

## 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: 2/10/21	Completed by: Aron Duda
Vendor Name, Address, Contact: Cole Vocational Services; 544 Lyell Dr Modesto CA 95356	
Vendor Number: HV0211	
Service Type and Code: 053	

<b>Federal Requirement #1:</b>	<u>Guidance:</u>
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<p><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>	<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 checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b> Please explain: Yes in 2017 we were granted HCSB funding to add an Activities Coordinator and an additional van. This has allowed us to support more individuals out in to the community and to find the desired activities and curriculum to reach individual goals.</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"/> <b>Yes</b> <input type="checkbox"/> <b>No</b> Please explain: Yes CVC Modesto has copies of all IPP's for participating individuals. Services are provided in accordance to the individuals IPP. The person centered planning would allow for more involvement and person centered goals.</p>	
<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> </ul>

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	<ul style="list-style-type: none"> <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?</b> <input checked="" type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b> Please explain: Yes CVS Modesto does meet the requirement, however with the implementation of a Person centered training for all staff this can be enhanced by the tools they learn to use adaptive equipment, personalize conversations and listen to the desires and needs of those we serve.</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?</b> <input type="checkbox"/> <b>Yes</b> <input checked="" type="checkbox"/> <b>No</b> Please explain: CVS Modesto does offer a variety of activities which include but are not limited too; volunteer opportunities, job growth and development exploration as well as an array of activity based themed rooms to help enhance career development. We lack meeting this requirement due to the 1:3 ratio and the rotation of activity throughout the day may limit an individual who would like to spent time with a different group member. Our weekly calendars are developed every two weeks with the entire group involvement, not by each individual's personal calendar.</p>	
<p><b><u>Federal Requirement #5:</u></b></p>	<p><b><u>Guidance:</u></b></p> <ul style="list-style-type: none"> <li>• Does the provider support individuals in choosing which staff</li> </ul>

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<p><i>Facilitates individual choice regarding services and supports, and who provides them.</i></p>	<p>provide their care to the extent that alternative staff are available?</p> <ul style="list-style-type: none"> <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?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please explain: CVS Modesto does offer a rotating staff schedule that is driven by individual choice, however with staff ratios and time off a group or individual may not be with the option they prefer.</p>	

<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>
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<p><b>Does the service and/or program meet this requirement?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please explain: N/A not residential</p>	
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<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.</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</li> </ul>
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<p><i>Individuals have the freedom to furnish and decorate their sleeping or living units within the lease or other agreement.</i></p>	<p>own personal items, in a manner that is based on their preferences?</p> <ul style="list-style-type: none"> <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: N/A not residential</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?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain: N/A not residential</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: N/A not residential</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>

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<b>Does the service and/or program meet this requirement?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No Please explain: N/A not residential	

**CONTACT INFORMATION**

Contact Name:                      Aron Duda  
Contact Phone Number:         707 834 5552  
Email Address:                      Aron.duda@thementornetwork.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.

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	CVS Modesto
Vendor number(s)	HV0211
Primary regional center	Valley Mountain regional center
Service type(s)	Day Program
Service code(s)	053
Number of consumers typically and currently served	100
Typical and current staff-to-consumer ratio	3:1
<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>CVS Modesto is a vocational/ community based day program. We provided opportunity to do volunteer work in the community as well as career training on site. We employ 20 individuals in house or at our Coffee cart business. This program also has a Heathy Relationship component were 15 individuals at a time participate in a 12 week relationship class.</p> <p>Over this last year we have become very flexible and attempted to continue to serve all 100 individuals. We have introduced virtual 1:1 check in's, virtual classes, virtual social hour, as well as delivering goal oriented material or material for classes offered.</p> <p>As a vocational program we explore community based employment as well as Micro business opportunities. We also offer a career training and career exploration with several themed rooms to engage in different activities, such as cooking, computers, gardening, music and art.</p>	
<p><b>Project Narrative Description: 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.</b></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>CVS Modesto is requesting funds to have a staff become a Person Centered Trainer.</p> <p>We has conducted a self-assessment of this day program and determined that we are not in full compliance with HCBS requirement #4 and #5”</p> <p>To achieve HCBS compliance CVS Modesto Day Program will utilize funding to support a Train-the-Trainer certification in person-centered planning/thinking and training regarding customized employment. This resource will make it possible for CVS Modesto Day Program to identify and access opportunities for person centered planning/thinking.</p>	



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If we had the opportunity to have a Person Centered Trainer, this would allow us to train all 41 of our staff in house and allow us to continue that training on an ongoing bases. We would hope to increase our vocational participation, self-advocacy program and overall attendance due to the staff having a more person centered approach.

### **Train-the-Trainer Certification in Person-Centered Planning/Thinking**

In order of Modesto CVS Day Program to meet the person centered planning/thinking expectation a staff will need to complete the train-the-trainer certification in person-centered planning/thinking to ensure individualized preferences are being offered.

- The assigned staff will complete the Train the Trainer Person Centered Training with a consultant
- The assigned staff will utilize all the training materials provided
- The assigned staff will log all hours needed to complete Train the Trainer Person Centered Training.

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\_x\_ 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

Current Barriers are that we don't have a qualified trainer to teach and implement the concepts and tools of the person Centered training program.

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.

With having a Train the Trainer on site we will be able to be in compliance with both requirement #4 and #5 by educating our staff and implementing the tools provided by this training. With our teams having a better understanding and personalized connection to the concepts in the person centered services we hope to enhance the mindset of our teams. To hope to elevate the way we approach services and goals setting.

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

CVS Modesto believes in order for all programs to be successful and in compliance with the federal regulations all staff must be trained to shift their mindset to person centered thinking. This can only be accomplished with ongoing training.

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Progress will be monitored both individually and at a program level. The Planning Team for each individual will meet no less than semi-annually to monitor individual progress and HCBS Compliance. Plans will be modified as appropriate. On a programmatic level, we will track employee progress and compare it to CVS Modesto Day Program baseline measurements.

**Our goals include:**

	Current	Enhanced
Train-the-Trainer Person Centered Certificate	No Data	Obtain the certificate
Certificated Person Centered Trainer	No Data	Train staff once certified
Person Centered Trained Staff	No Data	ISP's will be modified to reflect person centered planning/thinking in accordance with Individuals preferences

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.

During ISP and advocacy meetings CVS Modesto gains feedback from individuals regarding their interests and desires. We are working individuals to meet their community integration and vocational goals.

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

By training all our staff with Person Center planning concepts and tools we expect to see our service and approach improved. We will challenge our employees to refocus their mind set and emphasis that those we serve are the driving force behind our serves.

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

\* CVS Modesto Day Program will absorb the costs exceeding the award amount

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](#).

**One Time Costs**

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Program Director wages with benefits	\$2,791
Train the Trainer Person Centered Training	\$17,180
Training Materials	\$1,341
Area Director Wages with Benefits	\$675
Administrative Support Fees	\$3,013
Total Costs	\$25,000
Award	\$25,000

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 with been a past recipient of DDS funding? If yes, what fiscal year(s)?	HCBS Funding ___ No <u>x</u> Yes. If Yes, FY(s) <u>2017</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) _____  If yes to any question be sure to answer questions 13 and 14.
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**For providers who have received prior HCBS, Disparity, CPP or CRDP 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.

- Hired Activities coordinator
- Purchased a new Van, including insurance, gas and maintainance
- increase in staff to account for more non am individuals and drivers for van
- Staff meet with Persons Being Served to discuss and complete weekly activity schedules based on PBS ISP Goals and interests.
- AC reviews activity schedules and implemented Monthly Calendar grid that includes community activities such as recreational, volunteer, and lunch sites.
- AC reviews activity schedules and implemented Monthly Calendar grid that includes community activities such as recreational, volunteer, and lunch sites.
- AC researches community sites weekly to develop new community activities
- AC meets with PBS to obtain information about interests to activities in the area they reside.
- AC researches, develops and implements new curriculum based PBS program ISP goals.

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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.

CVS is requesting Funding to enhance our training opportunities as well as our services by implementing Person Centered Training with all staff.

NO additional positions being requested.

HCBS CONCEPT BUDGET	
Vendor Name	Cole Vocational Services
Vendor Number(s)	HV0211

	Year 1 Budget		Year 2 Budget		Total	
	Wage and Benefits	FTE	Annual Cost	FTE	Annual Cost	Cost
<b>Personnel (wage + benefits)</b>						
Program Director wages with Benefits			\$ 2,791		\$ -	\$ 2,791
Area Director wages with Benefits			\$ 675		\$ -	\$ 675
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Personnel Subtotal			\$ 3,466		\$ -	\$ 3,466
<b>Operating expenses</b>						
Train the Trainer person Centered training			\$ 17,180		\$ -	\$ 17,180
Training Materials			\$ 1,341		\$ -	\$ 1,341
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
Operating Subtotal			\$ 18,521		\$ -	\$ 18,521
<b>Administrative Expenses</b>						
Administrative expenses			\$ 3,013		\$ -	\$ 3,013
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
Administrative Subtotal			\$ 3,013		\$ -	\$ 3,013
<b>Capital expenses</b>						
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
Capital Subtotal			\$ -		\$ -	\$ -
Total Concept Cost			\$ 25,000		\$ -	\$ 25,000

See Attachment F for budget details and restrictions