Alabama Department of Mental Health
Division of Developmental Disabilities

NON-Residential Setting Self-Assessment

The Alabama Department of Mental health (DMH) has adopted a Non-Residential HCBS Setting-Specific Self-Assessment tool to address the Centers for Medicare and Medicaid Services (CMS) Home and Community-Based Services (HCBS) Settings Rule. CMS requires states to evaluate current HCBS settings to determine current level of provider and setting compliance with the HCBS Settings Rule and to provide a framework to assist providers with the steps necessary to reach full compliance. All Non-Residential Settings serving waiver participants must be in full compliance with the HCBS Settings Rule by **March, 2022** in order to receive HCBS Waiver funding after this time. **Providers must complete ONE Non-Residential Self-Assessment for each setting/location where HCBS waiver services are provided. If more than one service is provided at a specific setting/location, provider must complete a separate Non-Residential Self-Assessment for each service.** Send questions to HCBS@mh.alabama.gov.

Please read the instructions for completing this Setting-Specific Non-Residential Self-Assessment before beginning!!

Section A – Provider Information

Agency Name per DMH Contract	Executive Director's Name
Address	Phone #

City	Zip	Email

1. Setting name	Setting Address	City, State, Zip Code

2. Service provided in this setting: Choose **one** that will be addressed in **this** assessment. Complete a separate assessment for each service provided, if more than one.	☐ Facility-Based Adult Day Services ☐ Facility-Based Prevocational Services
3. Location of setting (choose one):	☐ Urban ☐ Suburban ☐ Rural
4. Setting provides services funded by:	Select all that are applicable: ☐ Private Pay ☐ Waiver ☐ ADRS ☐ Education ☐ DHR ☐ ETF ☐ Other (describe)
5. Who is served in this setting? (*more than one may apply*) Check all that apply ☐ Adults (18 years and older) ☐ Children (0-17 year olds) ☐ Transition Age Youth (14-24 years old) *Checking this box indicates that the setting offers services to this population, for informational purposes only	Select all that are applicable: *Use the setting census at the time you are completing this assessment and only count a **person once** using their primary target group.* ☐ Intellectual/Developmental Disabilities How many children? _____ How many Adults? _____ ☐ Physical disabilities How many children? _____ How many Adults? _____ ☐ Medically Fragile How many children? _____ How many Adults? _____
6. Does this setting hold a sub-minimum wage certificate?	☐ Yes ☐ No
Signature of Person Completing this self-assessment:	Date:
Signature of Executive Director:	Date:

Definitions

Setting Type
Facility-based: Facility-based settings include, but are not limited to: (1) a setting that provides people with disabilities work and daytime activities primarily with other people with disabilities; (2) congregate settings populated exclusively or primarily by people with disabilities and staff that support them.

Service Types
Adult Day Services: Day services programs provide regularly scheduled, individualized skill development activities for participants. Services are typically provided in a non-residential setting. Day services include services primarily intended for adults with disabilities. Program goals may include developing/enhancing participant skills for social interaction, communication, or community integration. Day services must have a training component providing service above the level of basic supervision. Services are typically provided up to five hours per day, up to five days per week outside the home of the participant. Services may occur in a single physical environment or multiple environments or in the community at large. Community-based services take place in the community (and not in a facility) where interaction with people without disabilities could occur. Facility-based services take place in a facility, such as a certified day program, or prevocational center.

Prevocational Services: Prevocational services involve the provision of learning and work experiences where a participant can develop general, non-job-task-specific strengths, and skills that contribute to employability in paid employment in integrated, community settings. Services are expected to occur over a defined period of time as determined by the participant in the ongoing participant-centered planning process and only until integrated community employment can be obtained. Services are expected to specifically involve strategies that enhance a participant's employability in integrated, community settings. Competitive employment and/or supported employment are considered successful outcomes of prevocational services. Prevocational services should enable each participant to attain the highest possible wage and work which is in the most integrated setting and matched to the participant's interests, strengths, priorities, abilities, and capabilities. Services are intended to develop and teach general skills that lead to employment including but not limited to: ability to communicate effectively with supervisors, co-workers and customers; generally accepted community workplace conduct and dress; ability to follow directions; ability to attend to tasks; workplace problem solving skills and strategies; general workplace safety and mobility training. Individuals receiving this service should be on a "pathway to employment" as documented in the person-centered plan.

Public Institution: The CMS definition of public institution under the HCBS Settings Rule is the existing definition under 42 C.F.R. § 435.1010: "Public Institution" means an institution that is the responsibility of a governmental unit or over which a governmental unit exercises administrative control. For purposes of this regulation, a public institution is an inpatient facility that is financed and operated by a county, state, municipality, or other unit of government. A privately owned nursing facility is not a public institution.

Section B - The HCBS Settings Rule identifies settings that are presumed to have institutional qualities and, therefore, may not meet the rule's requirements and require "Heightened Scrutiny" process to determine whether they meet the rule requirements. This non-residential self-assessment assists the state in identifying settings that will required "Heightened Scrutiny" to determine whether they meet the rule requirements. Citations : 42 CFR § 441.301(c)(5)(v) and 42 CFR § 441.301(c)(4)(i)			
(NOTE: Some questions may continue on following page!)			Comments
All Settings 1. Is the setting adjacent to or under the same roof as a building that houses a publicly or privately operated facility which provides inpatient institutional care: skilled nursing facility (SNF), immediate care facility for individuals with intellectual disabilities (ICF/IID), institute for mental disease (IMD), or hospital?		☐ Yes The facility is adjacent to or under the same roof as a building that houses a publicly or privately operated facility which provides inpatient institutional care.	☐ No The facility is not adjacent to or under the same roof as a building that houses a publicly or privately operated facility which provides inpatient institutional care.	
2. Is the facility located on the grounds of, or immediately adjacent to, a building that is a public institution which provides inpatient institutional care (Skilled Nursing Facility (SNF), Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID), Institute for Mental Disease (IMD), or hospital)?		☐ Yes The facility is located on the grounds of, or immediately adjacent to, a building that is a public institution which provides inpatient institutional care.	☐ No The facility is not located on the grounds of, or immediately adjacent to, a building that is a public institution which provides inpatient institutional care.	
3. Does the setting otherwise have the effect of isolating individuals receiving Medicaid-funded HCBS from the broader community of individuals not receiving HCBS?		☐ Yes The setting does otherwise have the effect of isolating individuals receiving Medicaid-funded HCBS from the broader community of individuals not receiving HCBS.	☐ No The setting does not otherwise have the effect of isolating individuals receiving Medicaid-funded HCBS from the broader community of individuals not receiving HCBS.	
4. Are there gates, locked doors, or other barriers that would prevent a person's entrance to or exit from the setting?		☐ Yes There are gates, locked doors, or other barriers that would prevent a person's entrance to or exit from the setting.	☐ No There are no gates, locked doors, or other barriers that would prevent a person's entrance to or exit from the setting.	

| 5. Is the setting in a location where it is easy and convenient for people to access the broader community from that setting?

Definitions:
• **"Easy and convenient access"** is defined as suitable, appropriate, expedient involving little trouble or effort or situated so as to allow easy access.
• **"Broader Community"** refers to the community that is not directly connected to the setting, including a wider area outside the setting location. "A location near residential buildings, private or retail businesses, restaurants, office and other locations where community member come and go." Per CMS Guidance
• **"Setting"** is defined as the place or type of surroundings where something is positioned or where an event takes place.
• A **"Mile"** is approximately 10-12 City Blocks or 1,760 yards.
• **"Close"** is defined as a short distance away. | 5A. Is the setting within walking distance, to allow people access to the broader community? | ☐Yes
a. What is the distance a person would need to walk to access the broader community from this setting?
☐ 1/8 mile or less
☐ ¼ mile
☐ ½ mile
☐ 1 mile or more
b. Which of the following best describes the location of the setting? Choose one:
☐ In the central/downtown area of the community in which the setting is located
☐ On the outskirts of the community in which the setting is located
☐ Within the boundaries of a community (e.g., city, town, or village) but neither central/downtown area or on the outskirts of the community
☐ In an area between two or more communities (e.g., between towns, villages, or cities) that are open to the public
☐ Other | ☐ No
This setting is not within walking distance of under 1 mile to the broader community. | |

	5B. Are there at least two of the following: sidewalks, pedestrian roads, signage, curb cuts, accessible ramps, etc. available at or near the setting to allow people access to the broader community?	☐Yes How far away are the signage, sidewalks, pedestrian roads curb cuts, ramps etc. located from the setting in order for people access to the broader community? ☐ 1/8 mile or less ☐ ¼ mile ☐ ½ mile or more ☐ Other	☐ No There are not at least two of the following: sidewalks, pedestrian roads, signage, curb cuts, accessible ramps, etc. available within at least ½ mile of the setting to allow people access to the broader community.	
	5C. Is the setting close to other businesses that have people coming and going from the broader community?	☐Yes a. The setting is within ☐ 1/8 mile or less ☐ ¼ mile ☐ ½ mile ☐ 1 mile or more of people coming and going from the broader community. b. Which best describes the setting's location in relation to other community venues that are open to the public during the time that HCBS are being provided in the setting? Choose one: ☐ A person without mobility limitations could comfortably walk to **most** other community venues that are open to the public, within ten minutes of leaving the setting ☐ A person without mobility limitations would need to ride in a car, taxi, van or bus to get to **most** other community venues that are open to the public, within ten minutes of leaving the setting ☐ A person without mobility limitations would need to ride in a car, taxi, van or bus for longer than ten minutes to get to **most** other community venues ☐ Other	☐ No This setting is not within one mile of other businesses that have people coming and going from the broader community.	

	5D. Is the setting near any of the following; parks, recreational activities, schools and colleges/universities, public facilities such as library, community center, job center, restaurants, stores, etc.?	☐Yes The setting is within one mile of the following: (Check all that apply) ☐ Parks ☐ Recreational activities ☐ schools/colleges /universities ☐ Library ☐ Community Center ☐ Job Center ☐ Stores/restaurants ☐ Other	☐ No This setting is not within one mile of the following: parks, recreational activities, schools and colleges/universities, public facilities such as library, community center, job center, restaurants, stores, etc.	
==All settings== 6. Do people receive services in an area of the setting that is fully integrated with people not receiving services? Definitions: • **"Fully"** refers to completely, entirely, without exception. • **"Integrated"** brings people or groups into equal participation in or membership of the broader community. CMS describes a process of supporting full access to the greater community (including rights, opportunities and choices) for an individual to the same degree as those not receiving HCBS. • **"Interacting"** means the ability for a person to interact, converse and/or communicate that goes beyond simply being in the same physical space at the same time.	6A. Are there people who do not receive HCBS services in the setting who are not paid staff or volunteers?	☐Yes Choose one ☐ The setting includes people who do not receive HCB services most of the time. ☐The setting includes people who do not receive HCBS, at least weekly. ☐ Other_____	☐ No People receive services in an area of the setting that only includes people receiving HCB services, paid staff and volunteers.	
	6B. Are the people receiving HCB services interacting with people from the broader community on a daily basis?	☐Yes People from the broader community have daily interaction with people receiving HCB services in the setting.	☐ No People receiving HCB services do not have daily interaction with the broader community.	
	6C. Do people receiving HCB services have access to more than group/congregate activities in this setting?	☐Yes People receiving HCB services do have access to more than group/congregate activities that are tailored to their individual interests in this setting.	☐ No People only have access to group/congregate activities in this setting.	

All settings				
7. Is the setting separate from medical, behavioral, or therapeutic services? Definition: • **"Separate"** is not connected, is distinct from the setting.	7A. Does the setting provide any of the following: Physical, Occupational, Speech Therapies; counseling and/or mental health treatment; behavioral analysis; medical services from a doctor or nurse?	☐Yes Is/Are the service/s provided in this setting in: ☐ the same complex as the setting ☐ the same building as the setting ☐ the same room while others are engaging in other activities in the setting ☐ Other	☐ No The setting does not provide any of the following: Physical, Occupational, Speech Therapies; counseling and/or mental health treatment; behavioral analysis; medical services from a doctor or a nurse.	

Section C - The setting is integrated in and supports full access of people 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 people not receiving Medicaid HCBS. Citations: 42 CFR 441.301(c)(4)(i)				
(NOTE: Some questions may continue on following page!)				**Comments**
All settings 8. Does the setting provide opportunities for regular meaningful non-work activities in integrated community settings <u>for the amount of time desired by the person</u>? Definitions: ∗ **"Opportunity"** is considered an amount of time or a situation in which an activity can be done. ∗ **"Meaningful"** is defined as having real importance or value. ∗ **"Regular"** is defined as happening frequently at the same time or in the same way occurring daily, weekly or monthly. ∗ **"Integrated"** brings people or groups into equal participation in or membership of the broader community. CMS describes a	8A. Does the setting provide **opportunities** for people receiving HCB services to **interact** with **others not paid** to provide support?	☐Yes a. How often are opportunities provided for people receiving HCB services to interact with others not paid to provide support? ☐ Throughout the day ☐ Once a day ☐ Once a week ☐ Other b. Who are the "others" not paid to provide support that people receiving HCB services interact with in the setting? *Check all that apply* ☐ Other people not receiving HCB services doing similar work or non-work activities ☐ Volunteers such as faith-based representatives and community groups, e.g. clubs, musical groups, etc. ☐ Family and Friends ☐ Other ∗ Refer to CMS Guidance relating to Reverse Integration	☐ No Opportunities are not available in this setting for people receiving HCBS to interact with others not paid to provide support.	

process of supporting full access to the greater community (including rights, opportunities and choices) for an individual to the same degree as those not receiving HCBS. ∗ **"Same"** is defined as identical; not different. ∗ **"Degree"** is the amount, level, or extent to which something happens or is present. ∗ **"Access"** is defined as a means of approaching or entering a place.	8B.Does the setting provide opportunities for regular non-work activities of the person's choosing?	☐Yes What is the frequency of the non-work activities offered? ☐ More than once per day ☐ Once a day ☐ Once a week ☐ Other	☐ No This setting does not offer non-work activities.	
	8C. Does the setting have the same degree of access to the community as people not receiving Home and Community-Based Services (HCBS)?	☐Yes a. How often does this setting provide access to the community for people receiving HCB services? ☐ Once a day ☐ Once a week ☐ Other	☐ No This setting does not have the same degree of access to the community as people not receiving HCB services.	
		b. Does the setting's individual service plan address how a person's individualized goals can be met through involvement in activities outside of the setting? ☐ Yes ☐ No ☐ Other		
	8D. Does the setting offer non-work activities to complete a full day of support, when needed?	☐Yes What non-work activities are offered for people to complete a full day of support, when needed? *Check all that apply* ☐ Career exploration and development (job shadowing, soft skills practice, resume building, etc.) ☐ Recreation and leisure (arts, music, shopping, etc.) ☐ Independent living skills development (cooking, grocery shopping, etc.) ☐ Volunteering ☐ Other	☐ No This setting does not offer non-work activities to complete a full day of support.	
	8E. Does the setting encourage visitors or other people from the greater community (aside from paid staff) to be present and is there evidence that visitors have been present at regular frequencies?	☐Yes a. Typically how often are visitors or other people from the community (aside from paid staff) present in this setting? ☐ Daily ☐ Weekly ☐ Meeting away from the setting ☐ Other b. What documentation is available to support visitors have been present at regular frequencies?	☐ No The setting does not encourage visitors or other people from the greater community (aside from paid staff) to be present in the setting.	

		☐ Case notes ☐ Schedules ☐ Visitor/Volunteer logs ☐ Other		
	8F. Does the setting otherwise encourage interactions with the public?	☐Yes a. Typically, how often does the setting encourage interaction with the public? ☐ Daily ☐ Weekly ☐ Other	☐ No The setting does not otherwise encourage interactions with the public.	
Settings Who Provide WORK ACTIVITIES ONLY 9. Does the setting provide opportunities for regular meaningful work activities in integrated community settings for the amount of time desired by the person? Definitions: ∗ **"Opportunity"** is considered an amount of time or a situation in which an activity can be done. ∗ **"Meaningful"** is defined as having real importance or value. ∗ **"Regular"** is defined as happening frequently at the same time or in the same way occurring daily, weekly or monthly. ∗ **"Integrated"** brings people or groups into equal participation in or membership of the broader community. CMS describes a process of supporting full access to the greater community (including rights, opportunities and choices) for an individual to the same degree as those not receiving HCBS. ∗ **"Competitive Employment"** is defined as work performed by a person with a disability in an	9A. Does the setting provide opportunities for people receiving HCB services to seek employment and work in competitive integrated settings?	☐Yes a. What services are provided that support employment and work in competitive integrated settings provided to people receiving HCB services? *Check all that apply* ☐ Job shadowing ☐ Soft skill training ☐ Community work experiences ☐ Portfolio and/or resume development activities ☐ Business tours ☐ Mock interviews with community employers ☐ Work Incentive Benefits Counseling ☐ Vocational Futures Planning and Support services ☐ Individual or group Discovery or other integrated employment best practice assessments ☐ Job placement ☐ Job coaching ☐ Job follow along support ☐ Opportunities and counseling for career advancement ☐ Assessment Discovery ☐ Supported Employment transportation ☐ Benefits reporting ☐ Personal care on the worksite ☐ Other b. How often is the opportunity to work in competitive integrated settings offered to each person receiving HCB services in the setting? *Choose one:*	☐ No The setting does not provide opportunities to seek employment and work in competitive integrated settings for people receiving HCB services.	

integrated setting at minimum wage or higher and at a rate comparable to non-disabled workers performing the same tasks. ∗ **"Broader Community"** refers to the community that is not directly connected to the setting, including a wider area outside the setting location. "A location near residential buildings, private or retail businesses, restaurants, office and other locations where community member come and go." CMS Guidance		☐Daily ☐Weekly ☐Monthly ☐Quarterly ☐Once or twice a year at planning meetings ☐ Other c. Does the setting routinely invite Vocational Rehabilitation Counselors and/or Supported employment services professionals to people's service plan meetings if the person is not yet pursuing or participating in competitive integrated employment? ☐ Yes ☐ No ☐ Other d. Does the setting assist interested people receiving HCB services with completing application for Vocational Rehabilitation services? ☐ Yes ☐ No ☐ Other		
	9B. Does the setting support paid competitive integrated employment for people receiving HCB services for long-term follow-up?	☐Yes a. How does the setting support paid integrated employment opportunities for people receiving HCB services? *Check all that apply* ☐ The setting holds a current ADRS/VR contract for supported employment and/or job placements services ☐ The setting provides long-term supports for supported employment services ☐ Other b. Does the setting permit people who receive HCB services to flex their weekly schedule of attendance to accommodate integrated job? ☐ Yes ☐ No ☐ Other	☐ No The setting does not provide paid competitive integrated employment opportunities for people receiving HCB services.	

9C. Does the setting provide opportunities for people to interact with others not paid to provide support?	☐Yes Who are the people receiving HCB services interact with in the setting that are not paid to provide support? *Check all that apply* ☐ Co workers ☐ Customers/general public ☐ Supervisor ☐ Other	☐ No The setting does not provide opportunities for people receiving HCB services to interact with others not paid to provide support.	
9D. Does the setting provide regular meaningful work activities in integrated community settings for people receiving HCB services?	☐Yes a. Typically, how frequently do people receiving HCB services work in a community setting? ☐ Daily ☐ Weekly ☐ Monthly ☐ Other b. What percentage of people receiving HCB services in the setting experience work in a community setting? ☐ less than 20% ☐ 21-40 % ☐ 41-60% ☐ 61-75% ☐ 76-90% ☐ 91-100% ☐ Not applicable	☐ No The setting does not provide opportunities for regular meaningful work activities of the person's choosing.	
9E. Does the setting provide meaningful person-centered assessments about what is important and valuable to the person receiving HCB services regarding integrated work?	☐Yes How does the setting typically provide meaningful person-centered/self-directed assessments for people receiving HCB services? *Check all that apply* ☐ Provides Discovery process or integrated employment assessment to determine interests, skills and possible job matches ☐ Meets with family/guardian ☐ Meets with the person in their home ☐ Reviews school records for work experiences and trials ☐ Meets with the person in the community to observe and gather information ☐ Other	☐ No The setting does not provide meaningful person-centered assessments about what is important and valuable to the person receiving HCB services in regard to integrated work.	

	9F. Is the setting aware of each person's integrated employment goal in their service plan?	☐Yes ☐ The setting is aware of documentation of an integrated employment goal in each person's service plan.	☐No The setting is not aware of each person's integrated employment goal in their service plan.	
	9G. Does the setting have a plan to establish and measure progress toward integrated employment goals for people receiving HCB services?	☐Yes a. How does the setting measure the progress to meet the person's integrated employment goals? *Check all that apply* ☐ Document current status ☐ Determine skills gap and create targeted goals toward integrated employment ☐ Develop a plan with timelines on progress toward reaching integrated employment outcomes b. ☐ Other Does the setting, at least annually, set bench mark goals for increasing the number of people receiving HCB services that obtain and/or sustain competitive integrated employment? ☐ Yes ☐ No ☐ Other c. Does the setting, at least annually, measure the number of people receiving HCB services that obtain and or sustain competitive employment? ☐ Yes ☐ No ☐ Other	☐ No The setting does not have a plan to establish milestones and measure progress of integrated employment goals for people receiving HCB services.	
	9H. Does the setting have the same degree of access for people receiving HCB services to the community as people not receiving Home and Community-Based Services (HCBS)?	☐Yes How often does the setting offer to people receiving HCB services access to the broader community? ☐ Once a day ☐ Once a week ☐ Other	☐ No The setting does not have the same degree of access for people receiving HCB services to the community as people not receiving Home and Community-Based Services (HCBS).	
• **"Typically"** is defined as generally or normally: in the usual way.	9I. When supported employment services are approved as a service in an individual's plan, does	☐Yes a. Are people receiving HCB services typically able to work in integrated work activities as much as they would	☐ No The setting does not allow people receiving HCB services to spend the	

	the setting allow people that receive HCB services to spend their desired amount of time in integrated work activities?	like? ☐ Yes ☐ No ☐ Other b. On average, how much time do people receiving HCB services request to work in the community in integrated settings? ☐ 1-4 hours per day ☐ 5-8 hours per day ☐ 10-15 hours a week ☐ 16-20 hours a week ☐ Other _____ c. On average, how much time do people receiving HCB services work in community integrated settings? ☐ 1-4 hours per day ☐ 5-9 hours per day ☐ 10-15 hours a week ☐ 16-20 hours a week ☐ Other	desired amount of time in integrated work activities.	
Definition: • **"Volunteer"** is defined as a person who performs a service willingly and without pay.	9J. Does the setting support people receiving HCB services to volunteer with people with and without disabilities in the broader community for charitable, non-profit organizations?	☐Yes On average, how often do people receiving HCB services volunteer in the broader community? Choose one: ☐ Weekly ☐ Monthly ☐ Less frequently than monthly ☐ Other	☐No The setting does not support people receiving HCB services to volunteer in their local communities for charitable, non-profit organizations.	
<mark>ALL Settings</mark> 10. Does the setting afford opportunities for individual schedules that focus on the needs and desires of a person and provides an opportunity for personal growth? Definition: • **"Leave"** means sick time, vacation, and personal holidays.	10A. Does the setting offer opportunities, identified by a person receiving HCB services, to access activities/classes that promote new learning (e.g., yoga, a craft, an instrument, etc.)?	☐Yes How does the setting provide identified opportunities for people to access activities/classes that promote new learning? *Check all that apply* ☐ Ask the person directly about their desire for personal growth opportunities ☐ Ask friends and family about activities/classes the person may like ☐ Provide opportunities for people to explore and experience different activities to determine what they would like to do ☐ Other	☐ No The setting does not offer opportunities identified by people who receive HCB services to access activities/classes that promote new learning.	

| | 10B. Does the setting provide people receiving HCB services with the opportunity to participate in negotiating his/her schedule, break/lunch times to the same extent as people not receiving Medicaid funded HCBS? | ☐Yes
a. How does the setting provide people receiving HCB services with the opportunity to participate in negotiating his/her schedule to the same extent as people not receiving Medicaid funded HCBS?
Check all that apply
☐ Person makes their own daily schedule
☐ Person makes their own weekly schedule
☐ Setting gives choices of activities so the person can make their own schedule
☐ Other
b. How does the setting typically provide people receiving HCB services with the opportunity to participate in negotiating his/her break/lunch times to the same extent as people not receiving Medicaid funded HCBS?
☐ Setting offers at least 2 choices of break times
☐ Setting offers at least 2 choices of lunch times
☐ Setting allows person to eat whenever they desire
☐ Setting allows person to snack whenever they desire
☐ Setting allows person to eat wherever they desire
☐ Other | ☐ No
The setting does not provide people receiving HCB services with the opportunity to participate in negotiating his/her schedule, break/lunch times, to the same extent as people not receiving Medicaid funded HCBS. | |

All Settings 11. Does the setting allow people the freedom to move about inside?	11A. Does the setting have rules about freedom of movement inside the setting that could be considered different for people receiving HCB services from people not receiving HCB services?	☐Yes a. What are the movement rules of the setting that could be considered different for people receiving HCB services from people not receiving HCB services? *Check all that apply* ☐ Designated smoking area ☐ Stay within the boundaries of the room ☐ Stay within the boundaries of the work area ☐ Cannot leave the workstation unless requested or signaled ☐ Cannot leave sitting area unless requested or signaled ☐ Bathroom breaks have designated times only ☐ Cannot change seating arrangements ☐ Cannot leave the building ☐ Other b. Are there restricted areas in the setting that could be considered different for people receiving HCB services from people not receiving HCB services? ☐ Yes ☐ No	☐ No The setting does not have rules about freedom of movement inside the setting that could be considered different for people receiving HCB services from people not receiving HCB services.	
All Settings 12. Does the setting allow people the freedom to move about outside?	12A.Does the setting allow people receiving HCB services the freedom to move about outside to the same degree of access as people not receiving HCB services?	☐Yes ☐ The setting does not have rules about movement outside the setting and the people receiving HCB services can move about the outside of the setting freely to the same degree of access as people not receiving HCB services.	☐ No The setting does have rules about movement outside the setting and the people receiving HCB services cannot move about the outside of the setting freely to the same degree of access as people not receiving HCB services. *Check all that apply* ☐ Cannot leave the setting grounds ☐ Must stay at picnic table/area ☐ Must stay within designated smoking area ☐ Other	

<mark>All Settings</mark> 13. Definitions: • **"Integrated"** brings people or groups into equal participation in or membership of the broader community. CMS describes a process of supporting full access to the greater community (including rights, opportunities and choices) for an individual to the same degree as those not receiving HCBS. ∗ **"Community-based"** Community-based settings include, but are not limited to: (1) a setting that provides people with disabilities opportunities to work and participate in daytime activities in the greater community; (2) provide people with disabilities the opportunity to interact with people without disabilities.	13A. Does the setting offer options for people receiving HCBS to receive services in community-based integrated settings in addition to the current setting?	☐Yes ☐ The setting provides community-based prevocational services for adults ☐ The setting provides community-based day services for children ☐ The setting provides community-based adult day care services ☐ Special event outings ☐ Other a. How often do people to people receiving HCB services access services in an integrated setting? ☐ Daily ☐ Weekly ☐ Monthly ☐ Less frequently than monthly ☐ Other	☐ No Options are not available to people receiving HCB services to receive services in community-based integrated settings in addition to the current setting.	
<mark>All Settings</mark> 14. Is transportation available to/from the facility?	144A. Is there public transportation to and from the setting to the broader community?	☐Yes There is public transportation in this community.	☐ No Public transportation is not available in this community.	
	14B. Is there accessible public transportation from the setting to the broader community?	☐Yes There is accessible public transportation in this community to and from the setting.	☐ No There is not accessible public transportation in this community to and from the setting.	

| | 14C. Does the setting provide transportation for people to people receiving HCB services to the broader community when requested? | ☐Yes
a. How does the setting provide transportation to the broader community for people receiving HCB services?
Check all that apply
☐ Setting owned vehicle
☐ Staff vehicles
☐ Volunteer drivers
☐ The setting provides assistance for people receiving HCB services to walk to places in the greater community
☐The setting owns or leases private vehicles (smaller than minivan) to provide transportation for people receiving HCB services to get to other places in the greater community during service hours
☐Staff accompany people receiving HCB services to access and use public transportation to get to other places in the greater community
☐ Other
b. How can a person receiving HCB services request transportation to the broader community?
☐ Make an appointment with staff
☐ Sign-up sheet
☐ Other
c. How long does someone receiving HCB services have to wait in order to access/receive transportation to the broader community after a request?
☐ Same day request
☐ One week or less
☐ Other | ☐ No
The setting does not provide transportation to and from the setting for people receiving HCB services. | |

	14D. Does the setting provide information regarding types of transportation to people receiving HCB services in a convenient location?	☐Yes Transportation information is posted in accessible areas for people in the setting. a. What transportation information is provided to people receiving HCB services? ☐ Bus schedule ☐ Volunteer driver list ☐ Computer with internet access ☐ Other	☐ No The setting does not provide information regarding transportation to people receiving HCB services in a convenient location.	
	14E. Does the setting utilize transportation that allows access to the broader community and activities including paid employment for people receiving HCB services?	☐Yes What is done to ensure people receiving HCB services can utilize public transportation? ☐ The setting assists people to apply for and obtain passes to use public transportation ☐ The setting purchases passes or tickets to allow people to use public transportation options ☐ The setting arranges for the provider of public transportation to provide training to people about how to use the public transportation available ☐ The setting provides training to people on how to use public transportation ☐ Other	☐ No The setting does not utilize transportation that allows access to the broader community and activities including paid employment.	
<mark>All Settings</mark> 15. Does the setting assure that tasks and activities, both inside and outside the facility, are comparable to tasks and activities for people of similar ages who do not receive services?	15A. Does the setting provide tasks and activities inside the setting that are comparable to tasks and activities for people of similar ages who do not receive HCB services?	☐Yes What tasks and activities are provided inside the setting that is comparable to tasks and activities for people of similar ages who do not receive HCB services? *Check all that apply* ☐ Work tasks ☐ Arts & crafts & games ☐ Physical activities/exercise ☐ Movies/television ☐ Music ☐ Other	☐ No The setting does not provide tasks and activities inside the facility that are comparable to tasks and activities for people receiving HCB services of similar ages to those who do not receive HCB services.	

	15B. Does the setting provide tasks and activities outside the facility that are comparable to tasks and activities for people receiving HCB services of similar ages who do not receive HCB services?	☐Yes What tasks and activities are provided outside the setting that is comparable to tasks and activities for people receiving HCB services of similar ages who do not receive HCB services? *Check all that apply* ☐ Movies ☐ Shopping ☐ Attending community social events ☐ Clubs/gyms ☐ Other (Please List)	☐ No The setting does not provide tasks and activities outside the facility that are comparable to tasks and activities for people receiving HCB services of similar ages to those who do not receive HCB services.	
	15C. Does the setting offer people receiving HCB services choices about participation in community outings at different times?	☐Yes How does the setting offer choices to people receiving HCB services about participation in community outings at different times? Check all that apply: ☐ The setting offers a choice between several different times a person can participate in community activities ☐ The setting offers a schedule of events offered at different times that people can sign up for ☐ Other	☐ No The setting does not offer choices to people receiving HCB services about participating in community outings at different times.	
	15D. Does the setting offer people receiving HCB services choices about who they choose to participate with during outside activities?	☐Yes The setting offers people receiving HCB services choices about who they participates with in outside activities.	☐ No The setting does not offer choices about who a person participates with in outside activities.	
<mark>All Settings</mark> 16. Does the setting afford opportunities for people to keep physical possession of their monetary resources? Definitions:	16A. Does the setting allow people to choose where they keep their monetary resources?	☐Yes a. Where do people receiving HCB services keep their monetary resources in this setting? *Check all that apply* ☐ Wallet/purse/pocket on their person ☐ Give to staff/volunteer ☐ Community lock box	☐ No The setting does not allow people to choose where they keep their monetary resources. ☐ Not applicable People do not carry or have access to money in this setting.	

• **"Physical possession"** is defined as, on their person or in a place the person has chosen with ready access. • **"Monetary resources"** include cash, cards or checkbook.		☐ In their personal locker: may access and open at their discretion ☐ Person does not have monetary resources with them in this setting. ☐ Other		
	16B. Does the setting have rules about possession of monetary resources for people receiving HCB services different than people not receiving Medicaid funded HCB services?	☐Yes The rules may consist of: *Check all that apply* ☐ No monetary resources are allowed in this setting ☐ Monetary resources must be kept in a locked box in the setting ☐ Monetary resources must be given to staff in this setting ☐ Monetary resources can be accessed at certain days/times only ☐ Monetary resources may be accessed at any time upon request ☐ Monetary management support is available to individuals with clear instructions ☐Other	☐ No The setting does not have rules about monetary resources for people receiving HCB services.	
<mark>All settings</mark> 17. Does the setting afford opportunities for individual decision-making on spending their own money?	17A. Does the setting provide vending machines, a cafeteria, restaurant and/or shopping opportunities, etc. for people receiving HCB services to make decisions about how to spend their own money?	☐Yes a. Does the setting provide opportunities for people receiving HCB services to make decisions to spend their own money? ☐ No b. How often are these opportunities offered to people receiving HCB services in this setting? ☐ Daily ☐ Weekly ☐ Other	☐ No The setting does not provide opportunities for people receiving HCB services to make decisions about how to spend their own money.	

Section D The setting is selected by the individual from among setting options including non- disability specific settings. The settings options are identified and documented in the person-centered plan and are based on the individual's needs, preferences. Citations: 42 CFR 441.301(c)(4)(iii)				
(NOTE: Some questions may continue on following page!)				**Comments**
<mark>All settings</mark> 18. Does the setting provide people with flexibility in his/her schedule? Definitions: • **"Non-disability specific setting"** is an integrated, community-based setting that serves people not receiving HCBS. Examples include but are not limited to public library, YMCA, community volunteer site, restaurants, banks, businesses etc. • **"Integrated"** brings people or groups into equal participation in or membership of the broader community. CMS describes a process of supporting full access to the greater community (including rights, opportunities and choices) for an individual to the same degree as those not receiving HCBS. • **"Community-based"** settings include, but are not limited to: (1) a setting that provides people with disabilities opportunities to work and participate in daytime activities in the greater community; (2) provide people with disabilities the opportunity to interact with people without disabilities. • "Flexibility" refers to willingness to change or compromise.	18A. Does the setting provide people receiving HCB services with the choice of services offered in non-disability specific settings? (Note: See definition for specific non-disability setting clarification.)	☐Yes a. How frequently are people offered the choice of services in non-disability specific settings? ☐ Upon request ☐ At the 6 month review ☐ Other b. How often can people change services in this setting? ☐ Upon request ☐ 1-3 months ☐ 4-6 months ☐ Other	☐ No The setting options do not provide people with the choice of services offered in non-disability specific settings.	
	18B. Is the setting able to adapt activities and schedules to the person's needs and preferences who receive HCB services?	☐Yes a. How is the setting able to adapt activities and schedules to the person's needs and preferences who receive HCB services? Check all that apply: ☐ The setting provides a variety of activities at a variety of times during the day ☐ The setting uses adaptive aids and technology to assist people to participate in activities ☐ The setting offers an accessible environment to promote maximum participation with people ☐ The setting accommodates activity schedules to meet the unique needs of people (e.g., places to get out of a wheel chair, places to rest, special diet accommodations, etc.). ☐ Other	☐ No The setting is not able to adapt activities and schedules to the person's needs and preferences who receive HCB services.	

All Settings:			
19. Does the setting have practices, procedures, and policies that support individualized planning and support? Definitions: • **"Regular"** is defined as happening frequently at the same time or in the same way occurring daily, weekly or monthly. • **"Integrated"** brings people or groups into equal participation in or membership of the broader community. CMS describes a process of supporting full access to the greater community (including rights, opportunities and choices) for an individual to the same degree as those not receiving HCBS. • **"Community-based"** settings include, but are not limited to: (1) a setting that provides people with disabilities opportunities to work and participate in daytime activities in the greater community; (2) provide people with disabilities the opportunity to interact with people without disabilities.	19A. Does the setting ensure individual needs and preferences of people receiving HCB services are taken into consideration?	☐Yes What practices, procedures, and policies does the setting have to support individualized planning and support? *Check all that apply* ☐ Setting participates in individualized planning and support with the long-term care support team. ☐ Setting regularly schedules meetings with the person to discuss their individualized planning and support. ☐ Setting regularly schedules meetings with people's family/guardian to discuss their individualized planning and support ☐ Setting regularly updates goals and services of people's individualized planning and support plan. ☐ Setting regularly assesses people's preferences and needs and adapts accordingly. ☐ Setting offers training in self-direction ☐Other	☐ No The setting in not able to ensure individual needs and preferences of people receiving HCB services are taken into consideration.
	19B. Does the setting include non-disability specific locations in providing services such as integrated employment, volunteer opportunities in the community, or engaging in integrated community activities for people receiving HCB services?	☐Yes *Check all that apply* ☐ Integrated employment ☐ Volunteer opportunities in the community ☐ Integrated community activities such as health clubs, senior centers, interest group activities, faith-based activities, etc. ☐ Other a. On average, how often do people receiving HCB services have access to services in non-disability specific settings? ☐ less than 20% of the time ☐ 21-50% of the time ☐ 51-75% of the time ☐ 76-90% of the time ☐ 91-100% of the time	☐ No The setting does not include non-disability specific locations in providing services for people receiving HCB services.
	19C. Does the setting require all direct support professionals to be trained in person-centered planning strategies?	☐Yes The setting requires all direct support professionals to be trained in person-centered planning strategies.	☐ No The setting does not require all direct support professionals to be trained in person-centered planning strategies.

Section E - The setting ensures an individual's rights of privacy, dignity, and respect, and freedom from coercion and restraint. Citations: 42 CFR 441.301(c)(4)(iii)				
(NOTE: Some questions may continue on following page!)				**Comments**
All settings 20. Does the setting have practices, procedures, and policies to ensure all information about people is kept private and confidential?	20A. Does the setting have practices, procedures, and policies to ensure all information about people receiving HCB services is kept private and confidential?	☐Yes a. How is information kept private in the setting about people receiving HCB services? *Check all that apply* ☐ Paid staff follow confidential policies/practices ☐ No posted schedules for people receiving HCB services receiving therapeutic services such as PT, OT, speech ☐ No posted schedules for people's medication administration for people receiving HCB services ☐ No posted schedules for people's dietary requirements for people receiving HCB services ☐ No posted schedules for doctor/dentist appointments for people receiving HCB services ☐ No posted behavioral support plans for people receiving HCB services ☐ Other b. How often is staff trained on practices, procedures, and policies to ensure all information about people receiving HCB services is kept private and confidential? ☐ Upon hire ☐ Annually ☐ As needed ☐ Other	☐ No The setting is not able to keep all the information about people receiving HCB services private.	
All settings 21. Does the setting support people who need assistance with activities of daily living while ensuring the privacy of the person? • **"Privacy"** is defined as, "The state or condition of being free from being observed or disturbed by other people."	21A. Does the setting support people receiving HCB services who need assistance with their personal appearance e.g., teeth brushing, personal care, toileting, eating, etc.?	☐Yes The setting provides personal assistance in private areas for people receiving HCB services.	☐ No The setting is not able to provide personal assistance in privacy for people receiving HCB services.	

<mark>All settings</mark> 22. Does the setting have practices, procedures, and policies to ensure staff interacts and communicates with people respectfully and in a manner in which the person would like to be addressed at all times?	22A. Does the setting assure the staff addresses the person receiving HCB services in a manner in which the person would like to be addressed while providing assistance and during the regular course of daily activities?	☐Yes a. How does the setting assure the staff addresses the person receiving HCB services in a manner in which the person would like to be addressed while providing assistance and during the regular course of daily activities? *Check all that apply* ☐ Staff ask the person their preference in being addressed, e.g., first name, middle name, nickname, Miss, Mrs., Mr., Dr. etc. ☐ Staff uses the person's preferred name(s) and title ☐ Staff use nick names only if they are preferred by the person ☐ Setting has policies and procedures about how staff need to respectfully interact and communicate with people ☐ Staff training is required to ensure interactions during personal assistance are respectful ☐ Other	☐ No The setting does not assure the staff addresses the person receiving HCB services in a manner in which the person would like to be addressed while providing assistance and during the regular course of daily activities.	
<mark>All settings</mark> 23. Does the setting assure that staff not talk to other staff about the person in the presence of other persons or in the presence of the individual as if s/he were not present?	23A. Does the setting have policy and trainings to assure that staff does not talk to other staff about the person receiving HCB services in the presence of other persons or in the presence of the individual as if s/he were not present?	☐Yes How often is training offered about the policy that assures staff does not talk to other staff about the person receiving HCB services in the presence of other persons or in the presence of the individual as if s/he was not present? ☐ Upon hire ☐ Annually ☐ As needed ☐ Other	☐ No The setting is not able to assure that staff does not talk to other staff about the person receiving HCB services in the presence of other persons or in the presence of the individual as if s/he were not present.	

<mark>All settings</mark> 24. Does the setting use restrictive measures, including isolation, chemical restraints and physical restrictions used? Examples may include but are not limited to: lap belts, unreasonable confinement, restrictive garments or other devices. Definitions: • **Restrictive measures**: an umbrella term to describe the types of restraint, isolation/seclusion, and protective equipment, medical restraints, etc. that are covered in DHS Guidelines. Per DHS Guidelines • **Chemical restraint**: the use of any type of drug to restrict a person's movement or freedom. • **Restraint**: any device, garment or physical hold that: limits the voluntary movement of a person's body or access to any part of the body AND cannot be removed by the person. Per DHS Guidelines • **Isolation:** involuntary physical or social separation of a person from others by the actions or direction of staff. Per DHS Guidelines	24A. Does the setting use restrictive measures with people receiving HCB services?	☐Yes *Check all that apply.* ☐ Isolation, including timeout rooms ☐ Chemical restraints, including medication ☐ Physical restraints, lap belt, Velcro strips, locking wheelchairs, holds, take downs, escorts, etc. ☐ Other barriers preventing entrance or exit from areas including locks, gates etc., ☐ Unauthorized interventions ☐ Other	☐ No The setting does not use restrictive measures, including isolation, chemical restraints and physical restrictions with people receiving HCB services.	
	24B. Does the settings policy mirror DDD Behavioral Services Procedural Guidelines for restrictive intervention for people receiving HCB services?	☐Yes The settings policy mirrors DDD Behavioral Services Procedural Guidelines for people receiving HCB services.	☐ No The setting is does not have a policy because if does not use restrictive measures.	

All settings 25. Do the setting's practices, procedures, and policies ensure responsiveness to each person's needs as defined in their plan?	25A. Does the setting's practices, procedures, and policies ensure responsiveness to each person's needs who receive HCB services as defined in their plan?	☐Yes How does the setting ensure responsiveness to each person's needs who receive HCB services as defined in their plan? *Check all that apply* ☐ The setting develops individualized plans for services for each person ☐ The setting promotes that the person has direct input when decisions are made about their services ☐ The setting monitors goals to ensure progress ☐ The settings service plans are updated when changes occur or when requested ☐ The setting has established conflict of interest policies ☐ Other	☐ No The setting's practices, procedures, and policies are not able to ensure responsiveness to each person's needs who receive HCB services as defined in their plan.	
All settings 26. Does the setting ensure that one person's behavior supports do not impede the rights of the other people?	26A. Does the setting ensure that one person's behavior supports do not impede the rights of the other people?	☐Yes How does the setting ensure that one person's behavior supports do not impede the rights of the other people? *Check all that apply.* ☐ The setting monitors that one person's behavior supports do not impede the rights of the other people ☐ The setting assures staffing patterns that are adequate to avoid disruption of other people's activities ☐ The setting respectfully implements behavior supports to allow support to be minimally invasive to others ☐ The setting uses least restrictive behavioral supports to avoid behavior escalation that may be disruptive or infringe on others ☐ The setting fades behavior support as soon as possible ☐ Other	☐ No The setting is not able to ensure that one person's behavior supports do not impede the rights of the other people.	

All settings	27A. Do the setting's practices, procedures, and policies ensure that each person's supports and plans who are receiving HCB services address behavioral needs that are specific to the person and not the same as everyone else in the setting?	☐Yes How do the setting's practices, procedures, and policies ensure that each person's supports and plans who are receiving HCB services address behavioral needs that are specific to the person and not the same as everyone else in the setting? *Check all that apply* ☐ The setting develops individualized person-centered behavioral support plans ☐ The settings staff training is based upon person-centered behavior supports ☐ The setting monitors delivery of behavioral support ☐ The setting documents usage of behavioral supports ☐ Setting practices, procedures and policies are written with details on how to deliver and monitor person's behavioral supports ☐ Other	☐ No The setting's practices, procedures, and policies do not ensure that each person's supports and plans who are receiving HCB services address behavioral needs that are specific to the person and not the same as everyone else in the setting.	
27. Do the setting's practices, procedures, and policies ensure that each person's supports and plans to address behavioral needs are specific to the person and not the same as everyone else in the setting?				
All settings	28A. Does the setting offer a secure place for the person receiving HCB services to store personal belongings? *(Note: secure does not necessarily mean locked.)*	☐Yes a. If the secure place is locked who has the key(s)? ☐ The person ☐ Setting staff ☐ Other ☐ N/A	☐ No The setting does not provide a secure place for people who receive HCB services to store personal belongings. ☐ *Not applicable (People keep possession of all their belongings while in the setting.)*	
28. Does the setting offer a secure place for the person to store personal belongings? • "Secure" means fixed or fastened so as not to give way, become loose, or be lost.				

Section F - 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. Citations: 42 CFR 441.301(c)(4)(iv)

(NOTE: Some questions may continue on following page!)				Comments
All Settings 29. Does the setting have any of the following barriers preventing people's movement? • **"Barrier"** is defined as a fence or other obstacle that prevents movement or access. Examples include: fence, railing, barricade, hurdle, bar, blockade, roadblock. • **"Movement"** is defined as: (1) the act or process of moving people or things from one place or position to another; (2) the act of moving from one place or position to another; (3) the act of moving your body or a part of your body	29A. Is people's movement who receive HCB services restricted by the physical environment different than people not receiving Medicaid funded HCB services?	☐Yes a. Movement is restricted by: *Check all that apply* ☐ Gates ☐ Locked doors ☐ Fences ☐ Cluttered areas ☐ Narrow hallways ☐ Limited lighting ☐ Chimes on doors or windows ☐ Personal tracking devices ☐ Other b. How is people's independence and autonomy restricted who receive HCB services? *Check all that apply* ☐ Require person to ask staff for help to access the physical environment ☐ Unable to access particular area(s) ☐ Increased time to navigate environment due to barriers limiting access ☐ Other	☐ No The setting does not have any movement barriers preventing people receiving HCB services that are different than people not receiving HCB services.	
Settings who provide non-work activities: 30. Does the setting afford a variety of meaningful non-work activities that are responsive to the goals, interests, and needs of people? Definitions: • **"Meaningful"** is defined as having real importance or value.	30A. Do people who receive HCB services make meaningful choices in their daily non-work activities?	☐Yes a. How are meaningful choices of non-work activities determined in this setting by people receiving HCB services? *Check all that apply* ☐ The setting uses person-centered assessments to determine meaningful choices with people ☐ The setting provides education, experience and exposure to activities ☐ The setting uses formal interviews or informal discussions with parent/guardian and/or family to discuss meaningful choices with the person ☐ The setting interviews or discuss meaningful choices with other support staff in the person's life ☐ Other b. How are choices offered to the person	☐ No This setting does not provide opportunities for people who receive HCB services to make choices of meaningful non-work activities. ☐ Not applicable This setting is a work setting.	

		receiving HCB services in this setting? ☐ Person chooses meaningful non-work activities for themselves ☐ Parent/guardian, family and/or others assist the person in selecting meaningful non-work activities ☐ Provider offers 2 or more non-work options and the person can choose ☐ Activity schedules are developed by staff ☐ Other b. How frequently are choices presented to people receiving HCB services? ☐ Once at the beginning of each day ☐ Once per week ☐ Other d. How often can a person people receiving HCB services change their mind about a choice they make? ☐ Before activity starts ☐ Daily choices ☐ One week in advance ☐ Other		
All Settings: 31. Does the setting offer any of the following options to meet physical environment goals and needs?	31A. Does the setting offer options to meet physical environment goals and needs for people receiving HCB services?	☐Yes Which of the options does the setting offer? *Check all that apply* ☐ Indoor gathering space ☐ Outdoor gathering space ☐ Large group activity area ☐ Small group activity area ☐ Private space ☐ Area for calming activities ☐ Area for stimulating activities ☐ Other	☐ No The setting is not able to offer the stated options to meet physical environment goals and needs for people receiving HCB services.	
All Settings: 32. Does the setting afford the opportunity for tasks and activities matched to people's age, skills, abilities, or desires/goals?	32A. Does the setting afford the opportunity for tasks and activities matched to people's age, skills, abilities, or desires/goals who receive HCB services?	☐Yes a. How does the setting provide opportunities to match tasks and activities to people's age, skills, abilities, or desires/goals for people receiving HCB services? *Check all that apply* ☐ The setting provides comparable tasks and activities for people receiving HCB services of	☐ No The setting is not able to afford the opportunity for tasks and activities matched to people's age, skills, or abilities for people receiving HCB services.	

		similar ages, skills, or abilities who do not receive services ☐ The setting provides comparable assessment tools for people of similar ages skills, or abilities who do not receive services ☐ The setting staff's communication matches people of similar age skills, or abilities who do not receive services ☐Other b. How does the setting provide opportunities to match tasks and activities to people's <u>desires/goals</u>? *Check all that apply* ☐ The setting uses person centered planning process to determine activities ☐ The setting provides choice of activities ☐ The setting uses observations of people's likes, dislikes and interests ☐ Other		
<mark>All Settings:</mark> 33. Does the setting post or provide information on individual rights?	33A. Does the setting post and provide information on individual rights for people receiving HCB services?	☐Yes The setting posts and provides information on individual rights to people receiving HCB services.	☐ No The setting does not post and provide information on individual rights.	
<mark>All Settings:</mark> 34. Is the setting accessible per the Americans with Disabilities Act?	34A. Is the setting accessible per the Americans with Disabilities Act?	☐Yes How does the setting assure ADA accessibility? *Check all that apply* ☐ By the setting's licensure/certification ☐ Other	☐ No The setting is not accessible per the Americans with Disabilities Act.	
<mark>All Settings:</mark> 35. Does the setting have practices, procedures, and policies to ensure dignity is afforded to people in an age-appropriate manner while dining? Definitions: • **"Dignity"** is defined as the quality of being worthy of honor or	35A. Does the setting have practices, procedures, and policies to ensure dignity is afforded to people receiving HCB services in an age-appropriate manner while dining?	☐Yes How does the setting implement practices, procedures, and policies to ensure dignity is afforded to people receiving HCB services in an age-appropriate manner while dining? *Check all that apply.* ☐ When assistance is needed, the setting's attendant is focused on the person's cues ☐ Food is fed at the person's desired pace in the setting ☐ People can refuse food items in the setting	☐ No The setting does not have practices, procedures, and policies to ensure dignity is afforded to people receiving HCB services in an age-appropriate manner while dining.	

(rev. 27JAN19)

respect • **"Age-appropriate"** is defined as similar age people from the broader community not receiving Home and Community-Based Services.		☐ People can choose how their food is served, e.g., dessert first, hot or cold in the setting ☐ People can choose to eat alone or with others in the setting ☐ Other	☐ Not applicable The setting is an environment where the people do not eat.	
For settings that provide meals: 36. Does the setting provide for an alternative meal if requested by the person?	36A. Does the setting provide for an alternative meal if requested by the person receiving HCB services?	☐Yes When does the person receiving HCB services need to request an alternative meal? ☐ The day of the meal ☐ A day in advance ☐Other	☐ No The setting does not provide for an alternative meal if requested by the person receiving HCB services. ☐ Not applicable The setting does not provide meals.	
For settings where people eat: 37. Does the setting provide opportunities for private dining if requested by the person?	37A. Does the setting provide opportunities for private dining if requested by the person receiving HCB services?	☐Yes When can the person request to dine privately? ☐ The day of the meal ☐ A day in advance ☐ Other	☐ No The setting is not able to provide opportunities for private dining if requested by the person receiving HCB services. ☐ Not applicable People receiving HCB services do not eat in this setting.	
All Settings: 38. Do people have access to food at any time consistent with people in similar and/or the same setting who are not receiving services?	38A. Does the setting allow for people receiving HCB services to have a meal/snack at the time and place of their choosing?	☐Yes a. What is the procedure when the person receiving HCB services requests a meal/snack? *Check all that apply* ☐ No procedure, able to eat when desired ☐ Ask staff for permission at designated times ☐ Ask staff any time ☐ Other	☐ No The setting is not able to allow for people to have a meal/snack at the time and place of their choosing. ☐ Not applicable People receiving HCB services do not eat in this setting.	

Page 31 of 37

	38B. Does the setting afford people receiving HCB services full access to dining areas with comfortable seating and opportunity to converse with others during break or meal times? (Note: People's dietary restrictions or medical conditions that don't allow access to food at any time should be excluded when considering the answer to this question.)	☐Yes a. How does the setting afford people receiving HCB services full access to dining areas with comfortable seating and opportunity to converse with others during break or meal times? *Check all that apply* ☐ May come to dining area any time ☐ Can sit in any part of the dining area ☐ There is no designated seating in dining room ☐ There are no rules about talking in the dining area ☐ Comfortable seating is available ☐ Other	☐ No The setting is not able to afford to people full access to dining areas with comfortable seating and opportunity to converse with others during break or meal times. ☐ Not applicable People receiving HCB services do not eat in this setting.	

| All Settings:

39. Does the setting allow people to choose with whom they spend their time while at the setting? | 39A. Does the setting allow people receiving HCB services to choose who they spend time with including who they sit by at lunch/break/free time to the same extent as people not receiving HCB services? | ☐Yes
a. Typically how often are people receiving HCB services allowed to choose who they spend time with in this setting?
  ☐ Every lunch/break/free time
  ☐ Once per week
  ☐ Other
b. People are grouped together by:
  ☐ Being assigned to groups
  ☐ Being assigned to activities/outings
  ☐ People choose their group(s)
  ☐ Other
c. Typically how are people receiving HCB services able to choose who they spend time with in this setting?
  ☐ Independently choose who and when they spend time with people
  ☐ Ask support staff who and when they can spend time with in the setting
  ☐ Other
d. How do people receiving HCB services get seating arrangements in the setting?
  ☐ Sit wherever they chose to sit
  ☐ Assigned seating for lunch, break and free time
  ☐ Assigned seating for non-work activities
  ☐ Other | ☐ No
The setting is not able to allow people receiving HCB services to choose who they sit by at lunch/break/free time to the same extent as people not receiving Medicaid funded HCBS. | |
| | 39B. Does the setting allow people receiving HCB services to spend the desired amount of time with whomever they choose? (assume mutual desire) | ☐Yes
a. How does the setting allow and ensure people receiving HCB services choose the length of time to spend with people they choose?
  Check all that apply
  ☐ Provides space for people to interact without interruption
  ☐ Facilitate invitations to desired people
  ☐ Unscheduled time is included in the day
  ☐ Assist people to develop schedules with requested time spent with desired person
  ☐ Other | ☐ No
The set does not allow people receiving HCB services to spend the desired amount of time with whomever they choose. | |

	39C. Does the setting impose limits on who people receiving HCB services can talk to and spend time with while in the setting?	☐Yes How does the setting impose limits? *Check all that apply* ☐ The setting assigns seating ☐ Setting has established guidelines about with whom people can talk to and spend their time ☐ Other	☐ No The setting does not impose limits about who people receiving HCB services can talk to and spend time with while in the setting.	

<mark>All Settings:</mark>
 	
40. Does the setting allow people to choose with whom they spend their time while outside the setting?
    (During service hours)
	40A. Does the setting allow people receiving HCB services to choose with whom they spend their time while outside the setting?
	    (During service hours)
		☐Yes
		a. How do people receiving HCB services choose with whom they spend their time?
		☐ Offer choice of 2 or more people with whom to spend time
		☐ Match people with like interests and activities
		☐ People choose whoever they want to spend time
		☐ Other
			☐ No
			The setting does not allow people receiving HCB services to choose with whom they spend their time while being supported outside the setting.	

<mark>All Settings:</mark> 41. Does the setting ensure people are supported to make informed decisions and exercise autonomy to the greatest extent possible? Definitions: • **"Informed"** is defined as (of a decision or judgment) based on an understanding of the facts of the situation. • **"Choice"** refers to an act of selecting or making a decision when faced with two or more possibilities. • **"Decision"** is defined as a conclusion or resolution reached after consideration. • **"Autonomy"** is defined as freedom from external control or influence; independence.	41A. Does the setting policy ensure the informed choice and autonomy of the person receiving HCB services?	☐Yes Typically how does the setting policy ensure the informed choice of the person receiving HCB services? *Check all that apply* ☐ Setting provides staff training about facilitating informed choice and autonomy ☐ Setting has established written policies that ensure informed choice ☐ Setting evaluates staff on following informed choice policies ☐ Other	☐ No The setting is not able ensure people receiving HCB services are supported to make informed decisions and exercise autonomy to the greatest extent possible.	
	41B. Does the setting provide training and support to people receiving HCB services about informed decision making and autonomy?	☐Yes How does the setting policy typically support informed choice of the person receiving HCB services? *Check all that apply* ☐ Offers self-determination classes about informed choice ☐ Provides opportunities for people to practice informed choice ☐ Offers at least 2 choices of activities ☐ Offers at least 2 choices of staff for a person to work with ☐ Offers choice about planning meetings, e.g., time, place, agenda etc. ☐ Other	☐ No The setting policy is not able to ensure the informed choice of the person receiving HCB services.	

Section G - The setting facilitates individual choice regarding services and supports, and who provides them. Citations: 42 CFR 441.301(c)(4)(v) 441.710(a)(1)(v)				
(NOTE: Some questions may continue on following page!)				**Comments**
All Settings: 42. Was the person provided a choice regarding the services within the settings? **"Choice"** is defined as, an act of selecting or making a decision when faced with two or more possibilities.	42A. Does the setting offer choice of services to the people receiving HCB services?	☐Yes Which services does the setting provide? *Check all that apply* ☐ Day Services ☐ Prevocational Services ☐ Individual Supported Employment Services ☐ Small Group Supported Employment Services ☐ Vocational Futures Planning and Support Services ☐ Benefits Counseling ☐ Daily Living Skills training ☐ Other	☐ No The setting does not offer more than one service in this setting.	
	42B. Does the setting set limits on activities people receiving HCB services can do each day? *(Does setting set limits on activities regardless of authorizations?)*	☐Yes What limits does the setting place on activities people receiving HCB services can do each day? *Check all that apply* ☐ People are offered specific activities on set days ☐ People can choose activities once a week ☐ People can change work or non-work tasks upon request ☐ People can switch between types of activities at designated times ☐ People cannot change activities ☐ Other	☐ No The setting does not set limits on activities people receiving HCB services can do each day.	
All Settings: 43. Does the setting allow people to choose which of the setting's employees provide his/her services? Definition: • "Choice" is defined as an act of selecting or making a decision when faced with two or more possibilities.	43A. Does the setting allow people receiving HCB services to choose which of the setting's employees provide his/her services?	☐Yes How do people receiving HCB services choose which of the employees provide their services? *Check all that apply* ☐ Provide 2 or more people from which to choose ☐ Person can choose from all available staff ☐ Preferences are taken into full consideration but not guaranteed ☐ Other	☐ No The setting does not offer people receiving HCB services the choice of which employees provide their services.	

<mark>All Settings</mark> 44. Does the setting allow prospective participants the opportunity to tour the setting?	44A. Does the setting allow prospective people the opportunity to tour the setting?	☐Yes How does a person arrange to tour the setting? ☐ Walk in/drop in ☐ Appointment ☐ Other	☐ No Prospective participants do not have the opportunity to tour the setting prior to receiving services.	
<mark>All Settings</mark> 45. Does the setting afford people the opportunity to regularly and periodically update or change their daily activities?	45A. Does the setting afford people receiving HCB services the opportunity to regularly and periodically update or change their daily activities?	☐Yes How often can a person receiving HCB services update their daily activities? ☐ Whenever they choose ☐ Upon request ☐ At a six month review ☐ Other	☐ No The setting does not allow people receiving HCB services the opportunity to regularly and periodically update or change their daily activities.	
<mark>All Settings</mark> 46. Does the setting afford specific opportunities to explore, seek and work in competitive integrated employment settings?	46A. Does the setting afford specific opportunities to explore, seek and work in competitive integrated employment settings for people receiving HCB services?	☐Yes The setting affords opportunities to explore, seek and work in competitive integrated settings for people receiving HCB services.	☐ No The setting does not afford specific opportunities to explore, seek and work in competitive integrated settings for receiving HCB services.	
<mark>All Settings</mark> 47. Does the setting have practices, procedures, and policies to ensure the person is supported in developing setting-specific plans to support his/her needs and preferences?	47A. Does the setting have practices, procedures, and policies to ensure the person receiving HCB services is supported in developing setting-specific plans to support his/her needs and preferences?	☐Yes What practices, procedures, and policies are in place to ensure the person receiving HCB services is supported in developing setting-specific plans to support his/her needs and preferences? *Check all that apply* ☐ Setting Procedure guide/manual ☐ Mandatory staff training ☐ Best practice training ☐ Staff professional development ☐ Other	☐ No The setting does not have practices, procedures, and policies to ensure the person receiving HCB services is supported in developing setting-specific plans to support his/her needs and preferences.	
<mark>All Settings</mark> 48. Does the setting ensure staff is knowledgeable about the capabilities, interests, preferences, and needs of people?	48A. Does the setting ensure staff is knowledgeable about the capabilities, interests, preferences, and needs of people receiving HCB services?	☐Yes How does the setting ensure staff is knowledgeable about the capabilities, interests, preferences, and needs of people receiving HCB services? *Check all that apply* ☐ Staff are trained in the communication styles of the people they support	☐ No The setting is not able to ensure staff is knowledgeable about the capabilities, interests, preferences, and needs of people receiving HCB services.	

		☐ Staff are trained in using technology ☐ Staff are trained in working with the target population ☐ Other		
All Settings 49. Does the setting post or provide information to people about how to make a request for additional services or accommodations, or changes to their setting-specific plans?	49A. Does the setting post or provide information to people receiving HCB services and/or their families/guardians about how to make a request for additional services or accommodations, or changes to their setting-specific plans?	☐Yes The setting posts or provides information to people receiving HCB services and/or their families/guardians about how to make a request for additional services or accommodations, or changes to their setting-specific plans.	☐ No The setting does not post or provide information to people receiving HCB services and/or their families/guardians about how to make a request for additional services or accommodations, or changes to their setting-specific plans.	