



## San Diego Regional Center

*Serving Individuals with Developmental Disabilities in San Diego and Imperial Counties*  
4355 Ruffin Road, San Diego, California 92123 • (858) 576-2996 • [www.sdrc.org](http://www.sdrc.org)

May 22, 2017

To: San Diego Regional Center Clients, Families, and Community Members

Dear Clients, Families, and Community Members:

The Department of Developmental Services (DDS) has found the San Diego Regional Center (SDRC) 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-client caseload ratios at or below specified averages.

In its report submitted to the DDS on March 12, 2017, SDRC did not meet the required caseload ratio for clients enrolled in the Home and Community-based Services Waiver program for persons with developmental disabilities (a ratio of 1 to 73.8 was reported and the required ratio is 1 to 62); for clients three years of age and younger (a ratio of 1 to 65.6 was reported and the required ratio is 1 to 62); and, for clients 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 (a ratio of 1 to 75.9 was reported and the required ratio is 1 to 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 plan needs to be developed following input from the state council, local organizations representing clients, family members, regional center employees, service providers, and other interested parties.

I am providing a draft plan of correction that I propose to send to DDS. In accordance with Section 4640.6 (f) of the W&I Code your input is requested. If you would like to provide input for the caseload ratio plan of correction, please submit it in writing and send it by e-mail to [ratio.input@sdrc.org](mailto:ratio.input@sdrc.org); by fax to (858) 576-2873; or, through the United States Postal Service addressed to Carlos Flores, Executive Director, San Diego Regional Center, 4355 Ruffin Road, San Diego, California, 92123. Your input must be received by the SDRC by June 9, 2017, in order to be considered.

Sincerely,

Carlos Flores  
Executive Director

Enclosures: SDRC Draft Plan of Correction  
Letter from DDS dated April 26, 2017  
Sections 4640.6 (c) of the Welfare and Institutions Code

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**East County Office**  
8760 Cuyamaca St #100  
Santee CA 92071  
619-596-1000

**Imperial County Office**  
512 W Aten Rd  
Imperial CA 92251  
760-355-8383

**North County Office**  
5931 Priestly Drive #100  
Carlsbad CA 92008  
760-736-1200

**South County Office**  
2727 Hoover Ave #100  
National City CA 91950  
619-336-6600

**DEPARTMENT OF DEVELOPMENTAL SERVICES**

1600 NINTH STREET, Room 320, MS 3-9  
SACRAMENTO, CA 95814  
TTY (916) 654-2054 (For the Hearing Impaired)  
(916) 654-1958



April 26, 2017

Carlos Flores, Executive Director  
San Diego Regional Center  
4355 Ruffin Road, Suite 200  
San Diego, CA 92123-1648

Dear Mr. Flores:

Thank you for your service coordinator caseload ratio survey emailed to the Department of Developmental Services (Department) on March 12, 2017. The data you provided indicates that as of March 1, 2017, San Diego Regional Center (SDRC) did not meet the required caseload ratios for: 1) consumers enrolled on the Home and Community-Based Services Waiver; 2) consumers who are under three years of age; 3) consumers 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. As you know, these ratios are mandated by Welfare and Institutions Code (WIC) section 4640.6, subd. (c). Based on caseload ratio data submitted to the Department in March 2016, SDRC was also out of compliance in one or more areas for that reporting period.

This letter is to notify you that as specified in WIC section 4640.6, subd. (f), a plan of correction is required since SDRC failed to maintain the required service coordinator caseload ratios for two consecutive reporting periods. The plan of correction must be developed following input from the state council, local organizations representing consumers, family members, regional center employees, including recognized labor organizations, service providers, and other interested parties. In developing your plan, we recommend you hold a minimum of one public meeting, with at least 10 days advance written notice, to solicit input from the entities described above. With the plan of correction, please describe how input was incorporated from interested parties. Please e-mail your plan of correction within 45 days from the date of this letter to:

Rachel Long  
Department of Developmental Services  
E-mail: [Rachel.Long@dds.ca.gov](mailto:Rachel.Long@dds.ca.gov)

**“Building Partnerships, Supporting Choices”**

Carlos Flores, Executive Director  
April 26, 2017  
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The Department is available to provide technical assistance if you believe this would be helpful to SDRC in achieving the required service coordinator caseload ratios. If you have any questions, please contact Rachel Long, at (916) 654-1976.

Sincerely,

*Original signed by*

BRIAN WINFIELD  
Deputy Director  
Community Services Division

cc: Terri Colachis, Board President  
San Diego-Imperial Counties Developmental Services, Inc.

Amy Westling, Interim Executive Director  
Association of Regional Center Agencies

# DRAFT

June 12, 2017

Brian Winfield, Deputy Director  
Department of Developmental Services  
1600 9<sup>th</sup> Street  
Sacramento, CA 95814

Dear Mr. Winfield:

In a letter dated April 26, 2017, the Department of Developmental Services (DDS) informed me that, based on caseload ratio data submitted to DDS on March 12, 2017, the San Diego Regional Center (SDRC) did not meet required caseload ratios for clients enrolled in the Home and Community-Based Waiver program; for clients three years of age and younger; and, for clients who have not moved from the developmental center 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. A copy of the DDS letter is enclosed for your reference. This is the SDRC plan of correction as required in Section 4640.6 (f) of the Welfare & Institutions Code (W&I).

Letters or notices requesting input on this plan were sent to the regional manager of the State Council on Developmental Disabilities San Diego Imperial Regional Office; the chair of People First Imperial Valley; the chair of People First San Diego County; all SDRC employees; members of the San Diego Regional Center Vendor Advisory Committee; and, members of the Developmental Disabilities Provider Network. A notice was also posted on the SDRC website requesting input from clients and family members. Copies of the April 26, 2017, letter from DDS and Section 4640.6 (c) of the W&I Code were attached to the letters and notices. Copies of the letters and notices are enclosed.

For clients enrolled in the Home and Community-Based Waiver program the caseload ratio in the SDRC March 2016 caseload ratio data report was 1 to 73.8 (the required caseload ratio is 1 to 62); for clients younger than three years of age the caseload ratio was 1 to 65.6 (the required caseload ratio is 1 to 62); and for clients 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 to 75.9 (the required caseload ratio is 1 to 66).

From fiscal year 2010-2011 to 2012-2013 the operations allocations for the SDRC were significantly reduced because of the effects of the recession on the state budget. Since the recession and state budget crisis it has been exceedingly difficult to maintain caseload averages required in statute. The SDRC has been out of compliance with one or more required caseload ratios since 2012.

The SDRC continues to experience a tremendous rate of client growth. At the end of April 2016, the total number of clients being served was 24,815. By the end of April 2017, the total had grown to 26,180. This is a net increase of 1,365 clients in one year. The SDRC would need to add approximately 20 more service coordinator positions just to cover the growth. We estimate that we need more than 60 additional service coordinator positions to be in full compliance with the applicable state statute. Every attempt is being made to hire additional service coordinators with the operations allocation provided by the state. In the past calendar year we increased the amount of authorized positions and added 17 new service coordinators. Next fiscal year we plan to add another service coordination unit if the operations allocation permits.

On the date of this correspondence, SDRC has not yet received its operations allocation for fiscal year 2017-2018, and it is not possible to develop a plan of correction with specificity. Depending on the amount of the operations allocation the SDRC receives for fiscal year 2017-2018, we will add an additional service coordination unit. A service coordination unit consists of 10 service coordinators and one program manager. When a new unit is added, we also need to plan for additional office space, equipment and supplies, and support staff as appropriate.

If you have questions please call me at (858) 576-2933.

Sincerely,

Carlos Flores  
Executive Director

ENCLOSURES

c: San Diego-Imperial Counties Developmental Services, Inc. Board of Directors  
Amy Westling, Association of Regional Center Agencies

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*Section 4640.6(c), (d), (e), and (f) of the Welfare and Institutions Code  
(Lanterman Developmental Disabilities Services Act)*

(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.