

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

Date(s) of Evaluation: November 14, 2019	Completed by: Keri Castañeda, Chief Program Officer
Vendor Name, Address, Contact: AbilityFirst, 1300 East Green Street, Pasadena, CA 91106 Keri Castañeda, Chief Program Officer, kcastaneda@abilityfirst.org, (626) 639-1743	
Vendor Number: Ability First Claremont Center - PP0401	
Service Type and Code: 028 – Socialization Training	
<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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please explain: The program is an after school program. Participants who are in school are transported to the site Monday through Friday. They generally begin to arrive at about 3:00 pm and are in program until about 6:00 pm when their parents pick them up. This program is also licensed by the State of California Department of Social Services Community Care Licensing Division. Licensing imposes numerous rules and regulations on the program. Interest-based community activities are an integral component of the after school program; however, such trips are very time-limited, and limited staffing resources make it difficult to accommodate multiple small groups. Our programs reflect individual interests, preferences, abilities, and goals. We provide the most meaningful, choice-based programs we can within the constraints of licensing rules, ratios, and Regional Center funding. Our ability to incorporate community activities is limited by rates, hours, staffing ratios, supervision, costs, and families' limited financial resources to pay for activities. Currently the program uses a limited number of high school-age volunteers to provide meaningful peer interaction.</p>	

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<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: The IPP/IFSP is prepared by the Regional Center service coordinator, and often does not document or identify specific options that were. We have a copy of each individual's IPP/IFSP, provided by either the parents or the service coordinator.</p>	
<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: These rights are extensively documented in the program handbook given to all participants and families, and in the program design, policies and procedures, and staff training. The program handbook and related materials are available in English and Spanish. Our daily interactions reflect our commitment to individuals' rights of privacy, dignity, respect, and freedom from coercion and restraint. We have a variety of communication devices and techniques to respond to individuals' needs and preferences, including GoTalk devices, picture boards, computers with adaptive technology, sign language flash cards, large print materials, and more. Some of our staff is fluent in sign language and many are fully bilingual.</p>	

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<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 type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please explain: Each individual has a one-page profile that provides information on their wants, needs, and preferences in an accessible, easy-to-read format. Activity groups plan their activities with the staff, to incorporate individual interests and support needs. We have invested significant resources in training staff and educating parents about the principles and practices of person-centered thinking and planning. We have implemented changes to our programs (for example, incorporating person-centered thinking and planning and one-page profiles into our program planning) to move toward compliance with the regulations. Within the parameters of mandated ratios, supervision/observation requirements, and limited staff size, during program time (both onsite and in the community) individuals may choose with whom they interact. For older participants (13 -21 years of age) there are no comparable, non-disability-specific programs that are available in the community, meaning there are limited or no opportunities for individuals in our after school program to interact with peers in an integrated setting.</p>	
<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</p> <p>Please explain: Within the limitations of staffing ratios, individuals may choose which staff provide their care. However, "alternative" staff are rarely available because of staff cost and reimbursement rate constraints. We have an open-door policy, as described in</p>	

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the program handbook, program design, policies and procedures, through which individuals may raise concerns or request modifications.

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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></p> <p><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</p> <p>Please explain: Click or tap here to enter text.</p> <p>Not applicable</p>	
<p><u>Federal Requirement #7:</u></p> <p><i>Each individual has privacy in his/her sleeping or living unit:</i></p> <p><i>Units have entrance doors lockable by the individual, with only appropriate staff having keys to doors as needed.</i></p> <p><i>Individuals sharing units have a choice of roommates in that setting.</i></p> <p><i>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</p> <p>Please explain: Click or tap here to enter text.</p> <p>Not applicable</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. 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: Click or tap here to enter text. Not applicable</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. Not applicable</p>	

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CONTACT INFORMATION

Contact Name: Keri Castañeda
Contact Phone Number: (626) 639-1743
Email Address: kcastaneda@abilityfirst.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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Vendor name	AbilityFirst
Vendor number(s)	AbilityFirst Claremont Center PP0401
Primary regional center	San Gabriel/Pomona Regional Center
Service type(s)	Socialization Training
Service code(s)	028
Number of consumers currently served	83
Current staff to consumer ratio	1:5
<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>The AbilityFirst Claremont Center serves residents of the San Gabriel and Pomona Valleys and Inland Empire, including the cities of Chino, Chino Hills, Claremont, Fontana, La Verne, Montclair, Ontario, Pomona, Rancho Cucamonga, San Dimas, Upland, and Walnut. Established in 1965, the center features large activity rooms, heated indoor swimming pool, outdoor play area, and a specialized learning lab. Community amenities, including stores, restaurants, and other merchants, are within walking distance, and the center owns/has access to passenger vans, some of which are wheelchair-accessible.</p> <p>The center provides year-round socialization and community engagement programs for children and youth between 7 and 22 years. Interest-based activities foster individual choice and independence. The program operates for about 3-4 hours on weekday afternoons when school is in session, and full-day during school break periods. Activities may include development of daily living skills through shopping, cooking, laundry, and cleaning; recreation, community outings, arts and crafts, music and dance, interactive games, and more. Activities take place on-site and in the community; individuals choose which of the small group activities they want to participate in each day. Local high school student volunteers provide some opportunities for on-site community integration and socialization with peers.</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>We are requesting support to expand inclusion opportunities by developing a peer-mediated instruction and intervention (PMII) program for high school-age volunteers who want to be involved with individuals in our program. The program will build on the concepts of an evidence-based peer mediation program that supports positive and meaningful social interactions between peers and learners who have autism spectrum</p>	

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disorders and other intellectual disabilities. (See, for example, https://autismpdc.fpg.unc.edu/sites/autismpdc.fpg.unc.edu/files/PMII_Overview.pdf and <https://vkc.mc.vanderbilt.edu/assets/files/resources/psiPeermedstrategies.pdf>.)

The program will augment our existing well-established volunteer program by creating more intentional training for high school students to interact with our after school program participants (the average age of whom is about 16 years). Especially for the middle- and high-school age participants who still need care and supervision in a licensed setting, there are limited opportunities to engage in meaningful social interactions with non-disabled peers. Requested funding would support the cost to hire a trainer to (a) develop the curriculum, (b) identify potential community partners (such as Boys & Girls Clubs, public and private schools, other community groups with high school age-students, etc.), (c) train AbilityFirst staff, prospective volunteers and their leaders/teachers, (d) determine the viability of a long-term program where peers can meet after school (at AbilityFirst and other venues) to interact, plan activities, and eventually perhaps develop joint projects and volunteer activities.

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 **X** 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.

Each individual has a one-page profile that provides information on their wants, needs, and preferences in an accessible, easy-to-read format. Activity groups plan their activities with the staff, to incorporate individual interests and support needs. We have invested significant resources in training staff and educating parents about the principles and practices of person-centered thinking and planning. We have implemented changes to our programs (for example, incorporating person-centered thinking and planning and one-page profiles into our program planning) to move toward compliance with the regulations. Within the parameters of mandated ratios, supervision/observation requirements, and limited staff size, during program time (both onsite and in the community) individuals may choose with whom they interact. For older participants (13 to 21 years of age) there are no comparable, non-disability-specific programs that are available in the community, meaning there are limited or no opportunities for individuals in our after school program to interact with peers in an integrated setting. We hope that the program will lead to collaborative volunteer projects in the community, resulting in meaningful, mutually beneficial activities in integrated settings. Ultimately, this experience may also cultivate skills that participants can use to secure internships or paid employment.

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.

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The project will result in more integrated, peer-to-peer opportunities involving older students in our after school program and typically developing middle- and high school student volunteers who are interested in working with our population. There are currently limited opportunities for our older students to engage in meaningful interactions with their peers. Students will develop stronger friendships as they see one another at school during the day. We can incorporate the model into our other licensed programs to provide more opportunities for trained volunteers to interact with individuals in our programs. In addition, the project can serve as a model for other organizations and programs. Peer volunteers will expand their awareness of the needs and abilities of individuals with disabilities, promoting a more diverse and inclusive environment at their schools and communities.

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

Develop peer-to-peer volunteer training program based on concepts of evidence-based peer-mediated instruction programs, with an emphasis on training middle- and high school-aged volunteers to provide socialization activities with older students in the AbilityFirst after school program:

- (1) Retain consultant to:
 - (a) develop training program curriculum and implementation strategy;
 - (b) identify potential community partners (Boys & Girls Clubs, school-based clubs and interest groups, etc., at the schools our participants attend);
 - (c) train AbilityFirst program staff in curriculum;
 - (d) train initial cadre of student volunteers;
 - (e) document curriculum and implementation plan.
- (2) Staff and consultant to determine viability of long-term program and design any needed changes.
- (3) Staff and consultant to evaluate program after 6 and 12 months, identify changes to enhance effectiveness and participation.
- (4) Staff to administer and operate program going forward.

The consultant must have experience working with school-age individuals who have autism spectrum disorder and other intellectual/developmental disabilities; interest in the subject matter; experience designing and implementing other community programs; Master's degree or comparable degree/certification, or Recreational Therapy Certification.

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.

In our annual after school parent surveys, respondents consistently identify "socialization" and interaction with peers as primary benefits of their child's participation in the after school program. Last year 80% of parents said that their child's socialization

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skills had grown since they joined the program. We also solicit and receive direct feedback from participants following their interactions with volunteers. Anecdotally, we have observed that participants engage more readily with peer-aged volunteers than with staff members or adult volunteers. They talk about common interests, schools, and friends. We hear comments like “she knows what I’m talking about” or “he gets me,” responses that are not elicited with respect to older volunteers.

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

The project will provide more opportunities for community engagement, more peer interaction, and more choice for participants in selecting their activities.

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

We expect that the staff will continue to administer the program, using the curriculum developed, and ongoing feedback and experience.

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 overall project budget is \$80,354. We are allocating the cost among the after school program locations, in proportion to each center’s program enrollment to the total program enrollment.

The total project cost includes:

Consultant – 1,040 hours at \$50 = \$52,000 Develop curriculum and implementation strategy, identify community partners, train staff, train initial group of volunteers, document curriculum and implementation plan, work with staff to determine viability of program and needed changes, 6 and 12 month evaluations

Recruit consultant -- \$750

Curriculum and materials (applications, certificates of completion, tracking sheets, outreach materials, etc.) -- \$2,500

Travel costs for meetings at schools -- \$500

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Staff costs – 115 activity leaders x 6 hours X \$20.47 (wages, benefits, overtime) = \$14,124 Training, recruiting and screening volunteers, assessing program, volunteer activities outside of regular program hours

Total: \$69,874

Admin (15%): \$10,480

Grand total \$80,354

The AbilityFirst Claremont Center's enrollment of 83 students represents 32% of the total after school program enrollment of 260 individuals. $\$80,354 \times .32 = \$25,713$ requested for this location.

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.

The project will establish the program; we expect to maintain it through ongoing program-related fundraising efforts

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) 2016-17, 2017-18 (SCLARC), 2018-19 (SCLARC)

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.

In 2016-17 we received HCBS funding from 4 Regional Centers for: (1) training about the new rules and the impact on programs for participants, families/caregivers, and staff; (2) assessment of existing policies and processes, and recommendations for shifting our approach to person-centered thinking and planning; and (3) funding for a dedicated job developer to help individuals transition successfully from the work activity program to community employment. In 2017-18 and 2018-19, we received renewed funding to provide job development support for individuals transitioning out of the work activity program vendored by South Central Los Angeles Regional Center (SCLARC).

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 have applied the principles underlying the HCBS rules and person-centered thinking and planning into our after school program and program documentation over the past

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several years. The current request builds on the success of those efforts by expanding our community integration opportunities and strengthening community ties for individuals attending the program, and for students who are interested in volunteer opportunities with our program.

HCBS CONCEPT BUDGET						
Vendor Name		AbilityFirst Claremont Center				
Vendor Number(s)		PP0401				
	Salary and Benefits	Year 1 Budget		Year 2 Budget		Total
		FTE	Annual Cost	FTE	Annual Cost	Cost
Personnel (salary + benefits)						
Activity Leaders (144 individuals), 6 hours each at \$20.47 per hour (wages, benefits, overtime) for training, recruiting, screening volunteers, assessing program, volunteer activities outside of regular program hours (weekends, evenings), \$14,124	4519.68	1.00	\$ 4,520	\$ -	\$ -	\$ 4,520
6 hours =0.29 FTE			\$ -	\$ -	\$ -	\$ -
Position Description			\$ -	\$ -	\$ -	\$ -
Position Description			\$ -	\$ -	\$ -	\$ -
Position Description			\$ -	\$ -	\$ -	\$ -
Personnel Subtotal			\$ 4,520	\$ -	\$ -	\$ 4,520
Operating expenses						
Consultant, 1,040 hours @ \$50 = \$52,000			\$ 16,640			\$ 16,640
Recruitment of Consultant, \$750			\$ 240			\$ 240
Curriculum and Materials, Supplies, \$2,500			\$ 800			\$ 800
Travel Costs, \$500			\$ 160			\$ 160
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
Operating Subtotal			\$ 17,840	\$ -	\$ -	\$ 17,840
Administrative Expenses						
Administrative Costs (15%), \$10,480			\$ 3,354			\$ 3,354
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
Administrative Subtotal			\$ 3,354	\$ -	\$ -	\$ 3,354
Capital expenses						
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
Capital Subtotal			\$ -	\$ -	\$ -	\$ -
Total Concept Cost			\$ 25,713	\$ -	\$ -	\$ 25,713

See Attachment F for budget details and restrictions