

**Harbor Regional Center
Vendor Records
Monitoring Review Report**

Conducted by:

Department of Developmental Services

July 10-25, 2023

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EXECUTIVE SUMMARY

The Department of Developmental Services (DDS) conducted the monitoring review of vendor records from July 10-25, 2023, at Harbor Regional Center (HRC). The monitoring team members were Nadia Flores (Team Leader), Natasha Clay, Jenny Mundo, and Bonnie Simmons from DDS.

Purpose of the Review

DDS contracts with 21 private, non-profit corporations to operate regional centers, which are responsible under state law for developing and maintaining records for service providers that are vendored by the regional center. It is the responsibility of DDS to ensure that the vendor records meet all requirements in accordance with regulations.

Overview of the Vendor Record Monitoring Protocol

The compliance monitoring review protocol is designed to determine if the vendor requirements are met, and vendors continue to meet all qualification requirements. Specific criteria have been developed for the review listed below that are derived from state regulations.

Scope of Review

The monitoring team conducted a record review of a sample of 20 vendor files.

Overall Conclusion

HRC is in substantial compliance with the requirements for vendor records.

Major Findings

Regional Center Vendor Record Review

Twenty sample vendor records were reviewed for 18 documentation requirements (criteria) derived from state regulations and requirements. Five criteria were rated as not applicable for this review.

The sample records were 100 percent in overall compliance for this review.

REGIONAL CENTER VENDOR RECORD REVIEW

I. Purpose

The review is based upon documentation criteria derived from state statutes and regulations from the State of California relating to the monitoring of regional center vendors. The criteria address requirements for vendor licenses and credentials, if all required documentation is current, whether the vendor meets requirements for service and if at least one consumer has received services from the vendor within the last 24 months. The information obtained about the vendor record is tracked as a part of the monitoring reviews.

II. Scope of Review

1. Twenty regional center vendor records were selected for the review sample.
2. The review period covered activity from April 1, 2022 - March 31, 2023

III. Results of Review

The sample regional center vendor records were reviewed for 18 documentation requirements derived from state statutes and regulations. Five criteria were not applicable for this review.

- ✓ The sample records were in 100 percent compliance for 13 applicable criteria. There are no recommendations for these criteria.
- ✓ A summary of the results of the review is shown in the table at the end of this section.

IV. Findings and Recommendations

None

Regional Center Consumer Record Review Summary Sample Size = 20 Records						
	Criteria	+	-	N/A	% Met	Follow-up
1.1	An individual vendor file is maintained by the regional center that includes the documents and information specified in Title 17 (<i>Title 17, CCR, § 54332</i>)					
1.1.a	The regional center record contains a copy of the vendor application DS 1890. (<i>Title 17, CCR, § 54332(a)(1)</i>)	20			100	None
1.1.b	The regional center record contains required certificate, credential, license, degree, permit or registration. (<i>Title 17, CCR, § 54332(a)(2)</i>)	13		7	100	None
1.1.c	The regional center record contains a statement of current vendor status. (<i>Title 17, CCR, § 54332(a)(3)</i>)	20			100	None
1.1.d	The regional center record contains the regional center approval letter. (<i>Title 17, CCR, § 54332(a)(4)</i>)	20			100	None
1.2	The regional center record contains the program design or service design. (<i>Title 17, CCR, § 54332(a)(5)</i>)	15		5	100	None
1.3	The regional center record contains staff qualifications and duty statements. (<i>Title 17, CCR, § 54332(a)(6)</i>)	16		4	100	None
1.4.	The regional center record contains Notification of established rate and all documentation submitted. (<i>Title 17, CCR, § 54332(a)(7)</i>)	17		3	100	None
1.5	The regional center record contains the signed Home and Community Based Services Provider Agreement, (6/99) if applicable. (<i>Title 17, CCR, § 54332 (a)(8)</i>)	20			100	None
1.6	The regional center record contains documentation of negotiated agreements pursuant to Section 57300(d) or (e), if applicable. (<i>Title 17, CCR, § 54332 (a)(9)</i>)			20	NA	None
1.7	The regional center record contains negotiated service contracts, if applicable. (<i>Title 17, CCR, § 54332 (a)(10)</i>)			20	NA	None
1.8	The regional center record contains documentation of negotiated agreements			20	NA	None

Regional Center Consumer Record Review Summary Sample Size = 20 Records						
	Criteria	+	-	N/A	% Met	Follow-up
	pursuant to Section 58140, if applicable (Title 17, CCR, § 54332 (a)(11))					
1.9	The regional center record contains current and complete information required for vendorization. (Title 17, CCR, § 54332 (b)(1))	20			100	None
1.10	The regional center record contains documentation that at least one consumer has been provided services by the vendor within 24 months. (Title 17, CCR, § 54332 (b)(2))	20			100	None
1.11	The regional center record contains documentation that the service provided is the same service approved for vendorization. (Title 17, CCR, § 54332 (b)(3))	20			100	None
1.12	The regional center record contains documentation that the vendor meets minimum program standards (Title 17, CCR, § 54332 (b)(4))	20			100	None
1.13	The regional center record contains documentation that the vendor is not ineligible for vendorization (Title 17, CCR, § 54332 (b)(6))	20			100	None
1.14	The regional center record contains a 30-day written notice of termination to the vendor, if the regional center determines the vendored services has not been provided within the last 24 months. (Title 17, CCR, § 54332 (c)(1))			20	NA	None
1.15	The regional center record contains documentation of changes to the statewide vendor panel if the vendor has not responded to the 30-day written notice of termination. (Title 17, CCR, § 54332 (c)(2))			20	NA	None

SAMPLE VENDORS

#	Vendor
1	PH2373
2	PH1864
3	PH2162
4	H17329
5	PH2230
6	PH1345
7	PH1629
8	PH2432
9	PH2143
10	PH1476
11	H17335
12	PH0735
13	PH2055
14	PH1370
15	PH2178
16	PH2136
17	PH2521
18	PH2389
19	PH1384
20	HH2071