

# **Harbor 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: July 7 – 18, 2025



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# SECTION I: REGIONAL CENTER RECORD REVIEW

For the review period of April 1, 2024, through March 31, 2025, a total of 18 records of individuals enrolled on the Home and Community Based Services 1915(i) State Plan Amendment and receiving services at Harbor Regional Center (HRC), were reviewed for individual choice, notification of proposed action and fair hearing rights, individual program plans (IPP) and periodic reviews and reevaluations of services.

The 18 records reviewed were 94 percent in overall compliance for this review. Findings for six criteria are detailed below.

- 1.3 The IPP is reviewed (at least annually) by the planning team and modified, as necessary, in response to the individual’s changing needs, wants or health status [42 C.F.R. § 441.301(C)(3) (2025)]; [W.I.C. §4646.5(b) (2023)]

Findings

Sixteen of the eighteen (89 percent) sample records of individuals contained documentation that the individual’s IPP had been reviewed annually by the planning team. However, there was no documentation that the IPPs for two individuals were reviewed annually as indicated below:

- 1. Individual #2: The IPP was dated October 6, 2023. There was no documentation that the IPP was reviewed annually; and,
- 2. Individual #11: The IPP was dated August 25, 2023. There was no documentation that the IPP was reviewed annually. A new IPP was completed on October 24, 2024.

1.3 Recommendation	Regional Center Plan/Response
HRC should ensure that the IPP for individuals #2 and #11 are reviewed at least annually by the planning team.	Both Harbor service coordinators (SCs) assigned to individuals #2 and #11 will receive IPP training on 12/10/25 (with special emphasis on annual review requirements). Harbor will ensure that IPPs are reviewed annually by the case management teams. Targeted training will be provided to remind staff of the requirements. Harbor management teams will provide ongoing oversight to ensure that staff are reviewing IPPs annually utilizing tracking tools.

- 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

Thirteen of the eighteen (72 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 five individuals did not include HRC-funded services as indicated below:

1. Individual #2: Specialized Residential Facility was not included for the months covering November 2024 through January 2025 and March 2025 in the IPP dated October 6, 2023;
2. Individual #3: Crisis Intervention was not included for the months covering May 2024 through June 2024 and March 2025, Supplemental Residential Program Support was not included for the months covering April 2024 through June 2024 and March 2025, and Community Activities Support Service was not included for the month of June 2024 in the IPPs dated January 9, 2024, and December 26, 2024. An IPP addendum was submitted July 14, 2025, addressing the purchased services. Accordingly, no recommendation is required;
3. Individual #5: Community Integration Program and Specialized Residential Facility was not included for the month covering November 2024 in the IPP dated January 26, 2023. The IPP dated December 27, 2024, includes both Community Integration Program and Specialized Residential Facility to address the purchased services. Accordingly, no recommendation is required;
4. Individual #13: Participant Directed Transportation, Financial Management Service and Community Integration Training Program were not included for the months of April 2024 through August 2024 in the IPPs dated October 17, 2023, and August 28, 2024. An IPP addendum was submitted July 10, 2025, addressing the purchased services. Accordingly, no recommendation is required; and,
5. Individual #14: Coordinated Family Supports was not included for the months of April 2024 through June 2024 in the IPP dated January 26, 2024.

1.7.a Recommendations	Regional Center Plan/Response
HRC should ensure that the IPPs for individuals #2 and #14 include a schedule of the type and amount of all services and supports purchased by HRC.	Case management teams have amended the IPPs mentioned to ensure that they include the type and amount of all services purchased by Harbor.
In addition, HRC 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 HRC.	Harbor will provide ongoing targeted training to case management staff to ensure that the schedule of the type and amount of services and supports purchased are properly documented in the IPP.

- 1.7.c The IPP specifies the approximate scheduled start date for new services and supports. *[W.I.C. § 4646.5(a)(5) (2023)]*

Finding

Five of the six (83 percent) sample records of individuals contained IPPs that included the approximate scheduled start date for new services and supports. However, the record for individual #14 did not identify the start date for the HRC-funded service of Coordinated Family Supports in the IPP dated January 26, 2024.

1.7.c Recommendations	Regional Center Plan/Response
HRC should ensure the IPP for individual #14 identifies the start date for the service listed above.	Harbor staff has updated the IPP to reflect the start date of the service, as well as the end date of the service.
In addition, HRC should evaluate what actions may be necessary to ensure that IPPs include the approximate scheduled start date for new services and supports.	Harbor will provide ongoing targeted training to case management staff to ensure that the start dates of services and supports purchased are properly documented in the IPP.

- 1.8 The IPP identifies the provider or providers of service responsible for implementing services and/or support, including, but not limited to, vendors, contracted providers, generic service agencies, and natural supports. *[W.I.C § 4646.5(a)(4)] (2023); [42 C.F.R. § 441.301(c)(2)(v)]*

Finding

Seventeen of the eighteen (94 percent) sample records of individuals contained IPPs that identified the provider or providers responsible for implementing services. However, the IPP for individual #14 did not indicate the provider for the HRC-funded service of Coordinated Family Supports in the IPP dated January 26, 2024.

1.8 Recommendation	Regional Center Plan/Response
HRC should ensure the IPP for individual #14 identifies the provider for the service listed above.	Harbor staff has updated the IPP to reflect the name of the provider that was providing the service listed.

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

Findings

Ten of the twelve (83 percent) applicable sample records of individuals had quarterly face-to-face meetings completed and documented. However, the records for two individuals did not meet the requirement. The records for individuals #2 and #5 contained documentation of two of the four required meetings that were consistent with the quarterly timeline.

1.9.a Recommendations	Regional Center Plan/Response
HRC should ensure that all future face-to-face meetings are completed and documented each quarter for individuals #2 and #5.	Harbor will ensure that all future face-to-face meetings are being held and documented in Virtual Chart (VC). Additionally, Harbor will ensure that all efforts to schedule the meetings are properly documented. Staff will continue to use VC as a tracking tool for upcoming meetings.
In addition, HRC should evaluate what actions may be necessary to ensure that quarterly face-to-face meetings are completed and documented for all applicable individuals.	Harbor will provide ongoing targeted training to case management staff to ensure that face-to-face quarterly meetings are being held for all applicable individuals. Harbor management teams will be providing ongoing oversight through the utilization of tracking tools.

- 1.9.b Quarterly reports of progress toward achieving IPP objectives are completed for individuals living in community out-of-home settings, i.e., service Level 2-7 CCF, family home agencies (FHA), or supported living and independent living settings. [Cal. Code. Regs tit. 17, § 56047 (2023)]; [Cal. Code. Regs tit. 17, § 56095 (2023)]; [Cal. Code. Regs tit. 17, § 58680 (2023)]; (Contract requirement)

### Findings

Ten of the twelve (83 percent) applicable sample records of individuals had quarterly reports of progress completed for individuals living in community out-of-home settings. However, the records for two individuals did not meet the requirement. The records for individual #2 and individual #5 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
HRC should ensure that future quarterly reports of progress are completed for individuals #2 and #5.	Harbor will ensure that all future quarterly reports are completed and filed accordingly. Staff will continue to use VC as a tracking tool for documenting the completion of reports.
In addition, HRC should evaluate what actions may be necessary to ensure that quarterly reports of progress are completed for all applicable individuals.	Harbor will provide ongoing targeted training to case management staff to ensure that face-to-face quarterly meetings are being held for all applicable individuals. Harbor

	management teams will be providing ongoing oversight through the utilization of tracking tools.
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## SECTION II: SPECIAL INCIDENT REPORTING

The records of the 18 individuals supported by Harbor Regional Center (HRC) and selected for the Home and Community-Based Services (HCBS) 1915(i) State Plan Amendment (SPA) 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 SPA supported by HRC who passed away during the review period.

### Summary of Findings

HRC reported all special incidents in the sample of 18 records selected for the HCBS 1915(i) SPA review, to the Department. HRC's vendors reported four of the five (80 percent) incidents in the supplemental sample to the regional center within the required timeframes. HRC reported four of the five (80 percent) incidents in the supplemental sample to the Department within the required timeframe. HRC's follow-up activities on incidents in the supplemental sample were appropriate for the severity of the situations for all five incidents. In addition, HRC reported all deaths during the review period.

### Findings

SIR #1: The incident occurred on November 4, 2024. HRC became aware of the incident on November 5, 2024. However, HRC did not submit a written report to the Department until November 12, 2024.

SIR #3: The incident occurred on December 12, 2024. However, the vendor did not submit a written report to HRC until December 16, 2024.

Recommendations	Regional Center Plan/Response
HRC should ensure that vendors report special incidents within the required timeframes.	Vendor associated with SIR #3 will be provided with SIR training by Harbor's Quality Assurance team on 12/09/25. Harbor will continue to follow up with service providers if they do not submit SIRs on time. Harbor will continue to train service providers on SIR regulations two times per year.
HRC should ensure that all special incidents are reported to the Department within the required timeframe.	Harbor's plan to address SIR #1 finding is as follows: Harbor will continue to monitor the SIR inbox throughout the day and if incident being reviewed is potentially reportable to the Department, Harbor staff will more



	quickly make determination to ensure incident is reported to the Department within mandated time frames.
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