

HCBS Settings Additional Review Assessment Tool Residential

Provider Name/Provider ID:

Site Name/Site ID:

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.	
Indicators	Comments/Notes
<ul style="list-style-type: none"> ▪ Setting is not located in a facility that provides inpatient treatment ▪ Setting is not located on the grounds of or adjacent to a public institution ▪ Setting is physically accessible ▪ Setting is in a location that facilitates integration within the greater community (residential, restaurants, businesses, etc.) ▪ Services are provided in an area that is fully integrated (same as individuals not receiving HCB services) ▪ Individuals are allowed the freedom to move about inside and outside of the setting ▪ At any time, individuals can come and go. ▪ Schedules are individualized and focus on the needs and desires of the individuals ▪ Setting does not restrict knowledge of or access to information regarding age-appropriate activities ▪ Setting has activities that facilitate the process for individuals to pursue work as an option ▪ Setting facilitates the opportunity for individuals to have a checking account, a savings account, or other means to control personal funds ▪ Setting informs individuals they are not required to sign over their paycheck to the provider ▪ Setting provides contact information and access to training on the use of public transportation (schedules and contact info is available in a convenient location) 	
Remediation Plan Information (CAPs, areas to verify)	Comments/Notes
Policy/Training/Incident Report/Document Review	Comments/Notes

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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.	
Indicators	Comments/Notes
<ul style="list-style-type: none"> ▪ Setting reflects individual needs and preferences ▪ There is an option of a private room as appropriate ▪ Setting does not restrict access to non-disability settings (YMCA, volunteering, etc.) 	
Remediation Plan Information (CAPs, areas to verify)	Comments/Notes
Policy/Training/Incident Report/Document Review	Comments/Notes

Characteristic 3: The setting ensures an individual's rights of privacy, dignity, respect, and freedom from coercion and restraint.	
Indicators	Comments/Notes
<ul style="list-style-type: none"> ▪ Individual information is kept private (nothing personal posted) ▪ Staff do not talk to other staff about individuals in the presence of other individuals or in the presence of an individual as if they were not present ▪ Staff communicate and interact with individuals respectfully and in the manner in which they would like to be addressed ▪ Communication is conducted in a way the individual understands ▪ Individuals can have a private cell phone, computer, personal device, or the setting provides access, at any time, to a telephone or other technology device for the use of personal communication in private. ▪ Individual supports and plans are specific to the individual ▪ Individual supports and plans are not restrictive to the rights of other individuals receiving supports in the setting ▪ There is a secure place for the individuals to store personal belongings ▪ Information about filing a complaint is made available to individuals and they are informed on how to make a complaint ▪ Individuals receive personal assistance as desired and in private as appropriate 	

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<ul style="list-style-type: none"> ▪ Individuals are afforded dignity to dine and are treated age appropriately (not required to wear bibs) 	
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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.	
Indicators	Comments/Notes
<ul style="list-style-type: none"> ▪ Setting posts information on individual rights ▪ Setting allows the individual to engage in age appropriate legal activities (drinking, smoking, voting) ▪ Setting supports indoor and outdoor gathering spaces, large group and solitary spaces, as well as stimulating and calming activities ▪ Setting provides the opportunity for tasks and activities that matches skills, abilities, and desires ▪ Individuals can choose with whom to do activities, in or outside the setting, and participation is voluntary ▪ Individuals can sit in any seat in the dining area ▪ Individuals can eat privately if desired ▪ Setting provides an alternative meal if requested by the individual 	
Remediation Plan Information (CAPs, areas to verify)	Comments/Notes
Policy/Training/Incident Report/Document Review	Comments/Notes

Characteristic 5: The setting facilitates individual choice regarding services and supports, and who provides them.	
Indicators	Comments/Notes
<ul style="list-style-type: none"> ▪ Setting does not restrict services, providers, or supports available ▪ Individuals can update or change their preferences at any time 	

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<ul style="list-style-type: none"> ▪ Setting posts or provides information to individuals about how to request additional HCBS services or how to change their current HCBS ▪ Individuals receive support in developing plans to support their needs and preferences ▪ Staff is knowledgeable about the capabilities, interests, preferences, and needs of the individuals 	
Policy/Training/Incident Report/Document Review	Comments/Notes
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Characteristic 6: The individual has a lease or other legally enforceable agreement providing similar protections.	
Indicators	Comments/Notes
<ul style="list-style-type: none"> ▪ Individuals are provided with a lease, or for settings in which landlord tenant laws do not apply, a written residency agreement ▪ Individuals are informed of their rights regarding housing and when they could be required to relocate (including eviction and appeal process) ▪ Individuals are informed of how to relocate and request new housing 	
Remediation Plan Information (CAPs, areas to verify)	Comments/Notes
Policy/Training/Incident Report/Document Review	Comments/Notes

Characteristic 7: The setting ensures the individual has privacy in their sleeping or living unit including lockable doors, choice of roommates, and freedom to furnish or decorate the unit.	
Indicators	Comments/Notes
<ul style="list-style-type: none"> ▪ Individuals can close and lock bedroom and bathroom doors ▪ Staff only use a key to enter a living area or privacy space under limited circumstances agreed upon with the individuals ▪ Staff or other residents always knock and receive permission prior to entering a private living space ▪ Furniture, linens, and other household items reflect individual preferences, interests, and hobbies as desired 	

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<ul style="list-style-type: none"> ▪ Setting provides a choice of roommate and informs individuals how to request a change of roommate ▪ If cameras are in the setting, document where they are located and their purpose 	
Remediation Plan Information (CAPs, areas to verify)	Comments/Notes
Policy/Training/Incident Report/Document Review	Comments/Notes

Characteristic 8: The setting ensures the individual has the freedom and support to control his/her own schedule and activities, and have access to food at any time	
Indicators	Comments/Notes
<ul style="list-style-type: none"> ▪ Individuals can have a meal at the time of their choosing ▪ Snacks are accessible and available anytime ▪ Individuals are not required to adhere to a set schedule for everyday activities such as waking, bathing, eating, exercising, activities ▪ Individuals are allowed to access things such as TV, radio, and leisure activities that interest them 	
Remediation Plan Information (CAPs, areas to verify)	Comments/Notes
Policy/Training/Incident Report/Document Review	Comments/Notes

Characteristic 9: The individual can have visitors of his/her choosing at any time.	
Indicators	Comments/Notes
<ul style="list-style-type: none"> ▪ Individuals can have visitors at any time ▪ Visitors are welcomed and encouraged ▪ Visits with family, friends, etc. can be private. can be private with family and friends ▪ There are no restricted visitor meeting areas 	
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Characteristic 10: The setting is physically accessible to the individual.	
Indicators	Comments/Notes
<ul style="list-style-type: none"> ▪ Setting has no gates, Velcro strips, locked doors, or other barriers preventing individuals access to or from certain areas of the setting ▪ The setting is physically accessible ▪ The setting provides full access to typical facilities in a home such as a kitchen with cooking facilities, dining area, laundry, and comfortable seating in shared areas ▪ Supports such as grab bars, seats in bathroom, ramps, viable exits for emergencies, etc. are provided for individuals who need them 	
Remediation Plan Information (CAPs, areas to verify)	Comments/Notes
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Characteristic 11: The setting ensures that any modification of the HCBS Settings qualities and conditions is supported by a specific assessed need and justified in the person-centered service plan.	
Indicators	Comments/Notes
<ul style="list-style-type: none"> ▪ Plans with modification or restrictions include a description of the condition that is directly related to the assessed need, data to support ongoing effectiveness of the intervention, time limits for periodic reviews to determine the ongoing necessity of the modification, informed individual consent, and assurance that the intervention will not cause the individual harm ▪ Documentation notes the positive interventions and supports that were used prior to any plan modifications ▪ Documentation notes the less intrusive methods that were used prior to plan modifications to meet the needs of the individual ▪ Prior consent by the individual and/or their representative is required prior to the use of restraints and/or restrictive interventions and this is documented 	
Remediation Plan Information (CAPs, areas to verify)	Comments/Notes
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Characteristic 12: The setting enforces the Home and Community-Based Settings Regulation requirements.	
Indicators	Comments/Notes
<ul style="list-style-type: none"> ▪ Paid and unpaid staff receive new hire training and continuing education related to the rights of individuals and individual experience ▪ Policies outlining participant rights and experiences are made available when requested ▪ HCBS Settings policies are regularly reassessed for compliance and effectiveness 	
Remediation Plan Information (CAPs, areas to verify)	Comments/Notes
Policy/Training/Incident Report/Document Review	Comments/Notes

Other Comments/Notes	
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Setting address:		City:	
Assessment completed by:		Date of onsite assessment:	