

## Home and Community-Based Services (HCBS) Rules CONCEPT FORM

The Home and Community-Based Services (HCBS) rules ensure that people with disabilities have full access to, and enjoy the benefits of, community living through long-term services and supports in the most integrated settings of their choosing. In order to assist in determining eligibility for compliance funding, providers must complete this evaluation. Both “Yes” and “No” answers require an explanation. A “No” response *could* mean a service setting is out of compliance with the HCBS rules and is potentially eligible for funding to make necessary adjustments. Once this evaluation is completed, it should act as a guide for filling out the provider compliance funding concept, which is required for any provider to be eligible for compliance funding. **Completion of this evaluation is for the sole purpose of applying for compliance funding and does not take the place of future provider assessments that the Department may require to determine provider compliance with the HCBS settings rules. Only providers requesting compliance funding need to complete this evaluation.**

Federal Requirements #1-5 apply to providers of all services, including residential and non-residential settings. Federal Requirements #6-10 are additional requirements that apply only to provider-owned or controlled residential settings.

The column labeled “Guidance” contains a series of questions intended to help identify compliance or non-compliance with each requirement as it relates to the HCBS rules. While responses to these questions can help in the determination of whether or not a particular requirement is met, these responses may not be the sole factor in this determination.

More information on the HCBS rules and this form can be found at [www.dds.ca.gov/HCBS](http://www.dds.ca.gov/HCBS).

Questions may be directed to [HCBSregs@dds.ca.gov](mailto:HCBSregs@dds.ca.gov).

Date(s) of Evaluation: 11/21/2019	Completed by: Beatrice Diaz
Vendor Name, Address, Contact: In2vision Programs, LLC, 13601 E Whittier Blvd Suite 107, Whittier, CA Beatrice Diaz Program Supervisor 562 789-8888	
Vendor Number: PE1639	
Service Type and Code: Community Integration Training - 055	

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<p><b><u>Federal Requirement #1:</u></b> <i>The setting is integrated in, and supports full access of individuals receiving Medicaid HCBS to the greater community, including opportunities to seek employment and work in competitive integrated settings, engage in community life, control personal resources, and receive services in the community, to the same degree of access as individuals not receiving Medicaid HCBS.</i></p>	<p><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Do individuals receive services in the community based on their needs, preferences and abilities?</li> <li>• Does the individual participate in outings and activities in the community as part of his or her plan for services?</li> <li>• If an individual wants to seek paid employment, does the home staff refer the individual to the appropriate community agency/resource?</li> <li>• Do individuals have the option to control their personal resources, as appropriate?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please explain: In2vision Programs LLC lacks the ability to provide employment support due to the absence of Job Coaches and Job Developers. Without the proper training and support, individuals are unable to acquire work in competitive and integrated settings</p>	
<p><b><u>Federal Requirement #2:</u></b> <i>The setting is selected by the individual from among setting options, including non-disability-specific settings and an option for a private unit in a residential setting. The setting options are identified and documented in the person-centered service plan and are based on the individual's needs, preferences, and, for residential settings, resources available for room and board.</i></p>	<p><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Does the provider have a current regional center Individual Program Plan (IPP) on file for all individuals?</li> <li>• Does each individuals' IPP document the different setting options that were considered prior to selecting this setting?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please explain: Individuals files are maintained on constant basis with new and updated IPPS. In2vision attends all requested IPP meetings.</p>	
<p><b><u>Federal Requirement #3:</u></b> <i>Ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.</i></p>	<p><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Does the provider inform individuals, in a manner they can understand, of their rights to privacy, dignity, respect, and freedom from coercion and restraint?</li> <li>• Does the provider communicate, both verbally and in writing, in a manner</li> </ul>

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	<p>that ensures privacy and confidentiality?</p> <ul style="list-style-type: none"> <li>• Do staff communicate with individuals based on their needs and preferences, including alternative methods of communication where needed (e.g., assistive technology, Braille, large font print, sign language, participants' language, etc.)?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b> Please explain: <a href="#">Click or tap here to enter text.</a></p>	
<p><b><u>Federal Requirement #4:</u></b> <i>Optimizes but does not regiment individual initiative, autonomy, and independence in making life choices, including, but not limited to, daily activities, physical environment, and with whom to interact.</i></p>	<p><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Does the provider offer daily activities that are based on the individuals' needs and preferences?</li> <li>• Does the provider structure their support so that the individual is able to interact with individuals they choose to interact with, both at home and in community settings?</li> <li>• Does the provider structure their support so that the individual is able to participate in activities that interest them and correspond with their IPP goals?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input type="checkbox"/> <b>Yes</b> <input checked="" type="checkbox"/> <b>No</b> Please explain: In2vision is unable to provide adequate Job coaching and or seeking of employment. Also, without proper Person Centered Training, staff are unable to guide individuals while developing goals and tasks.</p>	
<p><b><u>Federal Requirement #5:</u></b> <i>Facilitates individual choice regarding services and supports, and who provides them.</i></p>	<p><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Does the provider support individuals in choosing which staff provide their care to the extent that alternative staff are available?</li> <li>• Do individuals have opportunities to modify their services and/or voice their concerns outside of the scheduled review of services?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input type="checkbox"/> <b>Yes</b> <input checked="" type="checkbox"/> <b>No</b> Please explain: At this time, In2vision lacks a thorough method of providing Person</p>	

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Centered support to its individuals. For this reason, we are requesting support with providing a Person Centered Trainer for all staff and clients.

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Only providers of services in **provider-owned or controlled residential settings** need to complete the remainder of this evaluation. In **provider-owned or controlled residential settings**, in addition to the above requirements, the following requirements must also be met:

<p><b><u>Federal Requirement #6:</u></b> <i>The unit or dwelling is a specific physical place that can be owned, rented or occupied under a legally enforceable agreement by the individual receiving services, and the individual has, at a minimum, the same responsibilities and protections from eviction that tenants have under the landlord/tenant law of the State, county, city or other designated entity. For settings in which landlord/tenant laws do not apply, the State must ensure that a lease, residency agreement or other form of written agreement will be in place for each participant and that the document provides protections that address eviction processes and appeals comparable to those provided under the jurisdiction's landlord tenant law.</i></p>	<p><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• As applicable, does each individual have a lease, residency agreement, admission agreement, or other form of written residency agreement?</li> <li>• Are individuals informed about how to relocate and request new housing?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain: <a href="#">Click or tap here to enter text.</a></p>	
<p><b><u>Federal Requirement #7:</u></b> <i>Each individual has privacy in his/her sleeping or living unit: Units have entrance doors lockable by the individual, with only appropriate staff having keys to doors as needed. Individuals sharing units have a choice of roommates in that setting. Individuals have the freedom to furnish and decorate their sleeping or living units within the lease or other agreement.</i></p>	<p><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Do individuals have a choice regarding roommates or private accommodations?</li> <li>• Do individuals have the option of furnishing and decorating their sleeping or living units with their own personal items, in a manner that is based on their preferences?</li> <li>• Do individuals have the ability to lock their bedroom doors when they choose?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain: <a href="#">Click or tap here to enter text.</a></p>	

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<p><b><u>Federal Requirement #8:</u></b> <i>Individuals have the freedom and support to control their own schedules and activities, and have access to food at any time.</i></p>	<p><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Do individuals have access to food at any time?</li> <li>• Does the home allow individuals to set their own daily schedules?</li> <li>• Do individuals have full access to typical facilities in a home such as a kitchen, dining area, laundry, and comfortable seating in shared areas?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain: <a href="#">Click or tap here to enter text.</a></p>	
<p><b><u>Federal Requirement #9:</u></b> <i>Individuals are able to have visitors of their choosing at any time.</i></p>	<p><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Are visitors welcome to visit the home at any time?</li> <li>• Can individuals go with visitors outside the home; such as for a meal or shopping, or for a longer visit outside the home, such as for holidays or weekends?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain: <a href="#">Click or tap here to enter text.</a></p>	
<p><b><u>Federal Requirement #10:</u></b> <i>The setting is physically accessible to the individual.</i></p>	<p><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Do individuals have the freedom to move about inside and outside the home or are they primarily restricted to one room or area?</li> <li>• Are grab bars, seats in bathrooms, ramps for wheelchairs, etc., available so that individuals who need those supports can move about the setting as they choose?</li> <li>• Are appliances and furniture accessible to every individual?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain: <a href="#">Click or tap here to enter text.</a></p>	

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**CONTACT INFORMATION**

Contact Name: Beatrice Diaz  
Contact Phone Number: 562 789 8888  
Email Address: Bdiaz@in2vision.org

**ACKNOWLEDGEMENT**

By checking the box below, I acknowledge that completion of this evaluation is for the sole purpose of applying for compliance funding and does not take the place of future provider assessments that the Department may require to determine provider compliance with the HCBS settings rules.

I AGREE

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Existing regional center vendors may receive funding to make changes to service settings and/or programs to help them come into compliance with the HCBS rules. To be considered for funding, vendors must complete and submit this form and the provider

Vendor name	In2vision Programs, LLC
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compliance evaluation form as one packet to the regional center with which it has primary vendorization.

### Instructions:

- The concept form on the next page must be used, may not exceed four pages plus the budget worksheet and any cost back up, and must be kept in Arial 12-point font. Submit the form in Microsoft Word or PDF format. An extra half page is permitted to answer questions about prior funding, but the rest of the concept must be within the standard page requirements.
- There has been a significant change in the form and process compared to prior years. **In order to receive funding, this 2019-20 form must be used.**
- For providers that operate programs with several vendor numbers involved in one concept, one evaluation and concept form should be submitted and should list all vendor numbers for related/included programs. If multiple programs owned by the same parent company have different compliance evaluations or concepts, additional applications can be submitted but should be attached in the same document as the other owned programs so they can be reviewed together.
- The results of the evaluation should be clearly laid out in the section referring to identification of federal requirements that are currently out of compliance, which the concept will address.
- The concept form includes detailed information that describes the funding requests and supports how the requests will assist the provider to come into compliance.
- There should be a clear link between what is being requested and the federal requirement currently out of compliance.
- Concepts should demonstrate how the requested change in service delivery will impact individuals in offering more choices or opportunities in the community.

### Strengths of previously funded concepts:

- Identified the need as well as proposed a plan to provide outreach and information regarding the HCBS rules to individuals served and members of their support teams.
- Discussed the need for additional funds in order to effectively support individuals served on a more individualized basis in overcoming barriers to community integration and employment, as appropriate.
- Prioritized the preferences of individuals served and utilized their feedback in the development of the concept.
- Implemented train-the-trainer certification for person-centered planning/thinking and training regarding the HCBS rules.
- Enabled residents to age in place and exercise more choice and independence.

More information on the HCBS rules and this form can be found at [www.dds.ca.gov/HCBS](http://www.dds.ca.gov/HCBS).



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Vendor number(s)	In2vision Programs, LLC
Primary regional center	PE1639
Service type(s)	Eastern Los Angeles Regional Center
Service code(s)	Community Integration Training
Number of consumers currently served	055
Current staff to consumer ratio	55 consumers, 1:1 ratio.
<p>1. Please provide a brief description of the service/setting that includes what a typical day consists of and how services are currently provided. This response must include the baseline/current levels for any aspects of the program for which the concept proposes funding.</p>	
<p>In2vision Programs LLC's community integration training program is 100% community based and serves clients in a 1:1 ratio in various activities such as volunteering, going to leisure activities and educational opportunities. However, a huge unmet need of the program and its' clients is access to integrated community employment as outlined in their IPPs. Because of various medical, behavioral and skill compliance with the HCBS rules. deficits, these individuals have not qualified for DOR supported employment. However, it is our belief that through a 055 day service they can begin to access these settings and develop the skills to eventually transition. In2vision also is unable to provide adequate support for individuals with making decisions on their services due to a lack of Person-Centered Training. Without Person Centered Training, management and staff are ill-equipped to provide support in this area.</p>	
<p><b>Project Narrative Description:</b></p>	
<p>2. Please provide a brief summary narrative of the concept for which you are requesting funding, including justification for the funding.</p>	
<p>In2vision would like to recommend 2 supports in Employment and Person-Centered Training.</p> <p>Proposal 1 – The proposal is to add 2 job developers to our staff so that clients can have access to integrated employment settings. There is currently no funding for this position in the 055 program which has been a barrier to successful community integration based on IPP objectives. The desired outcome is that our clients can be placed in community employment through the 055 model.</p> <p>Proposal 2 – Acquire support of Tammy Edvard and Creative Solutions in training the trainer in Person-Centered Training. 2 key management team members will be trained and certified as PCT trainers. All staff will then be trained in PCT.</p>	
<p></p>	

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3. Identify which HCBS federal requirements this concept addresses that are currently out of compliance. Could be all or a subset of those identified as out of compliance on the evaluation.
1_YES__ 2__ 3__ 4_YES__ 5_YES__ 6__ 7__ 8__ 9__ 10__
4. For each HCBS out-of-compliance federal requirement that is being addressed by this concept, describe the barriers to compliance and why this concept is necessary. If this information is in the evaluation section, please copy it here.
<ul style="list-style-type: none"> <li>• (1) In2vision Programs LLC lacks the ability to provide employment support due to the absence of Job Coaches and Job Developers. Without the proper training and support, individuals are unable to acquire work in competitive and integrated settings.</li> <li>• (4) In2vision is unable to provide adequate Job coaching and or seeking of employment. Also, without proper Person Centered Training, staff are unable to guide individuals while developing goals and tasks.</li> <li>• (5) At this time, In2vision lacks a thorough method of providing Person Centered support to its individuals. For this reason, we are requesting support with providing a Person Centered Trainer for all staff and clients.</li> </ul>
5. For each out-of-compliance federal requirement that is addressed in this concept, please explain how the concept will bring the vendor into compliance.
<ul style="list-style-type: none"> <li>• (1) and (4) – With the hiring of 1 or 2 Job Developer(s), In2vision Programs LLC will be fully capable of offering individuals opportunities to seek employment and work in competitive integrated settings, engage in community life, control personal resources, and receive services in the community, to the same degree of access as individuals not receiving Medicaid HCBS.</li> <li>• (5) – In2vision Programs LLC will meet guideline #5 by providing PCP to every individual in the program as well as to every direct care staff working with those individuals. It is critical that we acquire a Person Centered Trainer in house to accomplish this by the required deadline.</li> </ul>
6. What are the proposed outcomes and objectives of the concept, and what are the methods of achieving and tracking them?
<ul style="list-style-type: none"> <li>• (1) and (4) – In2vision Programs LLC, plans to meet with and plan for support to any individual with an employment goal in their IPP. Furthermore, Job Developer will track all meetings, document notes and monitor individuals provided with job coaching in a detailed summary of intake and placements.</li> <li>• (5) – All current and new hire direct care staff will be trained in Person Centered Planning by the required HCBS deadline. The office location will maintain a minimum of 1 certified Person Centered Trainer at all times.</li> </ul>
7. Please describe how and/or what was done to include input from the individuals served in developing this concept? Discuss not only the development of the concept, but also what steps were taken to identify the interests and desires of the individuals and who was involved in that process.
Every quarter, all participants of the 055 – CIT are provided with a survey. Data as collected identifying job placements and person centered planning as one of the main needs.

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8. Please describe how the concept you propose will enable you to provide more person-centered services to your clients.

With the acquisition of a Person Centered Trainer, all current and all incoming new hires will be trained in Person Centered Planning.

9. Please address your plan for maintaining the benefits, value, and success of your project at the conclusion of 2019-20 HCBS Funding.

The plan for ongoing provision of services is to fund the job sustaining the benefits, developers through new CIE payments that should be value, and success of your generated by successful client employment.  
We also will utilize the 2 PCT Trainers to continue training all new employees in PCT.

10. Write a brief narrative below explaining each major cost category and timeline. Complete the budget template at the end of the concept sheet. An excel version with formulas is available. When applicable, budgets should include personnel/benefits, operating costs such as consultants or training, administrative expenses/indirect costs, and capital costs (assets lasting more than 2 years). If project spans 2 years or occurs in phases, budget should be separated by phase/year.

Administrative costs, if any, must comply with DDS' vendor requirements, including a cap of 15% of the sum of personnel/benefits, consulting, and operating costs (must exclude capital costs).

[http://leginfo.legislature.ca.gov/faces/codes\\_displaySection.xhtml?sectionNum=4629.7&lawCode=WIC](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?sectionNum=4629.7&lawCode=WIC)

Proposal 1 is 2 Job Developers with a case load of 25 clients and their staff.

- \$45,000 annual salary
- \$90,000 annual total, \$180,000 project total

Job Developer is to be hired by June 30, 2020. This project will last a total of 2 years.

Proposal 2 is for 2 key management members to be trained in PCT Train the Trainer program by Tammy Edvard and Creating Effective Solutions

- Direct Care Staff Training
  - 55 staff x 8 hours x \$18/hr = \$7,920
- PCT Trainer (2)
  - 2 PCT Trainers x 44.5 hrs x \$35/hr = \$3,115
- PCT Consultant Fees – Tammy Edvard
  - Total Consultant Fees - \$31,000
- Admin and Supplies/Additional Training
  - Additional resources needed for ADMIN overhead (15%), Supplies including adaptive equipment (2 Ipads) and additional training for incoming staff to be hired during the project year.
  - Total = \$10,000.00

Project is expected to be completed in 12 months from initiation of PCT Training.

11. Please address sustainability of funding sources for all programs or concepts requiring any funding past the time frame of the requested grant, especially those that involve staff or other long-term costs. Please mark "not applicable" if costs will all be incurred during the program

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time frame.	
12. Have you or the organization you work with been a past recipient of DDS funding? If yes, what fiscal year(s)?	HCBS Funding    ___ No ___ Yes. If Yes, FY(s) _____ Disparity Funding    ___ No ___ Yes. If Yes, FY(s) _____ CPP Funding    ___ No ___ Yes. If Yes FY(s) _____  If yes to any question be sure to answer questions 13 and 14.
<b>For providers who have received prior HCBS, Disparity or CPP Funding from DDS</b>	
13. If your organization has received prior funding from any of the above sources, please provide an update on the prior funding project. You may copy and paste from progress update(s) previously provided to regional centers or DDS.	
14. If your organization received prior funding, please explain how the current funding request is not redundant with any prior funding received and/or builds on the prior funding but was not part of the original funding.	

HCBS CONCEPT BUDGET	272496					
Vendor Name	In2vision Programs, LLC					
Vendor Number(s)	PE1639					
	Salary and Benefits	Year 1 Budget		Year 2 Budget		Total
		FTE	Annual Cost	FTE	Annual Cost	Cost
<b>Personnel (salary + benefits)</b>						
Job Developer	25.3	#####	\$ 52,624	#####	\$ 52,624	\$ 105,248
Job Developer	25.3	#####	\$ 52,624	#####	\$ 52,624	\$ 105,248
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Personnel Subtotal			\$ 105,248		\$ 105,248	\$ 210,496
<b>Operating expenses</b>						
Wages for (2) PCT Trainers- 44 Hrs each			\$ 2,000			\$ 2,000
Wages for (50) Staff- 8 Hrs of Training Each			\$ 7,000			\$ 7,000
Consulting Fees- Creative Solutions (Tammy Evrard)			\$ 31,000			\$ 31,000
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
Operating Subtotal			\$ 40,000		\$ -	\$ 40,000
<b>Administrative Expenses</b>						
15% Admin Overhead Cost + Supplies + ADDTL Traini			\$ 22,000			\$ 22,000
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
Administrative Subtotal			\$ 22,000		\$ -	\$ 22,000
<b>Capital expenses</b>						
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
Capital Subtotal			\$ -		\$ -	\$ -
<b>Total Concept Cost</b>			\$ 167,248		\$ 105,248	\$ 272,496

See Attachment F for budget details and restrictions