

Regional Center of Orange County Guidelines for Access to Vendor Records

Background

Periodically, interested parties contact the regional center to obtain vendor information for a variety of reasons. Parties include, but are not limited to consumers/families, regional center vendors, wholesalers/retailers, agents/brokers, state agencies and other organizations. Some inquiries are related to vendor services, hiring practices, staff qualifications, address and contact information, program/service design documents, and quality assurance evaluation reports.

The regional center may refer such inquiries to the appropriate licensing agency for licensed vendors. Persons who have a request are provided access/review by the Regional Center of Orange County's (RCOC's) Custodian of Records as provided in this guideline

In order to appropriately manage requests to access these files, RCOC has adopted the following guidelines:

Access to Vendor Records Guidelines

- 1) Each request must be in writing from the party requesting the information.
- 2) Each request will be forwarded to the Custodian of Records for processing and response. The Custodian of Records will consult with legal counsel as needed.
- 3) When appropriate, reviews will be conducted at RCOC with the requesting party and Custodian of Records (or the Custodian's designee). When appropriate, copies of records may be produced to the requesting or subpoenaing party.
- 4) Vendor files may be separated into non-confidential and confidential sections. Review of vendor files will be limited to the following contents:

Non-Confidential

Vendor application; any required certificate, credential, license, degree, permit or registration; statement of current vendor status; regional center approval letter; program design or service design as described in Sections 56712, 56772, and 56780 or Title 17 regulations; staff qualifications and duty statements as described in Sections 56722, 56724, 56752, 56754, 56770, 56790 and 56792 of Title 17 regulations; notification of established rate and all documentation submitted pursuant to Sections 57422, 57433, though 57439, 58020, and 58033 through 58039 of Title 17 regulations; signed Medi-Cal Program Provider Agreement, Claim Certification; Agreements negotiated pursuant to Section 57300(d), if applicable; Service contracts negotiated pursuant to Section 57540, if applicable; Agreements negotiated pursuant to Section 58140, if applicable; quality assurance evaluations; corrective action plans; and, regional center audit finding.

Confidential

Personal and/or financial records which reflect the nature and amounts of all costs and all income; and documents which contain confidential consumer information.

Confidential records shall be produced pursuant to a valid subpoena, with identifying consumer information redacted.

- 5) During the vendorization process, the applicant will be informed that their vendor file (or a certain portion of the file, such as basic vendor information or quality assurance information) is subject to access.