

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 HCBSreqs@dds.ca.gov.

Date(s) of Evaluation: Oct 1, 2019	Completed by: Ashley Basanese
Vendor Name, Address, Contact: Balance4kids/Quest Day Program 704 North Plymouth St. Santa Cruz, CA 95060 Contact: Colleen Russell	
Vendor Number: HS1034	
Service Type and Code: 510 Adult Day Program/880 Transportation	

Home and Community-Based Services (HCBS) Rules

CONCEPT FORM

<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? X No</p> <p>The Quest Day Program lacks the ability to ensure each individual is able to choose their daily activity. The program only has funding for only one vehicle which means the group must stay together at all times when leaving the center. The program has had to hold off from increasing numbers due to the barrier of vehicle expenses. Currently, since the group must stay together in one vehicle, time is limited, and only one individual a day chooses the groups activity which does not meet person-centered requirements.</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? X No</p> <p>The Program does have an IPP for each participant, however it is not a person-centered service plan. There is no current documentation of any person-centered service plans and no current documentation of individual's needs and preferences. The program does not currently have any person-centered trained staff who are able to complete the required person-centered service plan.</p>	

Home and Community-Based Services (HCBS) Rules

CONCEPT FORM

<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? X NO Currently the program does not have a confidential meeting space in order to meet the requirements of privacy and confidentiality.</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? X No The program does not currently offer daily activities that are based on individuals needs and preferences. The program does not have any staff who are trained in person-centered thinking. The program does not have a system in place that allows participants to have a choice in the group they are in or who they interact with.</p>	

Home and Community-Based Services (HCBS) Rules

CONCEPT FORM

<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? X No</p> <p>The program does not currently have any staff who have been trained in person-centered thinking and are able to create procedures and documentation that will allow individuals in the program the ability to modify or voice their concerns. There are also no opportunities or procedures in place to allow for individuals to choose which staff provide their care or even the option of alternative staff.</p>	

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 checked="" type="checkbox"/> No</p> <p>Please explain: Not Applicable</p>	

Home and Community-Based Services (HCBS) Rules

CONCEPT FORM

<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 Not applicable</p>	
<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 Not applicable</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: Not applicable</p>	
<p><u>Federal Requirement #10:</u></p>	<p><u>Guidance:</u></p>

Home and Community-Based Services (HCBS) Rules

CONCEPT FORM

<p><i>The setting is physically accessible to the individual.</i></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 checked="" type="checkbox"/> Yes</p> <p>The location and program meets this requirement with an open floor plan, grab bar, and wheelchair accessibility.</p>	

CONTACT INFORMATION

Contact Name: Ashley Basanese

Contact Phone Number: 831-464-8669

Email Address: ashley@balance4kids.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

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

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.

Vendor name	Balance4kids/Quest Day Program
-------------	--------------------------------

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

Vendor number(s)	HS1034
Primary regional center	San Andreas Regional Center
Service type(s)	Adult Day Program
Service code(s)	510, 880
Number of consumers currently served	4
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>Project Narrative Description:</p> <p>The Quest Day program currently serves 4 individuals, with the intention of expanding the program to 11 individuals by Dec 2020. Currently, each individual is picked up in one van and is transported together in a large group. On a typical day, once all the participants are picked up, the group will then be taken to the center. At the center the group reviews the daily calendar and prepares for the day. During calendar review individuals are not given a choice in the activity of the day. The program is restricted in offering more individuals choice due to having funding for only one vehicle. Most days, the group will go to Cabrillo College for classes. After class, the group may head back to the Quest Center for lunch or go right into drop offs. Currently, due to the lack of a person-centered trained staff specializing in community options, Cabrillo has been the only outside course offered to the program in three years. While the program does have IPP's on site, there are no person-centered service plans.</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>The program will meet requirement #1 by offering individuals the opportunity to participate in outings and activities in the community by providing two additional vehicles. The program will utilize the additional cars to support smaller groups traveling into the community and will enable the program to accommodate individual needs and activities that correspond with individuals IPP goals.</p> <p>In order to meet Requirement #2 and #4, the program is requesting funding for staff training. After the requested training, staff will be able to create person centered IPP plans, which will enable #4.</p> <p>In order to meet requirement #3, the program is requesting funding for the additional cost of space needed to provide confidential meeting space that allows each individual their right to privacy. There will also be a space dedicated to person-centered activities based on the individuals IPP goals and should be set up with materials and activities participants request and that meet IPP goals.</p> <p>In order to meet requirement #4 and #5, the program is requesting funding to hire a full time Community Integration Specialist. The position will focus on getting individuals engaged in the community, looking for volunteer opportunities, and potential social event</p>	

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

opportunities. Thinking about what the individuals in the program enjoy; getting to know each individual in the program, and determining how each individual expresses themselves as well as what brings each joy and fulfillment will be vital. Procedures for the individual to modify their service and voice their concerns will be created.

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. No 2. No 3. No 4. No 5. No 6. n/a 7. n/a 8. n/a 9.n/a 10. Yes

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.

HCBS Rule #1: The Quest Day Program lacks the ability to ensure each individual is able to choose their daily activity. The program only has funding for only one vehicle which means the group must stay together at all times when leaving the center. Currently, since the group must stay together in one vehicle, time is limited, and only one individual a day chooses the groups activity which does not meet person-centered requirements.

HCBS Rule #2: The Program does not have person-centered service plans or have any person-centered trained staff who are able to complete the required service plans. The program lacks the funding needed to provide training to staff to become person-centered thinkers as well as the ability to create person-centered plans for each individual.

HCBS Rule #3: Currently the program does not have the funding for a confidential meeting space in order to meet the requirements of privacy and confidentiality.

HCBS Rule #4: The program does not currently offer daily activities that are based on individuals needs and preferences. Nor does it have any staff who are trained in person-centered thinking. There are no systems in place that allows participants to have a choice in the group they are in or who they interact with. This program does not have a culture of person centered thinking as staff are not trained.

HCBS Rule #5: The program has no staff who have been trained in person-centered thinking and who are able to create procedures and documentation that will allow individuals in the program the ability to modify or voice their concerns outside of scheduled reviews. There are also no opportunities or procedures in place to allow for individuals to choose which staff provide their care or even the option of alternative staff. The program requires funding in order to train staff, purchase vehicles which allow for individual choice, hire a community specialist to ensure individuals are offered choice, and provide confidential space to ensure privacy.

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.

By funding the cost two compact fuel efficient vehicles with hatchbacks including a trunk that is wheelchair accessible and environmentally friendly, the program will be able to ensure individuals enter the community in smaller groups which allows for more choice in their daily activities. Having an additional two vehicles rather than only one will enable the program to accommodate individual needs and activities that correspond with individuals person-centered service plans.

The program is requesting funding for staff members to be trained to create person centered IPP plans and to train additional staff members.

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

By providing the funding needed for additional space, the program will be able to offer a confidential meeting space in order to meet the requirements of privacy and confidentiality.

Funding for a full time Person-Centered Community Integration Specialist for the next two years will ensure the program is focused on creating, implementing, and training a culture of person centered thinking, which will enable the program to truly be committed to meeting the HCBS Final Rule deadline of March 17, 2022.

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

The Community Integration Specialist will create objectives, such as, amount of choices participant has each day and track them on a daily basis by using daily logs for each participant, that will be kept and reviewed monthly. Volunteer opportunities will be tracked in the same way. With the daily logs and monthly tracking the program will be able to provide detailed information on how many participants were offered specific volunteer, community, and individualized daily options.

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 the initial assessment was completed, a participant input report was created. This was given to each individual in the program and once completed they were reviewed and discussed. The findings revealed the need of confidential space along with the need for additional vehicles in order to meet individual requests.

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

We believe the culture of the entire company needs to embody a person thinking environment which is why the program commits to sending the Executive Director who oversees each program. Once the culture of the entire company embodies a person-centered theme then all decisions, programs, and materials will be based on the person-centered model. As staff are trained and vehicles are purchased then individuals in the program will be able to have choice built into their programs and the program will meet individuals goals based on the person-centered approach.

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

After the funding, administration will be trained and there will be a culture based on person centered thinking. The program will be in compliance and will meet the requirements with all materials, vehicles, and trainings completed.

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.

By December 2020 the program will complete the following:

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

Personnel Expenses: One Full-Time (FTE) Community Integration Specialist 40 hours a week with benefits will be hired. The cost represents an annual salary of \$51,000/year funds requested are \$51,000 in Year 1 and \$51,000 in Year 2. Three staff will spend 16 hours at the initial Person-Centered Training payroll cost would be \$20/hour plus benefits. Two staff will spend 24hrs at the Full Train-the-Trainers training payroll cost would be \$20/hr plus benefits. All costs are allocated in Year 1.

Operating Expenses: The cost of mileage, food, and beverages is included for all trainings are represented in Year 1. Hotel Expenses to attend the annual gathering for two years represents \$600 in Year 1 and \$600 in Year 2. HCBS compliant materials over two years represented \$2,000 in year 1 and \$1,000 in year 2. This cost of additional space is represented over two years at a rate of \$1,500 per month and totals \$18,000 in Year 1 and \$18,000 in Year 2. The program will be able to sustain after two years due to the vehicle purchase and expansion capabilities.

Administrative Expenses: The cost of all HCBS compliance trainings and the annual gathering are represented in Year 1 totaling \$12,975.

Capital Expenses: The purchase of two compact vehicles is represented at \$55,000 in Year 1. Registration cost of \$1,000 in Year 1 and \$1,000 in Year 2. Insurance for two vehicles for Year 1 totals \$1,800/yr and Year 2 \$1,800/yr. The extended warranties for two vehicles is represented in Year 1 and totals \$3,500.

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 be incurred during the program time frame. Not Applicable

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. Not Applicable

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

HCBS CONCEPT BUDGET						
Vendor Name	Balance4kids/Quest Day Program					
Vendor Number(s)	510 Adult Day Program/880 Transportation					
	Salary and Benefits	Year 1 Budget		Year 2 Budget		Total
		FTE	Annual Cost	FTE	Annual Cost	Cost
Personnel (salary + benefits)						
1 Person-Centered Community Integration Specialist	51,000	1.00	\$ 51,000	1.00	\$ 51,000	\$ 102,000
Benefits for 1 FTE Community Integreation Specilist	16,728	1.00	\$ 16,728	1.00	\$ 16,728	\$ 33,456
3 staff \$20/hour for 16 hours to attend intial 2 day training	1,200	1.00	\$ 1,200	-	\$ -	\$ 1,200
2 Staff \$20/hr for 24 hours of Train-The-Trainer Training	1,200	1	\$ 1,200	-	\$ -	\$ 1,200
			\$ -		0	\$ -
			\$ -		0	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
Personnel Subtotal			\$ 70,128		\$ 67,728	\$ 137,856
Operating expenses						
Food and Beverage for all HCBS Trainings and Workshops			\$ 300			\$ 300
Mileage Cost for all HCBS compliant trainings and workshops			\$ 560			\$ 560
Hotel Cost to attend Annual Person Centered Thinking Gathering			\$ 600		\$ 600	\$ 1,200
HCBS compliance materials for creation and implementation			\$ 2,000		\$ 1,000	\$ 3,000
Confidential meeting and person-centered activcity space			\$ 18,000		\$ 18,000	\$ 36,000
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
Operating Subtotal			\$ 21,460		\$ 19,600	\$ 41,060
Administrative Expenses						
2 day Prerequisite Person Centered Thinking Course Cost for 3 staff			\$ 375			\$ 375
Train-the-Trainer Certification Course Cost for 2 staff			\$ 12,000			\$ 12,000
Annual Person Centered Thinking Gathering cost of admission			\$ 600			\$ 600
						\$ -
						\$ -
						\$ -
						\$ -
Administrative Subtotal			\$ 12,975		\$ -	\$ 12,975
Capital expenses						
Cost of 2 Compact fuel effectiant hatch back trunk wheel chair			\$ 55,000			\$ 55,000
Registration of 2 vehicles			\$ 1,000		\$ 1,000	\$ 2,000
Insurance of 2 Vehicles			\$ 1,800		\$ 1,800	\$ 3,600
Repairs/Maintance for 2 Vehicles			\$ 2,500		\$ 2,500	\$ 5,000
Extended Warrenty for 2 Vehicles			\$ 3,500			\$ 3,500
						\$ -
						\$ -
						\$ -
						\$ -
Capital Subtotal			\$ 63,800		\$ 5,300	\$ 69,100
Total Concept Cost			\$ 168,363		\$ 92,628	\$ 260,991

See Attachment F for budget details and restrictions