

## HCBS Settings Validation Visit Review Summary Report

<b>Site Name:</b>	<b>Site ID:</b>
<b>Site Address:</b>	<b>City:</b>
<b>Contact Person:</b>	<b>Email:</b>
<b>Current # of Individuals Served at this location regardless of funding:</b>	<b>Current # of Medicaid Individuals Served at this location:</b>
<b>Waiver(s) Served:</b>	<input type="checkbox"/> Acquired Brain injury <input type="checkbox"/> Aging Waiver <input type="checkbox"/> Community Supports <input type="checkbox"/> Community Transition <input type="checkbox"/> New Choices
<b>HCBS Provider Type:</b>	<input type="checkbox"/> Day Support Services <input type="checkbox"/> Adult Day Care <input type="checkbox"/> Residential Facility <input type="checkbox"/> Supported Employment <input type="checkbox"/> Supported Living
	<input type="checkbox"/> Employment Preparation Services
<b>Date of Onsite Assessment:</b>	<b>Assessment Completed By:</b>
<input type="checkbox"/> Virtual <input type="checkbox"/> In-person	

Validation visit reviews are conducted after a settings remediation/transformation plan has been approved and completed. Validation visit reviews focused on the areas the setting addressed within their remediation/transformation plans.

<b>Characteristic 1: 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.</b>			
<b>Information Sources (All that apply)</b>			<b>Remediation Required</b>
<input type="checkbox"/> Observation	Interview(s) with:		<input type="checkbox"/> Yes
<input type="checkbox"/> Record/Document Review	<input type="checkbox"/> Individual	<input type="checkbox"/> Leadership	<input type="checkbox"/> No
<input type="checkbox"/> Other:	<input type="checkbox"/> Staff	<input type="checkbox"/> Other:	
<input type="checkbox"/> Yes <input type="checkbox"/> No <b>Areas to Validate (areas addressed within their remediation/transformation plans)</b>			
●			
<b>Notes/Evidence of Compliance</b>		<b>Notes/Evidence of Non-Compliance</b>	

<b>Characteristic 2: The setting is selected by the individual from among setting options, including non-disability specific settings and an option for a private unit in a residential setting. The settings options are identified and documented in the person-centered plan and are based on the individual's needs, preferences, and, for residential settings, resources available for room and board.</b>
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<b>Information Sources (All that apply)</b>	<b>Remediation Required</b>
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<input type="checkbox"/> Observation <input type="checkbox"/> Record/Document Review <input type="checkbox"/> Other:	Interview(s) with: <input type="checkbox"/> Individual <input type="checkbox"/> Leadership <input type="checkbox"/> Staff <input type="checkbox"/> Other:	<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Yes <input type="checkbox"/> No <b>Areas to Validate (areas addressed within their remediation/transformation plans)</b>		
<b>Notes/Evidence of Compliance</b>		<b>Notes/Evidence of Non-Compliance</b>

**Characteristic 3: The setting ensures an individual's rights of privacy, dignity, and respect, and freedom from coercion and restraint.**

<b>Information Sources (All that apply)</b>		<b>Remediation Required</b>
<input type="checkbox"/> Observation <input type="checkbox"/> Record/Document Review <input type="checkbox"/> Other:	Interview(s) with: <input type="checkbox"/> Individual <input type="checkbox"/> Leadership <input type="checkbox"/> Staff <input type="checkbox"/> Other:	<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Yes <input type="checkbox"/> No <b>Areas to Validate (areas addressed within their remediation/transformation plans)</b>		
•		
<b>Notes/Evidence of Compliance</b>		<b>Notes/Evidence of Non-Compliance</b>

**Characteristic 4: The setting 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.**

<b>Information Sources (All that apply)</b>		<b>Remediation Required</b>
<input type="checkbox"/> Observation <input type="checkbox"/> Record/Document Review <input type="checkbox"/> Other:	Interview(s) with: <input type="checkbox"/> Individual <input type="checkbox"/> Leadership <input type="checkbox"/> Staff <input type="checkbox"/> Other:	<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Yes <input type="checkbox"/> No <b>Areas to Validate (areas addressed within their remediation/transformation plans)</b>		
•		
<b>Notes/Evidence of Compliance</b>		<b>Notes/Evidence of Non-Compliance</b>

**Characteristic 5: The setting facilitates individual choice regarding services and supports, and who provides them.**

<b>Information Sources (All that apply)</b>		<b>Remediation Required</b>
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<input type="checkbox"/> Observation <input type="checkbox"/> Record/Document Review <input type="checkbox"/> Other:	Interview(s) with: <input type="checkbox"/> Individual <input type="checkbox"/> Leadership <input type="checkbox"/> Staff <input type="checkbox"/> Other:	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Areas to Validate (areas addressed within their remediation/transformation plans)</b>		
<b>Notes/Evidence of Compliance</b>	<b>Notes/Evidence of Non-Compliance</b>	

<b>Characteristic 6: The setting enforces the Home and Community-Based Settings Regulation requirements.</b>
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<b>Information Sources (All that apply)</b>	<b>Remediation Required</b>	
<input type="checkbox"/> Observation <input type="checkbox"/> Record/Document Review <input type="checkbox"/> Other:	Interview(s) with: <input type="checkbox"/> Individual <input type="checkbox"/> Leadership <input type="checkbox"/> Staff <input type="checkbox"/> Other:	
		<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Areas to Validate (areas addressed within their remediation/transformation plans)</b>		
<b>Notes/Evidence of Compliance</b>	<b>Notes/Evidence of Non-Compliance</b>	

### Table prior to July 1, 2021

<b>Overall Compliance</b>	
<input type="checkbox"/>	Currently compliant with all characteristics (no further actions required at this time).
<input type="checkbox"/>	Requiring remediation to come into compliance with the Settings Rule; setting does not require Heightened Scrutiny
<input type="checkbox"/>	Setting has the effect of isolating individuals receiving Medicaid HCBS from the broader community; requires heightened scrutiny <ul style="list-style-type: none"> <li>• The setting requires remediation to comply with the settings rule criteria or must have a plan to comply with the settings rule criteria to the State's satisfaction prior to being submitted for heightened scrutiny</li> </ul>
<input type="checkbox"/>	Setting is presumed to be institutional in nature and is not found to meet the qualities for being HCBS. Setting cannot meet the qualities for being HCBS and/or setting chooses not to meet the qualities for being HCBS (settings will be dis-enrolled).

### Table post July 1, 2021

<b>Overall Compliance</b>	
<input type="checkbox"/>	Setting previously had the effect of isolating individuals receiving Medicaid HCBS from the broader community; requires heightened scrutiny <ul style="list-style-type: none"> <li>• Currently compliant with all characteristics (no further actions required at this time).</li> </ul>
<input type="checkbox"/>	Setting has the effect of isolating individuals receiving Medicaid HCBS from the broader community; requires heightened scrutiny

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	<ul style="list-style-type: none"><li>• The setting requires remediation to comply with the settings rule criteria or must have a plan to comply with the settings rule criteria to the State's satisfaction prior to being submitted for heightened scrutiny</li></ul>
<input type="checkbox"/>	Setting is presumed to be institutional in nature and is not found to meet the qualities for being HCBS. Setting cannot meet the qualities for being HCBS and/or setting chooses not to meet the qualities for being HCBS (settings will be dis-enrolled).