



REGIONAL CENTER
OF ORANGE COUNTY

August 31, 2021

Ernie Cruz, Assistant Deputy Director
Office of Community Operations
Department of Developmental Services
1215 O Street
Sacramento, CA 95814

Dear Mr. Cruz:

In a letter dated July 2, 2021, the Department of Developmental Services (DDS) informed me that, based on caseload ratio data submitted to DDS on March 10, 2021, 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; 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; and, for individuals with complex needs. 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 2021 caseload ratio data report was 1:84 (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 1:72 (the required ratio is 1:62); 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 1:88 (the required caseload ratio is 1:66); and for individuals with complex needs (a ratio of 1:30 was reported and the required ratio is 1:25).

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.

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 provided us with contact information, and all members of the Regional Center of Orange County's Vendor Advisory Committee. Notices have also been posted on RCOC's website in English, Spanish and Vietnamese, and include RCOC's Caseload Ratio 2021 Plan of Correction, DDS's letter of non-compliance dated July 2, 2021, and Section 4640.6 of the W&I Code.

Input received from our stakeholders is included with this letter.

In order to be in full compliance with the applicable state statute, I estimate that RCOC needs 75 additional service coordinator positions at an annual cost of \$5.9 million. RCOC will wait to make hiring decisions until January 10, 2022, when Governor Newsom releases the budget for 2022-23. 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

Attached PDF Contains:

Notifications requesting input from Persons Served, Families, RCOC Employees, Community Members, State Council on Developmental Disabilities, Vendor Advisory Committee, RCOC Caseload Plan of Correction, Notification Report, Community Input, Out of Compliance Letter from DDS dated July 2, 2021, and Sections 4640.6 of the Welfare and Institutions Code

c: Amy Westling, Association of Regional Center Agencies

August 25, 2021

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, 2021, RCOC did not meet the required caseload ratio for persons served enrolled on the Home and Community-Based Services Waiver (a ratio of 1:84 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 1:72 was reported and the required ratio is 1:62); 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 1:88 was reported and the required ratio is 1:66); and for individuals with complex needs (a ratio of 1:30 was reported and the required ratio is 1:25).

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 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 August 31, 2021.



Regional Center of Orange County

Caseload Ratio
Plan of Correction
Fiscal Year 2020–21

Caseload Ratio Plan of Correction

- ▶ Insufficient funding (*increased funding for service coordination necessary*)
- ▶ 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
- ▶ Case Weighting to continue (*details to follow*)

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%

N/A = question dropped Nationally

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

N/A = question dropped Nationally

The following graphs shows the way we work:

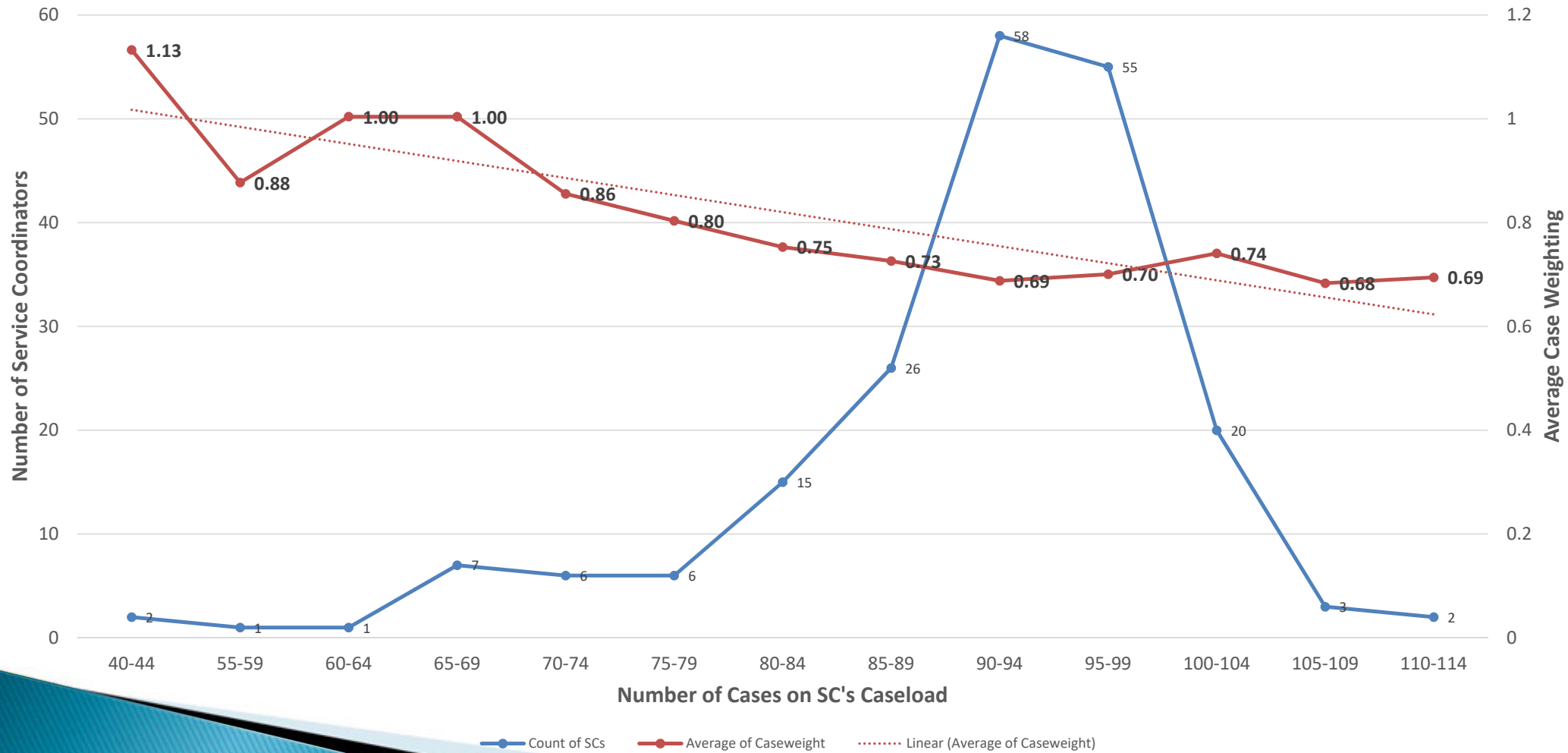
Workload (case weighting)

versus

Caseload (number of cases)



Caseload Assignments and Average Case Weighting as of May 25, 2021



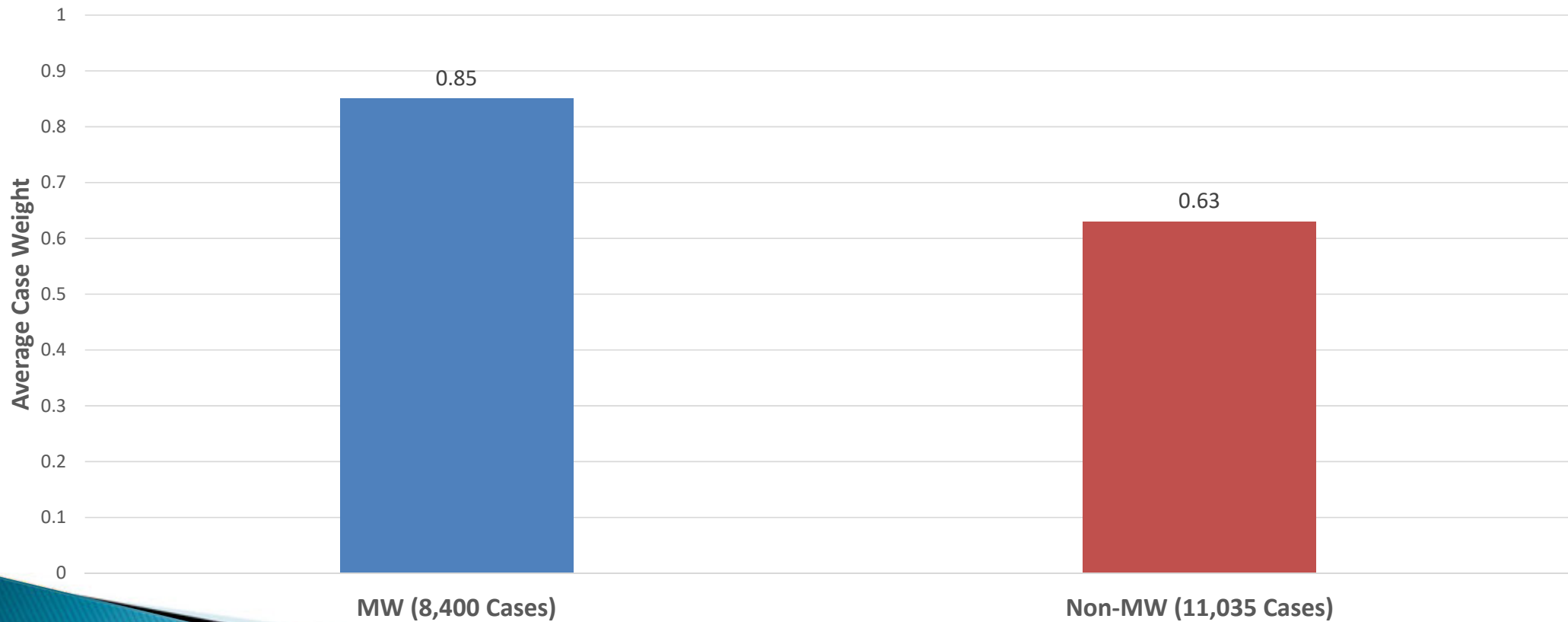
Current Criteria Included for Case Weighting

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 the levels of service RCOC service coordinators provide to those we serve and their families
- ▶ Allocation of funding from the California Department of Developmental Services (DDS) to regional centers is not enough for a 1 to 66 caseload ratio
- ▶ 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 (higher quality) service coordinators working efficiently than higher number (quantity) of lower paid service coordinators

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

Any Questions or Suggestions related to Plan
of Correction?

From: NOREPLY <Noreply@rcocdd.com>

Sent: Thursday, August 26, 2021 1:47 PM

Subject: [External] Caseload Ratio POC FY2020-21 Report to DDS



August 25, 2021

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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www.rcocdd.com

Replies to this message will not be read or responded to. We're happy to help you with any questions or concerns you may have at <http://www.rcocdd.com/contact-us>

This message was sent to by:
Regional Center of Orange County (RCOC)
P.O. Box 22010
Santa Ana, CA 92702-2010
(714) 796-5100

Sent Using :
SimpleSend
www.simplesend.com

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

25 de agosto de 2021

Para: Personas que reciben servicios del Centro Regional del Condado de Orange, familias, empleados y miembros de la comunidad (Consejo Estatal en Discapacidades del Desarrollo, Comité Asesor de Proveedores)

El Departamento de Servicios del Desarrollo (DDS) ha determinado que el Centro Regional del Condado de Orange (RCOC) no ha cumplido con los requisitos de la Sección 4640.6 (c) del Código de Bienestar e Instituciones (W&I). Esta Sección de la Ley estipula que los centros regionales mantengan a niveles promedio, o por debajo de los mismos, las relaciones entre coordinadores de servicios y personas que reciben servicios en el número de casos.

En su informe que entregó al DDS el 10 de marzo de 2021, la RCOC no satisfizo la relación del número de casos requerido para las personas que reciben servicios que están inscritas en la Exención de Servicios a Domicilio y Comunitarios (se reportó una relación de 1:84, cuando la relación requerida es de 1:62); para las personas que reciben servicios, que se han mudado de los centros de desarrollo a la comunidad y que han vivido en la comunidad más de 24 meses (se reportó una relación de 1:72, cuando la relación requerida es de 1:62); para las personas que reciben servicios, que no se han mudado de los centros de desarrollo a la comunidad desde el 14 de abril de 1993 y que no son menores de tres años ni parte de la Exención de Servicios a Domicilio y Comunitarios (se reportó una relación de 1:88 cuando la relación requerida es de 1:66); y para las personas con necesidades complejas (se reportó una relación de 1:30 cuando la relación requerida es de 1:25).

La Sección 4640.6 (f) del Código W&I estipula que un centro regional que no cumpla con los requisitos de las proporciones en el número de casos durante dos períodos consecutivos de informes elabore un plan de medidas correctivas. El plan definitivo se creará siguiendo las recomendaciones del consejo estatal, organizaciones locales que representen a las personas que reciben servicios, familiares, empleados de los centros regionales, proveedores de servicios y otras partes interesadas.

Lean por favor [el borrador del plan de medidas correctivas](#) de la proporción del número de casos que me propongo enviar al DDS. Básicamente, no recibimos suficiente financiamiento para satisfacer los requisitos de ley. Conforme a la Sección 4640.6 (f) del Código W&I, se les solicita que nos den sus recomendaciones. Si desea hacer alguna recomendación, envíela por correo electrónico a ratio.input@rcocdd.com por fax al (714) 796-5200, o por el Servicio Postal de Estados Unidos (USPS) a: Larry Landauer, Executive Director, Regional Center of Orange County, 1525 North Tustin Avenue, Santa Ana, California, 92705. Para que se puedan considerar sus recomendaciones, el RCOC debe recibirlas el 31 de agosto de 2021, o antes de esa fecha.



Centro Regional del Condado de Orange

Relación del número de casos
Plan de medidas correctivas
Año Fiscal 2020–21

Plan de medidas correctivas para la relación del número de casos

- ▶ Financiamiento insuficiente (*se necesitan más fondos para la coordinación de servicios*)
- ▶ El Centro Regional del Condado de Orange necesitaría contratar a 75 coordinadores de servicios adicionales para cumplir con sus obligaciones, con un costo anual de \$5.9 millones
- ▶ Continuará la carga de trabajo de casos (*más detalles después*)

La Ley Lanterman especifica la relación del número de casos

- ▶ De 1 a 62 para todas las personas de tres años o menores que reciben servicios, y para las personas a quienes servimos inscritas en el programa de Exención de Servicios a Domicilio y Comunitarios (HCBS), conocido también como la Exención de Medicaid
- ▶ De 1 a 66 para todas las demás personas a quienes servimos [*incluida la enmienda del plan estatal HCBS 1915(i)*]

De 1 a 66 eliminado durante cinco años

- ▶ Durante la recesión del 2009 al 2014 se eliminó la relación de 1 a 66
- ▶ Se restableció el requisito a partir del 1 de julio de 2014

Para personas de 5+ años

- ▶ Las relaciones del número de casos que no eran de Intervención Temprana ni de Exención de Medicaid fueron mayores de 1 a 100+
- ▶ Las clasificaciones del NCI de coordinadores de servicios (SC) para la encuestas de adultos en persona se mantuvieron altas y continuaron siendo altas después

Pregunta NCI	AF 2009– 10	AF 2010– 11	AF 2011– 12	AF 2014– 15	AF 2017– 18
Ha visto a un SC	88%	94%	92%	98%	94%
El SC pregunta qué quiere la persona	85%	88%	88%	88%	88%
El SC ayuda a obtener lo que la persona necesita	89%	92%	88%	91%	n/a
El SC devuelve la llamada de inmediato	76%	66%	73%	77%	n/a
Puede contactar al SC cuando quiere	n/a	n/a	n/a	n/a	88%

n/a = se eliminó la pregunta nacionalmente

Para personas de 5+ años

- ▶ Las encuestas NCI de familias/tutores muestran satisfacción durante y después de los niveles altos

Encuesta NCI y año	Puede contactar al SC cuando quiere	Satisfecho con los servicios y apoyos que recibe ahora	Los servicios y apoyos han tenido un impacto positivo	Los servicios y apoyos ayudan a llevar una buena vida
Familia de un adulto AF 16/17	89%	86%	88%	91%
Tutor de una familia 16/17	87%	92%	92%	96%
Familia de un niño 15/16	85%	76%	93%	92%
Familia de un adulto AF 13/14	86%	88%	92%	n/a
Tutor de una familia 13/14	93%	91%	96%	n/a
Familia de un niño 12/13	80%	71%	92%	n/a

n/a = se eliminó la pregunta nacionalmente

En las siguientes gráficas se muestra cómo trabajamos:

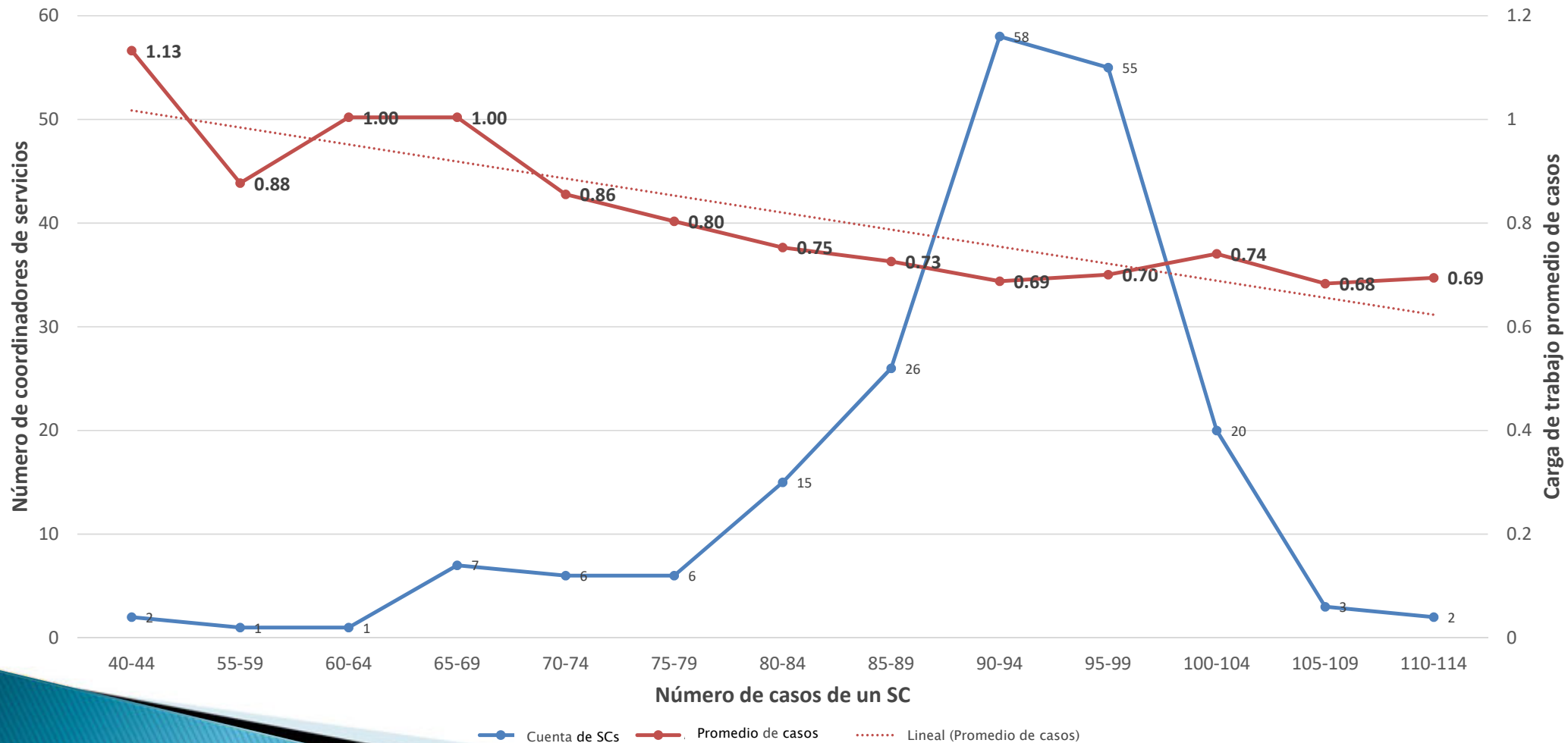
Carga de trabajo de casos

vs

Número de casos



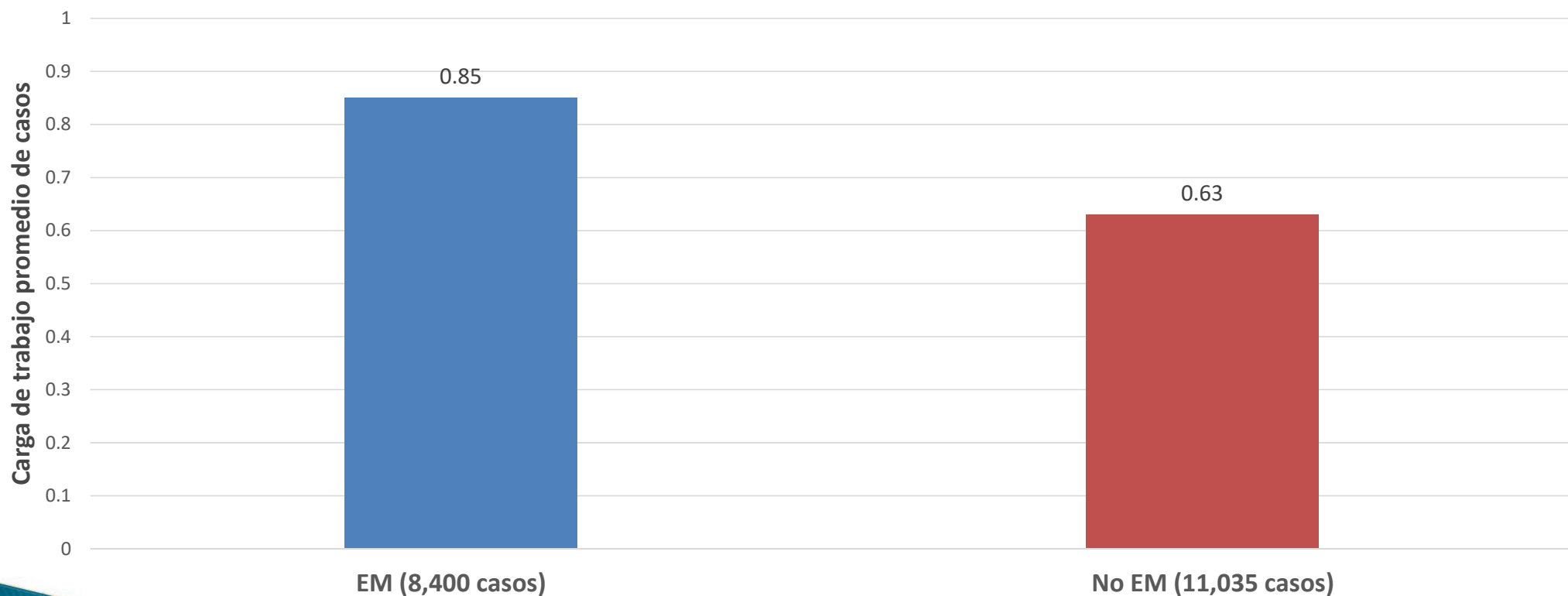
Asignaciones de número de casos y carga de trabajo promedio de casos al 25 de mayo de 2021



Criterios actuales incluidos para la carga de trabajo de casos, 3 años y mayores

- ▶ Nuevo en el RCOC (3 meses)
- ▶ Recién asignado (6 meses)
- ▶ Audiencia imparcial
- ▶ Fuera del condado
- ▶ Fuera del estado
- ▶ Monolingüe
- ▶ Requiere revisiones trimestrales
- ▶ Exención de Medicaid
- ▶ Centro de desarrollo
- ▶ IEP
- ▶ Período de transición de escuela secundaria (de 16 a 22 años)
- ▶ El padre/la madre es una persona que recibe servicios
- ▶ Diagnóstico dual
- ▶ Actitudes en el comportamiento
- ▶ Sexualmente inapropiada
- ▶ Implicación en la justicia penal
- ▶ SIR
- ▶ Grupos de recursos
- ▶ PTM
- ▶ 3 o más proveedores diferentes del comportamiento usados en el último año
- ▶ Contrato *Get Safe* 055
- ▶ Contrato *Crisis Management* 017, 090, 900

Comparación de carga de trabajo de casos Exención de Medicaid y no Exención de Medicaid



Continuación de proporciones más altas

- ▶ Las relaciones más altas no han reducido los niveles de servicio que los coordinadores de servicios del RCOOC prestan a las personas a quienes servimos y a sus familias
- ▶ La asignación de financiamiento del Departamento de Servicios del Desarrollo (DDS) de California a los centros regionales no es suficiente para una relación del número de casos de 1 a 66
- ▶ Significaría contratar a 75 coordinadores de servicios adicionales a un costo anual de \$5.9 millones

Calidad vs Cantidad

- ▶ El tamaño del número de casos no equivale a la carga de trabajo
- ▶ Es mejor tener menos coordinadores de servicios de mayor calidad que trabajen de una manera eficiente, que un mayor número de coordinadores de servicios a quienes se les paga un salario más bajo

- ▶ El DDS requiere un plan de medidas correctivas y no aprobará proporciones más altas
- ▶ El plan de medidas correctivas incluye la participación de la comunidad

¿Alguna pregunta o sugerencia relacionada con el plan de medidas correctivas?

From: NOREPLY <Noreply@rcocdd.com>

Sent: Thursday, August 26, 2021 1:38 PM

Subject: [External] Caseload Ratio POC FY2020-21 Report to DDS



25 de agosto de 2021

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Ngày 25 tháng Tám, 2021

Kính gửi: Những Người Được Trung Tâm Vùng Phục Vụ, Gia Đình, Nhân Viên và Các Thành Viên Cộng Đồng (Hội Đồng Tiểu Bang về Khuyết Tật Phát Triển, Ủy Ban Cố Vấn Các Nhà Cung Cấp)

Bộ Dịch Vụ Phát Triển (DDS) nhận thấy Trung Tâm Vùng Quận Orange (RCOC) không tuân thủ các yêu cầu trong Mục 4640.6 (c) của Luật Phúc Lợi Và Định Chế (W&I). Phần này của luật yêu cầu các trung tâm vùng phải duy trì tỷ lệ gánh nặng hồ sơ giữa các phối hợp viên dịch vụ và số người được phục vụ ở mức bằng hoặc thấp hơn các mức trung bình được chỉ định.

Trong bản báo cáo được trình lên DDS ngày mùng 10 tháng Ba, 2021, RCOC đã không đáp ứng được yêu cầu đối với những người được phục vụ ghi danh theo quy chế Miễn Trừ Dịch Vụ Tại Gia và Dựa Vào Cộng Đồng (Home and Community-Based Services Waiver) (tỷ lệ 1:84 đã được báo cáo và tỷ lệ bắt buộc là 1: 62); đối với những người được phục vụ đã chuyển từ các trung tâm phát triển vào cộng đồng và đã sống trong cộng đồng trên 24 tháng (tỷ lệ 1:72 đã được báo cáo và tỷ lệ bắt buộc là 1:62); đối với những người được phục vụ chưa chuyển từ các trung tâm phát triển vào cộng đồng kể từ ngày 14 tháng Tư, 1993, và những người không dưới ba tuổi cũng như không thuộc diện Miễn Trừ Dịch Vụ Tại Gia và Dựa Vào Cộng Đồng (tỷ lệ 1:88 đã được báo cáo và tỷ lệ bắt buộc là 1:66); và cho những người có các nhu cầu phức tạp (tỷ lệ 1:30 đã được báo cáo và tỷ lệ bắt buộc là 1:25).

Mục 4640.6 (f) của Luật W&I (Phúc Lợi Và Định Chế) yêu cầu một trung tâm vùng phải phát triển một kế hoạch điều chỉnh vì đã không tuân thủ các yêu cầu về tỷ lệ gánh nặng hồ sơ trong hai kỳ báo cáo liên tiếp. Kế hoạch cuối cùng sẽ được phát triển sau khi tiếp nhận ý kiến đóng góp của hội đồng tiểu bang, các tổ chức địa phương đại diện cho những người được phục vụ, các thành viên gia đình, các nhân viên trung tâm vùng, các nhà cung cấp dịch vụ, và các bên quan tâm khác.

[Xin vui lòng đọc bản dự thảo kế hoạch điều chỉnh tỷ lệ gánh nặng hồ sơ mà tôi đề xuất để gửi cho DDS.](#) Về cơ bản, chúng tôi không nhận đủ kinh phí để đáp ứng các yêu cầu của quy chế. Mục 4640.6 (f) của Luật W&I yêu cầu lấy ý kiến của quý vị. Nếu quý vị muốn đóng góp ý kiến, xin vui lòng gửi e-mail tới ratio.input@rcocdd.com hay qua fax đến số (714) 796-5200, hoặc gửi qua Bưu điện Hoa Kỳ (USPS) cho Larry Landauer, Tổng Giám Đốc, Trung Tâm Vùng Quận Orange, 1525 North Tustin Avenue, Santa Ana, California, 92705. Để được xem xét, RCOC phải nhận được ý kiến đóng góp của quý vị vào hoặc trước ngày 31 tháng Tám, 2021.



Trung Tâm Vùng Quận Orange

Tỷ Lệ về Gánh Nặng Hồ Sơ
Kế Hoạch Sửa Đổi
Tài Khoá 2020–21

Kế Hoạch Sửa Đổi về Tỷ Lệ Gánh Nặng Hồ Sơ

- ▶ Không đủ Ngân Sách (*cần thiết tăng ngân sách cho việc phối hợp dịch vụ*)
- ▶ Trung Tâm Vùng Quận Orange sẽ cần mượn thêm 75 phối hợp viên dịch vụ (SC) để theo đúng luật, với chi phí hàng năm là 5,9 triệu đô la
- ▶ Việc Cân nhắc Hồ sơ sẽ tiếp tục (sẽ có thông tin chi tiết)

Luật Lanterman Xác Định Tỷ Lệ Gánh Nặng Hồ Sơ

- ▶ 1 SC giữ 62 hồ sơ cho tất cả những người được phục vụ từ ba tuổi trở xuống, và những người mà chúng tôi phục vụ đã ghi danh chương trình Miễn trừ Dịch vụ Tại gia và Dựa vào Cộng đồng (HCBS), còn được gọi là Miễn trừ Medicaid (MW)
- ▶ 1 SC giữ 66 hồ sơ cho tất cả những người khác mà chúng tôi phục vụ (*bao gồm Kế hoạch Tiểu bang HCBS 1915 (i)*)

1 SC Giữ 66 Hồ Sơ Bị Loại Bỏ trong Năm Năm

- ▶ Trong thời kỳ suy thoái, từ năm 2009 đến năm 2014, tỷ lệ 1–66 đã bị loại bỏ
- ▶ Có hiệu lực từ ngày 1 tháng Bảy, 2014, đòi hỏi này đã được khôi phục

Trong Năm Năm Đó +

- ▶ Tỷ lệ gánh nặng hồ sơ cho loại hồ sơ không phải Early Start, và không phải Miễn trừ Medicaid (Medicaid Waiver/MW) cao hơn -- 1 đến 100+
- ▶ Xếp hạng của NCI về Phối Hợp Viên Dịch Vụ (SC) đối với các cuộc thăm dò trực tiếp người lớn vẫn ở mức cao và tiếp tục cao sau đó

Câu hỏi NCI	TK 2009-10	TK 2010-11	TK 2011-12	TK 2014-15	TK 2017-18
Đã gặp SC	88%	94%	92%	98%	94%
SC hỏi điều người bệnh cần	85%	88%	88%	88%	88%
SC giúp có được điều người bệnh cần	89%	92%	88%	91%	N/A
SC gọi lại ngay	76%	66%	73%	77%	N/A
Có thể liên lạc SC khi muốn	N/A	N/A	N/A	N/A	88%

N/A = câu hỏi bị bỏ trên toàn quốc

Trong Năm Năm Đó+

- Thăm dò NCI đối với gia đình/giám hộ cho thấy sự hài lòng ở những mức cao trong khi thăm dò và sau đó

Thăm dò NCI và Năm	Có thể Liên lạc SC khi Muốn	Hài lòng với Dịch Vụ và Hỗ Trợ Hiện Đang Nhận	Dịch Vụ và Hỗ Trợ Tạo Một Sự Khác Biệt Tích Cực	Dịch Vụ và Hỗ Trợ Giúp Sống Một Cuộc Sống Tốt
Gia đình Người lớn TK 16/17	89%	86%	88%	91%
Giám hộ Gia đình 6/17	87%	92%	92%	96%
Gia đình Trẻ em 15/16	85%	76%	93%	92%
Gia đình Người lớn FY 13/14	86%	88%	92%	n/a
Giám hộ Gia đình 13/14	93%	91%	96%	n/a
Gia đình Trẻ em 12/13	80%	71%	92%	n/a

N/A = câu hỏi bị bỏ trên toàn quốc

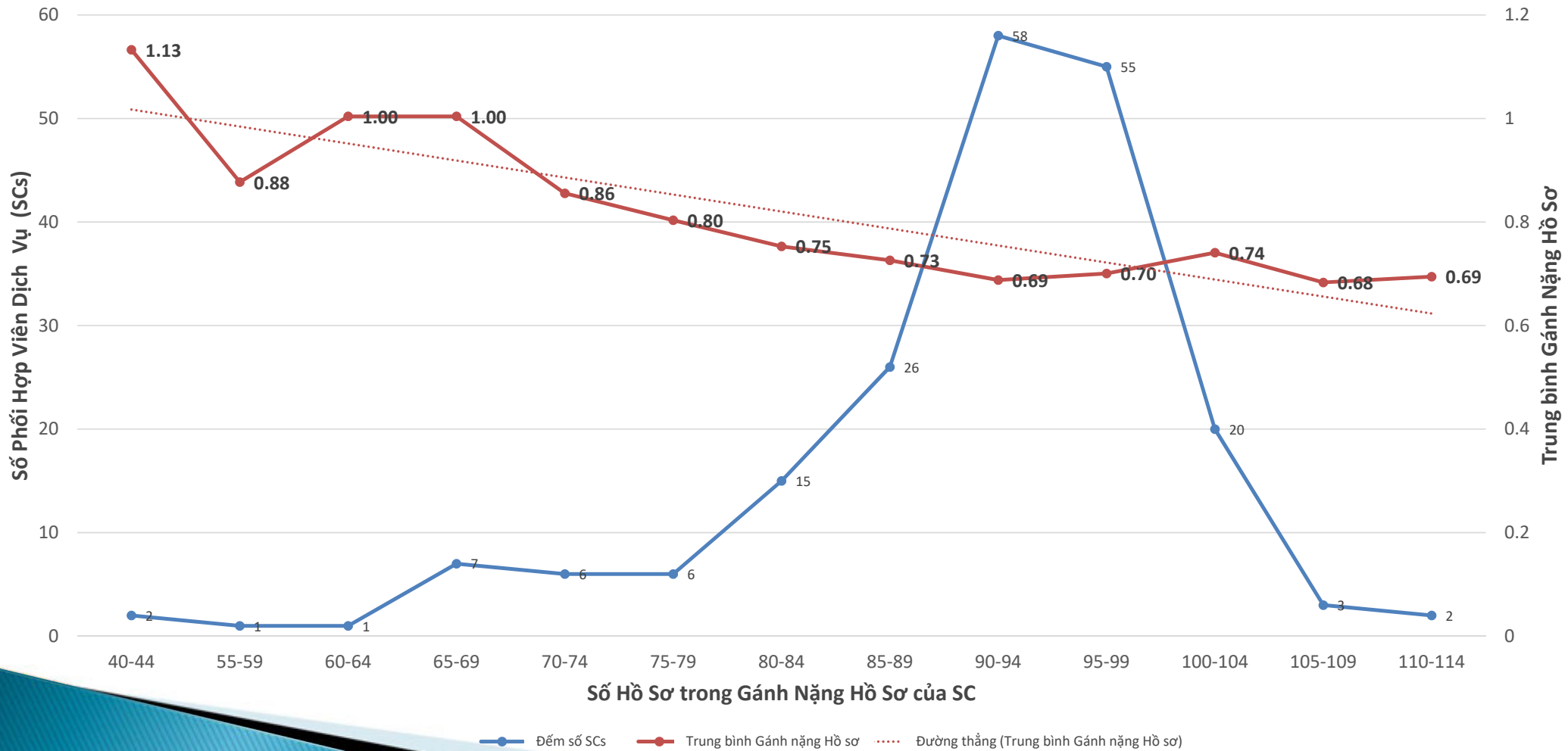
Những biểu đồ sau cho thấy cách chúng tôi làm việc:

Gánh nặng việc làm (gánh nặng hồ sơ)

so với

Tổng hồ sơ (số lượng hồ sơ)

Việc Chỉ Định Hồ Sơ và Trung Bình Gánh Nặng Hồ Sơ tính đến ngày 25 tháng Năm, 2021

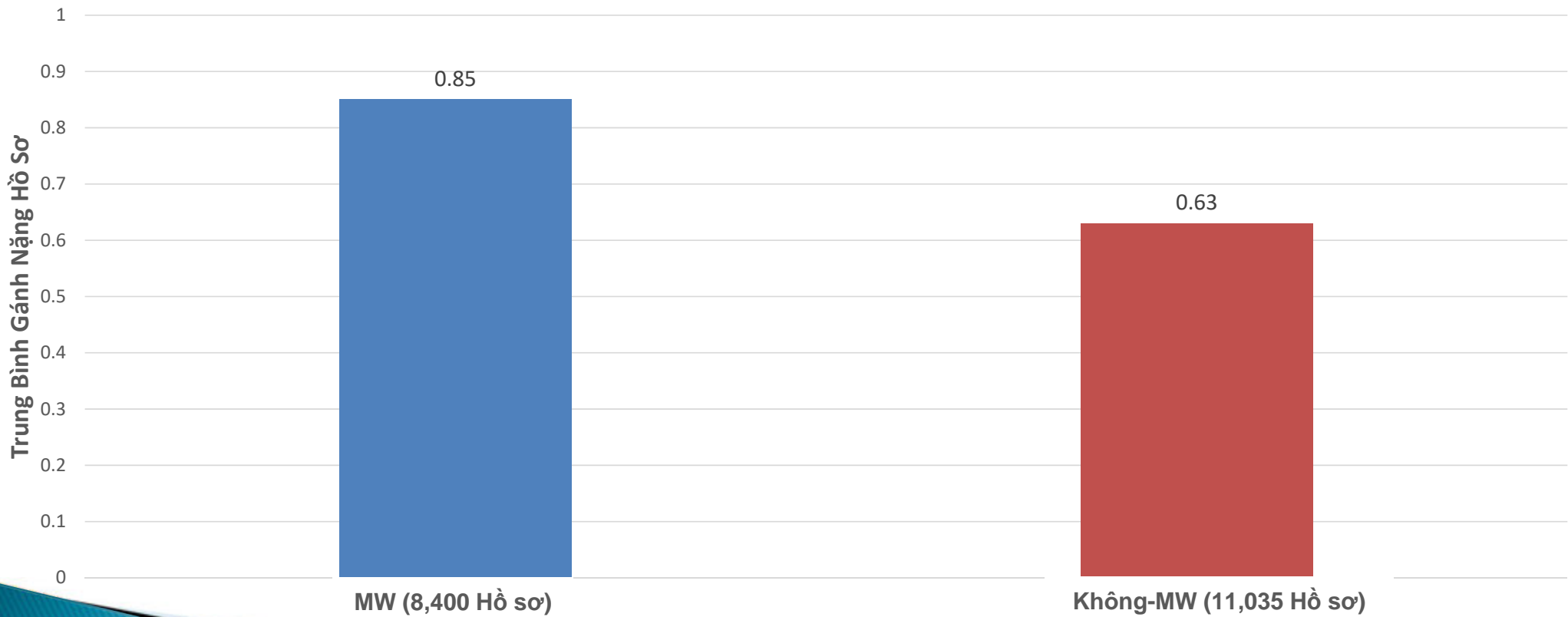


Những Tiêu Chí Hiện Tại trong việc xét Gánh Nặng Hồ Sơ Từ 3 tuổi trở lên

- ▶ Mới vào RCOC (3 tháng)
- ▶ Hồ Sơ Mới Được Chỉ Định (6 tháng)
- ▶ Điều Trần Công Bằng
- ▶ Ở ngoài Quận
- ▶ Ở ngoài Tiểu Bang
- ▶ Chỉ Nói Một Ngôn Ngữ
- ▶ Đòi Hỏi Duyệt Xét Mỗi Ba Tháng
- ▶ Miễn Trừ Medicaid (MW)
- ▶ Sống tại Trung Tâm Phát Triển
- ▶ Có các buổi họp IEPs
- ▶ Giai Đoạn Chuyển Tiếp Trung Học (16 đến 22 tuổi)
- ▶ Phụ huynh là Người Bệnh được phục vụ
- ▶ Có Chẩn Đoán Kép
- ▶ Có Vấn đề về Hành Vi
- ▶ Có Vấn đề về Sex Không Thích Đáng
- ▶ Dính líu đến Vấn đề Hình Sự
- ▶ Có các bản báo cáo SIRs
- ▶ Cần Các Nhóm Nguồn Tài Nguyên
- ▶ Có các buổi họp PTMs
- ▶ Có 3 hay nhiều hơn Nhà Cung Cấp Dịch Vụ Hành Vi trong năm trước đó
- ▶ Có Hợp Đồng Get Safe 055
- ▶ Có Hợp Đồng Quản Lý Khủng Hoảng 017, 090, 900

So Sánh Gánh Nặng Hồ Sơ

Miễn Trừ Medicaid (MW) và Không-Miễn Trừ Medicaid (Không-MW)



Việc Tiếp Tục Tỷ Lệ Cao Hơn

- ▶ Tỷ lệ cao hơn không làm giảm mức độ dịch vụ mà các phối hợp viên dịch vụ (SC) của RCOC cung cấp cho những người mà chúng tôi phục vụ và gia đình họ
- ▶ Việc phân bổ tài trợ từ Bộ Dịch Vụ Phát Triển của California (DDS) cho các trung tâm vùng là không đủ cho tỷ lệ 1 SC giữ 66 hồ sơ
- ▶ Có nghĩa là phải thuê thêm 75 phối hợp viên dịch vụ với chi phí hàng năm là 5,9 triệu đô la

Phẩm so với Lượng

- ▶ Số tổng hồ sơ phải giữ không giống như gánh nặng việc làm
- ▶ Điều tốt hơn là nên có ít phối hợp viên dịch vụ (giỏi hơn/phẩm chất cao hơn) làm việc với hiệu quả cao hơn còn hơn là có nhiều (số lượng) phối hợp viên dịch vụ được trả lương thấp hơn

- ▶ DDS đòi hỏi một kế hoạch điều chỉnh và sẽ không chấp thuận các tỷ lệ cao hơn tiêu chuẩn luật định
- ▶ Kế hoạch sửa đổi có sự đóng góp ý kiến từ cộng đồng

Bạn có bất cứ Câu Hỏi hoặc Đề Xuất nào liên quan đến Kế Hoạch Sửa Đổi không?

From: NOREPLY <Noreply@rcocdd.com>

Sent: Thursday, August 26, 2021 1:41 PM

Subject: [External] Caseload Ratio POC FY2020-21 Report to DDS



Ngày 25 tháng Tám, 2021

Kính gửi: Những Người Được Trung Tâm Vùng Phục Vụ, Gia Đình, Nhân Viên và Các Thành Viên Cộng Đồng (Hội Đồng Tiểu Bang về Khuyết Tật Phát Triển, Ủy Ban Cố Vấn Các Nhà Cung Cấp)

Bộ Dịch Vụ Phát Triển (DDS) nhận thấy Trung Tâm Vùng Quận Orange (RCOC) không tuân thủ các yêu cầu trong Mục 4640.6 (c) của Luật Phúc Lợi Và Định Chế (W&I). Phần này của luật yêu cầu các trung tâm vùng phải duy trì tỷ lệ gánh nặng hồ sơ giữa các phối hợp viên dịch vụ và số người được phục vụ ở mức bằng hoặc thấp hơn các mức trung bình được chỉ định.

Trong bản báo cáo được trình lên DDS ngày mùng 10 tháng Ba, 2021, RCOC đã không đáp ứng được yêu cầu đối với những người được phục vụ ghi danh theo quy chế Miễn Trừ Dịch Vụ Tại Gia và Dựa Vào Cộng Đồng (Home and Community-Based Services Waiver) (tỷ lệ 1:84 đã được báo cáo và tỷ lệ bắt buộc là 1: 62); đối với những người được phục vụ đã chuyển từ các trung tâm phát triển vào cộng đồng và đã sống trong cộng đồng trên 24 tháng (tỷ lệ 1:72 đã được báo cáo và tỷ lệ bắt buộc là 1:62); đối với những người được phục vụ chưa chuyển từ các trung tâm phát triển vào cộng đồng kể từ ngày 14 tháng Tư, 1993, và những người không dưới ba tuổi cũng như không thuộc diện Miễn Trừ Dịch Vụ Tại Gia và Dựa Vào Cộng Đồng (tỷ lệ 1:88 đã được báo cáo và tỷ lệ bắt buộc là 1:66); và cho những người có các nhu cầu phức tạp (tỷ lệ 1:30 đã được báo cáo và tỷ lệ bắt buộc là 1:25).

Mục 4640.6 (f) của Luật W&I (Phúc Lợi Và Định Chế) yêu cầu một trung tâm vùng phải phát triển một kế hoạch điều chỉnh vì đã không tuân thủ các yêu cầu về tỷ lệ gánh nặng hồ sơ trong hai kỳ báo cáo liên tiếp. Kế hoạch cuối cùng sẽ được phát triển sau khi tiếp nhận ý kiến đóng góp của hội đồng tiểu bang, các tổ chức địa phương đại diện cho những người được phục vụ, các thành viên gia đình, các nhân viên trung tâm vùng, các nhà cung cấp dịch vụ, và các bên quan tâm khác.

[Xin vui lòng đọc bản dự thảo kế hoạch điều chỉnh tỷ lệ gánh nặng hồ sơ mà tôi đề xuất để gửi cho DDS.](#) Về cơ bản, chúng tôi không nhận đủ kinh phí để đáp ứng các yêu cầu của quy chế. Mục 4640.6 (f) của Luật W&I yêu cầu lấy ý kiến của quý vị. Nếu quý vị muốn đóng góp ý kiến, xin vui lòng gửi e-mail tới ratio.input@rcocdd.com, hay qua fax đến số (714) 796-5200, hoặc gửi qua Bưu điện Hoa Kỳ (USPS) cho Larry Landauer, Tổng Giám Đốc, Trung Tâm Vùng Quận Orange, 1525 North Tustin Avenue, Santa Ana, California, 92705. Để được xem xét, RCOC phải nhận được ý kiến đóng góp của quý vị vào hoặc trước ngày 31 tháng Tám, 2021.



www.rcocdd.com

Replies to this message will not be read or responded to. We're happy to help you with any questions or concerns you may have at <http://www.rcocdd.com/contact-us>

This message was sent to by:
Regional Center of Orange County (RCOC)
P.O. Box 22010
Santa Ana, CA 92702-2010
(714) 796-5100

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www.simplesend.com

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

Caseload Ratio POC FY2020-21 Report to DDS

Sent: Thursday, August 26, 2021 1:43 PM

Subject: RE: Caseload Ratio POC FY2020-21 Report to DDS

Hello,

The simple send for “Caseload Ratio POC FY2020-21 Report to DDS” has been sent. Here is the summary of subscribers:

English Subscribers list

217 Subscribers were not previously in your account, and have been added
18663 Duplicates were found in the list of Subscribers that were uploaded
24217 Subscribers were already in SimpleSend, and were added to the lists you selected
2431 Subscribers were found on the Opt-Out list and have been filtered
0 Subscribers were not formatted properly and have been filtered

Spanish Subscribers list

18 Subscribers were not previously in your account, and have been added
2507 Duplicates were found in the list of Subscribers that were uploaded
3327 Subscribers were already in SimpleSend, and were added to the lists you selected
100 Subscribers were found on the Opt-Out list and have been filtered
0 Subscribers were not formatted properly and have been filtered

Vietnamese Subscribers

14 Subscribers were not previously in your account, and have been added
492 Duplicates were found in the list of Subscribers that were uploaded
845 Subscribers were already in SimpleSend, and were added to the lists you selected
43 Subscribers were found on the Opt-Out list and have been filtered
0 Subscribers were not formatted properly and have been filtered

Jose Rocha Martinez

Regional Center of Orange County
Information Technology Specialist



REGIONAL CENTER
OF ORANGE COUNTY



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In Service to People with Developmental Disabilities

[Home](#) » Caseload Ratio Plan of Correction

CASELOAD RATIO PLAN OF CORRECTION

Fiscal Year 2020-21

- [Notice to Individuals Served, Families, Employees, and Community Members \(State Council on Developmental Disabilities, Vendor Advisory Committee\) Regarding RCOC's Caseload Ratio Plan of Correction Fiscal Year 2020-21 \(English\)](#)
- [Notice to Individuals Served, Families, Employees, and Community Members \(State Council on Developmental Disabilities, Vendor Advisory Committee\) Regarding RCOC's Caseload Ratio Plan of Correction Fiscal Year 2020-21 \(Spanish\)](#)
- [Notice to Individuals Served, Families, Employees, and Community Members \(State Council on Developmental Disabilities, Vendor Advisory Committee\) Regarding RCOC's Caseload Ratio Plan of Correction Fiscal Year 2020-21 \(Vietnamese\)](#)

Fiscal Year 2019-20

- [Notice to Individuals Served, Families, Employees, and Community Members \(State Council on Developmental Disabilities, Vendor Advisory Committee\) Regarding RCOC's Caseload Ratio Plan of Correction Fiscal Year 2019-20](#)

Fiscal Year 2018-19

- [Notice to Individuals Served, Families, Employees, and Community Members \(State Council on Developmental Disabilities, Vendor Advisory Committee\) Regarding RCOC's Caseload Ratio Plan of Correction Fiscal Year 2018-19](#)

Fiscal Year 2017-18

- [Notice to State Council on Developmental Disabilities Regarding RCOC's Caseload Ratio Plan of Correction Fiscal Year 2017-18](#)
- [Notice to Clients, Families, and Community Members Regarding RCOC's Caseload Ratio Plan of Correction Fiscal Year 2017-18](#)
- [Notice to Vendor Advisory Committee and Service Providers Regarding RCOC's Caseload Ratio Plan of Correction Fiscal Year 2017-18](#)
- [Notice to Employees Regarding RCOC's Caseload Ratio Plan of Correction Fiscal Year 2017-18](#)

WHO WE ARE

Regional Center of Orange County (RCOC) is one of 21 private, nonprofit organizations contracted by the State of California to coordinate lifelong services and supports for individuals with developmental disabilities and their families.

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[In The News](#)

[RCOC Annual Spotlight Awards](#)

[RCOC Monthly Calendar](#)

[Transition Planning](#)

[Resources for Children and Families](#)

[Self-Determination Program](#)

[Dialogue Newsletter](#)

[Special Incident Reporting](#)

[Contact Us](#)

Subject: re: Caseload Ratio POC FY2020-21 Report to DDS

From: [REDACTED]

Sent: Thursday, August 26, 2021 2:43 PM

To: ratio.input <ratio.input@rcocdd.com>

Subject: [External] re: Caseload Ratio POC FY2020-21 Report to DDS

Re: "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"

Hi, my name is [REDACTED] (I received the email as my daughter is a consumer of Regional Center of OC services). I looked at the draft caseload ration plan of correction. It states that the means to obtain sufficient staffing (paid at current salary rates that allow for a high quality of service from experienced and qualified personnel) necessary to maintain the required caseload ratio, a shortfall of \$5.9 million in funding for additional salary payment would need to be addressed.

When I read that, what came to my mind is this recent article (below). I would seem that California has the means to address this shortfall and more.

If there is a desire to maintain a specific caseload ratio, and do that maintaining a high level of service with quality staffing, then let's address it. The money is there to address it.

Thank you,

[REDACTED]

Executive Office

Subject: [External] Caseload Ratio POC FY2020-21 Report to DDS

From: [REDACTED]

Sent: Thursday, August 26, 2021 2:50 PM

To: ratio.input <ratio.input@rcocdd.com>

Cc: [REDACTED]

Subject: [External] Caseload Ratio POC FY2020-21 Report to DDS

We are very satisfied with the services provided by RCOC including our great coordinator and therefore fully trust and support RCOC with their recommendations as to any corrective actions that may be necessary to address the current caseload ratio.

Thanks.

[REDACTED]

e-mail: [REDACTED]

Phone: [REDACTED]

Subject: [External]

From: [REDACTED]

Sent: Thursday, August 26, 2021 4:07 PM

To: ratio.input <ratio.input@rcocdd.com>

Subject: [External]

We appreciate all that you do for our family. We have 1 Adult person with Down Syndrome and one Early start child with Autism.

Maybe the DDS should consider scalable funding based on the case amounts. If at any point your reported case amount is over ratio they have "x" amount of time to fund for additional case workers. How are you expected to be within the required ratio without proper funding to pay case worker salaries?

Thanks,

[REDACTED]

Subject: [External] Need More Funding for Regional Center of Orange County CA

-----Original Message-----

From: [REDACTED]

Sent: Thursday, August 26, 2021 5:02 PM

To: ratio.input <ratio.input@rcocdd.com>

Subject: [External] Need More Funding for Regional Center of Orange County CA

I am the mother and Co-conservator of an adult son with Autism and Epilepsy. I am requesting there be more funding for more Service Coordinators and more funding to meet the ratio needs of Employment Specialists in the current Adult Community Based Programs and Adult Day Programs for people with various special needs. There are not enough workers in part because the salaries are not up to par with other job positions. These workers not only need to be trained but also people with compassion for those they dedicate their jobs. Please increase the funding for these much needed services.

Respectfully Submitted,

[REDACTED], Mother and Co-Conservator of [REDACTED] A client of RCOC

Sent from my iPhone

Subject: [External] Caseload size

-----Original Message-----

From: [REDACTED]
Sent: Thursday, August 26, 2021 10:23 PM
To: ratio.input <ratio.input@rcocdd.com>
Subject: [External] Caseload size

Hello,

My name is [REDACTED] and I am writing regarding my son, [REDACTED] was severely disabled as a child upon the onset of his rare disease, OMS. Thanks to the support of his teachers, aides, and services, especially Regional Center, he has progressed to a level of independence beyond our wildest hopes and dreams. With the current support of RCOC services and management by his incredible caseworker, Lucy Huh, [REDACTED] is able to live independently. We are beyond thankful for the time Lucy gives our family and can't imagine how she is able to carry the caseload she has.

I fully understand that funding is never enough, but if there is any way to make the caseloads more manageable for these hardworking, extremely important people, that would be amazing!

Thank you for all you do for the disabled population, and thank you for your time in helping reduce the caseloads.

Sincerely,

~ [REDACTED]

Executive Office

Subject: [External] Fwd: Caseload Ratio POC FY2020-21 Report to DDS

From: [REDACTED]

Sent: Friday, August 27, 2021 8:43 AM

To: ratio.input <ratio.input@rcocdd.com>

Subject: [External] Fwd: Caseload Ratio POC FY2020-21 Report to DDS

Hi,

Just wanted to say that I completely agree that it's "Better to have fewer (higher quality) service coordinators working efficiently than higher number (quantity) of lower paid service coordinators". I'm a parent of two 9y old boys with severe autism (and severe behavioral problems) who have been with RCOC since they were diagnosed at 2y10m of age. Our service coordinator (Wendy Alvarez) has been nothing but excellent, always responsive, attending their IEPs, and doing her best to support us. If her caseload is high, we really can't tell as it has never had any impact on the level of service she's providing to our family.

Kind Regards,
[REDACTED]

Subject: RATIO

From: [REDACTED]

Sent: Friday, August 27, 2021 10:32 AM

To: ratio.input <ratio.input@rcocdd.com>

Subject: [External] RATIO

My impression is that RCOC would be happy to comply with ratio requirements if adequately funded.. This would relieve the present staff from the case overload burden they are presently enduring.

[REDACTED]

Subject: Case Load, DDS Out of Compliance Concerns.

From: [REDACTED]

Sent: Friday, August 27, 2021 12:43 PM

To: ratio.input <ratio.input@rcocdd.com>

Subject: [External] Case Load, DDS Out of Compliance Concerns.

This is a feedback on caseload concerns:

Thank you for sharing DDS concerns and your documented response.

As a client or RC, I can only provide my feedback or impression of how the caseload increase has impacted this client. I obviously cannot comment on the technical details, evaluation and or calculation of different variables in Mr. Landauer's response.

My family and I appreciate and understand the DDS's concern over the caseloads. We equally understand and support the issues raised in RC's response, the need for additional funding and case workers. The RC organization has been wonderful in providing services to my son and continues to do so. We are ever grateful. Although we have had no disruption of services due the high caseload, we have observed considerable delays in response to our enquiries (telephone calls or emails), sometimes exceeding over a week and even then, requiring multiple outreach. This can only be contributed to high caseload level. When expressed our concern, we were told, "We are very busy." We understand our case worker manages over 80 clients. Even at 60, this has to be very challenging to provide good attentive service and still fulfill requirements such as IPPs but at 80 and above, that must be overwhelming and unmanageable. Frankly at this rate, not only clients suffer but the organization too such as considerable staff burnouts culminating in turnovers.

Certainly, this is not a simple problem but complicated with many tangibles or intangibles factors to consider. I recall this issue was a concern last year as well. All I can do is to provide this feedback and also state our categorical support to your efforts to address and mitigate this continuing problem.

[REDACTED]

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Executive Office

Subject: [External] Caseload proposal

From: [REDACTED]
Sent: Friday, August 27, 2021 2:47 PM
To: ratio.input <ratio.input@rcocdd.com>
Subject: [External] Caseload proposal

Dear Mr. Landauer,

Thank you for asking for input regarding your plan for staffing at the Regional Center.

We think your plan is a good one. Higher quality costs more, but it is always worth it. We have two children involved with Regional Center and Carlos Correa has been our service coordinator since we moved to Laguna Hills from Rancho Cucamonga 3 years ago. He is a gentleman, respectful, a credit to, and excellent representative for your organization.

Thanks Again -
[REDACTED]

[Sent from Yahoo Mail on Android](#)

Subject: [External] Funding

-----Original Message-----

From: [REDACTED]

Sent: Friday, August 27, 2021 3:28 PM

To: ratio.input <ratio.input@rcocdd.com>

Subject: [External] Funding

I have a 24 year old grandson residing in a group home in Anaheim and very concerned regarding his care.

I wonder if steps are being taken to secure Covid funding that Federal agencies have allocated for persons with disabilities. Also, what about fundraising to hire more people to improve the ratio.

Thank you!

Executive Office

Subject: Caseload Plan Ratio/ Section 4640.6 (c)

From: [REDACTED]

Sent: Friday, August 27, 2021 3:37 PM

To: ratio.input <ratio.input@rcocdd.com>

Subject: [External] Caseload Plan Ratio/ Section 4640.6 (c)

To Whom It May Concern:

I am writing this letter out of great concern related to DDS requiring the RCOC to comply with the caseload ratio requirements as caseloads are not in ration that DDS requires for RCOC. My understanding is that you are requiring RCOC to be in compliance with care coordinator client ratio by ratio that you have set. My understanding is also that the funding to meet the statute requirement is not adequate to meet this Section 4640.6 requirement. That seems like a Hugh disconnect to require a ratio that isn't being funded in order to meet this requirement.

The Regional Center has provided extreme support to myself and my disabled son [REDACTED]. He has been getting serviced since a young child as he was born at 24 weeks. He is a twin brother. [REDACTED] Diagnosis include Infantile quadriplegic, Spathic seizure disorder, cortical blindness, Chronic lung disorder, hydrocephalic, as some of his diagnosis. He requires G-tube feedings. I am privileged as [REDACTED] adopted mother to be able to provide and care for them as I work full time. We would have a different story if the Regional Center wasn't a part of our lives. My son [REDACTED] would be in a home for special needs children. His twin brother wouldn't have the privilege of loving on his brother daily. This is a high disservice to not support such a great RCOC that supports myself and so many families so we can love and care for our family members that mean the world to us.

Please support this great Center that creates great outcomes that words can't begin to describe.

Muriel Enos



[REDACTED] Psy. D. RNC. CATC I

Behavioral Health Nurse

Adult and Older Adult Behavioral Health Services

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Subject: [External] Re: Caseload Ratio POC FY2020-21 Report to DDS

From: [REDACTED]

Sent: Monday, August 30, 2021 12:50 PM

To: ratio.input <ratio.input@rcocdd.com>

Subject: [External] Re: Caseload Ratio POC FY2020-21 Report to DDS

Hi,

My daughter is 11 years old and receives services through the RCOC. I wholeheartedly like to mention that she is receiving the best services that I could imagine. I also agree that quality should be a measuring parameter than quantity, as described in slide 12 of the presentation. Please help our community with sufficient funding so that adding more service coordinators does not drop the quality of services that my daughter receives at this time.

Please feel free to reach me at [REDACTED] if you have any comments.

Thanks

[REDACTED]

DEPARTMENT OF DEVELOPMENTAL SERVICES

1215 O Street, MS 8-20
 Sacramento, CA 95814
 TTY: 711
 (916) 651-6309



July 2, 2021

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, 2021. The data provided indicates that, as of March 1, 2021, Regional Center of Orange County (RCOC) did not meet all the required caseload ratios mandated by Welfare & Institutions (W&I) Code §4640.6(c). 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, individuals that moved from a developmental center and have lived in the community for more than twenty-four months, individuals over three years old, non-waiver, non-mover, and individuals with complex needs 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	8,356	3,024	168	36	0	10,788	18
RCOC Ratios	1:84	1:64	1:72	1:44	N/A	1:88	1:30
CA Average	1:77	1:58	1:59	1:38	1:29	1:81	1:25

*Out of compliance for two consecutive reporting periods

"Building Partnerships, Supporting Choices"

Larry Landauer, Executive Director
July 2, 2021
Page two

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

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.

Sincerely,

Original signed by:

ERNIE CRUZ
Assistant Deputy Director
Office of Community Operations

cc: John "Chip" Wright, Regional Center of Orange County, Inc.
Amy Westling, Association of Regional Center Agencies
Brian Winfield, Department of Developmental Services
Erica Reimer Snell, Department of Developmental Services
LeeAnn Christian, Department of Developmental Services
Aaron Christian, Department of Developmental Services
Jacqueline Gaytan, Department of Developmental Services
Danielle Hurley, Department of Developmental Services

State of California

WELFARE AND INSTITUTIONS CODE

Section 4640.6

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.)