

HCBS Provider Self-Assessment

Which of the following services are offered?				
	Is this service offered at this location? (Y/N)	How many people receive this service at this location?	How many Medicaid recipients receive this service at this location?	What is the current number of DOH Licensed Beds for this service at this location?
Assisted Living				
Nursing Facility				
Inpatient Rehabilitation				
Other Inpatient				
Residential Living Center				
Adult Day Services				
Community Living Home				
Structured Family Caregiver				
In-home care (hub service and/or offices)				
Other HCBS (please identify): _____				

#	Physical Location	TRUE/FALSE	TRUE, except in the case of occasional individual restrictions based upon health and safety needs and documented in the person-centered plan of care *	Potential Forms of Evidence
1	The setting is NOT located in a building or attached to a building that is also a publicly or privately operated facility that provides inpatient institutional treatment (NF, IMD, ICF/IID, hospital, inpatient rehabilitation facility).			Provider attestation; Google maps or other satellite imaging related to physical location, with date and description; Photos and/or architectural renderings of physical space, with date and description
2	The setting is NOT located in a building on the grounds of, or immediately adjacent to, a public institution.			Provider attestation; Google maps or other satellite imaging related to physical location, with date and description; Photos and/or architectural renderings of physical space, with date and description
3	The provider does NOT own or operate multiple facilities or settings located on the same street or within the same block.			Provider attestation; Google maps or other satellite imaging related to physical location, with date and description; Photos and/or architectural renderings of physical space, with date and description. If a provider is operating multiple setting types in the same vicinity, provide policy and documentation that HCBS and institutional settings are administratively and operationally separated, and residents' experiences are distinct.
4	The setting is NOT located in a gated, locked or secured campus or compound designed specifically for people receiving long-term services and supports.			Provider attestation; Google maps or other satellite imaging related to physical location, with date and description; Photos and/or architectural renderings of physical space, with date and description. If a provider is operating multiple setting types on the same property (for example, a continuing care retirement community), provide policy and documentation that HCBS and institutional settings are administratively and operationally separated, and residents' experiences are distinct.

#	Community Integration	TRUE/FALSE	TRUE, except in the case of occasional individual restrictions based upon health and safety needs and documented in the person-centered plan of care *	Potential Forms of Evidence
1	The setting provides options for community integration and use of community services in lieu of onsite services.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Marketing materials; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents.
2	Individuals are able to regularly access the broader community. Residents are able to describe how they can access the broader community and know who can assist them to participate in activities in the broader community.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Marketing materials; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents.
3	The provider consistently facilitates awareness of opportunities to participate in activities and community services that occur outside of the setting, with updated information available on an ongoing basis.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Marketing materials; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Examples of monthly activity schedules (outside the facility).
4	The setting facilitates opportunity for individuals to work or volunteer in the broader community if they choose to do so.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Marketing materials; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Examples of monthly volunteer or work opportunities presented; redacted examples of plans of care.
5	Individuals access hair salons/barber shops and other local businesses in the broader community, as they choose.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Marketing materials; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; redacted examples of plans of care.

6	Individuals shop, attend religious services, schedule appointments, have lunch with family and friends, and other activities in the broader community, as they choose.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Marketing materials; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; redacted examples of plans of care.
7	Individuals access healthcare services outside of this setting.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Marketing materials; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; redacted examples of plans of care.
8	Individuals are able to come and go from the setting at any time.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Marketing materials; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; redacted examples of plans of care.
9	Individuals receiving Medicaid HCBS have the opportunity to choose their individual living unit or sleeping area in the same manner as residents who do not receive Medicaid HCBS.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Marketing materials; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents.
#	Resident Rights	TRUE/FALSE	TRUE, except in the case of occasional individual restrictions based upon health and safety needs and documented in the person-centered plan of care *	Potential Forms of Evidence
1	All residents have a legally enforceable agreement with the setting landlord.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy.
2	The setting offers the same responsibilities/protections from eviction for Medicaid recipients/residents as all other tenants under state and local law.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy.

3	Individuals know how to relocate and request new housing.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules.
4	Individuals control their own resources and access their own money.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules.
#	Living Arrangements	TRUE/FALSE	TRUE, except in the case of occasional individual restrictions based upon health and safety needs and documented in the person-centered plan of care *	Potential Forms of Evidence
1	Each individual unit has lockable entrance doors, with the resident and appropriate staff only having keys to doors.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Photos; Receipts/evidence of lock installation with dates.
2	Each resident can close and lock their bedroom door.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Photos; Receipts/evidence of lock installation with dates.
3	Each resident can close and lock the bathroom door.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Photos; Receipts/evidence of lock installation with dates.
4	Staff, visitors or other residents always knock and receive permission prior to entering an individual's private space.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents.

5	Staff only uses a key to enter an individual living area under limited circumstances, agreed upon with the individual.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents.
6	Individuals have the option for a private unit, as appropriate.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy.
7	Individuals have privacy in their sleeping or living space.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Facility Photos.
8	Individuals are permitted to have a private cell phone, computer, or other personal communication device, or they have access to a telephone or other technology device to use for personal communication, in private, at any time.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents.
9	The facility telephone or other technology device (such as shared computer to access the internet) is in a location that has space around it to ensure privacy.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Facility Photos.
10	The facility does not use cameras or video monitoring in any individual units or private spaces.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents.
11	Residents are aware of, and have provided informed consent for the use of any cameras or video monitoring used in the setting.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents.
12	The furniture is arranged as residents prefer to assure privacy and comfort.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Facility Photos.

13	The furniture in shared areas is arranged to support small group conversations and social interaction.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Facility Photos.
14	Assistance (including personal care) is provided in private, as appropriate, when needed.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents.
15	Individuals sharing living units or bedrooms have a choice of roommates.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents.
16	Individuals have the freedom to furnish and decorate their sleeping or living units as they choose, as described within the lease or residential agreement.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents.
17	Individuals have full access to typical facilities usually found in a home such as a kitchen with cooking facilities, dining area, laundry, and comfortable seating in shared areas.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Facility Photos.
18	Individuals have access to food anytime.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; examples of redacted plans of care.
19	Individuals can eat in their rooms.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents.

20	Individuals can have visitors at any time, 24/7.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; examples of redacted plans of care.
21	Individuals make their own schedules and decisions about activities and when to do things.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; examples of redacted plans of care.
22	There is no curfew or other requirement for a scheduled return to the setting for residents.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents.
23	Exterior doors at the entrance/exit of the setting, and any property gates surrounding the setting, are able to be opened by residents at all hours.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Facility Photos.
24	The setting is physically accessible, with no obstructions such as steps, lips in a doorway, narrow hallways, etc., that would limit mobility in the setting or, if they are present, are there environmental adaptations such as a stair lift, ramp or elevator to ameliorate the obstructions.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Facility Photos.
25	The setting is free from gates, Velcro strips, locked doors, or other barriers that would prevent individuals' entrance to or exit from certain areas of the setting.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Facility Photos.
26	Individuals receiving Medicaid HCBS are supported to access amenities, such as a pool or gym, used by others on-site.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; examples of redacted plans of care

27	For individuals who need supports to move about the setting as they choose, accessibility features and environmental modifications have been installed, such as automatic opening doors, grab bars, seats in the bathroom, ramps for wheel chairs, visible exits for emergencies, etc.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Facility Photos.
28	Appliances are accessible to all individuals (e.g., the washer/dryer are front loading for individuals in wheelchairs.)			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Facility Photos.
29	Tables and chairs are at a convenient height and location so that individuals can access and use the furniture comfortably.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Facility Photos.
30	The provider facilitates access to information about local transportation options.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Information provided to residents about transportation options.
31	Individuals in the setting have access to public transportation.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Information provided to residents about transportation options.
32	Individuals in the setting know how to access and use public transportation.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Information provided to residents about transportation options.

33	Where public transportation is limited, the provider facilitates access to other transportation options for the individual to participate in the broader community.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules; Letters of Support from Residents; Information provided to residents about transportation options.
#	Policy Implementation and Enforcement	TRUE/FALSE	TRUE, except in the case of occasional individual restrictions based upon health and safety needs and documented in the person-centered plan of care *	Potential Forms of Evidence
1	Staff (including contractors or temporary staff) receive new hire training and continuing education related to residents' rights and individual experiences as outlined in the HCBS rules.			Provider Policies/Procedures; Staff training curriculum and materials; Training Requirements and Schedules.
2	Volunteers receive training and continuing education related to residents' rights and individual experiences as outlined in the HCBS rules.			Provider Policies/Procedures; Volunteer training curriculum and materials; Training Requirements and Schedules.
3	Provider policies outlining residents' rights are made readily available to residents in a format and manner that is accessible and easily understood.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules.
4	Provider policies on residents' rights, experiences, and HCBS rules are regularly reassessed for compliance and effectiveness and amended, as necessary.			Provider Policies/Procedures; Resident Handbook; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules.
5	If the setting is adjacent to a private institutional setting, all administrative and operational functions are clearly separate and distinct.			Organizational chart; Provider Policies/Procedures; Resident Handbooks; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules.

6	If the setting is adjacent to a private institutional setting, any shared staff have received training and continuing education related to the differences in HCBS residents' rights and expectations for HCBS experience (as compared to institutional care).			Organizational chart; Provider Policies/Procedures; Resident Handbooks; Resident Agreement Template; Admission Policy; Staff training curriculum and materials; Training Requirements and Schedules.
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***For any individual who may experience a need for a rights restriction or restrictive intervention, the assessed health and safety need for such restriction must be documented in the person-centered plan of care, as well as documentation related to less restrictive alternatives attempted, data being collected to demonstrate current need for the restriction, and ongoing monitoring.**