

## Home and Community-Based Services (HCBS) Rules DEPARTMENT FUNDING GUIDANCE

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 <https://www.dds.ca.gov/initiatives/cms-hcbs-regulations/>.

Questions may be directed to [HCBSregs@dds.ca.gov](mailto:HCBSregs@dds.ca.gov).

Date(s) of Evaluation: 7.27.20 to 8.31.20	Completed by: Judith Wells, Project Director
Vendor Name, Address, Contact: Mike Lisenko, President of Business Operations, UCP of the North Bay, 1425 N. McDowell Blvd, Suite 115, Petaluma, 94954	
Vendor Numbers: Napa: HN0284   Solano: HN0344   Sonoma: HN0388	
Service Type and Code: Adult Development Center 510	

**Home and Community-Based Services (HCBS) Rules  
DEPARTMENT FUNDING GUIDANCE**

<p><b><u>Federal Requirement #1:</u></b> <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><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Do individuals receive services in the community based on their needs, preferences and abilities?</li> <li>• Does the individual participate in outings and activities in the community as part of his or her plan for services?</li> <li>• If an individual wants to seek paid employment, does the home staff refer the individual to the appropriate community agency/resource?</li> <li>• Do individuals have the option to control their personal resources, as appropriate?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please explain: <b>Partially in Compliance</b></p> <p>UCP of the North Bay is seven months into the implementation of HCBS Funding FY 2019-20. Our Employment Project was revised with approval from DDS in January 2021 due to the impact the pandemic has had on our ability to develop fully integrated employment opportunities at local businesses. We converted our project to a career path planning program with three Employment Specialists focusing on career planning exclusively until July 1, 2021 when we hope that job development and job placements will be possible.</p> <p>UCP of the North Bay opened the first of our Adult Development Center (510) programs in January 2008 to provide paid employment at minimum wage for adults with developmental disabilities. This has included both site-based and community based employment, with the latter being an ongoing challenge due to the lack of employment opportunities at local businesses. The question is not whether “individuals receive (employment) services in the community,” the question is whether we can develop enough jobs to meet “their needs, preferences, and abilities.”</p> <p>In August 2020, we submitted our DDS HCBS Self-Assessments including the Adult Development Centers for which we are requesting funding. Of the combined 174 adults with developmental disabilities that responded to the survey question “Do you interact with people in the community who are not a part of your Adult Day Program during program hours?”, 122 responded yes and 52 responded no. To the question, “Which of these activities do you do in the community during program hours (check all that apply)?”, the total responses were Paid Work 142, Training 117, and Recreation 133.</p> <p>Providing paid work in the community for adults with developmental disabilities is a challenge that we have met by providing job skill training for our participants that are transferable to a wide range of businesses from our wine packaging, paper recycling,</p>	

## Home and Community-Based Services (HCBS) Rules DEPARTMENT FUNDING GUIDANCE

and thrift center businesses located in Napa, Solano, and Sonoma. Prior to the pandemic, our participants were packaging wine and beer at local distributors, working at gas/convenient stores, and providing customer service at large hardware stores, among a host of other community based work locations.

Our objective remains to provide more work at more locations for more participants as they have the opportunity to transition from our Adult Day Programs to our Supported Employment Program. We have all the building blocks to make that possible, including our three HCBS grant funded Person Centered Employment Specialists, with the one exception of a highly trained and experienced Job Development Consultant for our three county catchment area.

While our compliance with Federal Requirement #1 is in progress through our grant as modified with DDS approval, we are requesting funding for a Job Development Consultant from HCBS Funding FY 2020-21. This will complete the current team that provides person-centered career path planning, job training including personal protection and safety requirements, and distance learning in advance of returning to work with the target date of July 1, 2021. This seems like a reasonable projection given the current vaccination timetable, although late summer may be a possibility.

### **Federal Requirement #2:**

*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.*

### **Guidance:**

- 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?

**Does the service and/or program meet this requirement?**  Yes  No

Please explain: **Partially in Compliance**

UCP of the North Bay has always prioritized participant choice with employment training and job placement. While not every participant may reach their preferred job due to ability and availability, we have been able to help participants achieve elements of their preferred job along their career path by offering the largest range of community based jobs possible. Our President of Business Operations has long been the person that has developed the relationships within the local business community that has led to the many group placements that our participants enjoy, albeit interrupted by the pandemic.

In order to achieve full compliance with Federal Requirement #2, we are asking for the support of a Job Development Consultant that has the advanced skills and abilities to secure new job placements and expand existing job placements, while our Person

## Home and Community-Based Services (HCBS) Rules DEPARTMENT FUNDING GUIDANCE

Centered Employment Specialists train our participants for positions in which they choose to work. Some job sites may be more appropriate for our Adult Day Program, while others may be more appropriate for our Supported Employment Program. Regardless, we will be transitioning more participants into community based jobs well in advance of 2023 HCBS requirements.

Our DDS HCBS Self-Assessments included the following questions that further address participant choice by providing employment in settings “selected by the individual from among setting options, including non-disability specific settings.” Of the combined 174 adults with developmental disabilities that responded to the survey question “Does your Adult Day Program help you achieve your hopes and dreams for having the career of your choice?”, 165 responded yes and 9 responded no. To the question, “Do you have an employment goal?”, 145 responded yes and 29 responded no.

We are thoroughly documenting the employment choices and career paths of each participant utilizing our PAVE (Pursuing Accessible Vocational Employment) and SCAN (Self-Directed Career Planning) tools. These person-centered planning documents become part of the Individual Service Plan of each participant. Career development is a sophisticated process of preparing for a career, making career choices, following your career path, course correcting as needed, and achieving your career goals. The importance of the Job Development Consultant and the Person Centered Employment Specialists helping each participant achieve their career goals cannot be understated.

### **Federal Requirement #3:**

*Ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.*

### **Guidance:**

- 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.)?

**Does the service and/or program meet this requirement?**  **Yes**  **No**

Please explain: **In Compliance**

UCP of the North Bay provides training in Client's Rights for all staff members through New Staff Orientation, Staff Meetings, and Relias Learning that includes competency testing. Client's Rights are reviewed with participants and posted at all program sites.

## Home and Community-Based Services (HCBS) Rules DEPARTMENT FUNDING GUIDANCE

We ensure privacy and confidentiality for participants with our procedures reviewed annually by Community Care Licensing, every three years by CARF, and by NBRC Quality Assurance. We have an open door policy and grievance procedure to address any issues or requests and we effectively communicate with participant employees that have accompanying hearing loss, vision loss, language, mental health, or other special needs.”

### **Federal Requirement #4:**

*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.*

### **Guidance:**

- Does the provider offer daily activities that are based on the individual’s 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?

**Does the service and/or program meet this requirement?  Yes  No**

Please explain: **In Compliance**

UCP of the North Bay offers a range of paid work, employment training, and recreation activities for our participants to choose from at our Adult Day Programs. We believe strongly in “dignity of risk,” the concept of affording a person the right to take reasonable risks for personal growth, self-esteem, and quality of life. We have taken a leadership role in transitioning Adult Day Programs to an “employment first” model with both site-based and community based paid work at minimum wage, never sub-minimum or piece-rate wages.

Our employment program is highly individualized, especially with regard to meaningful inclusive employment. As we have worked to meet HCBS guidelines, it has evolved into career path planning, implementation, and evaluation involving professionals, family members, and friends supporting the individual that is creating their own career path and life plan. Career development activities include the development of career interests and transferable work behaviors, as well as the reframing of existing employment opportunities to meet individual employment preferences.

**Home and Community-Based Services (HCBS) Rules  
DEPARTMENT FUNDING GUIDANCE**

<p><b><u>Federal Requirement #5:</u></b> <i>Facilitates individual choice regarding services and supports, and who provides them.</i></p>	<p><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Does the provider support individuals in choosing which staff provide their care to the extent that alternative staff are available?</li> <li>• Do individuals have opportunities to modify their services and/or voice their concerns outside of the scheduled review of services?</li> </ul>
<p><b>Does the service and/or program meet this requirement? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</b> Please explain: <b>In Compliance</b></p> <p>From the time we began implementing our HCBS Funding FY 2019-20, we believe that we have made enough progress to be in compliance with Federal Requirement #5. This is in spite of having to modify our original application to offer employment training through distance learning in the same manner as other agencies have had to adjust their programming. It has brought us to a place where we are confident in our success, knowing that the Job Development Consultant we are requesting is an essential component for the growth of our employment program.</p> <p>We have the opportunity to create greater community based employment through job development for our Adult Day Program participants while achieving grant milestones along the way. As has always been the case, our participants are able to modify their activities and schedules at any time. Moreover, they may choose to establish their own career path leading to community based paid work through our Adult Day Programs and Supported Employment Programs. Our Alternative Services Program Design during the pandemic provides for individualized job training with the staff member of choice.</p>	

## Home and Community-Based Services (HCBS) Rules DEPARTMENT FUNDING GUIDANCE

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><b><u>Federal Requirement #6:</u></b>  <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><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• As applicable, does each individual have a lease, residency agreement, admission agreement, or other form of written residency agreement?</li> <li>• Are individuals informed about how to relocate and request new housing?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No  Please explain: <a href="#">Click or tap here to enter text.</a></p>	
<p><b><u>Federal Requirement #7:</u></b>  <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><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Do individuals have a choice regarding roommates or private accommodations?</li> <li>• 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?</li> <li>• Do individuals have the ability to lock their bedroom doors when they choose?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No  Please explain: <a href="#">Click or tap here to enter text.</a></p>	

**Home and Community-Based Services (HCBS) Rules  
DEPARTMENT FUNDING GUIDANCE**

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

**CONTACT INFORMATION**



**Home and Community-Based Services (HCBS) Rules  
DEPARTMENT FUNDING GUIDANCE**

Contact Name: Mike Lisenko, President of Business Operations  
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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 the Department may require to determine provider compliance with the HCBS settings rules.

I AGREE

## Home and Community-Based Services (HCBS) Rules DEPARTMENT FUNDING GUIDANCE

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 backup, 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.
- Using a form from previous years will negatively impact a concept score, so please ensure the current FY 20-21 form is 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 and opportunities.

### 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 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 a sustainable plan 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 <https://www.dds.ca.gov/initiatives/cms-hcbs-regulations/>.

## Home and Community-Based Services (HCBS) Rules DEPARTMENT FUNDING GUIDANCE

Vendor name	UCP of the North Bay, Inc.
Vendor number(s)	Napa: HN0284 Solano: HN0344 Sonoma: HN0388
Primary regional center	North Bay Regional Center
Service type(s)	Adult Development Center
Service code(s)	510
Number of consumers typically and currently served	174
Typical and current staff-to-consumer ratio	1:4
<p>1. Please provide a brief description of the service/setting. Include what a typical day consists of during regular program as well as how services are currently being provided. This response must include the baseline/current levels for any aspects of the program for which the concept proposes funding.</p>	
<p>Participants working in the community arrive at their program at 9:00 a.m. and leave by 9:30 a.m. for their work sites. They return at 2:30 p.m. if they have worked both morning and afternoon. Participants working onsite are provided work in packaging, recycling, and sorting materials for our Thrift Centers. Non-work hours include both on-site and community based employment training and recreation activities. Prior to the pandemic, participants enrolled in our Adult Development Centers (ADCs) located in Napa, Solano, and Sonoma were working in the community regularly, on a rotating basis, or substituting occasionally. This allows as many participants as possible to engage in community based work, while providing regular schedules for participants with the job skills necessary for working a full program activity day.</p>	
<p><b>Project Narrative Description:</b> While filling out this section, reflect on how services are typically provided and how that might have changed in the past year. Think about what has been learned in the past year and how that might shape services going forward. Funding awarded through this concept can span the course of up to two years which would allow time to shape services to be more person-centered and align with the HCBS federal requirements.</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>Our HCBS 2020-21 Proposal would fund a Job Development Consultant supporting Napa, Solano, and Sonoma. Our HCBS Funding 2019-20 currently supports three FT Person Centered Employment Specialists (Employment Specialists) that are doing career path planning with our participants during the pandemic. As we emerge from the pandemic, our Job Development Consultant and the Employment Specialists would work together to create individualized community based employment options. UCP of the North Bay (UCPNB) provides community based employment through our Adult Day Programs and Supported Employment Program. The concept for which we are requesting funding is to hire a Job Development Consultant, knowing that the person we</p>	

## Home and Community-Based Services (HCBS) Rules DEPARTMENT FUNDING GUIDANCE

hire will need to have an abundance of experience and a proven track record of job development. We do not have that person or position currently within UCPNB.

3. Identify which HCBS federal requirements this concept addresses that are currently out of compliance. Could be all or a subset of those identified as out of compliance on the evaluation.

1 X 2 X 3 \_\_\_ 4 \_\_\_ 5 \_\_\_ 6 \_\_\_ 7 \_\_\_ 8 \_\_\_ 9 \_\_\_ 10 \_\_\_

UCPNB is partially in compliance with Federal Requirements 1 & 2. Our community based employment activities are largely integrated at local businesses. Pre-pandemic, our Adult Development Center participants were averaging over 55% of their program days per month in the community with some more than others due to their choice of site-based or community based activities. Community based activities include volunteer work, job training, and recreation activities. Our employment goal is to have participants that choose to work in the community work 55% of their program activity day or a minimum of 2.75 hours. The Job Development Consultant and Employment Specialists will prepare as many participants as possible for either group or individual employment.

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.

Fed. Req. #1: Our challenge is to develop enough community based paid work options to meet the needs of our participants and HCBS Guidelines. The barriers to compliance that HCBS Funding 2020-21 will help us to overcome are: (1) the shortage of available jobs and hours at local businesses and (2) the need to re-establish jobs and develop new jobs in a post-pandemic economic recovery. The Job Development Consultant will work with our Employment Specialists to develop jobs across Napa, Solano, and Sonoma.

Fed. Req. #2: We have always prioritized participant choice with community based paid work. The barriers to compliance that HCBS Funding 2020-21 will help us to overcome are: (1) the need to develop a wide range of jobs that provide as many employment options as possible and (2) the need to assist participants with establishing career path goals that are achievable within their employment expectations. UCPNB has developed and is using two person-centered planning tools: (1) PAVE: Pursuing Accessible Vocational Employment and (2) SCAN: Self-Directed Career Planning.

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 March 2023.

Fed. Req. #1: UCPNB will be in compliance by having each of our participants that choose community based activities through person-centered planning engage in employment, education, or recreation activities in the community a minimum of 55% of their program day. Our employment goal is to have participants that choose to work in the community work 55% of their program activity day or a minimum of 2.75 hours. All of our participants have access to community based activities, however some of our participants choose site-based activities only.

Fed. Req. #2: UCPNB will be in compliance by offering a variety of local businesses from which participants may choose to work. Their needs and preferences will be documented in their person-centered planning documents. The Job Development

## Home and Community-Based Services (HCBS) Rules DEPARTMENT FUNDING GUIDANCE

Consultant will be responsible for generating jobs at local businesses that use the skills our participants have learned working in the packaging, recycling, and thrift industries. The Job Development Consultant will also identify jobs that match or include elements of careers in which participants have expressed an interest in working.

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

Our concept of having a Job Development Consultant and three Employment Specialists has evolved from the revisions to our HCBS Funding 2019-20 and the need for job development and job placement post-pandemic. We will do everything possible to achieve compliance and to exceed compliance with our participants who choose to work in the community. We maintain monthly metrics to evaluate program outcomes.

Our pre-pandemic objectives were to increase the average daily paid work hours of participants, increase the number of participants working at local businesses, increase the number and types of local businesses, and increase the work hours of underemployed participants. Those objectives were revised during the pandemic to hire three Employment Specialists, conduct Person Centered Career Planning quarterly, initiate Career Path Online Training quarterly, implement Participant Feedback Online Forum quarterly, and begin Job Development and Job Placement in July 2021.

This leaves us with the need to hire a Job Development Consultant with HCBS Funding 2020-21. The Job Development Consultant would be hired in July 2021 to establish job opportunities at local businesses, work with participants that are completing their Self-Directed Career Planning with our Employment Specialists, coordinate work crews with UCPNB Production Managers, and provide ongoing support, monitoring, and evaluation of all participants. The Job Development Consultant would also ensure that jobs at local businesses reflect the career interests of our participants, utilize transferrable job skills from their site-based work, and accommodate any special needs.

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.

The current enrollment of our Adult Development Centers (510) in Napa, Solano, and Sonoma is 174 participants. All of the participants in those programs have worked onsite in one or more of our packaging, recycling, and thrift businesses. Most of those participants have worked in the community on a limited or regular basis. They have provided feedback informally on a daily basis and regularly through the ISP process. Our PAVE and SCAN assessment tools have formalized the process by which participants can express their hopes and dreams as they relate to their career path.

From March 16, 2020, the date our Adult Day Programs began providing services remotely due to the pandemic, we have contacted each of our participants daily, provided distance learning classes for groups daily, and interviewed participants quarterly regarding their personalized program goals for the next three months. Those quarterly interviews are one of the documents that comprise their PAVE assessment. Our classes for all participants have focused on employment and the development of soft skills including social skills for success in community integrated work environments.

## Home and Community-Based Services (HCBS) Rules DEPARTMENT FUNDING GUIDANCE

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

The Job Development Consultant would work with each participant to achieve their employment goals as they have identified in their career path planning. It will take a highly skilled Job Development Consultant supported by our Employment Specialists to identify businesses of interest, carve out jobs with employers, overcome barriers to employment, and ensure the continued availability of jobs. This ongoing team effort to develop community based employment opportunities for our participants is what will be necessary to meet HCBS Guidelines by March 2023.

9. Please address your plan for maintaining the benefits, value, and success of your project at the conclusion of 2020-21 HCBS Funding.

UCPNB owns two of the three facilities where our Adult Day Programs are located and we are investigating the possibility of purchasing a new facility for our program that is located in Sonoma. Our decision-making has always been based around ensuring the sustainability of our programs and our agency. We will maintain the benefits, value, and success of our project as our employment program continues to grow within our Adult Day Programs and Supported Employment.

UCPNB is preparing to write and implement our Strategic Plan for the next three years from July 2021 through June 2024. It will include plans for meeting HCBS requirements in 2023, as well as how our Leadership Team and Board of Directors will address the continuation of the project through our fund development, business growth, and financial management. Our strategic planning begins at our Annual Board Retreat in September and ends with a Board approved Strategic Plan effective September 2021.

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). This information can be found at this [link](#).

We are requesting \$113,750 for 20 months to support a Job Development Consultant as described serving Napa, Solano, and Sonoma. Please see Attachment C for details.

11. Please address sustainability of funding sources for all programs or concepts requiring any funding past the timeframe of the requested funding, especially those that involve staff or other long-term costs. Please mark "not applicable" if costs will all be incurred during the program timeframe; up to two years.

At the conclusion of two-year funding, we will evaluate the ongoing need for the Job Development Consultant. The Person Centered Planning Specialists will continue their full-time responsibilities. The growth of our packaging, recycling, and thrift businesses, and the revenue they derive from both onsite work and off-site work for our participants, will support the continued operation and further expansion of our employment program.

## Home and Community-Based Services (HCBS) Rules DEPARTMENT FUNDING GUIDANCE

<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>16-17 &amp; 19-20</u>          Disparity Funding    ___ No ___ Yes. If Yes, FY(s) _____          CPP Funding    ___ No ___ Yes. If Yes, FY(s) _____          CRDP Funding    ___ No ___ Yes. If Yes, FY(s) _____</p> <p>If yes to any question be sure to answer questions 13 and 14.</p>
<p><b>For providers who have received prior HCBS, Disparity, CPP or CRDP Funding from DDS</b></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>	
<p>UCPNB successfully completed HCBS Funding 2016-17 and we are currently implementing HCBS Funding 2019-20. Funding for 2016-17 supported the creation of our Custom Recycling Solutions business, which continues to provide community based employment for our participants recycling beverage containers and paper products. Business operations have been suspended during the pandemic. Funding for 2019-20 supports three FT Employment Specialists that are facilitating career path planning and job training for our participants during the pandemic. Our participants are currently receiving those services remotely in accordance with health and safety guidelines.</p>	
<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>Our current HCBS Funding 2019-20 originally funded three FT Job Developers. On November 13, 2020, we submitted a Revised Project Proposal that was approved by DDS to change three FT Job Developers to Person Centered Employment Specialists due to the break in job development during the pandemic. Now in our seventh month of funding, the Employment Specialists are successfully facilitating career path planning and job training for our participants, which will continue post-pandemic. Funding from HCBS Funding 2020-21 would support a Job Development Consultant working with our Employment Specialists to provide career path planning, job training, job development, job placement, and individualized support for our participants. Thank you very much for your time and consideration of our Career Path and Job Placement Project.</p>	

HCBS CONCEPT BUDGET		Career Path Planning and Job Placement Project				
Vendor Name		United Cerebral Palsy of the North Bay				
Vendor Number(s)		HN0284 HN0344 HN0388				
	Wage and Benefits	Year 1 Budget 7/1/21-6/30/22		Year 2 Budget 7/1/22-2/28/23		Total
		FTE	Annual Cost: 12 Months	FTE	Annual Cost: 8 Months	Cost
<b>Personnel (wage + benefits)</b>						
Job Development Consultant:	65,000.00		\$ 65,000.00		43,750.00	\$ 108,750
Career Path and Job Placement Project			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
Position Description:			\$ -		\$ -	\$ -
The Job Development Consultant will provide job development, job placement, and individualized support for our participants. The position will work 25 hours per week at \$50 per hour.			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
<b>Personnel Subtotal</b>			<b>\$ 65,000</b>		<b>\$ 43,750</b>	<b>\$ 108,750</b>
<b>Operating expenses</b>						
Travel Allowance			\$ 1,800		\$ 1,200	\$ 3,000
Cell Phone Allowance			\$ 1,200		\$ 800	\$ 2,000
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
<b>Operating Subtotal</b>			<b>\$ 3,000</b>		<b>\$ 2,000</b>	<b>\$ 5,000</b>
<b>Administrative Expenses</b>						
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
<b>Administrative Subtotal</b>			<b>\$ -</b>		<b>\$ -</b>	<b>\$ -</b>
<b>Capital expenses</b>						
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
<b>Capital Subtotal</b>			<b>\$ -</b>		<b>\$ -</b>	<b>\$ -</b>
<b>Total Concept Cost</b>			<b>\$ 68,000</b>		<b>\$ 45,750</b>	<b>\$ 113,750</b>

See Attachment F for budget details and restrictions