

**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:	Saanen Kerson
Vendor Name, Address:	Vine Village Arts 4059 Old Sonoma Road Napa, CA, 94559; Contact: Saanen Kerson 707-255-4006
Vendor Number:	HI3656
Service Type and Code:	855 Adult Day Care

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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?  <i>Not fully individualized. They do go in small groups to visit the public library, Farmers Market, seasonal attractions such as the Pumpkin Patch, and other events throughout the year. These field trips are always optional. This Concept Proposal is for a new vehicle to provide community access to our artists. The proposal also includes staff training in Person-Centered Thinking, Train the Trainer certification, and an additional part-time staff position dedicated to supporting individual interests and preferences.</i></li> <li>• Does the individual participate in outings and activities in the community as part of his or her plan for services?  <i>Yes, but currently the plans don't include a great deal, because we lack the capability of providing it. If an individual wants to seek paid employment, does the home staff refer the individual to the appropriate community agency/resource?  Yes, we work closely with North Bay Regional Center case managers to honor requests for paid employment.</i></li> <li>• Do individuals have the option to control their personal resources, as appropriate? <i>Yes.</i></li> </ul>
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**Does the service and/or program meet this requirement?**   Yes   No

Please explain:

*Vine Village Arts is an arts-based day program licensed through Community Care Licensing and vendored by North Bay Regional Center as Adult Day Care. The program is designed to serve 20 artists per day with a staff: consumers ratio of 1:8. Currently we have 19 artists.*

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This Concept Proposal is to develop a more person-centered day activity program, through staff training in Person Centered Thinking (PCT), train the trainer certification in order to train future staff and provide periodic updates in training, an additional part time staff position to facilitate this as well as to assist with community access activities for individuals, and a vehicle dedicated to this purpose.

**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?  
**YES**  
Does each individuals' IPP document the different setting options that were considered prior to selecting this setting?  
**YES**

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

Please explain: **YES**

**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?  
**YES**
- Does the provider communicate, both verbally and in writing, in a manner that ensures privacy and confidentiality?  
**YES**
- 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.)? Not completely.  
**Our staff communicate in spoken and written English and Spanish. Those who can benefit from large font print are provided such materials. Our non-**

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	<p>verbal consumers can understand English or Spanish.</p> <p>Some of our consumers use computers, tablets, and smart phones.</p>
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**Does the service and/or program meet this requirement?** Yes No

Please explain: We respect each person’s rights to privacy, dignity, respect, and freedom from coercion and restraint. We communicate in English and Spanish, and we encourage the use of computers, pictures, digital tablets, and smartphones as means of communication for our consumers.

**Federal Requirement #4:**  
*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.*

**Guidance:**

- Does the provider offer daily activities that are based on the individuals’ needs and preferences?  
**YES.**  
 At any given time, a person might choose to draw, paint, weave, sew, make a collage, sing, dance, work on a puzzle, write, read, play a computer game, assemble a birdhouse, visit the garden or orchard, visit the goats or cows, or just take a break. We also offer regular visits to the library and farmer’s market, and occasional seasonal activities such as Petaluma Corn Maze, the Napa Pumpkin Patch, etc. But these tend to be group activities, and our ability to do more of these, or to support individual exploration or interests, is limited by having to borrow a 7-passenger van from Vine Village or Vine Village 2, and sometimes the vans are not available.

However, if the person prefers to do something out in the community that does not involve going with a group of people, this is seldom available to them. This Concept Proposal includes staff training in Person-Centered

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	<p>Thinking, a dedicated community access vehicle, and one part-time staff aide whose job is dedicated to planning and providing community access and community integration according to each person’s interests and preferences.</p> <ul style="list-style-type: none"> <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? YES</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? YES.</li> </ul>
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**Does the service and/or program meet this requirement?**  Yes  No

Please explain: Vine Village Arts believes in supporting each client’s individual interests and activities, but currently does not provide adequately for individual or small group community access. We currently do not have the staffing or the dedicated, dependably available vehicle to provide individual and small group access to pursue individual interests and preferences. This Proposal includes a dedicated vehicle for community access, a part-time staff position dedicated to community access for pursuing individual interests, as well as training in Person-Centered Thinking for all staff

**Federal Requirement #5:**  
*Facilitates individual choice regarding services and supports, and who provides them.*

Guidance:

- Does the provider support individuals in choosing which staff provide their care to the extent that alternative staff are available?  
YES.  
Do individuals have opportunities to modify their services and/or voice their concerns outside of the scheduled review of services?  
YES

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

Please explain: We maintain open communication with our consumers and do our best to respond to changes in their preferences and needs in a timely manner, not just during scheduled reviews.

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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><u>Guidance:</u></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?  <a href="#">Each client has an Admission Agreement</a></li> <li>Are individuals informed about how to relocate and request new housing?  <a href="#">N/A. Vine Village Arts is a day program, serving clients who either live in Supported Living, with family, or in a licensed Group Home. Housing is outside our domain.</a></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:</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><u>Guidance:</u></p> <ul style="list-style-type: none"> <li>Do individuals have a choice regarding roommates or private accommodations?  <a href="#">N/A to day program.</a></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?  <a href="#">N/A to day program.</a></li> <li>Do individuals have the ability to lock their bedroom doors when they choose?  <a href="#">N/A to day program</a></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></p>	

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Please explain: *Not applicable to a day program.*

**Federal Requirement #8:**

*Individuals have the freedom and support to control their own schedules and activities, and have access to food at any time.*

**Guidance:**

- Do individuals have access to food at any time?  
*YES, except for clients who have medically dictated dietary restrictions such as Type 2 Diabetes or Prader-Willi Syndrome*
- Does the home allow individuals to set their own daily schedules?  
*YES*
- Do individuals have full access to typical facilities in a home such as a kitchen, dining area, laundry, and comfortable seating in shared areas?  
*YES*

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

Please explain: *We encourage each artist to choose their own activities and projects. We offer a selection of fruits and light snacks, and clients have access to a refrigerator and a microwave oven for foods that they might bring from home. When a person no longer wishes to participate in Vine Village Arts, we support that client in seeking a new option.*

**Federal Requirement #9:**

*Individuals are able to have visitors of their choosing at any time.*

**Guidance:**

- Are visitors welcome to visit the home program at any time?  
*YES, so long as the visit also accommodates the rights of others.*
- Can individuals go with visitors outside the home program, such as for a meal or shopping, or for a longer visit outside the home, such as for holidays or weekends?  
*Yes if the visitor is known to us. As a licensed facility, we are responsible for the safety of clients while in our care.*

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

Please explain:



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<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? <a href="#">Yes.</a></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? <a href="#">Yes</a></li> <li>• Are appliances and furniture accessible to every individual? <a href="#">Yes</a></li> </ul>
<p><b>Does the service and/or program meet this requirement?   <input checked="" type="checkbox"/> Yes   <input type="checkbox"/> No</b></p> <p>Please explain:</p>	

**CONTACT INFORMATION**

Contact Name:           [Saanen Kerson](#)            
 Contact Phone Number:           [707-255-4006](#)            
 Email Address:           [skerson@vinevillage.org](mailto:skerson@vinevillage.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 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	Vine Village Arts
Vendor number(s)	HI3656
Primary regional center	North Bay Regional Center
Service type(s)	Adult Day Care
Service code(s)	855
Number of consumers currently served	19 (vendored for 20 per day)
Current staff to consumer ratio	1:8 is required for Adult Day Care. We maintain a slightly lower ratio, with 3 staff for 19 clients.
<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 arrive at 9:00 AM. Each brings a home-prepared lunch. There are three scheduled breaks, at 10:30 for snack, at 12:00 for lunch, and at 1:30 for exercise, usually an outdoor walk through the outdoor setting, visiting the goats, cows, chickens, donkeys, and horses on the property, and enjoying the wildlife and natural setting. Seasonally, some participants may choose to work in the garden, or pick fruit in the orchard.</p>	
<b>Project Narrative Description:</b>	
<p>2. Please provide a brief summary narrative of the concept for which you are requesting funding, including justification for the funding.</p>	
<p>1. Person Centered Thinking training, including Train the Trainer certification, in order to perpetuate PCT in our organizational culture.  2. Community Integration/Access; Additional staff and a vehicle will allow regular and at-will community access for individuals and small natural groupings (i.e. two or three friends with shared interest).</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_X__ 2__ 3__ 4_X__ 5__ 6__ 7__ 8__ 9__ 10__</p>	
<p>3. 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>#1: Our current level of staffing, limited access to transportation (currently the Arts program has to arrange to use one of the vehicles used primarily by either Vine Village 1 or Vine Village 2 residential programs, which are frequently in use for residential needs such as medical care and</p>	

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shopping. This limits our ability to support our consumers' personal interests and individual desires for activities in the community.

#4: Our staff need training in Person-Centered Thinking, as well as supports in the form of additional staff and a vehicle to implement person-centered program planning. Our consumers need more access to community resources, and more integration into the community. This training, additional staffing, and a vehicle dedicated to that purpose, will greatly assist Vine Village Arts in becoming a truly person-centered environment.

4. For each out-of-compliance federal requirement that is addressed in this concept, please explain how the concept will bring the vendor into compliance.

#1: Our current level of staffing, and limited access to vehicles, limits our ability to support our consumers' personal interests and individual desires for activities in the community. For outings, the Arts program has to arrange to use one of the vehicles used primarily by either Vine Village or Vine Village 2 residential program, when not needed for residential needs such as medical care and shopping.

#4: Our staff need training in Person-Centered Thinking, as well as additional staff and a vehicle to implement person-centered program planning. Our consumers need more access to community resources, and more integration into the community. This training, additional staffing, and a vehicle dedicated to that purpose, will greatly assist Vine Village Arts in becoming a truly person-centered environment.

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

Arts clients will increase their participation in community activities, which will be tracked on a calendar. Staff training in Person-Centered-Training will result in more individualized activities and client confidence in choosing things of their own interest.

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.

Not done. Hence Person-Centered Thinking training for staff.

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

A new vehicle will allow improved community access. PCT training for staff will support our staff in assisting clients in developing and pursuing individual interests.

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

Including Train-The-Trainer certification will maintain Person-Centered-Thinking as part of or organizational culture.

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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)

Vehicle: \$40,000

Part-Time Staff: \$10,000

PCT Training \$5000, and TTT certification: \$10,000, Administrative overhead \$3,750

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.

Vine Village Arts is currently vendored and licensed as Adult Day Care. Funding seems likely to be sustainable. Vehicle maintenance costs can be absorbed through Vine Village, Inc.'s overall operating budget. The only part of the project that is less sustainable is the salary for the part-time community access staff. If funded for one year, we would have that whole year to figure it out.

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.

### For providers who have received prior HCBS, Disparity or CPP Funding from DDS

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.

N/A

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.

N/A

HCBS CONCEPT BUDGET						
Vendor Name		Vine Village Arts				
Vendor Number(s)		HI3656				
	Salary and Benefits	Year 1 Budget		Year 2 Budget		Total
		FTE	Annual Cost	FTE	Annual Cost	Cost
<b>Personnel (salary + benefits)</b>						
Person-Centered Thinking Training Seminars for Staff	5000	1.00	\$ 5,000		\$ -	\$ 5,000
Community Access Specialist	10000	1.00	\$ 10,000		\$ -	\$ 10,000
Train the Trainer Certification for Person-Centered TH	10000	1.00	\$ 10,000		\$ -	\$ 10,000
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
<b>Personnel Subtotal</b>			<b>\$ 25,000</b>		<b>\$ -</b>	<b>\$ 25,000</b>
<b>Operating expenses</b>						
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
<b>Operating Subtotal</b>			<b>\$ -</b>		<b>\$ -</b>	<b>\$ -</b>
<b>Administrative Expenses</b>						
15% of \$25,000 personnel			\$ 3,750		\$ -	\$ 3,750
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
<b>Administrative Subtotal</b>			<b>\$ 3,750</b>		<b>\$ -</b>	<b>\$ 3,750</b>
<b>Capital expenses</b>						
car or mini-van			\$ 40,000		\$ -	\$ 40,000
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
<b>Capital Subtotal</b>			<b>\$ 40,000</b>		<b>\$ -</b>	<b>\$ 40,000</b>
<b>Total Concept Cost</b>			<b>\$ 68,750</b>		<b>\$ -</b>	<b>\$ 68,750</b>

See Attachment F for budget details and restrictions