



November 13, 2020

Ernie Cruz, Assistant Deputy Director  
Office of Community Operations  
Department of Developmental Services  
1600 Ninth Street  
Sacramento, CA 95814

Dear Mr. Cruz:

In a letter dated September 16, 2020, the Department of Developmental Services (DDS) informed me that, based on caseload ratio data submitted to DDS on March 10, 2020, the Regional Center of Orange County (RCOC) did not meet required caseload ratios for persons served enrolled in the Home and Community-Based Services Waiver; for persons served who have moved from the developmental centers and lived in the community over 24 months; and, for persons served who have not moved from the developmental centers to the community since April 14, 1993, and who are not under the age of three, nor on the Home and Community-Based Services Waiver. This is RCOC's plan of correction as required in Section 4640.6 (f) of the Welfare & Institutions Code (W&I).

For persons served enrolled in the Home and Community-Based Waiver program, the caseload ratio in the RCOC March 2020 caseload ratio data report was 1:80 (the required caseload ratio is 1:62); for persons served who have moved from the developmental centers to the community since April 14, 1993, and who have lived in the community over 24 months, the caseload ratio was 1:68 (the required ratio is 1:62); and, for persons served who have not moved from the developmental centers to the community since April 14, 1993, and who are not younger than the age of three years nor on the Home and Community- Based Services Waiver, the caseload ratio was 1:84 (the required caseload ratio is 1:66).

From fiscal years 2010-13, effects of the recession on the state budget resulted in significant reductions (unallocated reductions) to the operations allocations for all regional centers. Since the time of this recession and state budget crisis, it has been exceedingly difficult to maintain caseload averages as required by statute. RCOC has been out of compliance with one or more required caseload ratios since 2012.

Letters or notices requesting input on this plan were sent to the regional manager of the State Council on Developmental Disabilities, Orange County Office, all RCOC employees, all persons served and family members, all community members who have provided us with contact information, and all members of the Regional Center of Orange County's Vendor Advisory Committee. A notice was also posted on RCOC's website which included RCOC's Caseload Ratio 2020 Plan of Correction, and DDS's letter dated September 16, 2020, and Section 4640.6 of the W&I Code.

Input received from our stakeholders is attached to this packet.

In order to be in full compliance with the applicable state statute, I estimate that RCOC needs more than 75 additional service coordinator positions at an annual cost of \$5.9 million. Due to the decline in caseload, RCOC will wait to make hiring decisions until January 10, 2021, when Governor Newsom releases the budget for 2021-22. RCOC remains committed to the utilization of technology that will streamline the work processes and tasks for service coordinators. Without sacrificing quality of service, RCOC will continue to balance the size of the caseload commensurate with the workload.

If you have any questions, please call me at (714) 796-5255.

Sincerely,



Larry Landauer  
Executive Director

Attachments: Notifications requesting input from RCOC Persons Served, Families, Employees, and  
Community Members (State Council, Vendor Advisory Committee)  
Input From Stakeholders  
RCOC Caseload Plan of Correction  
Letter from DDS dated September 16, 2020  
Sections 4640.6 of the Welfare and Institutions Code

c: Amy Westling, Association of Regional Center Agencies

October 23, 2020

To: Regional Center of Orange County Individuals Served, Families, Employees, and Community Members (State Council on Developmental Disabilities, Vendor Advisory Committee)

The Department of Developmental Services (DDS) has found the Regional Center of Orange County (RCOC) to be out of compliance with the requirements in Section 4640.6 (c) of the Welfare and Institutions (W&I) Code. This section in the law requires that regional centers maintain service coordinator-to-persons served caseload ratios at or below specified averages.

In its report submitted to the DDS on March 10, 2020, RCOC did not meet the required caseload ratio for persons served enrolled on the Home and Community-Based Services Waiver (a ratio of 1:80 was reported and the required ratio is 1:62); for persons served who have moved from the developmental centers to the community and have lived in the community over 24 months (a ratio of 1:68 was reported and the required ratio is 1:62); and for persons served who have not moved from the developmental centers to the community since April 14, 1993, and who are not under the age of three nor on the Home and Community-Based Services Waiver (a ratio of 1:84 was reported and the required ratio is 1:66).

Section 4640.6 (f) of the W&I Code requires that a plan of correction be developed by a regional center that does not comply with the caseload ratio requirements for two consecutive reporting periods. The final plan will be developed following input from the state council, local organizations representing persons served, family members, regional center employees, service providers, and other interested parties.

Please read the draft caseload ratio plan of correction that I propose to send to DDS. Basically, we do not receive enough funding to meet the statute requirements. In accordance with Section 4640.6 (f) of the W&I Code, your input is requested. If you would like to provide input, please submit via e-mail to [ratio.input@rcocdd.com](mailto:ratio.input@rcocdd.com), via fax to (714) 796-5200, or via United States Postal Service (USPS) to Larry Landauer, Executive Director, Regional Center of Orange County, 1525 North Tustin Avenue, Santa Ana, California, 92705. In order to be considered, RCOC must receive your input on or before November 13, 2020.



Larry Landauer  
Executive Director

Please visit our website for more information:

[Caseload Ratio Plan of Correction FY2019-20.pdf](#)

**From:** NOREPLY

**Sent:** Friday, October 23, 2020 12:31 PM

**Subject:** [External] RCOC's Caseload Ratio Plan of Correction FY2019-20



October 23, 2020

To: Regional Center of Orange County Individuals Served, Families, Employees, and Community Members (State Council on Developmental Disabilities, Vendor Advisory Committee)

The Department of Developmental Services (DDS) has found the Regional Center of Orange County (RCOC) to be out of compliance with the requirements in Section 4640.6 (c) of the Welfare and Institutions (W&I) Code. This section in the law requires that regional centers maintain service coordinator-to-persons served caseload ratios at or below specified averages.

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Larry Landauer  
Executive Director

Please visit our website for more information:

[Caseload Ratio Plan of Correction FY 2019-20.pdf](#)



[www.rcocdd.com](http://www.rcocdd.com)

This message was sent to by:

**Regional Center of Orange County (RCOC)**

P.O. Box 22010

Santa Ana, CA 92702-2010

(714) 796-5100

If you would like to be removed from this list, please [click here](#).

Sent Using :  
**SimpleSend**  
[www.simplesend.com](http://www.simplesend.com)

**From:** Paul Harvey <paulgishharvey@gmail.com>  
**Sent:** Saturday, October 24, 2020 12:02 PM  
**To:** ratio.input  
**Subject:** [External] Ratio input

**Follow Up Flag:** Follow up  
**Flag Status:** Completed

Hopefully the CA provides the necessary funding for the requirements the “experts” establish without adequate funding.

But if not, surely they can temporarily change the required frequency of visits based on living arrangements of the client. For our son a visit once every 6 months should be enough as long as we can connect via phone.

OR

Use online Zoom type visits in place of lost time driving to clients place every time.

Paul Harvey  
949-648-1125

**To:** ratio.input  
**Subject:** [External] Re: INPUT/RCOC's Caseload Ratio Plan of Correction FY2019-20

**From:** vhersey [mailto:vhersey@earthlink.net]  
**Sent:** Friday, October 23, 2020 2:08 PM  
**To:** ratio.input <ratio.input@rcocdd.com>  
**Subject:** [External] Re: INPUT/RCOC's Caseload Ratio Plan of Correction FY2019-20

To DDS:

My adult daughter, has received services from the RCOC for over twenty-five years. She has required significant services, supports and oversight from RCOC over many years that have, and continue to require, the expertise of a very qualified, knowledgeable and caring Service Coordinator("SC") and Supervisory staff. I am her mother and her legal Conservator per the Orange County Superior Court. I have been very involved with her RCOC case for over twenty-five years. At all times, her Service Coordinator(s) have exceeded my rigorous expectations. Communications (e-mails, phone calls) have always been returned in a timely manner. When services has been requested, the "SC" has at all times kept me informed of the status of the request(s). During the COVID-19 Pandemic, the "SC" has called me asking about the status of my daughter's health. In fact, I recently received a phone call from her inquiring as to the status of a flu inoculation. Her IPP was conducted via Zoom and was timely convened. My daughter participated and she was provided ample time to participate in the discussion. I have always received timely reports and documents from the "SC" at RCOC. My daughter has been well served by the RCOC and the Service Coordinators assigned to her case.

Victoria Hersey  
Mother and Conservator to Melissa Hersey



# Regional Center of Orange County

Caseload Ratio  
Plan of Correction  
Fiscal Year 2019–20



# Caseload Ratio Plan of Correction

- ▶ Insufficient funding
- ▶ Regional Center of Orange County would need to hire 75 more service coordinators to be in compliance, at an annual cost of \$5.9 million

# Lanterman Act Specifies Caseload Ratios

- ▶ 1 to 62 for all persons served three years of age and younger, and those we serve enrolled in the Home and Community-Based Services Waiver (HCBS) program, also known as Medicaid Waiver
- ▶ 1 to 66 for all other persons we serve *(including HCBS 1915(i) State Plan Amendment)*

# 1 to 66 Eliminated for Five Years

- ▶ During the recession, from 2009 to 2014, the 1 to 66 ratio was eliminated
- ▶ Effective July 1, 2014, the requirement was reinstated

# For Those Five Years+

- ▶ Non-Early Start, non-Medicaid Waiver caseload ratios were higher – 1 to 100+
- ▶ Service Coordinator NCI ratings for the adult in person surveys remained high and continue to be high afterwards

NCI Question	FY 2009–10	FY 2010–11	FY 2011–12	FY 2014–15	FY 2017–18
Has met SC	88%	94%	92%	98%	94%
SC asks what person wants	85%	88%	88%	88%	88%
SC helps get what person needs	89%	92%	88%	91%	N/A
SC calls back right away	76%	66%	73%	77%	N/A
Able to contact SC when wants	N/A	N/A	N/A	N/A	88%

# For Those Five Years+

- ▶ NCI family/guardian surveys show satisfaction during and after at high levels

NCI Survey and Year	Able to Contact SC When Wants	Satisfied with Services and Supports Currently Received	Services and Supports Have Made a Positive Difference	Services and Supports Help to Live a Good Life
Adult Family FY 16/17	89%	86%	88%	91%
Family Guardian 16/17	87%	92%	92%	96%
Child Family 15/16	85%	76%	93%	92%
Adult Family FY 13/14	86%	88%	92%	n/a
Family Guardian 13/14	93%	91%	96%	n/a
Child Family 12/13	80%	71%	92%	n/a

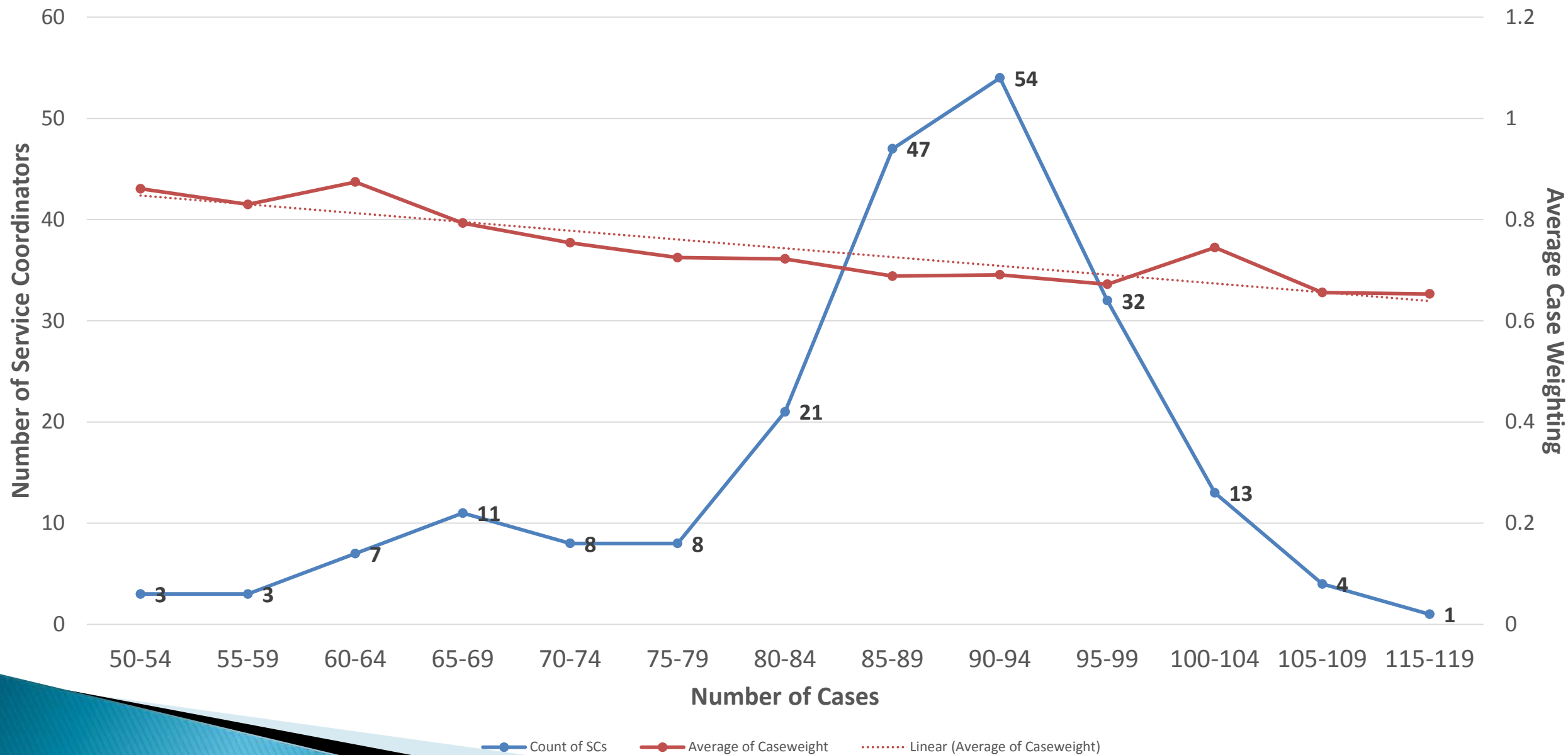
The following graphs shows the way we work:

**Workload (case weighting)**

**versus**

**Caseload (number of cases)**

## Caseload Assignments and Average Case Weighting as of June 11, 2020



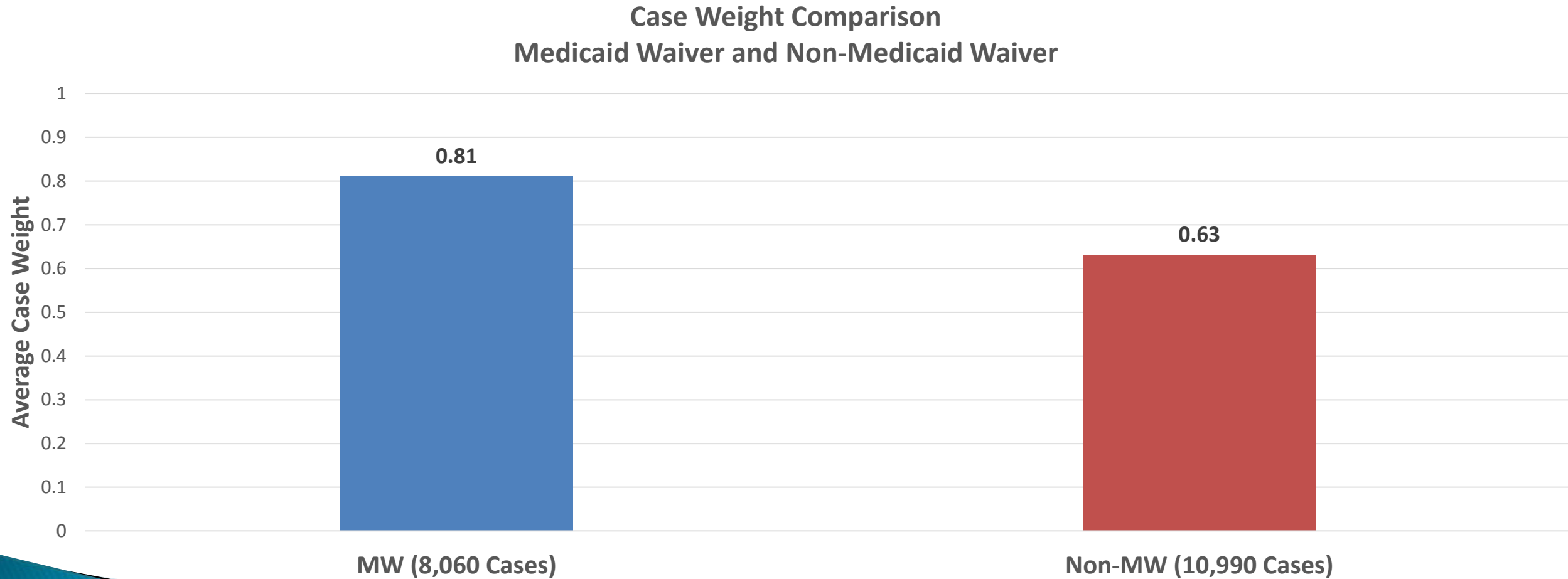
# Current Criteria Included for Case Weighting

## 3 years of age and older

- ▶ New to RCOC (3 months)
- ▶ Newly Assigned (6 months)
- ▶ Fair Hearing
- ▶ Out of County
- ▶ Out of State
- ▶ Monolingual
- ▶ Quarterly Reviews Required
- ▶ Medicaid Waiver
- ▶ Developmental Center
- ▶ IEPs
- ▶ High School Transition Period (16 to 22 years of age)
- ▶ Parent is a Person Served
- ▶ Dual Diagnosis
- ▶ Behaviors
- ▶ Sexually Inappropriate
- ▶ Criminal Justice Involvement
- ▶ SIRs
- ▶ Resource Groups
- ▶ PTMs
- ▶ 3 or more different behavior vendors used in the past year
- ▶ Get Safe 055 Contract
- ▶ Crisis Management 017, 090, 900 Contract



# Case Weight Comparison Medicaid Waiver and Non-Medicaid Waiver



# Continuation of Higher Ratios

- ▶ Higher ratios have not reduced service to those we serve and families
- ▶ Allocation to regional centers is not enough for 1 to 66
- ▶ Would mean hiring 75 more service coordinators at an annual cost of \$5.9 million

# Quality vs. Quantity

- ▶ Caseload size does not equal workload
- ▶ Better to have fewer service coordinators working efficiently and reward their good work

- ▶ DDS requires a plan of correction and will not approve higher ratios
- ▶ Plan of correction includes input from the community

# Any Questions or Suggestions?

**DEPARTMENT OF DEVELOPMENTAL SERVICES**

1600 NINTH STREET, Room 340, MS 3-12  
 SACRAMENTO, CA 95814  
 TTY (916) 654-2054 (For the Hearing Impaired)  
 (916) 651-6309



September 16, 2020

Larry Landauer, Executive Director  
 Regional Center of Orange County  
 P.O. Box 22010  
 Santa Ana, CA 92702-2010

Dear Mr. Landauer:

Thank you for your service coordinator caseload survey emailed to the Department of Developmental Services (Department) on March 10, 2020. The data you provided indicate that, as of March 1, 2020, Regional Center of Orange County (RCOC) did not meet all the required caseload ratios mandated by Welfare & Institutions (W&I) Code §4640.6(c). This year the service coordinator caseload survey included reporting on a new, mandated caseload ratio requirement for individuals with complex needs. W&I Code §4640(c) was amended in July 2019 to require an average caseload ratio of 1:25 for individuals with complex needs, and this category is reflected in the table below. Specifically, RCOC did not meet required caseload ratios for the highlighted categories. Of the highlighted categories, RCOC caseload ratios for individuals enrolled in the Home and Community-based Services Waiver program and over three years old, non-waiver, non-mover individuals, have been out of compliance for two consecutive reporting periods.

Regional Center	On Waiver*	Under 3 Years	Movers Over 24 Months	Movers Between 12 and 24 Months	Movers Within Last 12 Months	Over 3 Years, Non-Waiver, Non-Mover*	Complex Needs
W&I Code Required Ratios	1:62	1:62	1:62	1:45	1:45	1:66	1:25
RCOC Number of Individuals Served	7,991	3,679	159	18	41	10,736	22
<b>RCOC Ratios</b>	<b>1:80</b>	<b>1:62</b>	<b>1:68</b>	<b>1:28</b>	<b>1:21</b>	<b>1:84</b>	<b>1:93</b>
CA Average	1:75	1:64	1:56	1:35	1:23	1:79	1:37

\*out of compliance for two consecutive reporting periods

**“Building Partnerships, Supporting Choices”**

Larry Landauer, Executive Director  
September 16, 2020  
Page two

Please note this is the first year in which regional centers were required to report caseload ratios for individuals with complex needs as per W&I Code §4640(c). Upon evaluation of the statewide data, the Department recognizes the methodology used to calculate the 1:25 caseload ratio may not be accurate for individuals with complex needs. The Department will work with the Association of Regional Center Association on a revised methodology.

This letter is to notify you that, as specified by W&I Code § 4640.6(f), RCOC is required to submit a plan of correction for the caseload ratio categories that were not met for two consecutive reporting periods. The plan of correction must be developed with input from the State Council on Developmental Disabilities, local organizations representing the individuals you serve, their family members, regional center employees, including recognized labor organizations, service providers, and other interested parties. Please include in your plan of correction how you incorporated feedback from all required stakeholders.

We encourage you to review your process for determining service coordinator caseload assignments to assist in meeting the required caseload ratios and in developing your plan of correction.

Please email your plan of correction within 60 days from the date of this letter to:

Email: [OCO@dds.ca.gov](mailto:OCO@dds.ca.gov)

The Department is available to provide technical assistance with the development of your plan of correction. If you have questions, please contact Danielle Hurley, Research Data Specialist I, Office of Community Operations, at (916) 654-3228, or by email, at [danielle.hurley@dds.ca.gov](mailto:danielle.hurley@dds.ca.gov).

Sincerely,

*Original signed by:*

ERNIE CRUZ  
Assistant Deputy Director  
Office of Community Operations

cc: John Wright, Regional Center of Orange County, Inc.  
Amy Westling, Association of Regional Center Agencies  
Brian Winfield, Department of Developmental Services  
LeeAnn Christian, Department of Developmental Services  
Megan Mitchell, Department of Developmental Services  
Danielle Hurley, Department of Developmental Services

**State of California**

**WELFARE AND INSTITUTIONS CODE**

**Section 4640.6**

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4640.6. (a) In approving regional center contracts, the department shall ensure that regional center staffing patterns demonstrate that direct service coordination are the highest priority.

(b) Contracts between the department and regional centers shall require that regional centers implement an emergency response system that ensures that a regional center staff person will respond to a consumer, or individual acting on behalf of a consumer, within two hours of the time an emergency call is placed. This emergency response system shall be operational 24 hours per day, 365 days per year.

(c) Contracts between the department and regional centers shall require regional centers to have service coordinator-to-consumer ratios, as follows:

(1) An average service coordinator-to-consumer ratio of 1 to 62 for all consumers who have not moved from the developmental centers to the community since April 14, 1993. In no case shall a service coordinator for these consumers have an assigned caseload in excess of 79 consumers for more than 60 days.

(2) An average service coordinator-to-consumer ratio of 1 to 45 for all consumers who have moved from a developmental center to the community since April 14, 1993. In no case shall a service coordinator for these consumers have an assigned caseload in excess of 59 consumers for more than 60 days.

(3) Commencing January 1, 2004, the following coordinator-to-consumer ratios shall apply:

(A) All consumers three years of age and younger and for consumers enrolled in the Home and Community-based Services Waiver program for persons with developmental disabilities, an average service coordinator-to-consumer ratio of 1 to 62.

(B) All consumers who have moved from a developmental center to the community since April 14, 1993, and have lived continuously in the community for at least 12 months, an average service coordinator-to-consumer ratio of 1 to 62.

(C) All consumers who have not moved from the developmental centers to the community since April 14, 1993, and who are not described in subparagraph (A), an average service coordinator-to-consumer ratio of 1 to 66.

(4) For purposes of paragraph (3), service coordinators may have a mixed caseload of consumers three years of age and younger, consumers enrolled in the Home and Community-based Services Waiver program for persons with developmental disabilities, and other consumers if the overall average caseload is weighted proportionately to ensure that overall regional center average service coordinator-to-consumer ratios as specified in paragraph (3) are met. For purposes



of paragraph (3), in no case shall a service coordinator have an assigned caseload in excess of 84 for more than 60 days.

(d) For purposes of this section, “service coordinator” means a regional center employee whose primary responsibility includes preparing, implementing, and monitoring consumers’ individual program plans, securing and coordinating consumer services and supports, and providing placement and monitoring activities.

(e) In order to ensure that caseload ratios are maintained pursuant to this section, each regional center shall provide service coordinator caseload data to the department, annually for each fiscal year. The data shall be submitted in the format, including the content, prescribed by the department. Within 30 days of receipt of data submitted pursuant to this subdivision, the department shall make a summary of the data available to the public upon request. The department shall verify the accuracy of the data when conducting regional center fiscal audits. Data submitted by regional centers pursuant to this subdivision shall:

(1) Only include data on service coordinator positions as defined in subdivision (d). Regional centers shall identify the number of positions that perform service coordinator duties on less than a full-time basis. Staffing ratios reported pursuant to this subdivision shall reflect the appropriate proportionality of these staff to consumers served.

(2) Be reported separately for service coordinators whose caseload includes any of the following:

(A) Consumers who are three years of age and older and who have not moved from the developmental center to the community since April 14, 1993.

(B) Consumers who have moved from a developmental center to the community since April 14, 1993.

(C) Consumers who are younger than three years of age.

(D) Consumers enrolled in the Home and Community-based Services Waiver program.

(3) Not include positions that are vacant for more than 60 days or new positions established within 60 days of the reporting month that are still vacant.

(4) For purposes of calculating caseload ratios for consumers enrolled in the Home and Community-based Services Waiver program, vacancies shall not be included in the calculations.

(f) The department shall provide technical assistance and require a plan of correction for any regional center that, for two consecutive reporting periods, fails to maintain service coordinator caseload ratios required by this section or otherwise demonstrates an inability to maintain appropriate staffing patterns pursuant to this section. Plans of correction shall be developed following input from the state council, local organizations representing consumers, family members, regional center employees, including recognized labor organizations, and service providers, and other interested parties.

(g) Contracts between the department and regional center shall require the regional center to have, or contract for, all of the following areas:

(1) Criminal justice expertise to assist the regional center in providing services and support to consumers involved in the criminal justice system as a victim, defendant, inmate, or parolee.

(2) Special education expertise to assist the regional center in providing advocacy and support to families seeking appropriate educational services from a school district.

(3) Family support expertise to assist the regional center in maximizing the effectiveness of support and services provided to families.

(4) Housing expertise to assist the regional center in accessing affordable housing for consumers in independent or supportive living arrangements.

(5) Community integration expertise to assist consumers and families in accessing integrated services and supports and improved opportunities to participate in community life.

(6) Quality assurance expertise, to assist the regional center to provide the necessary coordination and cooperation with the state council, in conducting quality-of-life assessments and coordinating the regional center quality assurance efforts.

(7) Each regional center shall employ at least one consumer advocate who is a person with developmental disabilities.

(8) Other staffing arrangements related to the delivery of services that the department determines are necessary to ensure maximum cost-effectiveness and to ensure that the service needs of consumers and families are met.

(h) Any regional center proposing a staffing arrangement that substantially deviates from the requirements of this section shall request a waiver from the department. Prior to granting a waiver, the department shall require a detailed staffing proposal, including, but not limited to, how the proposed staffing arrangement will benefit consumers and families served, and shall demonstrate clear and convincing support for the proposed staffing arrangement from constituencies served and impacted, that include, but are not limited to, consumers, families, providers, advocates, and recognized labor organizations. In addition, the regional center shall submit to the department any written opposition to the proposal from organizations or individuals, including, but not limited to, consumers, families, providers, and advocates, including recognized labor organizations. The department may grant waivers to regional centers that sufficiently demonstrate that the proposed staffing arrangement is in the best interest of consumers and families served, complies with the requirements of this chapter, and does not violate any contractual requirements. A waiver shall be approved by the department for up to 12 months, at which time a regional center may submit a new request pursuant to this subdivision.

(i) From February 1, 2009, to June 30, 2010, inclusive, the following shall not apply:

(1) The service coordinator-to-consumer ratio requirements of paragraph (1), and subparagraph (C) of paragraph (3), of subdivision (c).

(2) The requirements of subdivision (e). The regional centers shall, instead, maintain sufficient service coordinator caseload data to document compliance with the service coordinator-to-consumer ratio requirements in effect pursuant to this section.

(3) The requirements of paragraphs (1) to (6), inclusive, of subdivision (g).

(j) From July 1, 2010, until June 30, 2013, the following shall not apply:

(1) The service coordinator-to-consumer ratio requirements of paragraph (1), and subparagraph (C) of paragraph (3), of subdivision (c).

(2) The requirements of paragraphs (1) to (6), inclusive, of subdivision (g).

(k) (1) Any contract between the department and a regional center entered into on and after January 1, 2003, shall require that all employment contracts entered into with regional center staff or contractors be available to the public for review, upon request. For purposes of this subdivision, an employment contract or portion thereof may not be deemed confidential nor unavailable for public review.

(2) Notwithstanding paragraph (1), the social security number of the contracting party may not be disclosed.

(3) The term of the employment contract between the regional center and an employee or contractor shall not exceed the term of the state's contract with the regional center.

(Amended by Stats. 2014, Ch. 409, Sec. 43. (AB 1595) Effective January 1, 2015.)