

## 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: 7.1.19 to 10.30.19	Completed by: Ron Hamilton, Chief of Operations
Vendor Name, Address, Contact: Ron Hamilton, Chief of Operations UCP of the North Bay 3835 Cypress Drive, Suite 103 Petaluma, CA 94954	
Vendor Number: Vendor Number: Napa: HN0284    Solano: HN0344    Sonoma: HN0388	
Service Type and Code: 510	

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### **Federal Requirement #1:**

*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.*

### **Guidance:**

- Do individuals receive services in the community based on their needs, preferences and abilities?
- Does the individual participate in outings and activities in the community as part of his or her plan for services?
- If an individual wants to seek paid employment, does the home staff refer the individual to the appropriate community agency/resource?
- Do individuals have the option to control their personal resources, as appropriate?

**Does the service and/or program meet this requirement?**  Yes  No

Please explain: **Partially in Compliance**

UCP of the North Bay opened the first of our Adult Development Center (510) programs in January 2008 to provide paid employment at minimum wage for adults with developmental disabilities. Our vision was to provide site-based work in the wine industry (and eventually the recycling industry), while also developing paid work in the community for groups consisting of one supervisor and four participant employees. We believed at the time that this would eventually lead to what is now known as competitive integrated employment.

UCP of the North Bay has carefully tracked participant employee days in the community with monthly program metric reports since June 2016. We measure the average number of program days in the community by group and the exact number of days in the community by individuals. They are both broken down by paid employment days and work training days. Individual metrics include the number of hours per day each participant employee spends in the community in paid work and in work training. With all measurements, the goal is to reach or exceed 55% in the community.

Our October 2019 Program Metrics show that our Napa participant employees as a group averaged 66% of their program days engaged in paid work in the community. Our Sonoma participant employees averaged 50% and our Solano participant employees averaged 19%. For reference purposes, our October 2019 Adult Development Center (510) enrollment in Napa was 78, Sonoma 38, and Solano 61. Our October 2019 Participant Metrics show a complete breakdown of hours spent in the community in both paid work, work training, and recreation activities for each participant, which provides an exact person-centered planning report for our participant employees.

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All of the data that we compile and track daily and monthly supports our efforts to meet or exceed HCBS requirements. As presented, we are in partial compliance because not all of our measurements have reached 55%. In addition to, and as part of, his or her Individual Service Plans, all our participant employees have a PAVE (Pursuing Accessible Vocational Employment) Planning Meeting to identify their career goals including where they are right now, where they want to be, and their three month, six month, and twelve month goals.

### **Federal Requirement #2:**

*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.*

### **Guidance:**

- Does the provider have a current regional center Individual Program Plan (IPP) on file for all individuals?
- Does each individuals' IPP document the different setting options that were considered prior to selecting this setting?

**Does the service and/or program meet this requirement?**  Yes  No

Please explain: **Partially in Compliance**

UCP of the North Bay documents participant preference for program activities including community-based paid work, site-based paid work, or a combination of paid work options in our Individual Program Plans (ISP). In addition to ISP Meetings, Person Centered Planning Meetings are held throughout the year documenting participant interest in paid work and location. Our Previous HCBS Compliance Funding (2017-2019) for the development of Custom Recycling Solutions (CRS), our community recycling business, provided paid work for 54 unduplicated participants during the funding period. It is worth mentioning that nine of the participants who no longer work in CRS have moved into Competitive Integrated Employment.

Our current proposal builds on that success by funding a Job Developer at each Adult Development Center site in Napa, Solano, and Sonoma. The Job Developers would increase the number of non-disability-specific setting employment options for participant employees working in groups and develop competitive integrated employment placements for participant employees moving into Individual Supported Employment. Employment options would not be limited to our specialization in the beverage packaging and recycling industries, but rather reflect the diversity of employment options that we currently provide our Adult Development Center participant employees at the following businesses:

Napa: (1) Berkley International – Packaging, (2) Chateau Montelena Winery – Packaging, (3) Top It Off Bottling – Packaging, (4) Allied Propane Services – Stocking and Janitorial, (5) Infinity Bottling LLC – Recycling , (6) NorthBay Tec – Recycling , (7) Custom Recycling Solutions Locations: Grgich Hills Estate, Infinity Bottling, Vode Lighting, Wineshipping, M7

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Wine Solutions, WineCare Logistics, Moving Forward Towards Independence (Coombs Street, Pine Street), Kaiser Permanente (Napa), Napa Valley Tennis Association, Biagi Brothers Shipping.

Sonoma: (1) City of Petaluma – Bus Shelter Cleaning, (2) City of Rohnert Park – Park Litter Abatement, (3) Lagunitas Brewing Company – Cardboard Processing, (4) Petaluma Masonic Lodge – Janitorial, (5) Petaluma Odd Fellows Lodge – Janitorial, (6) Petaluma Napa Auto Parts – Grounds Maintenance, (7) William Fishman Attorney Office – Grounds Maintenance, (8) Custom Recycling Solutions Locations: Clover Sonoma, Kala Brand Music, Morris Distributing, Keith Giusto Bakery Supply, Russian River Brewing Company.

Solano: (1) Primal Pet Food – Packaging, (2) Fairfield Thrift Center – Sorting, Tagging, Stocking, Janitorial, (3) Custom Recycling Solutions Locations: Kaiser Permanente (Vacaville, Fairfield, Vallejo), Easter Seals, Connections 4 Life, Julie A. Chen MD, Source America, Kathryn M. Amacher DO, Solano Sports, CableCom (Fairfield, Benicia), Pomeroy Recreation and Rehabilitation Center.

### **Federal Requirement #3:**

*Ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.*

### **Guidance:**

- Does the provider inform individuals, in a manner they can understand, of their rights to privacy, dignity, respect, and freedom from coercion and restraint?
- Does the provider communicate, both verbally and in writing, in a manner that ensures privacy and confidentiality?
- 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.)?

**Does the service and/or program meet this requirement?**  **Yes**  **No**

Please explain: **In Compliance**

UCP of the North Bay provides training in Client's Rights for all staff members through New Staff Orientation, Staff Meetings, and Relias Learning that includes competency testing. Client's Rights are reviewed with participant employees and posted at all program sites. We ensure privacy and confidentiality for participant employees with our procedures reviewed annually by Community Care Licensing, every three years by CARF, and by NBRC Quality Assurance. We have an open door policy and grievance procedure to address any issues or requests and we effectively communicate with participant employees that have accompanying hearing loss, vision loss, language, mental health, or other special needs.

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<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 checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b> Please explain: <b>In Compliance</b></p> <p>UCP of the North Bay offers a range of paid work, employment training, and recreation activities for our participant employees to choose from at all program sites. The focus of this proposal is to expand the number and types of community-based employment opportunities. UCP of the North Bay has identified the need to hire Job Developers for each of our three Adult Development Centers in Napa, Solano, and Sonoma. These are new positions with new job descriptions requiring new hires to achieve the goals that we have established for the number and types of community job opportunities.</p> <p>UCP of the North Bay has developed a continuum of employment options that move participant employees through onsite packaging and recycling at our program sites, community-based group work at fully integrated businesses, and competitive integrated employment through our Supported Employment Program. All three options provide choice for our participant employees and are necessary for most individuals to develop the skills necessary to work at a greater level of independence. Participant employees are not required to move through all of the employment options if they have the required job skills to work at business locations of their choosing.</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>

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**Does the service and/or program meet this requirement?**  Yes  No

Please explain: **Partially in Compliance**

UCP of the North Bay provides participant employees with a variety of employment, education, and recreation activities offered both on-site and in the community. Our participant employees may modify their activities and schedules at any time while they are learning the responsibility and commitment that comes with having a job and being responsible to employers both now and when entering Competitive Integrated Employment.

UCP of the North Bay continues to support participant employee choice with paid work, employment training, and recreation activities. For the purpose of this proposal, our focus is on paid work and the number of participant employees that are currently working in the community at integrated business sites. Our goal is to increase the number of participant employees working in the community and the number of business locations to facilitate greater choice and additional paid work. We currently have:

Napa: 47 participant employees working on 10 crews serving 17 business locations.

28 additional participant employees expressing an interest in working in the community and 13 participant employees currently working but under-employed based on a standard 20 hour work week.

Sonoma: 32 participant employees working on 7 crews serving 12 business locations.

No additional participant employees expressing an interest in working in the community and 12 participant employees currently working but under-employed based on a standard 20 hour work week.

Solano: 28 participant employees working on 5 crews serving 14 business locations.

15 additional participant employees expressing an interest in working in the community and 10 participant employees currently working but under-employed based on a standard 20 hour work week.

Total Need: In Napa, Sonoma, and Solano Counties combined, we have 43 participant employees expressing an interest in working in the community and 35 participant employees currently working but under-employed based on a standard 20 hour work week.

**Project Goal: Develop new jobs to increase the number of hours worked in the community for all participant employees.**

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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? <input type="checkbox"/> Yes <input type="checkbox"/> No</b> 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? <input type="checkbox"/> Yes <input type="checkbox"/> No</b> 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? <input type="checkbox"/> Yes <input type="checkbox"/> No</b> Please explain: <a href="#">Click or tap here to enter text.</a></p>	



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**CONTACT INFORMATION**

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**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 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 name	UCP of the North Bay, Inc.
Vendor number(s)	Napa: HN0284 Solano: HN0344 Sonoma: HN0388
Primary regional center	North Bay Regional Center
Service type(s)	Adult Development Center
Service code(s)	510
Number of consumers currently served	177
Current staff to consumer ratio	1:4
<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>Participants working in the community arrive at their program at 9:00 a.m. and leave by 9:30 a.m. for their work sites. They return at 2:30 p.m. having generally worked four hours at the business locations identified in Fed. Req. #2. Participants not working in the community are provided site-based paid work in packaging and recycling.</p> <p>Non-work hours include both on-site and community-based employment training and recreation activities including seasonal adult camps, river rafting, and cross-country skiing. There is a strong social component to all our paid work, work training, and recreation activities.</p> <p>As detailed in Fed. Req. #5, in Napa, Sonoma, and Solano combined, we have 107 participants working on crews serving 43 business locations. In addition, we have 43 participants expressing an interest in working in the community and 35 participants working in the community but under-employed based on a standard 20 hour work week.</p> <p>Our project goal is to develop new jobs to increase the number of hours worked in the community for all participants. Funding for the new Job Developer positions would support UCP of the North Bay with achieving this goal and meeting HCBS guidelines. We have never paid our participants less than minimum wage.</p>	
<p><b>Project Narrative Description: UCP of the North Bay Job Development Project</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>Our proposal includes an overview of the metrics we review monthly at each program (See Fed. Req. Eval. #5). We have demonstrated the ability to provide paid work for participants at local businesses. With the addition of Supported Employment in Sonoma in 2013 and in Napa and Solano in 2016, we have the ability to transition participants from our Adult Development Centers (ADCs) to competitive integrated employment.</p> <p>This is a process for most individuals regardless of ability. The employment and social skills learned while working at our packaging and recycling facilities translate to working</p>	

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<p>on crews at local businesses and in competitive integrated employment. As we assessed our employment program, it became clear that the primary barrier to success was the job development needed to achieve the large scale success that we envision.</p> <p>Our request for funding is to support three new Job Developer positions, one at each ADC site in Napa, Solano, and Sonoma. We have all done our best previously to develop jobs whenever possible, but we clearly need these new staff positions.</p>
<p>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.</p>
<p>1, 2, 5</p>
<p>Fed. Req. #1: Partially in compliance. We need to provide more community-based integrated work for the participants at our ADCs. Our metrics show that we are doing very well with providing “services in the community based on their needs, preferences and abilities (See Fed. Req. Eval #1).” We track the number of hours each participant spends in the community in paid work, employment training, and recreation activities.</p> <p>Fed. Req. #2: Partially in compliance. We need to provide a greater variety of community-based integrated work from which our participants may choose (See Fed. Req. Eval #2). Some of the businesses may be able to provide additional days and hours for our work crews of “underemployed” participants. Our Job Developers will work with both current and new businesses to create additional jobs.</p> <p>Fed. Req. #5: Partially in compliance. We need to provide more community-based work hours for our participants (See Fed. Req. Eval #5). This addresses the need our participants have for earning income to pay for their basic expenses and to have the financial resources available to enhance the quality of their lives through participating in community activities.</p>
<p>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.</p>
<p>Fed. Req. #1: Our HCBS Compliance Goal, reported in our Monthly Program Metrics, is to have our participants average 55% or more of their program day in the community engaged in paid work or employment training. This is based on 5 hours of program activity in a 6 hour program day. We are achieving that goal at all our ADCs. Our HCBS Employment Goal is to have our participants average 55% or more of their program day in the community engaged in paid work by choice. In October 2019, our ADCs averaged 46%. The barrier is the availability of more employment opportunities.</p> <p>Fed. Req. #2: Our participants are trained in packaging and recycling. The job skills and social skills that they learn and develop help them overcome their own barriers to community-based employment. Our assessment addressed the need to provide a variety of community-based employment opportunities, understanding that individual choice and personal interest go a long way toward achieving success in the workplace. The barrier is the availability of additional and/or different employment opportunities.</p> <p>Fed. Req. #5: Our full-time participants (20 hours) earn \$240 per week before taxes. They are our highest earners, with the amounts decreasing as they work less hours or work only limited hours in on-site production. Our ADCs are challenged to find businesses that have work available during our weekday program hours. We have a</p>

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waiver to provide flexible work hours outside of our regular program hours, but that has its own challenges due to staff and participant availability. Job Developers would problem solve with employers and participants to maximize additional paid work.

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.

Fed. Req. #1, #2, and #3: We will address all three requirements with three new Job Developers, one at each program site that will: (1) work with participants through person-centered planning to identify preferred employment, (2) work with employers to customize jobs for our work crews, (3) establish work crews that can work flexible hours to generate more paid work, (4) provide daily support and monitoring of work crews and participants, (5) make referrals to Supported Employment at the request of participants, and (6) work toward achieving federal compliance at all programs.

We are working to exceed federal requirements by having our participants that choose to work scheduled at integrated businesses 55% or more of their daily activity hours. We provide a maximum of five community-based activity hours out of each six hour program day. Participants reaching 55% would work 2.75 hours per day, or 13.75 hours per week. Participants reaching 80% would work 4.00 hours per day, or 20 hours per week, which is our standard number of work hours.

6. What are the proposed outcomes and objectives of the concept, and what are the methods of achieving and tracking them?

Objective #1: Our participants from all three Adult Development Centers will increase from 46% to an average 55% or more of their program activity hours engaged in integrated paid work at local businesses.

Objective #2: The number of participants working on crews at local businesses will increase from 107 to 123 or 15% in the first year and from 123 to 141 or 15% in the second year of funding.

Objective #3: The number of business locations from which our participants may choose to work will increase from 43 to 52 or 20% in the first year and from 52 to 62 or 20% in the second year of funding.

Objective #4: The number of under-employed participants will decrease from 35 to 28 or 20% in the first year and from 28 to 22 or 20% in the second year of funding (under-employed defined as less than 2.75 hours of paid work per day).

We currently track Objective #1 in our Monthly Program Metrics Report and Objective #2 and Objective #4 in our Monthly Participant Metrics Report. Tracking Objective #3 is basic record keeping.

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.

We utilize an in-house person-centered planning document that we named PAVE. The assessment, conducted during intake interviews, ISP meetings, or separately as needed, includes where the participant is now, where they want to be, their career goals, who will help them get there, and timelines for three, six, and twelve months.

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The input that we received from our participants informed the direction of this proposal and the decision to request funding for three job development positions.

The majority of participant feedback is: (1) I want to make more money, (2) I want to work more hours, and (3) I would prefer to work in the community. This is not true of all our participants; some prefer to work onsite and others prefer not to work at all. Participant choice is documented in their ISP and IPP. Our ADCs serve a range of abilities and interests, which we take into consideration with all our program planning.

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

Our Job Developers would work with participants to achieve their career goals, identify businesses of interest, carve out jobs with employers, help to overcome barriers to employment, and ensure the continued availability of jobs at local businesses. If we are to provide this level of person-centered planning and ongoing support, we need funding to support the job developer positions we have requested in this proposal.

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

We have the physical and organizational infrastructure necessary for continued operation. We own two of the three facilities where our ADCs and production facilities are located and our Board of Directors and Leadership Team have a track record of successful, sustainable program development. We are currently serving 260 participants in our Adult Day Programs and 58 participants in Supported Employment. We have provided, and will continue to provide, needed paid employment programs.

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)

We are requesting \$302,400 for two years to support 70% of three Job Developer positions; one at each of our ADC programs located in Napa, Solano, and Sonoma with the balance to come from additional fundraising. Please see Attachment C for details.

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 time frame.

At the conclusion of two-year funding, we will maintain the three Job Developer positions in the same manner as we retained the Project Manager from our previous HCBS Compliance Funding (2017-2019). We are confident that the growth of our community-based employment will support continued operation and further expansion.

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

<p>12. Have you or the organization you work with been a past recipient of DDS funding? If yes, what fiscal year(s)?</p>	<p>HCBS Funding    ___ No <u>X</u> Yes. If Yes, FY(s) <u>2017-2019</u>          Disparity Funding    ___ No ___ Yes. If Yes, FY(s) _____          CPP Funding    ___ No ___ Yes. If Yes FY(s) _____</p> <p>If yes to any question be sure to answer questions 13 and 14.  <b>Extra Half-Page: Prior Funding</b></p>
<p><b>For providers who have received prior HCBS, Disparity or CPP Funding from DDS</b></p>	
<p>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.</p>	
<p>UCP of the North Bay received HCBS Compliance Funding in 2017-2019 for the development of Custom Recycling Solutions, our community based recycling business that continues to operate successfully in Napa, Solano, and Sonoma. Our 8<sup>th</sup> Quarter Milestones Report showed that we exceeded all of the goals that were established at the outset of project: (1) Conduct 42 person centered planning meetings: 54, (2) Provide technical training for 6 nonprofit agencies: 9, (3) Provide community based employment for 36 participants: 54, (4) Provide recycling services for 32 local businesses: 48, and (5) Transition 6 participants to competitive integrated employment: 9. The Job Developers for whom we are requesting funding would also support participants currently working and interested in working in Custom Recycling Solutions.</p>	
<p>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.</p>	
<p>Our request for funding does not include continuation funding for our previous project, although both projects address compliance with HCBS guidelines. Custom Recycling Solutions continues to provide community-based employment in our recycling business, while our new project will significantly increase the number and types of jobs available to all ADC participants at local businesses by filling three new Job Developer positions.</p>	

HCBS CONCEPT BUDGET		Job Development Project				
Vendor Name		United Cerebral Palsy of the North Bay				
Vendor Number(s)		HN0284 HN0344 HN0388				
	Salary and Benefits	Year 1 Budget		Year 2 Budget		Total
		FTE	Annual Cost	FTE	Annual Cost	Cost
<b>Personnel (salary + benefits)</b>						
Job Developer Sonoma	60000	1.00	\$ 60,000	1.00	\$ 60,000	\$ 120,000
Job Developer Solano	60000	1.00	\$ 60,000	1.00	\$ 60,000	\$ 120,000
Job Developer Napa	60000	1.00	\$ 60,000	1.00	\$ 60,000	\$ 120,000
			\$ -		\$ -	\$ -
Benefits (20%)	36000	1.00	\$ 36,000	1.00	\$ 36,000	\$ 72,000
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
<b>Personnel Subtotal</b>			<b>\$ 216,000</b>		<b>\$ 216,000</b>	<b>\$ 432,000</b>
<b>Operating expenses</b>						
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
<b>Operating Subtotal</b>			<b>\$ -</b>		<b>\$ -</b>	<b>\$ -</b>
<b>Administrative Expenses</b>						
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
<b>Administrative Subtotal</b>			<b>\$ -</b>		<b>\$ -</b>	<b>\$ -</b>
<b>Capital expenses</b>						
						\$ -
United Cerebral Palsy of the North Bay						\$ -
Job Development Project						\$ -
Budget Information						\$ -
						\$ -
HCBS Funding Request: \$302,400 (70%)						\$ -
Additional Fundraising: \$129,600 (30%)						\$ -
Total Project Cost: \$432,000 (100%)						\$ -
						\$ -
<b>Capital Subtotal</b>			<b>\$ -</b>		<b>\$ -</b>	<b>\$ -</b>
<b>Total Concept Cost</b>			<b>\$ 216,000</b>		<b>\$ 216,000</b>	<b>\$ 432,000</b>

See Attachment F for budget details and restrictions