

**Home and Community-Based Services (HCBS) Rules
COMPLIANCE EVALUATION**

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 modifications. 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 DDS 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: <http://www.dds.ca.gov/HCBS/>. Questions may be directed to HCBSregs@dds.ca.gov.

Date(s) of Evaluation: November 8, 2019	Completed by: Deanna L. Corpuz MASped, BSN, RN
Vendor Name, Address, Contact: Evergreen ADC, 2887 McLaughlin Ave. San Jose Ca. 95121, (408)578-1280	
Vendor Number: H10822	
Service Type and Code: Adult Development Center, 510, 110	

<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 Yes X No</p> <p>1. Yes, individual receive services in the community for their medical needs, shopping needs (to purchase items of their choices and preferences), socio- recreational needs/ choices and preferences (movies, team parks, sports games, shows) and appropriate for their abilities(make available of the ADA approved access to buildings clinics/hospitals, parks, cultural events. Individuals participate in community outings and activities as part of their plan of services.</p> <p>2. No, not all persons served are able to go to the community outings due to medical and physical disabilities and lack of adequate transportation to be used.</p> <p>3. No, person served are too low functioning to seek paid employment but EADC is providing vocational training to develop skills for employment at a later time.</p> <p>4. Some individuals know the concept that money is used to buy an item at store. PIE are kept at RCF's care providers send money to person served if requested by Day Program for community eat outs.</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 individual's 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 Yes X No</p> <p>1. Yes, all individuals have a current IPP on file.</p> <p>2. No, if is not documented in the IPP that the individual was presented different options before she/he was admitted to Evergreen Adult Development Center.</p>	
<p><u>Federal Requirement #3:</u> <i>Ensures an individual's rights of privacy,</i></p>	<p><u>Guidance:</u></p> <ul style="list-style-type: none"> • Does the provider inform individuals, in a

<p><i>dignity and respect, and freedom from coercion and restraint.</i></p>	<p>manner they can understand, of their rights to privacy, dignity, respect, and freedom from coercion and restraint?</p> <ul style="list-style-type: none"> • Does the provider communicate, both verbal and written, 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 Yes <input type="checkbox"/> No</p> <p>1. Yes, Evergreen Adult Development Center uses sign language, pictures and verbal/physical prompts to let the individual understand of their rights, privacy, dignity, respect and freedom from coercion and restraint in the use of bathrooms change of diaper rooms, therapy room and no form of restraint is used to control movement of individuals at any time.</p> <p>2. Yes, All staff communicate both verbally and in writing to protect and ensures privacy and confidentiality of individual information.</p> <p>3. Yes, EADC staff communicates verbally and in writing with individuals who have expressive and receptive skills, visually/hearing impaired, those who speak their native languages, sign language to those that signs and those with assistive/communication devices.</p>	
<p>Federal Requirement #4: <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 Yes <input type="checkbox"/> No</p> <p>1. Yes, EADC have planned/schedules of activities M-F. Individuals are given choices/ preferences of activities and their needs are supported by staff of their choice.</p> <p>2. Yes, EADC staff takes individuals to visit their friends and staff at different classrooms.</p> <p>3. EADC staff supports individuals with ambulation problems to engage in outdoor activities i.e. catch/throw ball, to shoot basketball into a basket and other activities that</p>	

interest them (dancing, arts and crafts) and consistent with their IPP goals.	
<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 provides their care to the extent that alternative staffs 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 Yes X No</p> <p>1. Yes, EADC tries very hard to match individuals needs to the staff skills, personality, experiences and common interest of both (staff/individual).</p> <p>2. No, Persons served at EADC are not able to modify services and or voice their concerns outside of the scheduled review services.</p>	

**Home and Community-Based Services (HCBS) Rules
COMPLIANCE EVALUATION**

Enclosure C

CONTACT INFORMATION

Contact Name: Deanna L. Corpuz

Vendor name	Deanna L. Corpuz
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ACKNOWLEDGEMENT

By checking the box below, I acknowledge that completion of this evaluation is for the sole purpose of applying for compliance funding and does not take the place of future provider assessments that DDS may require to determine provider compliance with the HCBS settings rules.

X I AGREE

Vendor number(s)	H10822
Primary regional center	San Andreas Regional Center
Service type(s)	Adult Day Program
Service code(s)	510,110,110-1
Number of consumers currently served	160
Current staff to consumer ratio	1:4 (510) 1:1 (110,-110-1)
<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>Evergreen ADC currently serves 160 individuals with the intellectual disabilities, physical challenges ambulation issues, behavior challenges, communication issues and restricted health conditions. It has 5 program groups: Sensory Stimulation, Behavior Intervention, Senior Program, High Functioning Group and Restricted Health Conditions. Program Design includes 5 elements: Life skills, Socio-recreation, Employment Training, Community Integration and Self-Advocacy. Evergreen Adult Development Center is located in a 15,000 sq. ft. building and smaller building 7500-sq.ft situated in a 4.1 acre ground space. A day starts with individuals getting ready to community outing who have chosen to go to the community outing for activities of their choices and preferences and others who choose to go to the garden for outdoor activities. Community activities include volunteer to Second Harvest locations, local stores, team parks and other destination as chosen by individuals. EADC purchased 2 vans from HCBS grants (2018-2019) and EADC has 2 other vans for community outing. EADC needs 2 mini vans, 2 vans with lifter for wheelchair users. Additional wheelchair vans will enable with RHC to participate in community outings at least 2x/wk.</p>	
Project Narrative Description:	
<p>2. Please provide a brief summary narrative of the concept for which you are requesting funding, including justification for the funding.</p> <p>EADC has a fragile ambulator individuals that need wheelchair van with lifter to go to for community outing. EADC also have Restricted Health Conditions i.e. G-tube feeding needs, colostomy bags that needs an hourly change of diapers with skin breakdown issues and others with seizure issues that limit their outdoor exposures to prevent episodes from occurring, needing and immediate return to EADC.</p>	

EADC has individuals with Behavior challenges; antecedents include changes of vicinity, not use to seeing other people, places and what's happening around. Providing none access to the community and opportunities to make choices and preferences are new to some individuals. Having additional vans, (with lifter) and mini vans can eliminate barriers to HCBS Final Rule Compliance.

EADC believes that frequent opportunities to go to the community will enable individuals to see different kinds of people without disabilities and others who have disabilities and able to do things for themselves, different places to buy their foods, other places where to live and work someday.

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

Federal Regulations # 1,2,5

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.

Barriers # 1- lack of adequate and appropriate transportation to take individuals more frequently to the community to make small purchases of their choice, pay for movies, parks, food for their choice/recreational activities of their preferences

2. For individuals who live with their family are limited in the ability see different options before they make their choices of living options and day programs due to lack of transportation.

5. EADC have tried very hard to invite parents and other support staff to support individuals to enable them to modify their services outside of their scheduled review of services. Some without available transportation, meetings can be done in the families residences by staff utilizing the vans provided through the grant or family can be picked up to attend the meetings at EADC.

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.

Federal Regulation # 1. EADC will be in full compliance if:

- funding is granted so it can purchase 2 wheelchair vans with lifters and 2 mini vans for ambulatory individuals.

Federal Regulations # 2. EADC can take individuals to the community so

- they can interact with individuals with/without disabilities

- can see places that provide different living options
- can have choices of places to eat, what food choices are available
- activities to do for socio-recreation/Leisure preferences
- can have choices where to go shopping
- see places for medical care hospital, clinics, and dental offices
- see store of choice to make purchases

Federal Regulations # 5. EADC have tried very hard to invite parents and other support staff to support individuals to enable them to modify their services outside of their scheduled review of services. Some without available transportation, meetings can be done in the families residences by staff utilizing the vans provided through the grant so family can be picked up to attend the meetings at EADC.

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

Proposed outcomes and objectives of the concept.

a. Support team- parents, siblings, friends will gain knowledge of what is going on at EADC regarding person's programming objectives and goals, their needs and how EADC support those needs. Family (RCF) or their living arrangement will know what are the person's abilities, strength, challenges that both setting can work together in order to comply with HCBS Final Rule goals.

b. Individual Person Centered Service Plans will be developed with the person support team and EADC staff and reviewed every (6) six months. Every ISP will be tracked by EADC support team daily. Documentation will include Goals-rationale, objectives, baseline, plan of action, who will implements it and when objective will be achieved. Important To-Important For, Learning Logs, Communication Charts and Four Plus One discovery tools will be used the methods used to determine if identified goals and objectives are achieved.

c. Having (4) four more vans (2 with lifter, 2 minivan) will increase persons awareness of the community where they live, the resources available for them to choose from their needs, awareness that are people who are different from person served i.e. without disabilities, different kinds of people (from other culture, food that they eat, feasts and celebrations), restaurants, recreational activities they can participate in.

With (4) four more vans, EADC will be able to take person's with Restricted Health Conditions to be out in the community-the beach, farm-animals, vegetation and other sights that will create eagerness to be in the community. The persons served hopefully will choose to look forwards to go at least 2x/week and forget to do exhibit behavior challenges that will prevent them from joining the group. Persons with behavior challenges will be

going to the community in a van with much lesser number of individuals until they get used to be in a group.

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.

EADC started implementing HCBS in 2017. Community Outings are always decided by the individuals; 2 choices are given and voted by the individuals were they want to go. After the outings feedbacks were given persons: do they want to go revisit destination, what they like about it, was the food good/no good/too expensive. Staff took notes of the feedbacks and considered for future choice of places to go. Persons served interest and desires were identified utilizing images from the TV program settings, staff suggestions, local events (arts and crafts, Flea markets, concert (park) shopping centers, local theme parks, restaurants, visits to Second Harvest Volunteer sites. Presently, person served asks to go out more often but EADC has to schedule so we could have all persons served to access to community at least every 2 weeks. Persons' families, care providers, friends have been involved in identifying places the person enjoyed going.

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

More available transportation for person served will enable EADC to know more of their personal interests as persons see different choices/ preferences and desires, their choices and preferences through community outing and integration. This will enable EADC to group persons with common interest and matching them with staff who have knowledge and skills that support these needs.

Through more opportunities of community integration EADC will be able to discover what is Important To-For the person served; person served will be able to express to support staff how to live their lives, to enhance their quality of by the choices/preferences that are in the community i.e. living options, aide/support staff of their choices and other areas of: religion, recreation, and community involvement that allows them to be useful member of the society.

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

Plans for maintaining benefits, value and success.

- Continues training of support staff to develop a pool of support team in implementing Person Centered Planning and compliance to HCBS Final Rule Goals
- Consistency of schedules for Community Integration
- Documentation of persons' progress in Person Centered Service Plans i.e. what works/not work, what has been tried and persons' choice of how his/her services are supported.

-Timely identification of individuals needs and support so they can attain measurable success by annually.

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

See attached

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.

EADC relies funding for the grant to purchase the 4 vans, maintenance, gas and staff salary for (drivers) and their medical benefit: EADC expects state approved increase to help pay for the four drivers after the time frame of the funding.

<p>12. Have you or the organization you work with been a past recipient of DDS funding? If yes, what fiscal year(s)? Yes, HCBS Funding FY 2018-2019</p>	<p>HCBS Funding ___ No <u>x</u> Yes. If Yes, FY(s)<u>2018-2019</u> 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.</p>
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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.

Update on the prior funding project
- EADC has purchased 1 regular 10 passenger van and 1 minivan. There has been increased participation of individuals to Community Integration activities from 2x a month to 3 times/week as preferred by others. There is significant impact on clients emotional and intellectual well

being-always looking to outings every day.

- EADC has 3 Certified Train the Trainer staff who have been implementing PCP/Thinking/Approaches to all participants. All EADC staff continues to need more trainings to maintain implementation of HCBS Goals.

-Behavior challenges have greatly decreased from 10 individuals to 0, this is due to the increased community outings. This is an unexpected project outcome. EADC wants maintain this and include persons on 1:1 staffing with the requested vans.

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.

We requested funding in 2018-2019 to provide services to 30 higher functioning individuals. EADC used the grant funds to pay for Train the Trainer Training for the 3 staff. See attached total expenses paid for through 2018-2019 FY. EADC currently serves 160 individuals-40 individuals (ambulatory) 30 persons on wheelchair and fragile ambulatory were initial participants who have community outings 2-3x per week during 2018-2019 grant period

- EADC wants to have persons with 1:1 staffing ratio due to severe behavior challenges to be out in the community more frequently (1x/per week). One van will be used for them. This will allow EADC to return to the site as soon as possible as person exhibits severe behavior. Projected outcomes includes increase time of adjustment to new sights, people, places, restaurants, parks etc. until behavior decreases and person develop tolerance to being out in the community.

This was not a part of the prior funding due to lack of transportation that address this identified need. Exposing them to the community will increase their awareness and of the choices and preferences that are available to them.

-The four vans will greatly enable EADC to comply to Federal Regulations 1-5 and obtain success in the HCBS Final Rule Compliance.

- EADC aims to provide more frequent community outings to persons with 1:1 staff who have Restricted Health Condition; present baseline is 1x every 2 weeks, increase to at least 1x/per week with new vans available. This will empower these individuals to be in control of how they want to live their lives; this will add quality to their lives as long as they still can appreciate to engage in the community and be provided opportunities to makes their choices and preferences.

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

HCBS CONCEPT BUDGET							
Vendor Name		Evergreen Adult Development Center					
Vendor Number(s)		H10822					
	Salary and Benefits	Year 1 Budget		Year 2 Budget		Total	
		FTE	Annual Cost	FTE	Annual Cost	Cost	
Personnel (salary + benefits)							
Position Description	Transportation Driver 1	\$2,760	\$ 33,120	\$ 33,120	\$ 33,120	\$ 66,240	
Position Description	Transportation Driver 2	\$2,760	\$ 33,120	\$ 33,120	\$ 33,120	\$ 66,240	
Position Description	Transportation Driver 3	\$2,760	\$ 33,120	\$ 33,120	\$ 33,120	\$ 66,240	
Position Description	Transportation Driver 4	\$2,760	\$ 33,120	\$ 33,120	\$ 33,120	\$ 66,240	
Position Description	Escort for wheelchair van	\$2,760	\$ 33,120	\$ 33,120	\$ 33,120	\$ 66,240	
Position Description			\$ -	\$ -	\$ -	\$ -	
Position Description			\$ -	\$ -	\$ -	\$ -	
Position Description			\$ -	\$ -	\$ -	\$ -	
Position Description			\$ -	\$ -	\$ -	\$ -	
Personnel Subtotal			\$ 165,600	\$ 165,600		\$ 331,200	
Operating expenses							
Maintenance/repair every (3 mos.)			\$8,400.00	\$ 9,000	\$ 17,400		
Gasoline (2 minivans & 2 Lifter vans)			\$17,500.00	\$ 20,000	\$ 37,500		
Insurance for 2 minivans			\$3,600.00	\$ 3,600	\$ 7,200		
Insurance for 2 Lifter vans			\$ 4,400	\$ 4,400	\$ 8,800		
License/ Registration DMV 4			\$ 4,500	\$ 4,500	\$ 9,000		
					\$ -		
					\$ -		
					\$ -		
					\$ -		
					\$ -		
Operating Subtotal			\$ 38,400	\$ 41,500		\$ 79,900	
Administrative Expenses							
					\$ -		
					\$ -		
					\$ -		
					\$ -		
					\$ -		
					\$ -		
					\$ -		
Administrative Subtotal			\$ -	\$ -		\$ -	
Capital expenses							
2 Mini vans			\$ 100,000		\$ 100,000		
2 Lifter vans			\$ 130,000		\$ 130,000		
					\$ -		
					\$ -		
					\$ -		
					\$ -		
					\$ -		
					\$ -		
Capital Subtotal			\$ 230,000	\$ -		\$ 230,000	
Total Concept Cost			\$ 434,000	\$ 207,100		\$ 641,100	

See Attachment F for budget details and restrictions