## 1.0 SETTING

### 1.1 Does the residential setting isolate individuals from the surrounding community and persons who are not receiving Medicaid HCB services?

**Expectation:** Individuals do not live in isolated compounds, or settings which limit their potential integration with the community at large.

**Related Questions:**

- Is the residential setting surrounded by fences or high walls, or have closed or locked gates? If yes, please explain the reason for them.

- Is the residential setting among private residences, businesses and community resources?

- Does the residential purposely separate individuals receiving Medicaid HCB services from those who do not?

- Is the residential setting located on the grounds of, or adjacent to, a public institution? *Note: A public institution is an inpatient facility that is financed and operated by a county, state, municipality, or other unit of government.*

- Is the residential setting located on, or adjacent to, a parcel of land that contains more than one State licensed facility?

- Is the residential setting located in a building that is also a publicly or privately operated facility that provides inpatient institutional treatment?

### 1.2 Do the residential setting's common areas have a home-like feel?

**Expectation:** The common areas do not resemble an institution, are comfortable, and encourage social interactions free from undue restrictions.

**Related Questions:**

- Are the common areas decorated in a home-like fashion (paint, artwork, home furnishings etc.)?

- Is there a common living room/social area with home-like furnishings?

- Are individuals free to move around common areas?

### 1.3 Is the residential setting traversable by the individuals it serves; does it meet the needs of individuals who require supports?

**Expectation:** Individuals are able to maneuver through the hallways, doorways, and common areas with or without assistive devices. Supports are available to individuals who require them.

**Related Questions:**

- Are supports provided for individuals who need them to move around the setting independently/as they are able (grab bars, ramps, viable emergency exits etc.)?

- Are appliances and amenities accessible to individuals with varying access needs?

- Can individuals make use of furniture and spaces conveniently and comfortably? (e.g., Tables and chairs at a convenient height)

- Are hallways and common areas accessible to individuals of varying needs?

- Are individuals, or groups of individuals, restricted from areas of the residential setting because it is inaccessible to individuals with specific ambulatory needs?
1.4 **Are visitors restricted from entering the residential setting? Do individuals have a private meeting room to receive visitors?**

Expectation: Individuals are able to receive visitors. Visitation is not restricted or hampered by facility policies or practices. Standard visiting hours are posted, and individuals are made aware of after hours visiting policy. Visitors must be allowed outside of standard visiting hours, but restrictions to accommodate other residents, such as limiting visitors to certain areas of the residential setting and observing “quiet hours,” may be imposed. There is a comfortable private place for individuals to have visitors.

**Related Questions:**

Are visiting hours restricted? If so, explain reasoning for the restriction(s). □ YES □ NO □ N/A

Are visiting hours posted? If Yes, where are they posted? (Please provide a copy) □ YES □ NO

Are individuals or visitors required to give advance notice of visitation? □ YES □ NO

Are there provisions for private visitation in home-like settings? □ YES □ NO

Are individuals allowed to have overnight guests, if space and accommodations are available? If no, please explain. □ YES □ NO

Please attach or send a copy of the visitor policy and procedures.

1.5 **Are there areas within the residential setting that an individual cannot enter without permission or an escort?**

Expectation: Individuals are able to access all areas of the residential setting unless their safety would be jeopardized, e.g., individuals do not have access to maintenance rooms, janitor’s closets, etc.

**Related Questions:**

Which areas are individuals restricted from entering? Please provide an explanation.

How are individuals prevented from entering restricted areas (industrial gates, locked door, barriers etc.)?

1.6 **Do individuals have access to standard household amenities including appliances?**

Expectation: Individuals have independent access to appliances and household amenities in order to complete standard household chores and activities of daily living as appropriate.

**Related Questions:**

Do individuals have access to a laundry room? □ YES □ NO

Do individuals have access to cooking or a food preparation area/space? □ YES □ NO

Are individuals encouraged and supported to do personal chores and housekeeping if they choose? □ YES □ NO
Section One - COMMENTS AND ADDITIONAL INFORMATION:

2.0  ROOM AND PRIVACY

2.1  Do individuals have a choice of a private or semi-private room and choice of roommate if applicable?

Expectation: Individuals have the ability to choose whether to upgrade to a private room (room and board rates may be different based on the individual's election of a private or semi-private room). If the individual lives in a semi-private room, they are not auto-assigned a roommate. Individuals are given the option to move to another room and/or change roommate if their preference becomes available.

Related Questions:

- Do individuals have the option to elect a private room?  □ YES □ NO □ N/A
- Are individuals given the opportunity to choose their roommate if applicable?  □ YES □ NO □ N/A
- Does the individual talk positively about their roommate?  □ YES □ NO □ N/A
- How are individuals made aware of how to request a roommate change?

Under what circumstances may an individual change rooms and/or roommate?

How do individuals request a change of room or roommate?
2.2 Are the residential setting’s rooms home-like?

Expectation: Individuals’ living areas do not resemble institutional settings or wards. Individuals are encouraged and supported to maintain their personal space according to their preferences, and living areas are the appropriate size for the number of residents.

Related Questions:

- How many beds are in the bedrooms?
- Are the individuals’ personal items, such as pictures, books, and memorabilia, present and arranged as the individual desires?
- Do the furniture, linens, and other household items reflect the individuals’ personal choices?
- Do individuals’ living areas reflect their interests and hobbies?

2.3 Do individuals have privacy in their bedrooms and toileting facilities?

Expectation: Individuals have the right to privacy, including lockable doors to their individual rooms and toileting facilities, unless the individual’s physical or cognitive condition means their safety could be compromised if afforded privacy.

Related Questions:

- Does the individual’s room and bathroom have a locking door?
- Who has keys to access individual’s rooms?
- Do furniture arrangements ensure privacy?
- Do staff, other residents and visitors always knock and receive permission prior to entering an individual’s room or bathroom?
- Do individuals have the option to close their doors when wanting total privacy? If no, please explain reason(s).
- Are cameras present in the residential setting? If so, where? Document where each one is located.

2.4 Does the residential setting have a policy and procedure that addresses staff access to individuals’ rooms?

Expectation: Residential setting staff respects the individual’s privacy in their room, and is familiar with and properly implements the policy and procedure to enter an individual’s room (e.g., knock, ask to enter, and wait for a response, etc.)
<table>
<thead>
<tr>
<th>Related Questions:</th>
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</thead>
<tbody>
<tr>
<td>Under what circumstances would an individual’s room be accessed without their permission? Please explain.</td>
</tr>
<tr>
<td>Are provisions for access discussed with and agreed to by the individual? ☐ YES ☐ NO</td>
</tr>
<tr>
<td>Describe the residential setting’s privacy and access policy. Please provide a copy.</td>
</tr>
</tbody>
</table>
2.5  *Are individuals able to make or send private telephone calls, text, or emails at their preference and convenience?*

**Expectation:** Individuals have access to make private telephone calls, send text messages, or send e-mail at the individual’s preference and convenience.

**Related Questions:**

<table>
<thead>
<tr>
<th>Question</th>
<th>YES</th>
<th>NO</th>
</tr>
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<tbody>
<tr>
<td>Does the individual have a private cell phone, computer or other personal communication device, or have access to a telephone or other technology device to use for personal communication in private at any time?</td>
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<tr>
<td>Is the telephone or other technology device in a location that has space around it to ensure privacy?</td>
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<tr>
<td>May individuals have a telephone jack, WI-FI or ETHERNET jack installed in their rooms if they choose?</td>
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</tbody>
</table>

2.6  *Is the individual’s right to dignity and privacy respected?*

**Expectation:** The individual’s right to dignity and privacy is protected and respected.

**Related Questions:**

<table>
<thead>
<tr>
<th>Question</th>
<th>YES</th>
<th>NO</th>
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</thead>
<tbody>
<tr>
<td>Is health information about individuals kept private?</td>
<td></td>
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<tr>
<td>Is health information stored in a central location, locked in a secure area, and only accessible to professional staff? If no, where is it stored?</td>
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<tr>
<td>Are schedules of individuals for PT, OT, medications, restricted diet, etc., posted in a general open area for all to view?</td>
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<tr>
<td>Are individuals, who need assistance with grooming, groomed as they desire?</td>
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<tr>
<td>Are individuals, who need assistance to dress, dressed in their own clothes, appropriate to the time of day and individual preferences?</td>
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<tr>
<td>Are individuals wearing clothes that fit, are clean, and are appropriate for the time of day, weather, and preferences?</td>
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<tr>
<td>Are health-related and personal care activities conducted in private locations? Examples: blood pressure readings, personal hygiene, incontinence care, etc.</td>
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Section Two - COMMENTS AND ADDITIONAL INFORMATION:

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### 3.0 MEALS

#### 3.1 Are individuals required to follow a set schedule for meals?

**Expectation:** Individuals have the choice of when to eat.

<table>
<thead>
<tr>
<th>Related Questions</th>
<th>YES</th>
<th>NO</th>
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</thead>
<tbody>
<tr>
<td>Does the individual have a meal at the time and place of his/her choosing?</td>
<td></td>
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<tr>
<td>Are snacks accessible and available anytime?</td>
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</table>

#### 3.2 Do individuals have a choice of menu items that are consistent with their preferences and meal choices?

**Expectation:** Individuals have a choice of what to eat and are offered a substitute meal if they prefer. Posted menus state that alternate meals are available or list the alternate menu selections.

<table>
<thead>
<tr>
<th>Related Questions</th>
<th>YES</th>
<th>NO</th>
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</thead>
<tbody>
<tr>
<td>How are individual’s preferences incorporated into the residential setting’s menus?</td>
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<tr>
<td>Are individuals encouraged and supported to choose from a variety of menu options?</td>
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<tr>
<td>Are individuals encouraged and supported to make special menu or meal requests?</td>
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<tr>
<td>What restrictions are there for individuals requesting alternate meals?</td>
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</table>

#### 3.3 Do individuals have a choice of where and with whom to eat their meals in the residential setting?

**Expectation:** Individuals are given the option to eat in areas other than the dining room, including their private living space, and may choose to eat with persons of their choosing, or alone.

<table>
<thead>
<tr>
<th>Related Questions</th>
<th>YES</th>
<th>NO</th>
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</thead>
<tbody>
<tr>
<td>Are individuals required to sit in an assigned seat for meals?</td>
<td></td>
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<tr>
<td>May individuals eat alone, or with people of their choosing?</td>
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<tr>
<td>Do individuals converse during meal time, if they choose?</td>
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<tr>
<td>May individuals eat in their private living area or in areas other than a designated dining room?</td>
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</table>

#### 3.4 Are individuals afforded dignity and respect during meal times?

**Expectation:** Individuals are free from unnecessary interventions and rules during meal times which may impinge on their ability to eat and drink with dignity and respect.

<table>
<thead>
<tr>
<th>Related Questions</th>
<th>YES</th>
<th>NO</th>
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</thead>
<tbody>
<tr>
<td>Are individuals required to wear bibs or other protective equipment?</td>
<td></td>
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<tr>
<td>If a resident requests assistance with eating, is staff available to assist so the individual is not embarrassed at meal time?</td>
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<tr>
<td>Question</td>
<td>YES</td>
<td>NO</td>
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<tr>
<td>Does the residential setting use home-like dishes, cutlery, and tableware?</td>
<td></td>
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<tr>
<td>Are individuals required to remain in the dining room/at the table until all residents have completed their meals?</td>
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</table>

3.5 Do individuals have access to snacks? Are they allowed to make their own snacks? Is there an area individuals can use to keep their own food and prepare snacks (e.g., kitchen or snack preparation area with refrigerator, sink, and microwave)?

Expectation: Individuals have access to a kitchenette (microwave, refrigerator and sink), a food preparation area (a place to prepare and reheat foods), or a food pantry where they can store snacks that are accessible at any time as they are able.

<table>
<thead>
<tr>
<th>Related Questions</th>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do individuals have to ask staff for a snack?</td>
<td></td>
<td></td>
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<tr>
<td>Do individuals prepare their own snack as they are able?</td>
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<tr>
<td>What amenities are available for individuals to prepare their own snack?</td>
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</table>

<table>
<thead>
<tr>
<th>Question</th>
<th>YES</th>
<th>NO</th>
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</thead>
<tbody>
<tr>
<td>Does the residential setting provide snacks; if so, how do individuals access them?</td>
<td></td>
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<tr>
<td>How and where do individuals store snacks/personal food items?</td>
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Section 3 - COMMENTS AND ADDITIONAL INFORMATION:

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### 4.0 ACTIVITIES AND COMMUNITY INTEGRATION

#### 4.1 Are individuals supported and encouraged to move freely outside of the residential setting?

**Expectation:** Individuals have full access to the community and are allowed to come and go from the residential setting, as they desire, unless the individual's safety would be jeopardized. Reasons to restrict movement are documented in the individual's record. Attempts to mitigate safety issues prior to revoking an individual's right to freedom of movement are documented.

**Related Questions:**

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the residential setting impose a curfew, or otherwise restrict individuals’ ability to enter or leave the residential setting as they are able?</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>Are individuals able to come and go from the residential setting and its grounds as they are able?</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>Can individuals engage in community and social activities of their preference outside of the residential setting as they are able?</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>Does the residential setting provide accessible transportation so individuals may access the community?</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>Is transportation provided or arranged by the residential setting to community activities?</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>How does the residential setting organize appropriate transportation to community activities?</td>
<td>☐</td>
<td>☑</td>
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</table>

**Expectation:** Individuals have full access to the community and are allowed to come and go from the residential setting, as they desire, unless the individual's safety would be jeopardized. Reasons to restrict movement are documented in the individual's record. Attempts to mitigate safety issues prior to revoking an individual's right to freedom of movement are documented.

**Describe and provide a copy of the residential setting’s policies and procedures regarding transportation to community activities.**
### 4.2 Are individuals made aware of community activities via a community board, flyers, etc.?

**Expectation:** Individuals have the opportunity, but are not required, to participate in scheduled and unscheduled community and social activities. An activities calendar is posted in a common area of the residential setting. Individuals are consulted in selecting, planning and scheduling organized activities.

**Related Questions:**

- Do individuals exercise choice in determining community-based activities (related to objectives in their service plan) in which they will participate? □ YES □ NO
- How does the residential setting facilitate individual access to community activities?

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Where is the activity calendar posted? Attach or send a copy of a picture.

How often is the activity calendar updated?

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- Does the residential setting organize activities, including wellness activities, or facilitate access to activities of individuals’ choosing? □ YES □ NO
- Do individuals shop, attend religious services, schedule appointments, meet family and friends, etc., in the community and at their will and convenience? □ YES □ NO
- Do individuals in the residential setting talk about social and community activities? □ YES □ NO
- Are individuals required to participate in group or individual activities? □ YES □ NO
- Are individuals encouraged to participate in activities? □ YES □ NO

### 4.4 Are individuals supported and encouraged to create their personal daily schedules (e.g., decide when to wake up, go to bed, go to the movies, the mall, religious events, etc.)?

**Expectation:** Individuals are allowed to choose how to spend their day including sleeping schedule (i.e., wake up and bedtimes, scheduled or unscheduled naps). Individuals are allowed to vary their schedule at will in accordance with their person-centered plan.

**Related Questions:**

- How does the residential setting ensure an individual knows they do not have to conform to a prescribed schedule for activities of daily living and social activities?

---

- Are individuals encouraged and supported to create a personal activities schedule? □ YES □ NO
- Are individuals encouraged and supported to initiate and create activities of their choice? □ YES □ NO
- Do individual schedules vary from others? □ YES □ NO
- Do any residential setting policies or practices inhibit individuals’ choice? □ YES □ NO
4.5 Are individuals employed outside of the residential setting?

**Expectation:** Individuals have the option to seek and gain competitive employment in the community.

**Related Questions:**

- How does the residential setting support/accommodate individuals who wish to pursue competitive employment in the community?

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Section 4 - COMMENTS AND ADDITIONAL INFORMATION:

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5.0 RESPECT, RIGHTS, AND CHOICE

5.1 Are individuals given the option to keep/control their own resources?

**Expectation:** Individuals have the option to keep their own money and to control their own finances/resources.

**Related Questions:**

- Do individuals have the option of having personal bank accounts?
- How do individuals access their personal funds?

- How does the residential setting ensure individuals understand they are not required to sign over their personal resources to the provider?
If the residential setting is representative payee, are individuals included in the decision making related to finances as they are able?  □ YES  □ NO
5.2 **Are individuals provided appropriate information/resources on how to file an anonymous complaint?**

*Expectation:* Information is available to individuals on how to file an anonymous complaint. Telephone numbers for the Department of Health and Environmental Control, Long-Term Care Ombudsman and other regulating bodies, and information for reporting Abuse, Neglect and Exploitation are posted in a common area of the residential setting.

<table>
<thead>
<tr>
<th>Related Questions:</th>
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<tbody>
<tr>
<td>How does the residential setting make information about how to register an anonymous complaint available to individuals?</td>
<td></td>
</tr>
<tr>
<td>Is information about filing complaints posted in obvious and accessible areas?</td>
<td>□ YES □ NO</td>
</tr>
</tbody>
</table>

5.3 **Are individuals free from coercion?**

*Expectation:* Individuals have the right to live in an environment free from coercion, and to exercise their right to choice and self-determination.

<table>
<thead>
<tr>
<th>Related Questions:</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Are individuals allowed to voice grievances to the residential setting staff, public officials, the ombudsman, or any other person, without fear of reprisal, retaliation, restraint, interference, or coercion?</td>
<td>□ YES □ NO</td>
</tr>
<tr>
<td>How does the residential setting ensure residents are allowed to voice grievances without fear of reprisal, retaliation, restraint, interference, or coercion? Please explain or provide a copy of the setting’s policy and procedure on grievances.</td>
<td></td>
</tr>
<tr>
<td>Do individuals in the setting display different personal styles, haircuts, etc.?</td>
<td>□ YES □ NO</td>
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</table>

5.4 **How does staff treat individuals?**

*Expectation:* Staff treats individuals in a dignified manner.

<table>
<thead>
<tr>
<th>Related Questions:</th>
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<tbody>
<tr>
<td>Do staff greet and chat with individuals?</td>
<td>□ YES □ NO</td>
</tr>
<tr>
<td>Are the needs met for individuals who need a hearing aide, eyeglasses, walkers, or other assistive devices?</td>
<td>□ YES □ NO</td>
</tr>
<tr>
<td>Does the staff verbally communicate with individuals in a loud tone of voice? If yes, please explain.</td>
<td>□ YES □ NO</td>
</tr>
<tr>
<td>Does staff converse with individuals while providing assistance or services and during the course of the day?</td>
<td>□ YES □ NO</td>
</tr>
<tr>
<td>Do staff talk to other staff in front of individuals as if the individual is not there?</td>
<td>□ YES □ NO</td>
</tr>
<tr>
<td>Does staff address individuals in the manner they like to be addressed?</td>
<td>□ YES □ NO</td>
</tr>
</tbody>
</table>
5.5 Are individuals' choices incorporated into the services and supports they receive?

Expectation: Individual choices are accounted for and honored unless the individual's safety would be jeopardized and in accordance with the person-centered plan.

Related Questions:
- Does staff ask the individual about their needs and preferences? [ ] YES  [ ] NO
- How are individuals made aware of the process for making service request/service requests?
- Is individual choice facilitated such that the individual feels empowered to make decisions? [ ] YES  [ ] NO
- Do individuals have the option to choose from whom they receive services and supports? [ ] YES  [ ] NO
- How are individual requests accommodated?

5.6 Are individuals, or their representatives, active participants in the development of, and updates to, the plan of care/service plan?

Expectation: Individuals and/or their representatives are active participants in the service planning process. Planning meetings occur at times convenient to the individual/representative.

Related Questions:
- How does the setting post or provide information to individuals/representative(s) about how to request and schedule a planning meeting?
- Was the individual/representative(s) present during the last plan meeting? [ ] YES  [ ] NO
- Do individuals participate in their plan meetings? [ ] YES  [ ] NO
- Is the individual's input reflected in the service plan? [ ] YES  [ ] NO

Section 5 - COMMENTS AND ADDITIONAL INFORMATION:
### 6.0 OTHER

#### 6.1 Is there a legally enforceable agreement between the residential setting and the individual who resides there?

**Expectation:** The individual has the same landlord/tenant protections, is protected from eviction, and afforded the same appeal rights as persons not receiving Medicaid HCB services.

**Related Questions:**
- Does the individual have a lease, or for settings in which landlord/tenant laws do not apply, a residency agreement? Please provide a copy of the current agreement.
- How are individuals made aware of their housing rights?

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#### 6.2 How are modifications to the HCBS settings requirements addressed and documented?

**Expectation:** Modifications to the HCBS settings requirements are supported by an assessed need and justified in the individual’s service plan/care plan.

**Related Questions:**
- What factors are considered before restricting an individual's rights?
- Does the setting prepare documentation if an individual’s rights have to be restricted? If yes, what type?  
  - YES  
  - NO
- Does the individual provide informed consent for the modification or restriction?  
  - YES  
  - NO
- How often is the restriction reviewed to determine if it is still needed?