

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: 11/22/19	Completed by: Alisa Dean
Vendor Name, Address, Contact: The Arc of San Diego, 3030 Market Street, San Diego, CA 92102	
Vendor Number: H01251, H00571, H07971, HQ1326, HQ0443, HQ0386, and HQ0383	
Service Type and Code: AC 505 and WAC 954	

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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 Please explain: Participants in both AC and WAC are provided services primarily within a site-based setting at participant to staffing ratios of 1:6, 1:7, 1:8, or 1:12. The current staffing structure of the AC and WAC programs are not able to fully support program participants with the ability to experience a wide variety of individualized options for integrating in their communities of choice, identifying new or changing interests, identifying volunteer or other community sites, or to seek out competitive integrated employment opportunities to the same degree as people not utilizing such programs and services.</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 Please explain: Individuals have made an informed choice to participate in AC and WAC services and choose from a variety of local community options that can meet their needs. For those individuals that do not have decision making capacity, their authorized representatives make choices on their behalf that ensure their needs and rights are protected. Individuals are encouraged to explore their interests and a choice-based ISP is developed at the Annual IPP.</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: Yes, both paid staff and volunteers receive new hire training and continuing education classes related to the rights of individuals receiving services as outlined in the Lanterman Act. Individuals wearing seat belts or postural supports have appropriate documentation and an approved Exception from Community Care Licensing. Individual Rights are posted in each activity room. Individuals receive a Participant Handbook which outlines provider policies, individual rights, grievance procedures and personal privacy information including HIPAA privacy rules.</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: The AC and WAC is designed to provide individuals with a variety of vocational, occupational, recreational, therapeutic, artistic, social, creative and individualized activities. Participants are encouraged to explore their interests and have a choice-based ISP. The program staff will meet the needs and interests of planned on-site</p>	

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activities.

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: The AC and WAC programs are designed to promote individual choice and opportunities for personal growth and independence. There are opportunities for individuals to join interest-based clubs and activities. Individuals have access to their case managers with whom they can ask for a change in services or voice concerns. The Arc of San Diego also has a Grievance Procedure to ensure that individual's concerns are addressed. Individuals can also leave the Arc's services at any time for any reason.

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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: Click or tap here to enter text.</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: Click or tap here to enter text.</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: Click or tap here to enter text.</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: Click or tap here to enter text.</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: Click or tap here to enter text.</p>	

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CONTACT INFORMATION

Contact Name: Anthony DeSalis
Contact Phone Number: (619) 685-1175
Email Address: CEOAJD2@arc-sd.com

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

Vendor name	The Arc of San Diego
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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 number(s)	H01251, H00571, H07971, HQ1326, HQ0443, HQ0386, and HQ0383
Primary regional center	San Diego Regional Center
Service type(s)	Five (5) Activity Centers (AC), Two (2) Work Activity Centers (WAC)
Service code(s)	505 and 954
Number of consumers currently served	There is a total of 143 participants being served in the AC and 95 served in the WAC.
Current staff to consumer ratio	1:6, 1:7, 1:8, and 1:12.
<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>AC and WAC participants are provided programming in site-based settings with staff to participant ratios ranging from 1:6, 1:7, 1:8, and 1:12. Individuals enrolled in AC and WAC do not have the same opportunity to integrate in the community as much as they would like due to staffing ratios, health issues, or mobility limitations. Most individuals have choice-based ISP goals geared toward their individual interests. Currently, participants enrolled in AC and WAC services spend only 2-5% of the time participating in community integration outings.</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>The Arc of San Diego seeks funding for additional specialized support staff to ensure AC and WAC services come into compliance with HCBS regulations by developing individualized opportunities for participants to engage in activities within integrated settings, acquire competitive integrated employment, and/or pursue alternate program models that will allow individuals to better understand their options for how they choose to spend their program day and integrate in communities of their choice by the addition of:</p> <ul style="list-style-type: none"> A. Two (2) Job Placement Facilitators to develop employment opportunities for AC and WAC participants who have the desire and ability to seek competitive integrated employment. B. Two (2) Career Exploration Facilitators to work closely with AC and WAC participants to explore various program options, develop vocational readiness opportunities such as volunteer sites, train participants with the soft skills needed to engage in their communities of choice, and support participants with community engagement by assisting participants to integrate in their communities of choice during the program day. 	
<p>3. Identify which HCBS federal requirements this concept addresses that are currently out of compliance. Could be all or a subset of those identified as out of compliance on the evaluation.</p>	

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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.

Participants in both AC and WAC are provided services primarily within a site-based setting at participant to staffing ratios of 1:6, 1:7, 1:8, or 1:12. The current staffing structure of the AC and WAC programs are not able to fully support program participants with the ability to experience a wide variety of individualized options for integrating in their communities of choice, identifying new or changing interests, identifying volunteer or other community sites, or to seek out competitive integrated employment opportunities to the same degree as people not utilizing such programs and services. Career Exploration and Job Placement Facilitators are needed to develop individualized opportunities for program participants to integrate in their communities of choice.

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.

Two (2) Career Exploration Facilitators will work with AC and WAC participants to make informed choices about how and where they receive services by supporting participants to explore various program activity options within their communities during the program day. This concept will also allow for the exploration of other program models in order to ensure that participants are well informed and choose the program option that meets their needs and desires. The Career Exploration Facilitators will develop individualized activities and acquire volunteer and other activity sites within integrated community settings to foster participant choice, community integration and inclusion. Two (2) Job Placement Facilitators will work closely with AC and WAC program participants and their staff to develop new employment opportunities that will lead to competitive integrated employment outcomes.

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

The proposed outcome for this concept is to increase the percentage of time AC and WAC participants engage in activities within integrated settings of their choice. Integrated settings of choice include but are not limited to employment opportunities, volunteer opportunities, and/or any activity of interest in communities of choice. Tracking will include collecting data on percentage of time participants engage in activities of choice in integrated settings, the number of volunteer or employment opportunities acquired for participants to engage in, and the number of participants making informed decisions about new program options and transition to new programs of their choice.

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.

Previous HCBS grant cycle proposals were created in cooperation with The Arc of San Diego's Advocate Council to the President & CEO. This Council is comprised of

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participants from every program of The Arc of San Diego. Members are responsible for bringing recommendations and/or concerns regarding programs to the President & CEO as well as meeting with local legislators. In these previous grant cycles interest inventories and Choice and Integration goals were developed for program participants. Using information and data from that process informed the development of this new concept to ensure the interests and desires of the individuals engaged in the AC and WAC programs were the catalyst for developing the current proposed concept.

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

The addition of Career Exploration Facilitators and Job Placement Facilitators to the AC and WAC programs will allow for a more person-centered program approach by working closely with participants to further assess individual areas of interest and develop individualized opportunities to engage in and have access to identified community employment, volunteer, or other activity sites within identified communities of their choice.

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

Case Management staff and Direct Support Professionals will continue the work of the Career Exploration and Job Placement Facilitators at the conclusion of the funded project by continuing to work to support program participants to engage in the activities and sites developed by the Career Exploration and Job Placement Facilitators in order to ensure the benefit of the concept is sustained and participants are engaging in community integration activities of their choice. Case Management will leverage the developed sites and placements to develop new opportunities for program participants to engage in.

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

The Arc of San Diego is seeking funding for the labor cost of two (2) Career Exploration Facilitators and two (2) Job Placement Facilitators to work with AC and WAC participants for the duration of the 2019/2020 grant cycle. Additional funding is being sought for the administrative expense of a portion of the Assistant Director of Employment Services labor cost to train and supervise the Career Exploration and Job Placement Facilitators.

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

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<p>12. Have you or the organization you work with been a past recipient of DDS funding? If yes, what fiscal year(s)?</p>	<p>HCBS Funding ___ No <u> X </u> Yes. If Yes, FY(s) <u>17/18,18/19</u> Disparity Funding ___ No ___ Yes. If Yes, FY(s) _____ CPP Funding ___ No ___ Yes. If Yes FY(s) _____</p> <p>If yes to any question be sure to answer questions 13 and 14.</p>
<p>For providers who have received prior HCBS, Disparity or CPP Funding from DDS</p>	
<p>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.</p>	
<ul style="list-style-type: none"> • Five (5) Choice and Integration Specialists (CIS) were hired to bring ADC and AC programs into HCBS compliance. • CIS Staff attended Person-Centered Practices training with Brackin and Associates and Person-Centered Thinking training with Joe Donofrio of The Learning Community. • CIS staff completed training for Direct Support Professionals on initiating and coordinating access to participants' desired communities. • Development of a database was completed for all participants' communities so participants with like interests could be identified for activities of choice. • 5 sessions were held by CIS staff with local ethnic-focused community groups to increase awareness among underserved populations regarding HCBS changes. • CIS staff demonstrated evidence of using Choice and Integration tools to assist program participants in identifying communities of choice and developing a Choice and Integration Plan for each participant. • Two Area Directors participated in "Train-the Trainer" certification in Person-Centered Thinking provided by Joe Donofrio of The Learning Community. • To date over 90% of participants enrolled in AC, WAC, and ADC programs have a Choice and Integration Plan. Plans are continuing to be developed for the remaining participants using Choice and Integration tools. • Two additional staff members are participating in "Train the Trainer" certification in Person-Centered Thinking provided by Joe Donofrio through the Learning Community. • One of two Customized Employment Specialists was hired to work with a portion of WAC participants. 	
<p>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.</p>	
<p>In past HCBS grant cycles The Arc of San Diego was funded for five (5) Choice and Integration Specialists that trained staff to develop Choice Based Inventories and Choice and Integration ISP goals. The addition of the Career Exploration and Job Placement Facilitators will build on the Choice Based Inventories and Choice and Integration goals to develop new opportunities for engagement based off the current participant data. The Arc also received past funding for Person-Centered Thinking "Train-the-Trainer" certification as well as two (2) Customized Employment Specialists which would not lead</p>	

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to redundancy with The Arc's current concept.

HCBS CONCEPT BUDGET							
Vendor Name		The Arc of San Diego					
Vendor Number(s)		01251, H00571, H07971, HQ1326, HQ0443, HQ0386, HQ038					
	Salary and Benefits	Year 1 Budget		Year 2 Budget		Total	
		FTE	Annual Cost	FTE	Annual Cost	Cost	
Personnel (salary + benefits)							
Career Exploration Facilitator	55873.25	2.00	\$ 111,747		\$ -	\$ 111,747	
Job Placment Facilitator	55873.25	2.00	\$ 111,747		\$ -	\$ 111,747	
Position Description			\$ -		\$ -	\$ -	
Position Description			\$ -		\$ -	\$ -	
Position Description			\$ -		\$ -	\$ -	
Position Description			\$ -		\$ -	\$ -	
Position Description			\$ -		\$ -	\$ -	
Position Description			\$ -		\$ -	\$ -	
Position Description			\$ -		\$ -	\$ -	
Personnel Subtotal			\$ 223,493		\$ -	\$ 223,493	
Operating expenses							
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
Operating Subtotal			\$ -		\$ -	\$ -	
Administrative Expenses							
Assitant Director of Employment Services			\$ 12,151			\$ 12,151	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
Administrative Subtotal			\$ 12,151		\$ -	\$ 12,151	
Capital expenses							
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
Capital Subtotal			\$ -		\$ -	\$ -	
Total Concept Cost			\$ 235,644		\$ -	\$ 235,644	

See Attachment F for budget details and restrictions