

Appendix D

Instructions for completing the C4 Residential HCBS self-assessment:

1. Assessment answers must be entered into the online webform at the HCBS website. The link was provided in your letter from SCDHHS. This includes uploading any documentation requested in the assessment (see #2 below).
2. You can access a printable copy of the assessment at: <https://msp.scdhhs.gov/hcbs/site-page/c4-settings-assessment>. We strongly encourage you to print it out and review it first before starting. The assessment asks for some supplemental documentation and it may be helpful to gather that ahead of time. Documentation includes:
 - a. Visitor policies and procedures
 - b. Resident privacy and access policies
 - c. Policies and procedures on resident transportation
 - d. Policies and procedures on grievances
 - e. Policies and procedures on filing anonymous complaints
 - f. Current copy of lease or residency agreement
 - g. Copy or picture of previous month's activity calendar for each residential setting type and corresponding log of activities (who went, etc.)
 - h. Policy on rights restrictions

When attaching your document, first click on "Choose File."

Then, select the file from your computer that you wish to attach.

Once you select your file, click "Upload" (the blue button on the screen).

3. You **must** do one assessment for each residential facility program type that you operate. Program types includes:
 - a. Community Residential Care Facilities (CRCF)
 - b. Community Training Home II (CTH II)
 - c. Community Training Home I (CTH I)
 - d. Supervised Living Program II (SLP II)
 - e. Supported Living Program I (SLP I)
 - f. Customized Living Options Uniquely Designed (CLOUD)

No assessment is needed for any ICF/IID settings.

4. Assess your residential program.
 - a. It is suggested to complete the assessment on paper first and then transfer the answers to the online form.
 - b. It is **strongly encouraged** that you talk with your residents to help you accurately answer some of the questions.
 - c. Your staff may also be helpful in answering some of the questions.
5. Once you have completed all of your assessments, SCDHHS will review them along with the data gathered from the independent site visits and provide you with feedback on each residential program type indicating where it is in compliance and where it is not. Information from the independent site visits may be used to indicate specific compliance concerns with specific residential settings.
6. Any questions regarding the assessments can be sent to HCBSAssessments@scdhhs.gov.

Terminology:

<u>Facility:</u>	The physical space where the residential program is provided; the home. <i>Also called a setting</i>
<u>HCBS:</u>	Home and community-based services <i>Also known as Medicaid waiver services</i>
<u>Individual:</u>	The participant in the residential program
<u>Program:</u>	The collective services offered in the residential setting
<u>Public Institution:</u>	An inpatient facility that is financed and operated by a county, state, municipality, or other unit of government
<u>Public Transportation:</u>	Transportation provided in the community and available to the public, including, but not limited to, buses, trains, and taxi services
<u>Service Plan:</u>	The document created for the individual that details the goals and outcomes of the individual, along with the services and supports that will be provided to assist in achieving those goals and outcomes, specific to the residential program/service <i>Also called a Care Plan or Plan of Care</i>

HCBS Setting Requirements (from 42 CFR 441.301(c)(4))

All Home and Community-Based Settings must have the following qualities:

- Is integrated in and supports full access to the greater community
- Provide individuals opportunities to seek employment and work in competitive integrated settings
- Provide individuals the opportunity to engage in community life
- Provide individuals the opportunity to control their personal resources
- Provide individuals the opportunity to receive services in the community
- Is selected by the individual from among setting options
 - Including non-disability specific settings
 - Option for private unit in residential setting
- Ensures the individual's right of privacy
- Ensures the individual's right of dignity
- Ensures the individual's right of respect
- Ensures the individual's right of freedom from coercion
- Ensures the individual's right of freedom from restraint
- Optimizes individual initiative
- Optimizes an individual's autonomy
- Optimizes an individual's independence in making life choices, including but not limited to:
 - Choice in daily activities

- Choice in physical environment
- Choice with whom to interact
- Facilitates an individual's choice regarding services and supports
- Facilitates an individual's choice regarding service provider

In addition to above, **all residential settings** *must have* the following qualities:

- Legally enforceable agreement between the provider and the resident with:
 - same responsibilities and protections from eviction that tenants have under landlord/tenant law; OR
 - If tenant laws don't apply, a written agreement is in place that addresses eviction appeals.
- Provides an individual privacy in their sleeping/living unit
- Entrance doors lockable by individual with only appropriate staff having keys
- Individuals have a choice of roommate, if have to share
- Individuals have the freedom to furnish and decorate their sleeping/living units
- Individuals have the freedom and support to control their own schedules/activities
- Individuals have the freedom to have access to food at any time
- Individuals are able to have visitors, of their choosing, at any time.
- Physically accessible to individuals.