

## 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: 02/10/2021 (updated)	Completed by: JOEY PEREZ AND JAY SMITH
Vendor Name, Address, Contact: GRANDEUR SRF AND CENTRO, ALTADENA, CA GHENT, AZUSA, CA (855) 302-3331	
Vendor Number: PP0182, HP6448, PP0363	
Service Type and Code: ADULT RESIDENTIAL FACILITY, 113 & 915	

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<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</p> <p>Please explain: 23FIFTEEN strives to provide services to the residents we support based on each individual's needs, we want to raise the standard to adequately provide proper based services the individuals of our residents. The residents of 23FIFTEEN have histories of intellectual disabilities with dual diagnosis and/or mental illness as well as behaviors that need management. They require supports from highly trained staff to meet their needs. We are requesting funding through HCBS compliance process to 1) purchase an agency van to provide transportation to specialist's appointments, outings, and community-based activities 2) purchase laptops/tablets for residents and staff to use for remote services, data collection, and the individuals personal use of interest. 3) purchase Train- the- trainer for a staff candidate in order to provide PCT training to direct care staff to adequately be a resource to ensure on- going in-person and remote person-centered trainings taking place regularly.</p>	
<p><b><u>Federal Requirement #2:</u></b> <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><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Does the provider have a current regional center Individual Program Plan (IPP) on file for all individuals?</li> <li>• Does each individual's IPP document the different setting options that were considered prior to selecting this setting?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please explain: The Regional Center (SGPRC) have provided IPP's for all individuals within the agency. The IPP is developed for the individuals through person centered process. The IPP addresses the objectives for each individual and addresses the setting options for each individual.</p>	

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<p><b><u>Federal Requirement #3:</u></b> <i>Ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.</i></p>	<p><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Does the provider inform individuals, in a manner they can understand, of their rights to privacy, dignity, respect, and freedom from coercion and restraint?</li> <li>• Does the provider communicate, both verbally and in writing, in a manner that ensures privacy and confidentiality?</li> <li>• 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.)?</li> </ul>
<p><b>Does the service and/or program meet this requirement? <input checked="" type="checkbox"/> Yes <input checked="" type="checkbox"/> No</b> Please explain: 23FIFTEEN reviews clients rights with each individual prior to admission date and on an annual basis. Zero Tolerance abuse training, incident report training as well as HIPAA to all staff when onboarding. Staff are provided with a tablet that can help for alternative methods of communication if needed. The devices can assist in translation if/when an individual needs assistance.</p>	
<p><b><u>Federal Requirement #4:</u></b> <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><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Does the provider offer daily activities that are based on the individual's needs and preferences?</li> <li>• 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?</li> <li>• 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?</li> </ul>
<p><b>Does the service and/or program meet this requirement? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</b> Please explain: Each resident identifies with their needs and wants. However, communicating and understanding can present a barrier. The PCT trainer candidate can complete the certification program and give proper trainings of person-centered planning that'll help staff obtain skills in order to provide more choices to the individuals. They'll be</p>	

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able to produce creative activities that align with residents IPP that supports each individual's needs.

**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: All residents are encouraged by all members of the team to advocate for themselves and engage in daily activities planning. Each individual receiving support is encouraged to share their own idea and opinions to ensure that their needs are met. In order to meet this requirement, training for staff to provide more person-centered planning will be able to give individuals a chance to modify their services and be more creative with activities. Training will be able to give staff the skills to support individuals to ensure their satisfaction with the program and service. We would need a candidate to receive the PCT certification who then can provide training to staff upon completion. It's critical that we recognize the need for person centered thinking as an on-going consistent training to Direct Care staff.

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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><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? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</b> Please explain: Prior to admission, each individual is to review and agree to the admission agreement in order to reside at the facility. Each individual is informed on how to relocate if the facility isn't fit for them.</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? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</b></p>	

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<p>Please explain: Each individual resides in their own private room. Individuals are encouraged to make their room feel like home by making it their own and decorating based on their preference.</p>	
<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? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</b></p> <p>Please explain: Each individual is provided with full access to all common areas throughout the facility. All individuals have access to food throughout the day following an implemented menu with set meals times. Options are provided for substitutions if it doesn't match an individual's preference. The Direct Care staff encourage individuals to create their own individual schedule they can follow throughout the day.</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? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</b></p> <p>Please explain: Visitors are allowed to come as well as individuals can go with visitors to certain destinations. We encourage individuals to engage in activities with their loved ones to enhance their quality of life, but due to COVID-19 protocols, we have made restrictions from visitation. Remote services help keep communication with loved ones of each individual.</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</li> </ul>

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	<p>so that individuals who need those supports can move about the setting as they choose?</p> <ul style="list-style-type: none"> <li>• Are appliances and furniture accessible to every individual?</li> </ul>
<p><b>Does the service and/or program meet this requirement?</b> <input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b></p> <p>Please explain: The facility is equipped, ensured with safety and in compliance with Title 17 and 22.</p>	

**CONTACT INFORMATION**

Contact Name: JOEY PEREZ AND JAY SMITH

Contact Phone Number: 855-302-3331

Email Address: INFO@23FIFTEEN.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

## **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.

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Vendor name	23FIFTEEN
Vendor number(s)	PP0182, HP6448, PP0363
Primary regional center	SAN GABRIEL POMONA REGIONAL CENTER
Service type(s)	SPECIALIZED RESIDENTIAL FACILITY, ADULT RESIDENTIAL
Service code(s)	113, 090 AND 915
Number of consumers typically and currently served	4 (GRANDEUR SRF, GHENT) 6 (CENTRO)
Typical and current staff-to-consumer ratio	General Program Ratio: 1:2, 1:1
<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>23FIFTEEN is dedicated to offering empowerment to individuals with intellectual disabilities within our catchment area. To this end, we intend to establish viable, consistent and responsible residential programs that provide opportunities for individuals to develop their maximum potential.</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>23FIFTEEN wants to raise the level of support to our agency by providing safe transportation, cutting edge access to learning and information and enhanced training on person-centered philosophy to all of our management and staff.</p>	
<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>	
<p>1x__ 2__ 3__ 4x__ 5x__ 6__ 7__ 8__ 9__ 10__</p>	
<p> </p>	

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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.

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Each resident identifies with their needs and wants. However, communicating and understanding can present a barrier. The PCT trainer candidate can complete the certification program and give proper trainings of person-centered planning that'll help staff obtain skills in order to provide more choices to the individuals. They'll be able to produce creative activities that align with residents IPP that supports each individual's needs.

All residents are encouraged by all members of the team to advocate for themselves and engage in daily activities planning. Each individual receiving support is encouraged to share their own idea and opinions to ensure that their needs are met. In order to meet this requirement, training for staff to provide more person-centered planning will be able to give individuals a chance to modify their services and be more creative with activities. Training will be able to give staff the skills to support individuals to ensure their satisfaction with the program and service. We would need a candidate to receive the PCT certification who then can provide training to staff upon completion. It's critical that we recognize the need for person centered thinking as an on-going consistent training to Direct Care staff.

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.

The concepts addressed will provide the tools to support 23FIFTEEN as it evolves into a more well-rounded agency. Using 2021 as a foundation year, the expectation is that all existing staff and new staff will fully be indoctrinated with person-centered thinking. We expect compliance by March 2022.

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

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Outcomes will be determined by individuals served and key management personnel. 23FIFTEEN will track outcomes by observation, record reviews and satisfaction surveys.	
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.	
We discussed this with management team, residents and several family members vi one to one, phone and group meeting.	
8. Please describe how the concept you propose will enable you to provide more person-centered services to your clients.	
It will ensure that "The setting is integrated in and supports full access of individuals receiving Medicaid HCBS to the greater community" including pursuit of employment opportunities, placement and retention skills. It will also ensure that each individual is given the opportunity to make safe and goal-oriented choices that are person-centered and valuable to them.	
9. Please address your plan for maintaining the benefits, value, and success of your project at the conclusion of 2020-21 HCBS Funding.	
At the conclusion of our project, 23FIFTEEN will have all staff and individuals will be trained on the person -centered thinking. The proposed concepts here will be a great value to the individuals we serve.	
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 <a href="#">link</a> .	
1) Purchase of small mini-van 2) 3 Laptops and 15 Tablets 3) 45K Salary for PCT Trainer for 12 months.	
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.	
N/A	
12. Have you or the organization you work	HCBS Funding ___ No ___ Yes. If Yes, FY(s) _____

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<p>with been a past recipient of DDS funding? If yes, what fiscal year(s)?</p>	<p>Disparity Funding <input checked="" type="checkbox"/> No ___ Yes. If Yes, FY(s) _____</p> <p>CPP Funding <input checked="" type="checkbox"/> No ___ Yes. If Yes, FY(s) _____</p> <p>CRDP Funding <input checked="" type="checkbox"/> 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>N/A</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>N/A</p>	

HCBS CONCEPT BUDGET						
Vendor Name		23FIFTEEN				
Vendor Number(s)		PP0182, PP0363, HP6448				
	Wage and Benefits	Year 1 Budget		Year 2 Budget		Total
		FTE	Annual Cost	FTE	Annual Cost	Cost
<b>Personnel (wage + benefits)</b>						
PERSON CENTERED TRAINER		1.00	\$ 45,000		\$ -	\$ 45,000
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Personnel Subtotal			\$ 45,000		\$ -	\$ 45,000
<b>Operating expenses</b>						
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
Operating Subtotal			\$ -		\$ -	\$ -
<b>Administrative Expenses</b>						
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
Administrative Subtotal			\$ -		\$ -	\$ -
<b>Capital expenses</b>						
2018-2020 Minivan (Honda Odyssey)			\$ 27,000			\$ 27,000
3 laptops (\$1200 each)			\$ 3,600			\$ 3,600
15 Tablets (\$500/each)			\$ 7,500			\$ 7,500
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
Capital Subtotal			\$ 38,100		\$ -	\$ 38,100
Total Concept Cost			\$ 83,100		\$ -	\$ 83,100

See Attachment F for budget details and restrictions