

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.

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	North Valley Services (NVS)
Vendor number(s)	H31005, P31005
Contact Name	Latisha Sisneros
Contact Email Address	latisha.sisneros@northvalleyservices.org
Primary regional center	Far Northern Regional Center
Service type(s)	Adult Day Support Center & Behavior Support Services
Service code(s)	505 & 110
Number of consumers typically and currently served	47
Typical and current staff-to-consumer ratio	1:6 & 1:3
<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>North Valley Services is a non-profit and has been in business since 1967. We operate 7 day programs, 1 of which is in Orland. Orland is the largest Day Program provider in Glenn County and serves 47 individuals. Pre-COVID a typical day would consist of serving all 47 individuals in-person daily with approx. 14 support staff. Day to day choices for individuals to choose from consisted of vocational opportunities at our Recycling Center located at the facility as well as other contract jobs within the community. Outings in the community were accessed by individuals being transported in commercial vehicles by support staff that held a commercial driver's license. If we had more non-commercial vehicles, we would be able to coordinate more individualized services in the community. Unfortunately, since COVID, we had to de-certify and shut down our Recycling Center which provided jobs and social interaction with the community. The one non-commercial vehicle that we do have in Orland when it is not being utilized to transport individuals to and from Day Program, is primarily utilized to maintain contract jobs that provide vocational opportunities to individuals. We provide in-person services Monday- Thursday and rotate outings and packet deliveries to those who cannot attend in-person or choose not to attend in-person at this time. If we had more non-commercial vehicles this would allow us to be able to provide more community integration and access to those attending in-person Monday-Thursday and allow us to offer more community access options to those who choose to on Friday's. With only having one non-commercial vehicle this creates a challenge when it comes to providing individualized person-centered supports and accommodations and can cause conflicts when individuals choose to do smaller or individual outings within the community. If we had a vehicle that could accommodate individuals in wheelchairs this would also allow us to provide individual outings in the community as well as maintain their safety.</p>	
<p>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</p>	

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has been learned in the past year and how that might shape services going forward. Funding awarded through this concept to span the course of to two years which would allow time to be more person-centered and align with the HCBS federal requirements.

2. Please provide a brief summary narrative of the concept for which you are requesting funding, including justification for the funding.

We are requesting \$155,000, \$150,000 would be allocated to purchase three additional accessible vehicles for our Orland Day Program. One of the accessible vehicles we would like to purchase would be fully equipped to accommodate two of our individuals who utilize wheelchairs. More accessible vehicles would allow us to offer more individualize community access, enhancing person-centered service delivery. The remaining \$5,000, would be utilized for all staff to be trained in Person Centered Thinking to ensure compliance with HCBS rules and regulations.

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 objective is to accommodate and provide more person-centered and individualized supports and services to individuals within the Glenn County in a non-congregated, community integrated setting of their choice enhancing person-centered practices. Currently, we monitor and track the number of hours individuals access the community and have documented objectives to outline their goals. We would be able to increase the number of hours provided in the community and document their progress semi-annually. This documentation and data will be compiled and reviewed semi-annually with the individuals and their ID Team. Additionally, we would be able to get staff trained in PCT to ensure we are providing quality supports and services to individuals.

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.

Since COVID, providing services in Orland has been extremely challenging. In the beginning, with the increase in COVID cases it was decided to shut down the facility due to the safety of the individuals and staff members. This time was utilized to provide alternative services restructure and improve the building, do maintenance repairs, paint, and develop new curriculum and service delivery options and getting very creative with delivering services to individuals on alternative services. During this time Orland staff provided alternative services in the consumers home or out in the community. During the duration of services being provided in an alternative setting, meetings were held with the individuals, Day Program Staff, Family Member/Care Provider/Conservator and Service Coordinator to discuss the services they were currently receiving, what their wishes, goals and objectives are. With Orland only have one non-commercial vehicle that is

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already primarily use for transporting consumers to and from program, landscaping and contract obligations currently being maintained and the lack of staff with commercial vehicles, it creates significant challenges with getting smaller groups in the community and our ability to provide more interactive, person-centered individualized supports and services. Based on the number of clients we serve (47), the lack of staff that have commercial licenses (2) and number of non-commercial vehicles (1), this maintains one of our biggest challenges when it comes to getting our consumers integrated into the community and being compliant with HCBS. Prior to COVID our agency was sending staff to receive Person Centered Training regularly. Most employees had already received Person Centered Training however, due to the impact of COVID and the turnover of employees we would have to get all new staff trained, which would be an additional expense to the agency. Additional funding allocated to be utilized towards ensure staff are both trained and educated in Person Centered Training would be extremely helpful and beneficial in achieving our goal to meet HCBS rules and ensure we are providing quality and Person-Centered supports and services.

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

If we were granted the funds to purchase non-commercial vehicles we would be to meet the HCBS rules and maintain compliance, offer consumers more individualized supports and services as they relate to their person centered plans. This would also allow us the opportunity to establish new relationships with outside agencies within the community. Due to their need for reliable transportation to and from work we could also assist with getting this person to and from work. The opportunity to volunteer more and find new ways to be involved and contribute to the community. We would be able to provide more quality opportunities to serve the consumers that utilize wheelchairs and accommodate their person centered plans.

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

100% of our clients would be able to benefit from the implementation of this concept. For the non-commercial class c vehicle, it would be able to accommodate any of our consumers, however, would be the only non-commercial vehicle to accommodate primarily our two consumers who utilize wheelchairs. This would allow easier access in the community when it comes to parking and accessing local businesses and restaurants.

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

NVS has a transportation department that has 2 mechanics that work out of our transportation shop. Vehicle safety and maintenance inspections are performed daily and/or by each staff that drive's that vehicle. California Highway Patrol performs annually inspections on our commercial vehicles which all non-commercial vehicles are held to the same standards in terms of maintenance, safety, repairs, inspections, etc. The benefit of having non-commercial vehicles will allow our Orland facility to be able to provide more services to more consumers in more individualized settings and allow us to recruit and train staff to obtain their commercial licenses. Non-commercial vehicles even after our employees obtain their commercial licenses will be available for the longevity of

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the vehicles lifespan to allow our staff to provide benefits of person-centered supports and offer these services.

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](#).

Funds will be utilized to purchase 3 accessible vehicles. Two of the vehicles will be Transit Crew Vans that seat up to approximately 5 passengers including the driver. The third vehicle will be to accommodate specifically 2 individuals that utilize wheelchairs. Any potential remaining funds will be applied and utilized towards any administrative costs or fees that may come with purchasing the vehicles, such as, Department of Motor vehicle fees, etc. Granted funds will be utilized within the six months one funds have been made available.

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.

N/A

11. Have you or the organization you work with been a past recipient of DDS funding? If yes, what fiscal year(s)?	HCBS Funding	<u> X </u>	No	<u> </u>	Yes.	If Yes,	FY(s)
	Service Access and Equity Funding	<u> </u>	No	<u> </u>	Yes.	If Yes,	FY(s)
	CPP Funding	<u> X </u>	No	<u> </u>	Yes.	If Yes,	FY(s)
	CRDP Funding	<u> X </u>	No	<u> </u>	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.

N/A

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.

N/A

HCBS CONCEPT BUDGET		Non-Commercial Class C Vehicles				
Vendor Name		North Valley Services				
Vendor Number(s)		H31005, P31005				
	Wage and Benefits	Year 1 Budget		Year 2 Budget		Total
		FTE	Annual Cost	FTE	Annual Cost	Cost
Personnel (wage + benefits)						
N/A			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Position Description			\$ -		\$ -	\$ -
Personnel Subtotal			\$ -		\$ -	\$ -
Operating expenses						
N/A					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
Operating Subtotal			\$ -		\$ -	\$ -
Administrative Expenses						
Any potential remaining funds					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
Administrative Subtotal			\$ -		\$ -	\$ -
Capital expenses						
2021 Ford Wheel Chair Van Conversion			\$ 60,000		\$ -	\$ 60,000
2021 Ford Crew Van			\$ 45,000		\$ -	\$ 45,000
2021 Ford Crew Van			\$ 45,000		\$ -	\$ 45,000
Person Centered Training for Employees			\$ 5,000		\$ -	\$ 5,000
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
					\$ -	\$ -
Capital Subtotal			\$ 155,000		\$ -	\$ 155,000
Total Concept Cost			\$ 155,000		\$ -	\$ 155,000

See Attachment F for budget details and restrictions