

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.

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.

Questions may be directed to HCBSregs@dds.ca.gov.

Date(s) of Evaluation: 11/12/2019 through 11/19/2019	Completed by: RES Success, Program Managers, Ian Bremner, Executive Director
Vendor Name, Address, Contact: Rehabilitation and Employment Services of the East Bay, Inc. dba RES Success 704 Main Street, Martinez, CA 94553, Contact: Ian Bremner, Executive Director or Purvi Knopf, Finance Manager	
Vendor Number: HB0740 (Pittsburg), H34860 & HB0240 (Martinez), HB0534 (Pleasant Hill), HB0822 (Hercules), PB1375 (Community Based DVC), PB1685 (Community Based Tri Valley) .	
Service Type and Code: Behavior Management Programs, Code 515 & Community Program Code 055	

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<p><u>Federal Requirement #1:</u> <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><u>Guidance:</u></p> <ul style="list-style-type: none"> • 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?
<p>Does the service and/or program meet this requirement? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please explain: Staff provide clients with opportunities and choices on places they want to visit; we also have Activities Coordinators at every site to set up special outings for our clients, with direct client input. Most clients receive services in the community, but we have several who are limited to doing activities onsite primarily, due to behavior challenges, severity of disability and/or physical restrictions due to age and walking restrictions. Transportation is an issue because of some of our student's abilities to ride public transportation, as well as time constraints for certain locations. This is especially true in our Pittsburg location. We also have some students who are very sensitive to noises and may experience behavioral challenges while in crowded places or on public transportation. A vehicle in the Pittsburg location would allow for a wider variety of opportunities for our students to engage in educational and recreational activities and allow for greater compliance.</p>	
<p><u>Federal Requirement #2:</u> <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><u>Guidance:</u></p> <ul style="list-style-type: none"> • 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?
<p>Does the service and/or program meet this requirement? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please explain: The clinical and management team, along with the direct staff, ensure that the ISP reflects the clients personal vision by getting to know the client personally, speaking with them individually about their personal goals and aspirations, and observing their interests that are reflected and observable on a day to day basis.</p>	

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<p><u>Federal Requirement #3:</u> <i>Ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.</i></p>	<p><u>Guidance:</u></p> <ul style="list-style-type: none"> • 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.)?
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Does the service and/or program meet this requirement? **Yes** **No**

Please explain: To make sure that our clients rights are honored we give them choices by making them the owners of how their day is going to look. We ensure their privacy by protecting their personal information, keeping their casefiles stored in a locked cabinet, talking to them on an individual basis when in crisis and being knowledgeable about their conservatorships. We encourage them to know their rights themselves and to speak assertively when a right is threatened. Student rights are a priority and the foundation of maintaining our agencies principles. Additionally, each program has a "Client's Rights" poster, posted in a location for everyone to have access to.

<p><u>Federal Requirement #4:</u> <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><u>Guidance:</u></p> <ul style="list-style-type: none"> • Does the provider offer daily activities that are based on the individuals' needs and preferences? • 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? • 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?
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Does the service and/or program meet this requirement? **Yes** **No**

Please explain: Our programs offer activities that are based on an individual's needs and their preferences. Each week staff create enriching lesson plans and modify activities so that every client can participate and get enjoyment out the activity. Some of the activities we offer are, Money Management skills, Social skills, Life skills classes, Job coaching, Volunteer opportunities, Nutrition and cooking classes, Communication classes,

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Expressive arts, Fitness Sessions, Science, and a variety of educational fieldtrips. Having a van would provide more choices of enriching activities in our community for Pittsburg program clients.

Staff are encouraged to become familiar with all clients' past and current information, including IPP and ISP goals. Staff work upon meeting these goals in their everyday activity, and offer healthy choices, daily living skills, and in the moment training.

Improved communication amongst the Day Program and Group home/Parents (with RCEB support), so that everyone is on the same page would help clients be more successful and achieve their goals. Incorporating person-centered training and structure in communicating with client support network will assist in improving this function and lead to greater compliance.

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?
- Do individuals have opportunities to modify their services and/or voice their concerns outside of the scheduled review of services?

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

Please explain: To avoid dependency on any one staff, all staff are available to work with all clients. Clients continue to have their preferred staff, but are willing to work with staff if their preferred staff is not available. Additional training on person centered thinking will help staff support client directed activities and choices. Our students do have opportunities to modify their services based on their needs, and we have grievance procedures in place which we ensure all clients are aware of. If there is an urgent matter in which the team needs to discuss the client's programming, we have IDT Meetings to ensure the entire team is fully supporting the success of the client. All clients have the opportunity to change their individual goals and their services as needed/desired. During their ISP Meeting their case manager also offers services to help them to become independent.

Two RES Managers have attended RCEB Sponsored Person-Centered training and have come back with ideas of how to improve. Other RCEB trainings have been fully booked for some time. Agency-wide training will allow us to integrate and systematize using person-centered processes. Training on Person-centered thinking as well as follow-up training for leadership team will create a more sustainable and structured person-centered service delivery. This will allow us to embed the person-centered thinking into the ISP and daily process of program delivery and enhance compliance in all areas.

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Vendor name	Rehabilitation and Employment Service of the East Bay, Inc.
Vendor number(s)	HB0740 (Pittsburg), H34860 & HB0240 (Martinez), HB0534 (Pleasant Hill), HB0822 (Hercules), PB1375 (Community Based DVC), PB1685 (Community Based Tri Valley), PB1376/PB1758/P91260 (1:1 supplement)
Primary regional center	REGIONAL CENTER FOR THE East bay, Inc.
Service type(s)	Behavior management program (515); 1-to-3 for Community Based (055); Transportation Supplement (880), 1-to-1 supplement for Behavior programs (110 and 111)
Service code(s)	1-to-3 for Community Based (055) and Behavior management program (515); 1-to-1 supplement for Behavior programs (110 and 111)
Number of consumers currently served	233 Capacity; 216 (current enrollment)
Current staff to consumer ratio	1-to-3 for Behavior management program (515) and Community Based (055); 1-to-1 Supplement (110 and 111)
<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>All of our Behavioral Management programs focus on site based and integrated training in the least restrictive environment possible. Program participants can choose from a wide variety of on site, local and out of the area activities. Many activities and locations are outside of our participants range due to travel restrictions. Our Community Based programs are 100% out in the community.</p> <p>Typical day begins with Clients being transported to program. Staff provide clients with opportunities and choices on places they want to visit. They are encouraged to sign up for things that are of interest. If a client doesn't sign up for anything, they are offered opportunities for in-house activities. Some Clients' choices are limited by age, health, and walking restrictions. Choices are also limited due to transportation issues such as time restraints due to limited bus routes, as well as dealing with others in the public that may pose a risk to our population. We also have some students who are very sensitive to noises and may experience behavioral challenges.</p> <p>Efforts to include client input is considered for all activities planned. Based on individual goals we plan activities around job skills, social skills, travel training, etc. In the community-based programs, clients are asked where they would like to go the following week and staff plan the schedule accordingly. This is more limited in our day programs due to intensity of client needs and staff understanding of strategies to get client input for client desires. At times students are resistant to participating because it is the same places being visited throughout the month. A greater variety of new places would help them engage in learning.</p>	

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Sometimes staff use “trial and error” approach until they get a positive response. Deeper training around Person-centered thinking concepts and strategies will improve staff learning and client choice-focused results.

Project Narrative Description:

2. Please provide a brief summary narrative of the concept for which you are requesting funding, including justification for the funding.

The 8 passenger van will allow clients to look beyond the bus lines for options for community integration, and will increase daily opportunities for vocational, recreation, and educational opportunities. This will open opportunities and choices for those with the greatest challenges in our Pittsburg behavior management day program, as well as remove a large barrier for community integrated choices for clients in the Pittsburg program.

Agency-wide Person-Centered Thinking training will align all staff with the same clear purpose and language. As staff all reach the same understanding, this consistency in approach will help the programs achieve maximum immediate improvements towards person-centered service delivery. This will create greater staff understanding and implementation of ISP goals, improved compliance with person-centered daily planning, and improved collaboration with client support outside program. Leadership training will embed sustainable practices into the organizations service delivery structure so growth and improvements continue.

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 2 3 4 5 6 7 8 9 10

Transportation remains a barrier for clients in our Pittsburg Behavior Management program. It limits choices and opportunities for all, but some clients in Pittsburg are not able to get out in the community at all due to transportation barriers including, access, timing, and behavior challenges due to public transport environmental issues.

While staff have been trained to focus on client choice, they are not clear on person-centered practices and need training to understand and incorporate the practices and thinking on a more daily basis. Support is needed to develop strategies to include improved language in and direct-care staff understanding of existing ISP.

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.

Federal Requirement #1: Currently our Pittsburg program’s distance from many destinations is a barrier to community integration. A greater variety of new places would help them engage in learning. At times students are resistant to participating because it is the same places being visited throughout the month. While program participants are trained to use the bus, the bus services run on the hour. Travel constraints restrict clients time spent at the destinations, such as museums, movie theaters, vocational sites, making these options not feasible on many occasions. In addition, clients with more severe challenges have difficulty on the bus due to noise/chaos, and sometimes treatment of others including drivers. This reduces their choices in the community, and often they are limited to walking distance or on-site activities. Staff accommodate by assisting participants

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in planning in-house activities whenever possible. Additional vehicle access will remove this barrier and program disparity from the Pittsburg program site. This will allow clients and staff to be more mobile in the community and allow activity coordinators to plan for activities maximizing the time at the integrated location in Pittsburg.

Federal Requirement #4/5: RES staff receive annual Pro-act training performed in-house by program leadership. While concepts may overlap with Pro-ACT, RES doesn't have the skills in-house to embed PCP approach to services. Often staff responses to behavioral challenges are met with the same approach, rather than taking into account that person's history, needs, and current development. Exposure to PCP concepts are limited to two employees. Lack of clear understanding and in-house expertise in PCP remains the greatest barrier to improved compliance. Bringing experts in to facilitate agency wide training will invigorate immediate Person-centered thinking and encourage staff to implement new approaches when working with clients. Expert facilitation will align and elevate the understanding of PCP all program leadership and staff. Organizational training and support will incorporate specifics of person-centered thinking and practices throughout the organization, making us ready to respond to DDS person-centered strategies with deliberate strategies. Goals of the training include individual strategies for all program service sites, organizational improvements in ISP and collaboration with client support teams, improvements in structure and training for new hires, as well as annual trainings and evaluations developed by leadership to maintain and continually improve the person-centered service delivery. This will lead to immediate and sustainable compliance.

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.

A Vehicle in Pittsburg will allow opportunities for all clients in Pittsburg in accessing the greater community, whether for social or educational enrichment, or employment preparedness. An 8 passenger van would accommodate 6 clients and 2 staff at a 1:3 ratio.

Person-centered organizational training will embed the concepts of person centered practices into all programs and create sustainable organizational structure to continually improve on these practices.

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

Proposed outcomes for the vehicle would be 100% of clients have access to the community through a trip in the vehicle to a new place of their choice. Additional measures would include the number of new places visited in the year.

For the training, anticipated outcome would be increased person-centered thinking, an improved ISP process (including embedding person-centered language and thinking beginning with the annual meeting through the written ISP document), new hire and staff trainings, and organizational management. Measures of success would include changes in onboarding, new employee training, annual staff performance evaluations, and ISP process over the course of 12 months starting with initial training. Additional measure would be to develop a plan for ongoing Person-Centered Thinking training.

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

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were taken to identify the interests and desires of the individuals and who was involved in that process.

The compliance questions above were sent out to all programs and discussed within programs. Collective answers were provided to the Executive Director and Program Director. Based on the responses, the greatest needs were in transportation for our Pittsburg location for #1, and across the board in deeper training on person-centered concepts and developing strategies to improve person-centered service delivery.

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

Addition of a van in Pittsburg will allow clients in areas that are less public transit friendly the access to opportunities available to those clients in other program locations.

The Person-centered organizational training will allow all staff to be more directed in their service delivery as well as enhance the organization's compliance by embedding PCP in the program systems agency wide.

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

Vehicles will continue to be used on a daily basis for outings and volunteer opportunities. RES activity coordinators to assist in developing options for clients in all programs.

Person-centered training is focused on program leadership and organizational change so program managers can develop and lead in-house trainings to maintain the systems developed through the collaborative and ongoing training.

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=VI

For vehicle, major costs include purchase of vehicle, license and tax, maintenance and auto insurance for first year.

For training, this includes 6 facilitators, travel/lodging for facilitators, staff costs to cover lost due to closure of programs for two days, site rental, and food for staff for the two day training. Follow-up to the two day training would be six facilitated sessions for RES program and administrative leadership to implement organization-wide changes.

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.

We anticipate that we will see an increase in attendance for programs where the vehicle is available. This will offset ongoing cost of gas, insurance and maintenance of the vehicles. RES also has an annual fundraiser to support these costs. Staff costs are part of the 1:3 ratio funding, savings from not renting vans for activities will help with sustainability.

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For the person centered training, a large portion is focused on developing the program leadership so they can continue with trainings in the future years.

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) 2018-2019
 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.

We received funding for a vehicle purchase in our Martinez program. Staff have been asked to work with clients to look at reviews, identify vehicle options and present their top choices to the Executive Director for approval and purchase after the Thanksgiving Holiday. We anticipate that purchase and use will happen by January 2020.

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.

RES previously asked for a vehicle for Pittsburg and for the Martinez programs. We were awarded one vehicle, and allocated it to Martinez because these clients are more fragile and have more transportation limitations. Barriers continue to exist for clients in the Pittsburg location. In the interim, rental vans have been used, but are not cost effective and are less flexible for use since they are not often available on shorter notice.

HCBS CONCEPT BUDGET	Vehicle and Organizational Change PCP training					
Vendor Name	Rehabilitation & Employment Services of the East Bay, Inc.					
Vendor Number(s)	HB0740; H34860; HB0240; HB0534; HB0822; PB1375; PB1685					
	Salary and Benefits	Year 1 Budget		Year 2 Budget		Total
		FTE	Annual Cost	FTE	Annual Cost	Cost
Personnel (salary + benefits)						
all staff 2 days program closure (0.8 % of annual)	4041529	0.01	\$ 32,332		\$ -	\$ 32,332
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
Personnel Subtotal			\$ 32,332		\$ -	\$ 32,332
Operating expenses						
Auto insurance - 1 year			\$ 3,600			\$ 3,600
Van Maintenance/service agreement			\$ 2,500			\$ 2,500
Facilities/food, etc. for 2 day training			\$ 2,500			\$ 2,500
Organizational Training - Embedding Person						\$ -
Centered Practices into organization:						\$ -
2 day all staff training (facilitators and travel)			\$ 13,900			\$ 13,900
Person centered Kick off strategy meeting			\$ 2,400			\$ 2,400
Alligning actions training			\$ 2,400			\$ 2,400
4 in-house trainig with leadership team			\$ 9,600			\$ 9,600
						\$ -
Operating Subtotal			\$ 36,900		\$ -	\$ 36,900
Administrative Expenses						
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
Administrative Subtotal			\$ -		\$ -	\$ -
Capital expenses						
8 passenger Van			\$ 43,000			\$ 43,000
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
Capital Subtotal			\$ 43,000		\$ -	\$ 43,000
Total Concept Cost			\$ 112,232		\$ -	\$ 112,232

See Attachment F for budget details and restrictions