #2 include a schedule of the type and amount of all services and supports purchased by NBRC.	<p>Individual # 1: The new IPP addresses the Residential Facility Services, and we found an older addendum that includes the Behavioral Management Program.</p> <p>Individual #2: The new IPP contains information about Independent Living Services. The old addendum has been signed.</p>
In addition, NBRC 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 NBRC.	NBRC has re-trained case management on the requirement that all addendums require type and amount of service to be included.

1.9.a Quarterly face-to-face meetings are completed for individuals living in community out-of-home settings, i.e., Service Level 2-7 community care facilities or family home agencies or receiving supported living and independent living services. *[Cal. Code. Regs tit. 17, § 56047 (2023)]; [Cal. Code. Regs tit. 17, §56095 (2023)]; [Cal. Code. Regs tit. 17, § 58680 (2023)]; (Contract Requirement)*

Finding

Four of the five (80 percent) applicable sample records of individuals had quarterly face-to-face meetings completed and documented. However, the record for individual #2 contained

documentation of two of the four required meetings that were consistent with the quarterly timeline.

1.9.a Recommendations	Regional Center Plan/Response
NBRC should ensure that all future face-to-face meetings are completed and documented each quarter for individual #2.	For individual #2, there was a missed Quarterly meeting due to a missing tickler. The SC was retrained in completing quarterly meetings within 30 days of the tickler date.
In addition, NBRC should evaluate what actions may be necessary to ensure that quarterly face-to face meetings are completed and documented for all applicable individuals.	NBRC is ensuring all quarterly ticklers are entered and aligned correctly. Ticklers are no longer deleted. In addition, NBRC SCs were retrained as to the requirement and importance of completing all quarterlies on time and to document all attempts to schedule meetings if meetings are not held. The Federal Revenue team will support case management through monthly audits.

1.9.b Quarterly reports of progress are completed for individuals living in community out-of-home settings, i.e., Service Level 2-7 community care facilities or family home agencies or receiving supported living and independent living services. [Cal. Code. Regs tit. 17, CCR, § 56047 (2023)]; [Cal. Code. Regs tit. 17, § 56095 (2023)]; [Cal. Code. Regs tit. 17, § 58680 (2023)]; (Contract Requirement)

Finding

Four of the five (80 percent) applicable sample records of individuals had quarterly reports of progress completed for individuals living in community out-of-home settings. However, the record for individual #2 contained documentation of two of the four required quarterly reports of progress that were consistent with the quarterly timeline.

1.9.b Recommendations	Regional Center Plan/Response
NBRC should ensure that future quarterly reports of progress are completed for individuals #2.	For individual #2, the quarterly report was not completed because of a missing tickler. For #2 the SC was retrained in completing quarterly meetings within 30 days of the tickler date.

In addition, NBRC should evaluate what actions may be necessary to ensure that quarterly reports of progress are completed for all applicable individuals.

NBRC is ensuring all quarterly ticklers are entered and aligned correctly. Ticklers are no longer deleted. In addition, NBRC SCs were retrained as to the requirement and importance of completing all quarterlies on time and to document all attempts to schedule meetings if meetings are not held. The Federal Revenue team will support case management through monthly audits.

## SECTION II: SPECIAL INCIDENT REPORTING

The records of the six individuals supported by North Bay Regional Center (NBRC) 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 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 Waiver supported by NBRC who passed away during the review period.

### Summary of Findings

NBRC reported all special incidents in the sample of 6 records selected for the HCBS 1915(i) State Plan Amendment review, to the Department. NBRC's vendors reported four of the five (80 percent) incidents in the supplemental sample to the regional center within the required timeframes. NBRC reported all (100 percent) incidents in the supplemental sample to the Department within the required timeframe. NBRC's follow-up activities on incidents in the supplemental sample were appropriate for the severity of the situations for all five incidents. In addition, NBRC reported all deaths during the review period.

### Findings

SIR #4: The incident occurred on May 9, 2024. However, the vendor did not submit a written report to NBRC until May 31, 2024.

Recommendation	Regional Center Plan/Response
NBRC should ensure that vendors report special incidents within the required timeframes.	Vendor was provided notification SIR was not submitted timely. NBRC Quality Assurance team provided SIR guidelines to vendor and reminded them of regulatory requirements to inform NBRC of incidents.