

## Home and Community-Based Services (HCBS) Rules Reference Information

The Home and Community-Based Services (HCBS) rules supports people with disabilities to 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. **Completion of this concept form is for the sole purpose of applying for compliance funding and does not take the place of provider assessments or remediation that the Department has required to determine provider compliance with the HCBS settings rules.**

Prior HCBS funding focused primarily on barriers to compliance with the 10 federal requirements of the HCBS Final Rule. HCBS funding for fiscal year 2021-2022 will still take the 10 federal requirements into account and will also place increased emphasis on the outcome of a provider's concept. To simplify the process, the federal requirements were placed in three categories that target similar outcomes. Those categories are Community Integration, Individual Rights, and Choice. A fourth category, Collaboration, may be used for a concept between multiple providers to develop a community resource or collaborate on a project benefiting multiple settings. The bulleted questions listed under each category are for providers to consider when thinking about their current operations and plans for the future. These questions should be used when considering ways to build a concept that will achieve increased person-centered practices ongoing.

Service providers may request a copy of their completed self-assessment, by contacting their regional center HCBS Program Evaluator. A blank copy of the assessment can be found at <https://www.dds.ca.gov/wp-content/uploads/2020/09/CADDSHCBSProviderSelfAssessment.pdf>.

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).

## Community Integration

How will providers support the following through their services?

- Individuals receiving services in the community based on their needs, preferences and abilities.
- Individuals participating in activities in the community, which are routinely accessed by the general public, and are not solely for the purpose of supporting people with disabilities, as part of their plan for services.
- Individuals exercising control over their schedules and activities.
- Opportunities for activities in the community that include meaningful interaction with individuals not receiving regional center services, not including paid staff or volunteers (e.g. development of hobbies or interests, volunteering, job training, etc.).
- Access to competitive integrated employment opportunities. Note: information on California's Competitive Integrated Employment Initiative can be found at <http://www.chhs.ca.gov/home/cie/>

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### Individual Rights

How will providers support the following through their services?

- Informing individuals, in a manner they can understand, of their rights to privacy, dignity, respect, and freedom from coercion and restraint.
- Communication 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.).
- Individuals have informed consent and regular review regarding residential agreements, admission agreements, or other forms of written residency agreements.
- Individuals taking active roles in program policies and shared house rules.
- Individuals understanding of the balance between the rights they have and respecting the rights of others, building skills of negotiation.
- Individuals' understanding of the different service options available to them, and working towards individualized goals with support.
- Choice regarding roommates or private accommodations.
- Visitors are welcome to visit the home at any time.
- Individuals going 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.
- Individuals having the freedom to move about inside and outside the home.
- For those requiring accessible supports, grab bars, seats in bathrooms, ramps for wheelchairs, etc., are available so that individuals can move about the setting as they choose.
- Appliances and furniture are accessible to every individual.

### Choice

How will providers support the following through their services?

- Offering daily activities based on individual's needs and preferences.
- Structuring support so that individuals are able to interact with people they choose to interact with, both at home and in community settings.
- Structuring support so that individuals are able to participate in activities that interest them and correspond with their IPP goals.
- Supporting individuals in choosing which staff provide their care to the extent that alternative staff are available.
- Opportunities to modify services and/or voice concerns outside of the scheduled review of services (IPP review).
- Individuals having access to food at any time.
- Supporting individuals to set their own daily schedules.

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### Collaboration

- Does your program excel in a particular facet of your service type that can be beneficial to other programs in coming into compliance and strengthening person-centered practices?
- Does your concept involve at least one additional agency who will share in the development and implementation of the concept?
- Are there increased benefits to people you serve by collaborating on this concept with other providers?
- Are you developing a community of practice? (i.e. a group of people who share a common interest and come together to learn from each other and achieve a common goal.)

Some previously funded concepts have successfully collaborated to assist other providers in enhancing their services through projects such as:

- Development of toolkits and resources regarding the Final Rule, or areas within the Final Rule (employment options, housing, person-centered planning, etc.), that can be broadly accessed.
- Training and knowledge-sharing with others in their catchment area.
- Creation of person-centered planning applications/software.

## HCBS Final Rule: List of Federal Requirements

### **Federal Requirement #1: Access to the Community**

*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.*

### **Federal Requirement #2: Choice of Setting**

*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.*

### **Federal Requirement #3: Right to be Treated Well**

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

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

*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.*

### **Federal Requirement #5: Choice of Services and Supports**

*Facilitates individual choice regarding services and supports, and who provides them.*

For providers who operate a residential setting:

### **Federal Requirement #6: Residential Agreement**

*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.*

### **Federal Requirement #7: Privacy**

- 1. Each individual has privacy in his/her sleeping or living unit:*
- 2. Units have entrance doors lockable by the individual, with only appropriate staff having keys to doors as needed.*
- 3. Individuals sharing units have a choice of roommates in that setting.*
- 4. Individuals have the freedom to furnish and decorate their sleeping or living units within the lease or other agreement.*

### **Federal Requirement #8: Schedule and Access to Food**

*Individuals have the freedom and support to control their own schedules and activities, and have access to food at any time.*

### **Federal Requirement #9: Right to Visitors**

*Individuals are able to have visitors of their choosing at any time.*

### **Federal Requirement #10: Accessibility**

*The setting is physically accessible to the individual.*

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Regional center vendors may receive funding to make changes to service settings and/or programs to enhance current services through individualized service delivery. To be considered for funding, vendors must complete and submit this form 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. Please use the current FY 21-22 form.
- For providers that operate programs with several vendor numbers involved in one concept, one blueprint 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 blueprints 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 concept includes detailed information that describes the funding requests and supports how the requests will assist the provider in **enhancing person-centered service delivery**.
- Concepts should demonstrate how the requested change in service delivery will impact individuals in **offering more choices and opportunities**.

While concept development should be individualized for each provider, some common themes persist among those that have been previously selected for funding.

### 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.

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Vendor name	Lincoln Training Center
Vendor number(s)	HA0368; HA0369; PA2080
Contact Name	Amy Camp
Contact Email Address	<a href="mailto:amyc@lincolntc.org">amyc@lincolntc.org</a>
Primary regional center	Alta California Regional Center
Service type(s)	SE Group; SE Individual Placement; ACCESS Services; CIE; Tailored Day Services
Service code(s)	950; 952; 055; 063
Number of consumers typically and currently served	Typically 90 consumers; Current 75
Typical and current staff-to-consumer ratio	Group: 1:3; All others 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. If you have previously identified your program as compliant with the HCBS Final Rule through the Self-Assessment, what changes have occurred that has changed your level of compliance?</p>	
<p>The ACCESS Services Program (PA2080) was developed to bring Lincoln Training Center into compliance with regards to competitive integrated employment (CIE). Since July 2020, there have been approximately 15 individuals that have been placed in CIE settings by participating in Discovery and/or Career Exploration. Most of these individuals transitioned from SE group employment. However, due to lack of personnel and resources, ACCESS Services has had to resort to creating a waiting list for referrals to discovery and a freeze on career development which is challenging our ability to move towards complete and continuous compliance. Discovery takes up to 60 hours per individual and Career Exploration can take from 80 to 120 hours; both dependent on the job seekers availability to work with ACCESS staff. In addition, once a job seeker accepts a CIE opportunity, LTC may provide job coaching to ensure long-term success. LTC currently has over 700 hours authorized for job coaching for those employed and the current staff are unable to meet the need. Additional personnel and resources will allow LTC to meet the growing needs and desires of individuals wanting CIE opportunities.</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>The implementation of the ACCESS Services Program for expanding opportunities for employment in competitive and integrated settings in the community remains a challenge due to lack of personnel and resources, especially during the on-going pandemic. Although LTC continues to support individuals to find employment based on their needs, preferences, and abilities there are several barriers. It has been possible to provide virtual person-centered, customized discovery and career exploration services,</p>	

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however computer knowledge and resources of those served are currently limited. LTC would like to provide computer training for job seekers to improve their ability to navigate in this electronic age. Training would be provided by a Career Coach with technical knowledge and training experience. Laptops and data plans would be temporarily provided to the job seekers allowing for many of the aspects that are part of discovery services (home visits) and career exploration (want ads/job interviews) in a healthy and safe format. Maintaining this training program after the pandemic will be advantageous for job seekers to independently research industry specific employment requirements and opportunities, amongst other uses. In order to move forward with the implementation of this new program, additional funds for salary/benefits, ACRE training, and supplies/equipment will be necessary for a new Career Coach to manage this service and provide additional support to the ACCESS Services Program.

In addition to the Career Coach, LTC is requesting funds for the salary/benefits and training of an Employment Specialist. Our previous PCT Trainer is no longer with LTC and these trainings remain vital to keep staff aware that all services are to be provided from a person-centered approach. The Employment Specialist would receive ACRE training to increase discovery services and PCT Train the Trainer mentoring to increase LTC's person-centered thinking approach to all services provided.

Lastly, LTC is requesting funds for the salary/benefits of an additional Community Skills Trainer to provide job coaching for current and future CIE placements. Funds for laptops to allow these three staff to work in the community is also requested.

In order to provide these services in settings chosen by individuals served, LTC is requesting a vehicle to be used by these new positions.

3. Identify which category/ categories this concept addresses.

- Community Integration
- Individual Rights
- Choice
- Collaboration

4. Please list the proposed objectives and outcomes of the concept, as well as the methods of achieving and tracking them. How will this concept assist you in reaching goals within the category that you are requesting funds?

The proposed objectives and outcomes of this concept are to enhance efforts to support individual job seekers to find competitive, integrated employment based on their needs, preferences, and abilities. An Employment Specialist, qualified to provide person-centered thinking trainings will ensure LTC staff maintain up-to-date PCT approaches to service delivery, in addition to advancing the discovery and career development service needs. A Career Coach, with computer skills training experience, will help interested job seekers develop technical skills needed to navigate their own employment applications, on-the job testing, and email communication with employers and supports. A Community Skills Trainer will assist with job coaching to ensure long-term success at CIE locations. A vehicle will be purchased to provide the new personnel increased access to the community where services are needed. Milestones will be established, and Quarterly and Annual Reports will document the progress and successful outcomes for each individual job seeker. Additionally semi-annual surveys will be given to the job seeker

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and their supports to determine program development needs and identify successful components of service.

5. Please describe how and/or what was done to ensure that individuals served by the program led the development of 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.

Individuals that are participating in ACCESS Services/CIE were given a survey to complete and return. Several individuals indicated that computer training would help them to be more successfully integrated in their work communities. Most job applications are now on-line. Additionally, many job placements require periodic on-line trainings and testing. Currently a LTC Job Coach will assist the applicant or employee with these requirements, but if LTC is able to provide computer training, these individuals could learn to complete these tasks independently alongside everyone else. Additionally, SE group clients have expressed interest to the SE Case Manager to transition into ACCESS Services/CIE, and are frustrated to have to be put on a waitlist. They understand this is due to personnel shortages and support hiring additional staff.

6. Please describe how the concept you propose will enable you to provide more person-centered services to the individuals you serve.

A new Employment Specialist, who completes ACRE training and becomes a Person-Centered Thinking Trainer will allow LTC to resume PCT trainings for staff and others to ensure services are provided with in-depth person-centered thinking approaches.

7. What percentage of individuals served by your program will directly benefit from implementation of this concept?

100% of those we serve will benefit from the proposed additional personnel, trainings and resources. Those in SE groups will transition into CIE development through ACCESS services without being on a waitlist, and individuals ready for career exploration will have increased opportunities for individual, person-centered development of employment opportunities that match their interests, desires, and abilities.

8. Please address your plan for maintaining the benefits, value, and success of your project at the conclusion of 2021-22 HCBS Funding.

The funding requests in this concept are made to enhance and expand our CIE programs for the individuals LTC serves. We currently do not have these new positions and resources budgeted for, but will be budgeted for in the future to maintain the benefits, value, and success of this growing program.

9. 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](#).

Personnel Costs include salary/benefits for one Career Coach with technical knowledge to assist in all aspects of Career Exploration, as well as to provide computer skills training. Also included are salary/benefit costs for an Employment Specialist (ES)



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position. This individual will become a PCT Trainer and provide on-going PCT training to LTC staff and the community, in addition to guiding Discovery Services and supporting all aspects of CIE including PIP development and Tailored Day Services. Funds for salary/benefits for a Community Skills Trainer to provide job coaching for long-term success for CIE placements are also included.

Operating Expenses include the cost of ACRE training, PCT train-the trainer training through the Learning Community for Person Centered Practices, and costs for data plans to operate the computer training program.

Capital Expenses include the cost of 3 laptops for staff, the cost of 6 laptops for training, and the cost of a vehicle for increased access to the community for job seekers and support staff.

10. 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.

LTC has requested funding for positions that will serve dual-roles, covering several unfilled needs of those we serve. Responsibilities will bring value added services, and create revenue through job skills development/training, job placement, job coaching, and Person-Centered Thinking training. This will assist in maintaining these positions long term. Laptops will be maintained in order to be used over many years.

11. Have you or the organization you work with been a past recipient of DDS funding? If yes, what fiscal year(s)?

HCBS Funding \_\_\_ No  Yes. If Yes, FY(s): 17/18;18/19;19/20  
 Service Access and Equity 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.

### **For providers who have received prior HCBS, Disparity, CPP or CRDP Funding from DDS**

12. 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.

The funds provided for the 17/18 HCBS funding period were used for salaries for two initial ACCESS Services positions as development of the program continued. Two PCT Trainers became credentialed, which was also funded. In March 2020, the program design was approved. Unfortunately, in April 2020, the Program Manager/PCT Trainer resigned, so the program didn't receive referrals until September 2020 after a new Program Manager was hired.

Funds provided for the 18/19 funding period, therefore went largely unused. Some salaries and a vehicle were funded.

The program has since grown beyond capacity of the existing personnel. The ACCESS Services team continue to talk about CIE opportunities with individuals working in a supported employment group sites. They encourage community employment options through participation in the ACCESS Services Program.

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The Community Inclusion Specialist is completing the Work Incentives and Benefits Training/certification course. Funds from the 19/20 funding period will cover this cost.

Fifteen individuals that participated in ACCESS Services Discovery and Career Exploration have been hired in competitive employment settings. There have been three PIP placements, and two TDS referrals. There are now 31 individuals in CIE, all requiring job coaching supports.

13. 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.

Although previous funding has been applied to staff salaries, this concept is requesting funds for salaries for new staff positions to support the growth of the CIE program. Funds for training and for a vehicle for these new staff are also requested. Funds for laptops for these individuals and to incorporate a computer training component for individuals in the CIE program are also being requested. None of these are redundant from prior funding received, but are needed to enhance the program.

HCBS CONCEPT BUDGET	2021/2022					
Vendor Name	Lincoln Training Center					
Vendor Number(s)	HA0368; HA0369; PA2080					
	Wage and Benefits	Year 1 Budget		Year 2 Budget		Total
		FTE	Annual Cost	FTE	Annual Cost	Cost
<b>Personnel (wage + benefits)</b>						
Employment Specialist	28.69	2,080.00	\$ 59,675	29.55	\$ 61,466	\$ 121,141
Career Coach	27.8	2,080.00	\$ 57,824	28.63	\$ 59,559	\$ 117,383
Community Skills Trainer	26.39	2,080.00	\$ 54,891	27.18	\$ 56,538	\$ 111,429
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
			\$ -		\$ -	\$ -
<b>Personnel Subtotal</b>			<b>\$ 172,390</b>		<b>\$ 177,563</b>	<b>\$ 349,953</b>
<b>Operating expenses</b>						
Data Plans for 9 Laptops (3 staff; 6 training)			\$ 5,200		\$ 6,300	\$ 11,500
ACRE Training x 2 positions (\$600 each)			\$ 1,200			\$ 1,200
TLCPCP: PC Thinking Train the Trainer			\$ 13,500			\$ 13,500
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
<b>Operating Subtotal</b>			<b>\$ 19,900</b>		<b>\$ 6,300</b>	<b>\$ 26,200</b>
<b>Administrative Expenses</b>						
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
<b>Administrative Subtotal</b>			<b>\$ -</b>		<b>\$ -</b>	<b>\$ -</b>
<b>Capital expenses</b>						
6 laptops (training)			\$ 3,600			\$ 3,600
3 Laptops for 3 staff positions			\$ 1,800			\$ 1,800
Vehicle for Community Integration			\$ 35,000			\$ 35,000
						\$ -
						\$ -
						\$ -
						\$ -
						\$ -
<b>Capital Subtotal</b>			<b>\$ 40,400</b>		<b>\$ -</b>	<b>\$ 40,400</b>
<b>Total Concept Cost</b>			<b>\$ 232,690</b>		<b>\$ 183,863</b>	<b>\$ 416,553</b>

See Attachment F for budget details and restrictions