

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.

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

Date(s) of Evaluation: 11/15/2019	Completed by: <u>11/22/2019</u>
Vendor Name, Address, Contact: Dreams of America I and Dreams of America II	
Vendor Number: HM1176 and HM1309	
Service Type and Code: Day Program 510	

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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: Dreams of America is not meeting the Federal Requirement #1 in the areas of individuals wanting to seek out paid employment. The staff is having a difficult time seeking employment options in an integrated setting. Dreams of America is not meeting the Federal Requirement #1 in the area of transportation. The staff uses their own cars to take clients out in the community for short distances, which would be more productive, efficient and accommodating if we were to utilize a vehicle such as a van.</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:</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.)?
<p>Does the service and/or program meet this requirement? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please explain:</p>	
<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?
<p>Does the service and/or program meet this requirement? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please explain:</p>	

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<p><u>Federal Requirement #5:</u> <i>Facilitates individual choice regarding services and supports, and who provides them.</i></p>	<p><u>Guidance:</u></p> <ul style="list-style-type: none">• 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?
<p>Does the service and/or program meet this requirement? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please explain:</p>	

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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><u>Federal Requirement #6:</u> <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"> ● As applicable, does each individual have a lease, residency agreement, admission agreement, or other form of written residency agreement? ● Are individuals informed about how to relocate and request new housing?
<p>Does the service and/or program meet this requirement? <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain: <u>N/A</u></p>	
<p><u>Federal Requirement #7:</u> <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"> ● Do individuals have a choice regarding roommates or private accommodations? ● 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? ● Do individuals have the ability to lock their bedroom doors when they choose?
<p>Does the service and/or program meet this requirement? <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain: <u>N/A</u></p>	

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<p><u>Federal Requirement #8:</u> <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><u>Guidance:</u></p> <ul style="list-style-type: none"> ● Do individuals have access to food at any time? ● Does the home allow individuals to set their own daily schedules? ● Do individuals have full access to typical facilities in a home such as a kitchen, dining area, laundry, and comfortable seating in shared areas?
<p>Does the service and/or program meet this requirement? <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain: <u>N/A</u></p>	
<p><u>Federal Requirement #9:</u> <i>Individuals are able to have visitors of their choosing at any time.</i></p>	<p><u>Guidance:</u></p> <ul style="list-style-type: none"> ● Are visitors welcome to visit the home at any time? ● 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?
<p>Does the service and/or program meet this requirement? <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain: <u>N/A</u></p>	
<p><u>Federal Requirement #10:</u> <i>The setting is physically accessible to the individual.</i></p>	<p><u>Guidance:</u></p> <ul style="list-style-type: none"> ● Do individuals have the freedom to move about inside and outside the home or are they primarily restricted to one room or area? ● 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? ● Are appliances and furniture accessible to every individual?
<p>Does the service and/or program meet this requirement? <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain: <u>N/A</u></p>	

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CONTACT INFORMATION

Contact Name: Tala Fazeli
Contact Phone Number: 949-398-7698 or 818-631-2465
Email Address: tfazeli@dreamsofamerica.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.

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Vendor name	Dreams of America I and Dreams of America II
Vendor number(s)	HM1176 and HM11309
Primary regional center	Regional Center of Orange County
Service type(s)	Community Based Adult Day Program
Service code(s)	510
Number of consumers currently served	109
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>Dreams of America is an adult day program that serves the ID/DD population at a 1:4 ratio. We help our clients become more independent through volunteer work and instructive activities – such as educational college classes, art classes, socialization skills, and mobility training – aiding important job skill development. Clients develop motor skills and learn useful lessons while out in the community, engaging in volunteer work, healthy physical exercise, eating out and other recreation. We meet the needs of many parents of adults with disabilities who don't have access to the resources they need to properly care for their loved ones.</p> <p>At our Irvine site we offer art classes, exercise, education, and other enrichment programs. Our mission is to integrate our clients into the community and expose our clients to all the resources that any typical person would have access to, such as attending college, volunteering, seeking paid employment, and participating in social/recreational activities in the community.</p> <p>Key funding aspects are to provide needed ideal transportation for best accommodation and safety of clients, and possessing better resources for development of jobs and projects with a job developer position who would be able to support the needs of the clients interested in seeking paid employment.</p>	
<p>Project Narrative Description:</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>Dreams of America is currently out of compliance, in part, with Federal Requirement #1.</p>	

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1st request: We currently do not have the resources to find integrated and paid employment for our clients. We currently have 109 clients of which only 15 have paid jobs, approximately only 7% of our clients have been able to attain a paid job. In order to meet this need, we would like to create a position for a job developer/community liaison who could seek out employers and coordinate with the clients on their job interests and preferences. In addition, the job developer would access work opportunities that have career path (advancement) opportunities. The job developer would also assist with any follow-up needed such as resume writing, mock interviews, and transportation to and from job interviews.

2nd request: Currently our staff use their cars to take clients out in the community for short distances, however we would have the ability to participate in more activities with better transportation with use of a van for transportation. Additionally, a vehicle such as a van would allow for less restrictions on accommodating riders while potentially increasing safety during transit. Some of the accommodation would allow someone who requires a walker out in the community, but currently cannot use the walker as it does not fit in the staff's personal car. Furthermore, a van would generally be safer than a car, reducing both the wear-and-tear on staff's cars and mileage reimbursements, while adding to recruiting and retention with this better transportation method being available.

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 X 2 ___ 3 ___ 4 ___ 5 ___ 6 ___ 7 ___ 8 ___ 9 ___ 10 ___

4. For each HCBS out-of-compliance federal requirement that is being addressed by this concept, describe the barriers to compliance and why this concept is necessary. If this information is in the evaluation section, please copy it here.

In regard to Dreams of America being out-of-compliance for Federal Requirement #1:

The barriers that are currently making us out of compliance is that we don't have the time and resources to job develop for our clients, as it requires additional time for the staff to research and meet with potential employers to seek employment opportunities. For clients seeking paid employment, the staff is having a difficult time seeking employment options in an integrated setting due to lack of resources to find integrated and paid employment for our clients.

For individuals participating in outings and activities, the staff uses their own cars to take clients out in the community for short distances, which would be safer, more productive, efficient and accommodating if we were to utilize a vehicle such as a van.

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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.

Utilizing a job developer/community liaison would enable us to seek out employers and coordinate with the clients on their job interests and preferences. The job developer would also assist with any follow up needed such as resume writing, mock interviews, and transportation to and from job interviews.

Having access to a larger vehicle such as a van would allow for less restrictions on accommodating riders while potentially increasing safety during transit. An important example would be the accommodation of someone who requires a walker out in the community, who currently may not have that option consistently due to space limitations within a staff members' personal car. This would also help with gas mileage reimbursement costs.

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

Coordinating job seeking with this proposed new position of a job developer would facilitate the objective for a larger number of clients to obtain opportunities by means of the role's dedicated focus to understand each client's unique preferences, skills and strengths in order to research relevant employment openings and communicate those details to the individual. Tracking the success of this new role is measured on the results of an increased number of clients interested to seek job opportunities, those obtaining jobs from the wider range of opportunities made available, and from the educational value experienced by individuals through the process itself.

Use of a van as a primary means of transportation achieves the objective to allow Dreams of America to more consistently schedule clients to be out in the community, supporting the opportunity to expand the frequency of these valuable outings for all with far less restrictions on accommodations. Tracking the success of this would be measured through an increased rate of participation on outings and the additional opportunities out in the community resulting from safer, more standardized, and better accommodating transportation.

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.

After being open now close to four years, we are gaining more understanding of our clients and their needs during their ISP meetings. During those meetings, many of our

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clients have expressed interest in paid job/employment options. As a result of this, we have the need in the area of a job developer. If we had the ability to have a job developer to support clients' needs, then it would ensure our clients are being supported in their work goals and dreams for their future.

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

Dreams of America hosts a parent/caregiver open house every year in which we get feedback on services that we are providing. In addition to this, the job developer would work individually to assess each client's Individual Support Plan (ISP) goals and understand their learning/work aspirations. This will result in clients being challenged, and reaching their hopes and dreams. The ISP is how we work with our clients and their circle of support in discovering their individual needs. In order to meet clients' job development/employment needs, it is crucial that we have a job developer/community liaison who would be able to meet one-on-one with the individual to inquire about their job interests, assess the clients' skill sets, and later explore job opportunities that are available for our clients.

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

To sustain the value of a van, Dreams of America will follow through with all regularly required servicing, for example such as full maintenance checks, oil changes, tire rotation/replacement, etc.

To sustain the value of a Job Developer at Dream of America, it will be maintained following the conclusion of 2019-20 HCBS Funding by adding the staff member to our payroll and ongoing fiscal budget.

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.

- Payroll for employees.
- Rental building to operate in.
- Vehicle transportation for clients.

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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

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.

Not applicable in regard to the van's funding request, as costs will be incurred during the program time frame. Anything past the time frame would be paid by Dreams of America, such as oil changes, gasoline, maintenance, etc.

However, in regard to the job developer, the position would be on payroll and may need support requested again for 2020-21 HCBS funding as we are only requesting funding for one year's worth of payroll for the job developer.

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.

14. If your organization received prior funding, please explain how the current funding request is not redundant with any prior funding received and/or builds on the prior funding but was not part of the original funding.

HCBS CONCEPT BUDGET						
Vendor Name		Dreams of America I and Dreams of America II				
Vendor Number(s)		HM1176 and HM11309				
	Salary and Benefits	Year 1 Budget		Year 2 Budget		Total
		FTE	Annual Cost	FTE	Annual Cost	Cost
Personnel (salary + benefits)						
Program Director	96641.0016	1.00	\$ 96,641	1.00	\$ 96,641	\$ 193,282
Supervisor	34121.568	2.00	\$ 68,243	3.00	\$ 102,365	\$ 170,608
Counselor	30529.824	24.00	\$ 732,716	29.00	\$ 885,365	\$ 1,618,081
Safety Coordinator	26938.08	1.00	\$ 26,938	1.00	\$ 26,938	\$ 53,876
Community Coordinator	28733.952	1.00	\$ 28,734	1.00	\$ 28,734	\$ 57,468
Operation Manager	35917.44	1.00	\$ 35,917	1.00	\$ 35,917	\$ 71,835
Lead Counselor	32325.696	2.00	\$ 64,651	2.00	\$ 64,651	\$ 129,303
Job Developer	51804	1.00	\$ 51,804	1.00	\$ 51,804	\$ 103,608
			\$ -		\$ -	\$ -
Personnel Subtotal			\$ 1,105,645		\$ 1,292,415	\$ 2,398,060
Operating expenses						
Rent			\$ 276,600		\$ 300,600	\$ 577,200
Utilities			\$ 14,706		\$ 15,383	\$ 30,089
Auto			\$ 74,763		\$ 82,239	\$ 157,001
Office Supplies			\$ 12,978		\$ 14,276	\$ 27,255
Insurance			\$ 13,584		\$ 16,980	\$ 30,565
Benefits			\$ 33,082		\$ 39,698	\$ 72,780
						\$ -
						\$ -
						\$ -
						\$ -
Operating Subtotal			\$ 425,713		\$ 469,176	\$ 894,888
Administrative Expenses						
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
Administrative Subtotal			\$ -		\$ -	\$ -
Capital expenses						
Vehicle			\$ 48,000		\$ 65,000	\$ 113,000
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
Capital Subtotal			\$ 48,000		\$ 65,000	\$ 113,000
Total Concept Cost			\$ 1,579,357		\$ 1,826,591	\$ 3,405,948

See Attachment F for budget details and restrictions