

Residential Setting Self-Assessment

The Centers for Medicare and Medicaid Services (CMS) requires states to evaluate current home and community-based services (HCBS) settings to demonstrate compliance with the federal HCBS Settings Rule that went into effect March 17, 2014. The HCBS Settings Rule is intended to ensure that people receiving long-term care services and supports through HCBS waiver programs have full access to the benefits of community living and the opportunity to receive services in the most integrated setting appropriate to meet their needs. This Residential HCBS Setting-Specific Self-Assessment is designed to measure the 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. Providers should include comments to present supporting information, facts, and circumstances relevant to assessing the setting's compliance with the HCBS Settings Rule. All 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 Setting-Specific Residential Self-Assessment for EACH residential setting/location where HCBS waiver services are provided.** Please address questions to HCBS@mh.alabama.gov.

Please read the Instructions for Completion of the Residential and Non-Residential HCBS Setting-Specific Self-Assessments before beginning!!

Section A – Provider Information

Agency Name per DMH Contract		Executive Director's Name	
Address		Phone#	
City	Zip	Email	
1. Setting Type: Select one		<input type="checkbox"/> 1-2 Bed Home <input type="checkbox"/> 3-4 Bed Home <input type="checkbox"/> 6-or more <input type="checkbox"/> Apartment Certified as a CRF <input type="checkbox"/> Other	
2. Location (setting determines response)		<input type="checkbox"/> Urban <input type="checkbox"/> Suburban <input type="checkbox"/> Rural	
3. Setting name	Setting Address	City, State, Zip Code	
4. Setting provides services funded by:		Select all that are applicable: <input type="checkbox"/> Private Pay <input type="checkbox"/> Waiver <input type="checkbox"/> Education <input type="checkbox"/> DHR <input type="checkbox"/> ETF <input type="checkbox"/> Other (describe)	
5. Who is served in this setting? (<i>more than one may apply</i>) Check all that apply <input type="checkbox"/> Adults (18 years and older) <input type="checkbox"/> Children (0-17 year olds) <input type="checkbox"/> 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: <i>Use the setting census at the time you are completing this assessment and only count a person once.</i> <input type="checkbox"/> Intellectual/Developmental Disabilities How many children? _____ Adults? _____ <input type="checkbox"/> Physical disabilities How many children? _____ Adults? _____ <input type="checkbox"/> Medically Fragile How many children? _____ Adults? _____	
Signature of Person Completing this self-assessment:		Date:	
Signature of Executive Director:		Date:	

Definitions

Setting Type

An ADMH certified residential setting (CRF) supporting one or more people.

Service Types

Residential Habilitation Services: Provides care, supervision, and skills training in activities of daily living, home management and community integration in a certified community setting. Services include teaching and intervention in the areas of self-care, sensory/motor development, interpersonal skills, communication, behavior shaping and supports, community living skills, mobility, health care, socialization, and community inclusion, money management pursuit of leisure and recreational activities and household responsibilities.

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
<p>All settings</p> <p>1. Is the setting adjacent to or under the same roof as a building that houses a publicly or privately-operated setting which provides inpatient institutional care: skilled nursing setting (SNF), immediate care setting for individuals with intellectual disabilities (ICF/IID), institute for mental disease (IMD), or hospital?</p>		<input type="checkbox"/> Yes The setting is adjacent to or under the same roof as a building that houses a publicly or privately-operated setting...	<input type="checkbox"/> No The setting is not adjacent to or under the same roof as a building that houses a publicly or privately-operated setting...	
<p>2. Is the setting located on the grounds of, or immediately adjacent to, a building that is a public institution which provides inpatient institutional care (Skilled Nursing Setting (SNF), Intermediate Care Setting for Individuals with Intellectual Disabilities (ICF/IID), Institute for Mental Disease (IMD), or hospital)?</p>		<input type="checkbox"/> Yes The setting is located on the grounds of, or immediately adjacent to, a building that is a public institution...	<input type="checkbox"/> No The setting is not located on the grounds of, or immediately adjacent to, a building that is a public institution...	
<p>3. Does the setting otherwise have the effect of isolating individuals receiving Medicaid-funded HCBS from the broader community of individuals not receiving Medicaid-funded HCBS?</p>		<input type="checkbox"/> Yes The setting otherwise have the effect of isolating individuals receiving Medicaid-funded HCBS from the broader community of individuals not receiving Medicaid-funded HCBS	<input type="checkbox"/> No The setting does not otherwise have the effect of isolating individuals receiving Medicaid-funded HCBS from the broader community of individuals not receiving Medicaid-funded HCBS.	
<p>4. Are there gates, fences, locked doors, or other barriers that would prevent a person's entrance to or exit from the setting?</p>		<input type="checkbox"/> Yes There are gates, locked doors, or other barriers that would prevent a person's entrance to or exit from the setting.	<input type="checkbox"/> 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 a telephone available to people for personal use?		<input type="checkbox"/> Yes There is a telephone/space available to people for personal use.	<input type="checkbox"/> No There is not a telephone/space available to people for personal use.	
6. Is the telephone in a location that has space around it to ensure privacy?		<input type="checkbox"/> Yes The telephone is not in a location that has space around it to ensure privacy.	<input type="checkbox"/> No The telephone is not in a location that has space around it to ensure privacy.	
7. Do people have a private, unsupervised space to meet visitors?		<input type="checkbox"/> Yes People do have a private, unsupervised space to meet visitors.	<input type="checkbox"/> No People do not have a private, unsupervised space to meet visitors.	
8. Does the setting offer options for people to receive services in the community other than the setting itself?		<input type="checkbox"/> Yes The setting does offer options for people to receive services in the community other than the setting itself.	<input type="checkbox"/> No The setting does not offer options for people to receive services in the community other than the setting itself.	
9. Is the setting physically accessible and free from obstructions such as steps, lips in a doorway, or narrow hallways, etc. that could limit a person's mobility in the setting?		<input type="checkbox"/> Yes The setting is physically accessible and free from obstructions such as steps, lips in a doorway, or narrow hallways, etc. that could limit a person's mobility in the setting.	<input type="checkbox"/> No The setting is not physically accessible and free from obstructions such as steps, lips in a doorway, or narrow hallways, etc. that could limit a person's mobility in the setting.	

<p>10. Is the setting in a location where it is easy and convenient for people to access the broader community from that setting?</p> <p>Definitions:</p> <p>“Easy and convenient access” is defined as suitable, appropriate, expedient involving little trouble or effort or situated so as to allow easy access.</p> <p>“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</p> <p>“Setting” is defined as the place or type of surroundings where something is positioned or where an event takes place.</p> <p>A “Mile” is approximately 10-12 City Blocks or 1,760 yards.</p> <p>“Close” is defined as a short distance away.</p>	<p>10A. Is the setting within walking distance, to allow people access to the broader community?</p>	<p><input type="checkbox"/> Yes</p> <p>a. What is the distance a person would need to walk to access the broader community from this setting?</p> <p><input type="checkbox"/> 1/8 mile or less</p> <p><input type="checkbox"/> ¼ mile</p> <p><input type="checkbox"/> ½ mile</p> <p><input type="checkbox"/> 1 mile or more</p> <p>b. Which of the following best describes the location of the setting? Choose one:</p> <p><input type="checkbox"/> In the central/downtown area of the community in which the setting is located</p> <p><input type="checkbox"/> On the outskirts of the community in which the setting is located</p> <p><input type="checkbox"/> Within the boundaries of a community (e.g., city, town, or village) but neither central/downtown area or on the outskirts of the community</p> <p><input type="checkbox"/> In an area between two or more communities (e.g., between towns, villages, or cities) that are open to the public</p> <p><input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No</p> <p>This setting is not within walking distance of under 1 mile to the broader community.</p>	
	<p>10B. 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?</p>	<p><input type="checkbox"/> Yes</p> <p>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?</p> <p><input type="checkbox"/> 1/8 mile or less</p> <p><input type="checkbox"/> ¼ mile</p> <p><input type="checkbox"/> ½ mile or more</p> <p><input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No</p> <p>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.</p>	
	<p>10C. Is the setting close to other businesses that have people</p>	<p><input type="checkbox"/> Yes</p> <p>a. The setting is within</p>	<p><input type="checkbox"/> No</p> <p>This setting is not within one</p>	

	<p>coming and going from the broader community?</p>	<p><input type="checkbox"/> 1/8 mile or less <input type="checkbox"/> ¼ mile <input type="checkbox"/> ½ mile <input type="checkbox"/> 1 mile or more</p> <p>of people coming and going from the broader community.</p> <p>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?</p> <p>Choose one:</p> <p><input type="checkbox"/> 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</p> <p><input type="checkbox"/> 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</p> <p><input type="checkbox"/> 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</p> <p><input type="checkbox"/> Other</p>	<p>mile of other businesses that have people coming and going from the broader community.</p>	
	<p>10D. 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.?</p>	<p><input type="checkbox"/> Yes</p> <p>The setting is within at least four of the following: parks, recreational activities, schools and colleges/universities, public facilities such as library, community center, job center, restaurants, stores, etc.</p>	<p><input type="checkbox"/> No</p> <p>This setting is not within one mile of any of the following: parks, recreational activities, schools and colleges/universities, public facilities such as library, community center, job center, restaurants, stores, etc.</p>	

Section C Community Integration - The setting is integrated in, and supports full access of individuals receiving Medicaid HCBS, to the greater community to the same degree of access as individuals not receiving Medicaid HCBS. Citations: 42 C.F.R § 441.301(c)(4)(i).

(NOTE: Some questions may continue on following page!)

			Comments	
11. Do people make independent choices that are not contingent upon other people going to the same activities? Definition: * “Independent Choice” is considered a person being able to make an informed choice and actively participate in the decision.		<input type="checkbox"/> Yes People make independent choices. Select all that apply: <input type="checkbox"/> Shop <input type="checkbox"/> Attend religious services <input type="checkbox"/> Schedule or attend appointments <input type="checkbox"/> Visit with family and friends Other: (List)	<input type="checkbox"/> No People do not make independent choices.	
12. Are people required to sign over their employment paychecks to the setting?		<input type="checkbox"/> Yes People are required to sign over their employment paychecks to the setting.	<input type="checkbox"/> No People are not required to sign over their employment paychecks to the setting.	
13. Is there a central location at the setting where a person’s personal finances are held?		<input type="checkbox"/> Yes There is a central location at the setting where a person’s personal finances are held.	<input type="checkbox"/> No There is not a central location at the setting where a person’s personal finances are held.	
14. Does the setting impose restrictions on when people can access their personal funds?		<input type="checkbox"/> Yes The setting imposes restrictions on when people can access their personal funds.	<input type="checkbox"/> No The setting does not impose restrictions on when people can access their personal funds.	
15. Is access to personal funds dependent on setting staff being present?		<input type="checkbox"/> Yes Access to personal funds is dependent on setting staff being present.	<input type="checkbox"/> No Access to personal funds is not dependent on setting staff being present.	
16. Does the setting afford opportunities for people to keep physical possession of their monetary resources?	16A. Does the setting allow people to choose where they keep their monetary resources?	<input type="checkbox"/> Yes a. Where do people receiving HCBS services keep their	<input type="checkbox"/> No The setting does not allow people to choose where they	

<p>Definitions:</p> <ul style="list-style-type: none"> • “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. 		<p>monetary resources in this setting? <i>Check all that apply</i></p> <p><input type="checkbox"/> Wallet/purse/pocket on their person</p> <p><input type="checkbox"/> Give to staff/volunteer</p> <p><input type="checkbox"/> Community lock box</p> <p><input type="checkbox"/> In their personal locker: may access and open at their discretion</p> <p><input type="checkbox"/> Person does not have monetary resources with them in this setting.</p> <p><input type="checkbox"/> Other</p>	<p>keep their monetary resources.</p> <p><input type="checkbox"/> Not applicable</p> <p>People do not carry or have access to money in this setting.</p>	
	<p>16B. Does the setting have rules about possession of monetary resources for people receiving HCBS services different than people not receiving Medicaid funded HCBS services?</p>	<p><input type="checkbox"/> Yes</p> <p>The rules may consist of: <i>Check all that apply</i></p> <p><input type="checkbox"/> No monetary resources are allowed in this setting</p> <p><input type="checkbox"/> Monetary resources must be kept in a locked box in the setting</p> <p><input type="checkbox"/> Monetary resources must be given to staff in this setting</p> <p><input type="checkbox"/> Monetary resources can be accessed at certain days/times only</p> <p><input type="checkbox"/> Monetary resources may be accessed at any time upon request</p> <p><input type="checkbox"/> Monetary management support is available to individuals with clear instructions</p> <p><input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No</p> <p>The setting does not have rules about monetary resources for people receiving HCBS services.</p>	
<p>17. Does the setting afford opportunities for individual decision-making on spending their own money?</p>	<p>17A. Does the setting provide access to opportunities for people receiving HCBS services to make decisions about how to spend their own money?</p>	<p><input type="checkbox"/> Yes</p> <p>a. Does the setting provide opportunities for people receiving HCBS services to make decisions to spend their own money?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>b. How often are these opportunities offered to people receiving HCBS services in this setting?</p> <p><input type="checkbox"/> Daily <input type="checkbox"/> Weekly</p> <p><input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No</p> <p>The setting does not provide opportunities for people receiving HCBS services to make decisions about how to spend their own money.</p>	

<p>18. People receiving HCBS are provided the opportunities to interact with others in the community not receiving HCBS.</p>	<p>18A. Does the setting provide opportunities for people receiving HCBS services to interact with others not paid to provide support?</p>	<p><input type="checkbox"/> Yes</p> <p>a. How often are opportunities provided for people receiving HCBS services to interact with others not paid to provide support?</p> <p><input type="checkbox"/> Throughout the day <input type="checkbox"/> Once a day <input type="checkbox"/> Once a week <input type="checkbox"/> Other</p> <p>b. Who are the “others” not paid to provide support that people receiving HCBS services interact with in the setting?</p> <p><i>Check all that apply</i></p> <p><input type="checkbox"/> Other people not receiving HCBS services doing similar work or non-work activities <input type="checkbox"/> Volunteers such as faith-based representatives and community groups, e.g. clubs, musical groups, etc. <input type="checkbox"/> Family and Friends <input type="checkbox"/> Other</p> <p>Refer to CMS Guidance relating to Reverse Integration</p>	<p><input type="checkbox"/> No</p> <p>Opportunities are not available in this setting for people receiving HCBS to interact with others not paid to provide support.</p>	
	<p>18B. Does the setting provide opportunities for regular activities of the person’s choosing?</p>	<p><input type="checkbox"/> Yes</p> <p>What is the frequency of the activities offered?</p> <p><input type="checkbox"/> More than once per day <input type="checkbox"/> Once a day <input type="checkbox"/> Once a week <input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No</p> <p>This setting does not offer activities.</p>	
	<p>18C. Does the setting have the same degree of access to the community as people not receiving HCBS?</p>	<p><input type="checkbox"/> Yes</p> <p>a. How often does this setting provide access to the community for people receiving HCBS services?</p> <p><input type="checkbox"/> Once a day <input type="checkbox"/> Once a week <input type="checkbox"/> Other</p> <p>b. Does the setting’s individual</p>	<p><input type="checkbox"/> No</p> <p>This setting does not have the same degree of access to the community as people not receiving HCBS services.</p>	

		<p>service plan address how a person's individualized goals can be met through involvement in activities outside of the setting?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other</p>		
<p>19. Does the setting provide transportation for people receiving HCBS services to the broader community when requested?</p>		<p><input type="checkbox"/> Yes</p> <p>a. How does the setting provide transportation for people to the broader community?</p> <p><i>Check all that apply</i></p> <p><input type="checkbox"/> Setting owned vehicle <input type="checkbox"/> Staff vehicle <input type="checkbox"/> Volunteer drivers <input type="checkbox"/> The setting provides assistance for people receiving HCBS services to walk to places in the greater community <input type="checkbox"/> The setting owns or leases private vehicles (smaller than minivan) to provide transportation for people receiving HCBS services to get to other places in the greater community during service hours <input type="checkbox"/> Staff accompany people receiving HCBS services to access and use public transportation to get to other places in the greater community <input type="checkbox"/> Other</p> <p>b. How can a person receiving HCBS services request transportation to the broader community?</p> <p><input type="checkbox"/> Make an appointment with staff <input type="checkbox"/> Sign-up sheet <input type="checkbox"/> Other</p> <p>c. How long does someone receiving HCBS services have</p>	<p><input type="checkbox"/> The setting does not provide transportation to and from the setting for people receiving HCBS services.</p>	

		<p>to wait in order to access/receive transportation to the broader community after a request?</p> <p><input type="checkbox"/> Same day request</p> <p><input type="checkbox"/> One week or less</p> <p><input type="checkbox"/> Other</p>		
	<p>19B. Does the setting provide information regarding types of transportation to people receiving HCBS services in a convenient location?</p>	<p><input type="checkbox"/> Yes Transportation information is posted in accessible areas for people in the setting.</p> <p>d. What transportation information is provided to people receiving HCBS services</p> <p><input type="checkbox"/> Bus schedule</p> <p><input type="checkbox"/> Volunteer driver list</p> <p><input type="checkbox"/> Computer with internet access</p> <p><input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No The setting does not provide information regarding transportation to people receiving HCBS services in a convenient location.</p>	
	<p>19C. Does the setting utilize transportation that allows access to the broader community and activities including paid integrated employment for people receiving HCBS Services?</p>	<p><input type="checkbox"/> Yes What is done to ensure people receiving HCBS services can utilize public transportation?</p> <p><input type="checkbox"/> The setting assists people to apply for and obtain passes to use public transportation</p> <p><input type="checkbox"/> The setting purchases passes or tickets to all people to use public transportation options</p> <p><input type="checkbox"/> The setting arranges for the provider or public transportation to provide training to people about how to use the public transportation available</p> <p><input type="checkbox"/> The setting provides training to people on how to use public transportation</p> <p><input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No The setting does not utilize transportation that allows access to the broader community and activities including paid integrated employment.</p>	
<p>20. Is transportation available to/from the setting?</p>	<p>20A. Is there public transportation to and from</p>	<p><input type="checkbox"/> Yes There is public transportation in this community.</p>	<p><input type="checkbox"/> No Public transportation is not available in this</p>	

	the setting to the broader community?		community.	
	20B. Is there accessible public transportation from the setting to the broader community?	<input type="checkbox"/> Yes There is accessible public transportation in this community to and from the setting.	<input type="checkbox"/> No There is not accessible public transportation in this community to and from the setting.	
21. Does the setting assure that activities, both inside and outside the setting, are comparable to activities for people of similar ages who do not receive services?	21A. Does the setting provide activities inside the setting that are comparable to tasks and activities for people of similar ages who do not receive HCBS services?	<input type="checkbox"/> 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 HCBS services? <i>Check all that apply</i> <input type="checkbox"/> Arts & crafts & games <input type="checkbox"/> Physical activities/exercise <input type="checkbox"/> Movies/television <input type="checkbox"/> Music <input type="checkbox"/> Other	<input type="checkbox"/> No The setting does not provide tasks and activities inside the setting that are comparable to tasks and activities for people receiving HCBS services of similar ages to those who do not receive HCBS services.	
	21B. Does the setting provide activities outside the setting that are comparable to tasks and activities for people receiving HCBS services of similar ages who do not receive HCBS services?	<input type="checkbox"/> Yes What tasks and activities are provided outside the setting that is comparable to tasks and activities for people receiving HCBS services of similar ages who do not receive HCBS services? <i>Check all that apply</i> <input type="checkbox"/> Community events <input type="checkbox"/> Shopping <input type="checkbox"/> Attending community social events <input type="checkbox"/> Other	<input type="checkbox"/> No The setting does not provide tasks and activities outside the setting that are comparable to tasks and activities for people receiving HCBS services of similar ages to those who do not receive HCBS services.	
	21C. Does the setting offer people receiving HCBS services choices about participation in community activities at different times?	<input type="checkbox"/> Yes How does the setting offer choices to people receiving HCBS services about participation in community outings at different times? Check all that apply: <input type="checkbox"/> The setting offers a choice between several different times a person can participate in community activities <input type="checkbox"/> The setting offers a schedule of events offered at different times that people can sign up for <input type="checkbox"/> Other	<input type="checkbox"/> No The setting does not offer choices to people receiving HCBS services about participating in community outings at different times.	

	21D. Does the setting offer people receiving HCBS services choices about who they choose to participate with during outside activities?	<input type="checkbox"/> Yes The setting offers people receiving HCBS services choices about who they participate with in outside activities.	<input type="checkbox"/> No The setting does not offer choices about who a person participates with in outside activities.	
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
22. Does the setting provide people with flexibility in his/her schedule? Definitions: <ul style="list-style-type: none"> • “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. 6. “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 	22A. Does the setting provide people receiving HCBS services with the choice of services offered in non-disability specific settings? (Note: See definition for specific non-disability setting clarification.)	<input type="checkbox"/> Yes a. How frequently are people offered the choice of services in non-disability specific settings? <input type="checkbox"/> Upon request <input type="checkbox"/> At the 6-month review <input type="checkbox"/> Other b. How often can people change services in this setting? <input type="checkbox"/> Upon request <input type="checkbox"/> 1-3 months <input type="checkbox"/> 4-6 months <input type="checkbox"/> Other	<input type="checkbox"/> No The setting options do not provide people with the choice of services offered in non-disability specific settings.	
	22B. Is the setting able to adapt activities and schedules to the person's needs and preferences who receive HCBS services?	<input type="checkbox"/> Yes a. How is the setting able to adapt activities and schedules to the person's needs and preferences who receive HCBS services? Check all that apply: <input type="checkbox"/> The setting provides a variety of activities at a variety of times during the day <input type="checkbox"/> The setting uses adaptive aids and technology to assist people to participate in activities <input type="checkbox"/> The setting offers an accessible environment to promote maximum participation with people <input type="checkbox"/> 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	<input type="checkbox"/> No The setting is not able to adapt activities and schedules to the person's needs and preferences who receive HCBS services.	

<p>disabilities.</p> <ul style="list-style-type: none"> • “Flexibility” refers to willingness to change or compromise. 		<p>accommodations, etc.).</p> <p><input type="checkbox"/> Other</p>		
<p>23. Does the setting have practices, procedures, and policies that support individualized planning and support?</p> <p>Definitions:</p> <ul style="list-style-type: none"> • “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. 	<p>23A. Does the setting ensure individual needs and preferences of people receiving HCBS services are taken into consideration?</p>	<p><input type="checkbox"/> Yes</p> <p>What practices, procedures, and policies does the setting have to support individualized planning and support? <i>Check all that apply</i></p> <p><input type="checkbox"/> Setting participates in individualized planning and support with the long-term care support team.</p> <p><input type="checkbox"/> Setting regularly schedules meetings with the person to discuss their individualized planning and support.</p> <p><input type="checkbox"/> Setting regularly schedules meetings with people’s family/guardian to discuss their individualized planning and support</p> <p><input type="checkbox"/> Setting regularly updates goals and services of people’s individualized planning and support plan.</p> <p><input type="checkbox"/> Setting regularly assesses people’s preferences and needs and adapts accordingly.</p> <p><input type="checkbox"/> Setting offers training in self-direction</p> <p><input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No</p> <p>The setting in not able to ensure individual needs and preferences of people receiving HCBS services are taken into consideration.</p>	
	<p>23B. Does the setting provide supports to people receiving HCBS services in non-disability specific locations such as supports for integrated employment, volunteering in the broader community, or engaging in integrated activities in the broader community?</p>	<p><input type="checkbox"/> Yes</p> <p><i>Check all that apply</i></p> <p><input type="checkbox"/> Integrated employment in the community</p> <p><input type="checkbox"/> Volunteer opportunities in the community</p> <p><input type="checkbox"/> Integrated community activities such as health clubs, community centers, clubs, faith-based activities, etc.</p> <p><input type="checkbox"/> Other</p> <p>a. On average, how often do</p>	<p><input type="checkbox"/> No</p> <p>The setting does not provide supports to people receiving HCBS services in non-disability specific locations such as supports for integrated employment, volunteering in the broader community, or engaging in integrated activities in the broader community.</p>	

		people receiving HCBS services have access to services in non-disability specific settings? <input type="checkbox"/> less than 20% of the time <input type="checkbox"/> 21-50% of the time <input type="checkbox"/> 51-75% of the time <input type="checkbox"/> 76-90% of the time <input type="checkbox"/> 91-100% of the time		
	23C. Does the setting require all direct support professionals to be trained in person-centered planning strategies?	<input type="checkbox"/> Yes The setting requires all direct support professionals to be trained in person-centered planning strategies.	<input type="checkbox"/> No The setting does not require all direct support professionals to be trained in person-centered planning strategies.	
	23D. Does the setting provide flexible supports and/or transportation needed for people to maintain integrated employment?	<input type="checkbox"/> Yes Check all that apply <input type="checkbox"/> Any day of the week including nights <input type="checkbox"/> Weekends <input type="checkbox"/> Holidays <input type="checkbox"/> After regular day service hours <input type="checkbox"/> Other	<input type="checkbox"/> No The setting does not provide not provide flexible supports or transportation needed to for people to integrated maintain employment.	

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
24. Does the setting have practices, procedures, and policies to ensure all information about people is kept private and confidential?	24. A Does the setting have practices, procedures, and policies to ensure all information about people receiving HCBS services is kept private and confidential?	<input type="checkbox"/> Yes a. How is information kept private in the setting about people receiving HCBS services? <i>Check all that apply</i> <input type="checkbox"/> Paid staff follow confidential policies/practices <input type="checkbox"/> No posted schedules for people receiving HCBS services receiving therapeutic services such as PT, OT, speech <input type="checkbox"/> No posted schedules for people's medication administration for people receiving HCBS services <input type="checkbox"/> No posted schedules for people's dietary requirements for people receiving HCBS services <input type="checkbox"/> No posted schedules for doctor/dentist appointments for people receiving HCBS services <input type="checkbox"/> No posted behavioral support	<input type="checkbox"/> No The setting is not able to keep all the information about people receiving HCBS services private.	

		plans for people receiving HCBS services <input type="checkbox"/> Other b. How often is staff trained on practices, procedures, and policies to ensure all information about people receiving HCBS services is kept private and confidential? <input type="checkbox"/> Upon hire <input type="checkbox"/> Annually <input type="checkbox"/> As needed <input type="checkbox"/> Other		
25. Does the setting support people who need assistance with activities of daily living while ensuring the privacy of the person? Definition: • “Privacy” is defined as, “The state or condition of being free from being observed or disturbed by other people.”	25A. Does the setting support people receiving HCBS services who need assistance with their personal appearance e.g., teeth brushing, personal care, toileting, eating, etc.?	<input type="checkbox"/> Yes The setting provides personal assistance in private areas for people receiving HCBS services.	<input type="checkbox"/> No The setting is not able to provide personal assistance in privacy for people receiving HCBS services.	

<p>26. 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?</p>	<p>26A. Does the setting assure the staff addresses the person receiving HCBS services in a manner in which the person would like to be addressed while providing assistance and during the regular course of daily activities?</p>	<p><input type="checkbox"/> Yes</p> <p>a. How does the setting assure the staff addresses the person receiving HCBS services in a manner in which the person would like to be addressed while providing assistance and during the regular course of daily activities?</p> <p><i>Check all that apply</i></p> <p><input type="checkbox"/> Staff ask the person their preference in being addressed, e.g., first name, middle name, nickname, Miss, Mrs., Mr., Dr. etc.</p> <p><input type="checkbox"/> Staff uses the person's preferred name(s) and title</p> <p><input type="checkbox"/> Staff use nick names only if they are preferred by the person</p> <p><input type="checkbox"/> Setting has policies and procedures about how staff need to respectfully interact and communicate with people</p> <p><input type="checkbox"/> Staff training is required to ensure interactions during personal assistance are respectful</p> <p><input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No</p> <p>The setting does not assure the staff addresses the person receiving HCBS services in a manner in which the person would like to be addressed while providing assistance and during the regular course of daily activities.</p>	
<p>27. Does the setting assure that staff does 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?</p>	<p>27A. Does the setting have policy and trainings to assure that staff does not talk to other staff about the person receiving HCBS services in the presence of other persons or in the presence of the individual as if s/he were not present?</p>	<p><input type="checkbox"/> Yes</p> <p>How often is training offered about the policy that assures staff does not talk to other staff about the person receiving HCBS services in the presence of other persons or in the presence of the individual as if s/he was not present?</p> <p><input type="checkbox"/> Upon hire</p> <p><input type="checkbox"/> Annually</p> <p><input type="checkbox"/> As needed</p> <p><input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No</p> <p>The setting is not able to assure that staff does not talk to other staff about the person receiving HCBS services in the presence of other persons or in the presence of the individual as if s/he were not present.</p>	
<p>28. Does the setting optimize personal initiative, autonomy and independence in making life choices?</p>	<p>28A. Each unit has lockable entrance doors.</p>	<p><input type="checkbox"/> Yes</p> <p>Each unit has lockable entrance doors with people receiving HCBS and only appropriate staff have a key to the doors.</p>	<p><input type="checkbox"/> No</p> <p>Each unit does not have lockable doors.</p>	

	28B. Staff always knock and receive permission prior to entering a person's living space.	<input type="checkbox"/> Yes Staff always knock and receive permission to enter.	<input type="checkbox"/> No Staff do not always knock and receive permission to enter.	
	28C. People have no restrictions for the use of personal communication devices.	<input type="checkbox"/> Yes There are not restrictions for use of personal communication devices.	<input type="checkbox"/> No There are restrictions for the use of personal communication devices.	
	28D. People sharing a bedroom have choice of roommates.	<input type="checkbox"/> Yes People sharing a bedroom do have a choice of roommates.	<input type="checkbox"/> No People do not have a choice of roommates.	
	28E. People have the freedom to furnish and decorate their bedroom and living areas.	<input type="checkbox"/> Yes People are free to furnish and decorate bedrooms and living areas.	<input type="checkbox"/> No People are not free to furnish and decorate bedrooms and living areas.	
29. Does the setting use restrictive measures, including 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	29A. Does the setting use restrictive measures with people receiving HCBS services?	<input type="checkbox"/> Yes <i>Check all that apply.</i> <input type="checkbox"/> Timeout rooms <input type="checkbox"/> Chemical restraints, including medication <input type="checkbox"/> Physical restraints, lap belt, Velcro strips, locking wheelchairs, holds, take downs, escorts, etc. <input type="checkbox"/> Other barriers preventing entrance or exit from areas including locks, gates etc., <input type="checkbox"/> Other	<input type="checkbox"/> No The setting does not use restrictive measures, including isolation, chemical restraints and physical restrictions with people receiving HCBS services.	

<p>types of restraint, isolation/seclusion, and protective equipment, medical restraints, etc. that are covered in DHS Guidelines. Per DHS Guidelines</p> <ul style="list-style-type: none">• 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	<p>29B. Does the settings policy mirror DMH Restrictive measure policy and procedure for people receiving HCBS services?</p>	<p><input type="checkbox"/> Yes The settings policy mirrors AL behavioral Services Guidelines for people receiving HCBS services.</p>	<p><input type="checkbox"/> No The setting is does not have a policy.</p> <p><input type="checkbox"/> The setting does not use restrictive measures.</p>	
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<p>30. Does the setting ensure that one person's behavior supports do not impede the rights of the other people?</p>	<p>30A. Does the setting ensure that one person's behavior supports do not impede the rights of the other people?</p>	<p><input type="checkbox"/> Yes How does the setting ensure that one person's behavior supports do not impede the rights of the other people? <i>Check all that apply.</i> <input type="checkbox"/> The setting monitors that one person's behavior supports do not impede the rights of the other people <input type="checkbox"/> The setting assures staffing patterns that are adequate to avoid disruption of other people's activities <input type="checkbox"/> The setting respectfully implements behavior supports to allow support to be minimally invasive to others <input type="checkbox"/> The setting uses least restrictive behavioral supports to avoid behavior escalation that may be disruptive or infringe on others <input type="checkbox"/> The setting fades behavior support as soon as possible <input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No The setting is not able to ensure that one person's behavior supports do not impede the rights of the other people.</p>	
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<p>31. 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?</p>	<p>31A. Do the setting’s practices, procedures, and policies ensure that each person’s supports and plans who are receiving HCBS services address behavioral needs that are specific to the person and not the same as everyone else in the setting?</p>	<p><input type="checkbox"/> Yes How do the setting’s practices, procedures, and policies ensure that each person’s supports and plans who are receiving HCBS services address behavioral needs that are specific to the person and not the same as everyone else in the setting? <i>Check all that apply</i></p> <p><input type="checkbox"/> The setting develops individualized person-centered behavioral support plans</p> <p><input type="checkbox"/> The settings staff training is based upon person-centered behavior supports</p> <p><input type="checkbox"/> The setting monitors delivery of behavioral support</p> <p><input type="checkbox"/> The setting documents usage of behavioral supports</p> <p><input type="checkbox"/> Setting practices, procedures and policies are written with details on how to deliver and monitor person’s behavioral supports</p> <p><input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No The setting’s practices, procedures, and policies do not ensure that each person’s supports and plans who are receiving HCBS services address behavioral needs that are specific to the person and not the same as everyone else in the setting.</p>	
<p>32. Does the setting offer a secure place for the person to store personal belongings?</p> <ul style="list-style-type: none"> • “Secure” means fixed or fastened so as not to give way, become loose, or be lost. (Note: secure does not necessarily mean locked.) 	<p>32A. Does the setting offer a secure place for the person receiving HCBS services to store personal belongings?</p>	<p><input type="checkbox"/> Yes</p> <p>a. If the secure place is locked who has the key(s)?</p> <p><input type="checkbox"/> The person</p> <p><input type="checkbox"/> Setting staff</p> <p><input type="checkbox"/> Other</p> <p><input type="checkbox"/> N/A</p>	<p><input type="checkbox"/> No The setting does not provide a secure place for people who receive HCBS services to store personal belongings.</p> <p><input type="checkbox"/> Not applicable (People keep possession of all their belongings while in the setting.)</p>	

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
<p>33. Does the setting have practices, procedures, and policies to ensure dignity is afforded to people in an age-appropriate manner while dining?</p>	<p>33A. Does the setting have practices, procedures, and policies to ensure dignity is afforded to people receiving HCBS services in an age-appropriate</p>	<p><input type="checkbox"/> Yes How does the setting implement practices, procedures, and policies to ensure dignity is afforded to people receiving HCBS services in an age-appropriate manner while</p>	<p><input type="checkbox"/> No The setting does not have practices, procedures, and policies to ensure dignity is afforded to people receiving HCBS services in an age-</p>	<p>.</p>

<p>Definitions:</p> <ul style="list-style-type: none"> • “Dignity” is defined as the quality of being worthy of honor or respect • “Age-appropriate” is defined as similar age people from the broader community not receiving Home and Community-Based Services. 	manner while dining?	<p>dining?</p> <p><i>Check all that apply.</i></p> <p><input type="checkbox"/> When assistance is needed, the setting’s attendant is focused on the person’s cues</p> <p><input type="checkbox"/> Food is fed at the person’s desired pace in the setting</p> <p><input type="checkbox"/> People can refuse food items in the setting</p> <p><input type="checkbox"/> People can choose how their food is served, e.g., dessert first, hot or cold in the setting</p> <p><input type="checkbox"/> People can choose to eat alone or with others in the setting</p> <p><input type="checkbox"/> Other</p>	<p>appropriate manner while dining.</p> <p><input type="checkbox"/> Not applicable</p> <p>The setting is an environment where the people do not eat</p>	
34. Does the setting provide for an alternative meal if requested by the person?	34A. Does the setting provide for an alternative meal if requested by the person receiving HCBS services?	<p><input type="checkbox"/> Yes</p> <p>When does the person receiving HCBS services need to request an alternative meal?</p> <p><input type="checkbox"/> The day of the meal</p> <p><input type="checkbox"/> A day in advance</p> <p><input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No</p> <p>The setting does not provide for an alternative meal if requested by the person receiving HCBS services.</p> <p><input type="checkbox"/> Not applicable</p> <p>The setting does not provide meals.</p>	
35. Does the setting provide opportunities for private dining if requested by the person?	35A. Does the setting provide opportunities for private dining if requested by the person receiving HCBS services?	<p><input type="checkbox"/> Yes</p> <p>When can the person request to dine privately?</p> <p><input type="checkbox"/> The day of the meal</p> <p><input type="checkbox"/> A day in advance</p> <p><input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No</p> <p>The setting is not able to provide opportunities for private dining if requested by the person receiving HCBS services.</p> <p><input type="checkbox"/> Not applicable</p> <p>People receiving HCBS services do not eat in this setting.</p>	
36. Do people have access to food at any time consistent with people in similar and/or the same setting who are not receiving services?	36A. Does the setting allow for people receiving HCBS services to have a meal/snack at the time and place of their choosing?	<p><input type="checkbox"/> Yes</p> <p>a. What is the procedure when the person receiving HCBS services requests a meal/snack?</p> <p><i>Check all that apply</i></p> <p><input type="checkbox"/> No procedure, able to eat when desired</p> <p><input type="checkbox"/> Ask staff for permission at designated times</p> <p><input type="checkbox"/> Ask staff any time</p> <p><input type="checkbox"/> Other</p>	<p><input type="checkbox"/> No</p> <p>The setting is not able to allow for people to have a meal/snack at the time and place of their choosing.</p> <p><input type="checkbox"/> Not applicable</p> <p>People receiving HCBS services do not eat in this setting.</p>	
	36B. Does the setting afford people receiving g HCBS the	<p><input type="checkbox"/> Yes</p> <p><i>Check all that apply</i></p>	<p><input type="checkbox"/> No</p> <p>People do not go shopping to</p>	

	opportunity to go shopping to purchase their own food?	<input type="checkbox"/> Shops regularly for groceries <input type="checkbox"/> Asks staff to take grocery shopping <input type="checkbox"/> Shops on scheduled days defined by the setting <input type="checkbox"/> Other	purchase their own food?	
	36C. Does the setting afford people receiving HCBS 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.)	<input type="checkbox"/> Yes a. How does the setting afford people receiving HCBS services full access to dining areas with comfortable seating and opportunity to converse with others during break or meal times? <i>Check all that apply</i> <input type="checkbox"/> May come to dining area any time <input type="checkbox"/> Can sit in any part of the dining area <input type="checkbox"/> There is no designated seating in dining room <input type="checkbox"/> There are no rules about talking in the dining area <input type="checkbox"/> Comfortable seating is available <input type="checkbox"/> Other	<input type="checkbox"/> 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. <input type="checkbox"/> Not applicable People receiving HCBS services do not eat in this setting.	
37. Does the setting allow people to choose which of the setting’s employees provide his/her services? Definition: <ul style="list-style-type: none"> • “Choice” is defined as an act of selecting or making a decision when faced with two or more possibilities. 	37A. Does the setting allow people receiving HCBS services to choose which of the setting’s employees provide his/her services?	<input type="checkbox"/> Yes How do people receiving HCBS services choose which of the employees provide their services? <i>Check all that apply</i> <input type="checkbox"/> Provide 2 or more people from which to choose <input type="checkbox"/> Person can choose from all available staff <input type="checkbox"/> Preferences are taken into full consideration but not guaranteed <input type="checkbox"/> Other	<input type="checkbox"/> No The setting does not offer people receiving HCBS services the choice of which employees provide their services.	
38. Does the setting afford people the opportunity to regularly and periodically update or change their daily activities?	38A. Does the setting afford people receiving HCBS services the opportunity to regularly and periodically update or change their daily activities?	<input type="checkbox"/> Yes How often can a person receiving HCBS services update their daily activities? <input type="checkbox"/> Whenever they choose <input type="checkbox"/> Upon request <input type="checkbox"/> At a six-month review	<input type="checkbox"/> No The setting does not allow people receiving HCBS services the opportunity to regularly and periodically update or change their daily activities.	

		<input type="checkbox"/> Other		
<p>39. Does the setting have a lease agreement with people receiving HCBS in accordance with Alabama lease/tenant law?</p>	<p>39A. Does the setting have a lease residency agreement or other form of written agreement in place that provides protections and addresses eviction processes and appeals comparable to those provided under the Alabama tenant law?</p>	<p><input type="checkbox"/> Yes Check all that apply to the lease agreement.</p> <ul style="list-style-type: none"><input type="checkbox"/> Includes a 30-day notification clause for termination of lease/agreement unless specifically addressed in the lease<input type="checkbox"/> Includes process for notice of rent increase<input type="checkbox"/> Includes an appeal process<input type="checkbox"/> Room and board rates are comparable with Fair Market Value rates in the area<input type="checkbox"/> Room and board rates are adjusted accordingly when other benefits are accessed (e.g., food stamps)<input type="checkbox"/> Is the amount of tenant rent fairly allocated among all residents in the home?	<p><input type="checkbox"/> No The setting does not have a lease agreement.</p>	