

**NDHHS (MLTC & DD) HOME AND COMMUNITY BASED SETTINGS (HCBS)
 NON-RESIDENTIAL SITE ASSESSMENT COMPANION DOCUMENT**

General Questions	Guidance
1. What type of facility license or certification does the setting possess?	Select from the drop down of options: <ul style="list-style-type: none"> ▪ Respite Care ▪ Adult Day ▪ Assisted Living ▪ Center for Developmental Disabilities ▪ Intermediate Care Facility for Intellectually Disabled ▪ Nursing Home ▪ Licensed Day Care ▪ Certified DDD Provider
2. What is the setting capacity?	Gather this information based on conversation with the site manager/director. For Licensed Facilities: How many beds is the facility licensed for? For Non- Licensed Facilities: If the setting is not licensed, the setting capacity may be reflected by the Fire Marshal's determined maximum occupancy for the setting.
3. Is the setting designed to serve individuals who experience a disability as well as individuals who do not experience a disability?	Yes (Check box) No (Check box) Is it allowable for an individual without a disability to access the services provided in the setting (adult day services)?
4. The setting is not located in a building that is not also a publicly or privately operated facility that provides inpatient institutional treatment?	Yes (Check box) No (Check box) Check no if the facility is one of the following: <ul style="list-style-type: none"> ▪ Nursing facility ▪ Regional Center ▪ Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF-IID) ▪ Hospital
5. The setting is not in a building located on the grounds or immediately adjacent to a public institution?	Yes (Check box) No (Check box) Check no if the facility in one of the following locations: <ul style="list-style-type: none"> ▪ A building that is also a publicly or privately operated facility that provides inpatient institutional treatment; ▪ A building on the grounds of, or immediately adjacent to, a public institution (e.g., Beatrice State Developmental Center, Regional Centers, and Nursing Homes);

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	<ul style="list-style-type: none"> ▪ Settings that are located on the same or neighboring property to an institution or are sharing space with an institution.
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1. The setting is integrated in and supports full access of individuals receiving Medicaid HCBS to the greater community, including opportunities to seek employment and work in competitive integrated settings, engage in community life, control personal resources, and receive services in the community, to the same degree of access as individuals not receiving Medicaid HCBS.

Specific Question	Guidance
A. Does the setting provide opportunities for regular meaningful non-work activities in integrated community setting for the period of time desired by the individual?	Does the site have opportunities for individuals to access activities and or training outside of the setting? Are individuals a part of the local community life, which must include what is of interest to the person, e.g. faith based activities, volunteer opportunities, local events, but must occur outside of the service setting?
B. Does the setting afford opportunities for individual schedules that focus on the needs and desires of an individual and an opportunity for individual growth?	How are the individuals' schedules decided? How do the schedules of the individuals served differ?
C. Does the setting afford opportunities for individuals to have knowledge of or access to information regarding age-appropriate activities including competitive work, shopping, attending religious services, medical appointments, dining out, etc. outside of the setting?	Are there schedules of community events visible at the site? Does the site provide any support to help individuals become more involved in their communities?
D. Does the setting allow individuals the freedom to move about inside and outside of the setting as opposed to one restricted room or area within the setting? For example, do individuals receive HCBS	Do you see any blocked or locked doors or entry ways? Are there areas that are segregated? Are people coming and going freely?

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<p>in an area of the setting that is fully integrated with individuals not receiving Medicaid HCBS?</p>	
<p>E. Is the setting in the community/building located among other private businesses, retail businesses, restaurants, doctor’s offices, etc. that facilitates integration with the greater community?</p>	<p>Are there other businesses next door? Nearby? Or is the setting in a rural space or on a street where there are no other businesses?</p>
<p>F. Does the setting encourage visitors or other people from the greater community (aside from paid staff) to be present, and is there evidence that visitors have been present at regular frequencies?</p>	<p>Is the setting accessible to all wanting to visit? Are visiting hours unrestricted? Does the setting otherwise encourage interaction with the public?</p>
<p>G. Does the setting provide individuals with the opportunity to participate in negotiating their schedule, break/lunch times, vacation and medical benefits as applicable to the same extent as individuals not receiving Medicaid funded HCBS?</p>	<p>Is there evidence that individuals decide when to take breaks at the setting in between work shifts or activities? Are there various activities taking place during breaks such as snacks, walks, errands?</p>
<p>H. In settings where money management/bill paying is part of the service, does the setting facilitate the opportunity for individuals to have a checking or savings account or other means to have access to and control their funds.</p>	<ul style="list-style-type: none"> ▪ Do individuals have the choice to carry (on their person) or have access to their personal funds? ▪ Does the setting provide access for the individual to know how many hours they’ve worked and what their wage is? ▪ Is it clear to the individual that they are not required to sign over their resources to the provider?
<p>I. Does the setting provide individuals with contact information, access to and education/information on the use of public transportation, such as buses, taxis, etc., and are these public transportation schedules and telephone numbers available in a convenient location?</p>	<p>Is there a phone available to those needing to call to make transportation arrangements? Does the setting support the use of public transportation or is this all provided by the setting and specifically for individuals with disabilities?</p>

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<p>J. Where public transportation is limited, does the setting provide information about resources for the individual to access the broader community, including accessible transportation for individuals who use wheelchairs?</p>	<p>Does the setting provide access to information regarding resources? Assist with calling public transportation? Helping the individual access resource information on line?</p>
<p>K. Does the setting assure that tasks and activities are comparable to tasks and activities for people of similar ages who do not receive HCB services?</p>	<p>What tasks and activities are provided? Are they similar to tasks and activities that an individual who was not attending the site might participate in? Age appropriate?</p>
<p>L. Is the setting physically accessible, including access to bathrooms and break rooms, and are appliances, equipment, and tables/desks and chairs at a convenient height and location, with no obstructions such as steps, lips in a doorway, narrow hallways, etc., limiting individuals' mobility in the setting?</p>	<p>Do the setting's physical characteristics facilitate access and enhance independence? If obstructions are present, are there environmental adaptations such as a stair lift or elevator to help individuals get around the obstructions?</p>

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- 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 and resources.

Specific Question	Guidance
<p>A. Does the setting reflect individual needs and preferences and do its policies ensure the informed choice of the individual?</p>	<p>How are needs and preferences identified? How are individuals notified of their rights? Do the site's policies clearly express how the site ensures informed choice?</p>
<p>B. Do the setting options offered include non-disability-specific settings, such as competitive employment in an integrated public setting, volunteering in the community, or engaging in general non-disabled community activities such as those available at a YMCA?</p>	<p>Does the site facilitate accessing non-disability specific settings? How do staff at the site encourage individuals to participate in their communities?</p>

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C. Do the setting options include the opportunity for the individual to choose to combine more than one service delivery setting or type of HCBS in any given day/week?	Can individuals served at the site combine competitive employment with community habilitation, or adult day health and time at home or with a friend or family member)?
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3. The setting ensures an individual’s rights of privacy, choice, dignity, and respect, and freedom from coercion and restraint.

Specific Question	Guidance
A. Is all information about individuals kept private?	Do paid staff/providers follow confidentiality policy/practices? Do staff within the setting ensure that, for example, there are no posted schedules of individuals for PT, OT, medications, restricted diet, etc., in a general open area?
B. Does the setting support individuals’ personal care needs to appear as they desire?	Does the site provide for privacy for individuals to meet their own personal care needs (hair, make-up, and clothing) or provide adequate space for staff to assist the individuals in meeting their own personal care needs?
C. Does the setting support providing personal assistance in private areas, as appropriate?	Do restrooms/changing rooms offer enough space to provide assistance to individuals who many request it? Do restrooms provide privacy for assisting individuals with personal care needs?
D. Does the setting assure that staff interact and communicate with individuals respectfully and in a manner in which the person would like to be addressed, while providing assistance during the regular course of daily activities?	Does the site have specific policies that address verbal abuse? Does the site have any written policies or procedures or training materials that address respectful communication with individuals? Are individuals referred to by their names (not nick names such as “hon” or “sweetie”)?
E. Do setting requirements assure that staff do not talk to other staff about an individual(s) in the presence of other persons or in the presence of the individual as if s/he were not present?	Does the site have a confidentiality policy/procedure? Do you see confidential information posted? Are providers discussing confidential information in common areas. Ask...where would communication about these topics take place? What policies and procedures are in place to ensure privacy is protected?

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<p>F. Does the setting’s policy require that the individual and/or representative grant informed consent prior to the use of restraints and/or restrictive interventions and document these interventions in the person-centered plan?</p>	<p>When reviewing the site/provider rights policy and procedures, check to see if guardian/individual consent is granted prior to the use of restraints or other rights restrictions.</p> <p>Restraint means the immobilization of a person’s body in order to restrict movement by physically holding or by the use of mechanical devices or medications, typically seen as a behavioral intervention. Restraint does not include health related protective medical devices, orthopedic equipment, or other restraints used for medical treatment, devices used to support functional body position, or equipment used for safety during transportation.</p>
<p>G. Does the setting have a process to ensure that each individual’s supports and plans to address identified (medical, behavioral, ADL’s) needs are specific to the individual and not the same as everyone else in the setting and/or restrictive to the rights of every individual receiving support within the setting?</p>	<p>Through observation and staff interviews, determine if the site ensures that the plans to meet each individual’s supports needs are specific to the individual as opposed to large-group exercises or the same approach for each person. Are individuals’ interests and preferences taken into account or is it one-size-fits-all?</p>
<p>H. Does the setting offer a secure place for the individual to store personal belongings?</p>	<p>Is there a locked area individuals can store their belongings that does not require them to go through staff to access their own belongings?</p>

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4. 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.

Specific Question	Guidance
<p>A. Are doorways free of gates, Velcro strips, locks, fences or other barriers preventing individuals’ entrance to or exit from certain areas of the setting?</p>	<p>Are there any barriers which would deter or prevent entering or exiting the building? This would not include utility/maintenance rooms.</p>

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<p>B. Does the setting afford a variety of meaningful activities that are responsive to the goals, interests and needs of individuals? Does the physical environment support a variety of individual goals and needs?</p>	<ul style="list-style-type: none"> ▪ Does the setting provide indoor and outdoor gathering spaces? ▪ Does the setting provide for larger group activities as well as solitary activities? ▪ Does the setting provide for stimulating as well as calming activities?
<p>C. Does the setting afford opportunities for individuals to choose with whom to do activities in the setting or outside the setting or are individuals assigned only to be with a certain group of people?</p>	<p>How are decisions made regarding seating? Are seats assigned? When participating in activities, how is it decided who will participate?</p>
<p>D. Does the setting allow for individuals to have a meal/ snacks at the time and place of their choosing?</p>	<p>Does the setting afford individuals full access to a dining area with comfortable seating and opportunity to converse with others during break or meal times, afford dignity to the diners?</p>
<p>E. Does the setting provide for an alternative meal and/or private dining if requested by the individual?</p>	<p>Can the individual eat outdoors if they would like, weather permitting? What about in a break room or lounge?</p>
<p>F. Does the setting assure individuals have access to food at any time consistent with individuals in similar and/or the same setting who are not receiving Medicaid-funded services and supports?</p>	<p>Are all individuals served at the setting given the same access to food regardless of funding stream? Do individuals have a choice in menu planning? Do individuals have options/alternatives if they choose not to eat what is prepared?</p>
<p>G. Does the setting post or provide information on individual rights?</p>	<p>Does the site/provider have a written process to ensure individuals are informed of their rights? Does a sample of individuals' charts contain individual/guardian acknowledgement of human and legal rights?</p>
<p>H. Does the setting allow or support individuals to engage in age-appropriate activities, such as voting?</p>	<p>Examples: voting when 18 or older, consuming alcohol when 21 or older in a manner no different than individuals in similar and/or the same setting who are not receiving Medicaid funded services and supports?</p>
<p>I. Does the setting afford the opportunity for tasks and activities matched to individuals' skills, abilities and desires?</p>	<p>How are tasks and activities identified for the individual? Does everyone at the setting do the same thing or is there evidence that activities are customized based on the person's person-centered plan?</p>

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5. The setting facilitates individual choice regarding services and supports, and who provides them.

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Specific Question	Guidance
<p>A. Does the setting ensure individuals are provided a choice regarding the services, provider and settings and the opportunity to visit/understand the options?</p>	<p>Choice of setting (includes any setting that is of interest to the person) is based on the preference(s) of the person and or guardian and is the ultimate decision of the individual.</p> <p>Examples of evidence include but are not limited to:</p> <ul style="list-style-type: none"> ▪ Providing information specific to the options presented, or places visited/employment considered, or individuals the person met during the planning process of choosing a place to live, work or engage during one's day, information contained in the person's individual plan, individual outcome measures, etc. ▪ To ensure a person's preferences are being respected, were the choices presented in such a way that it was clearly understood by the person, e.g. conversation, picture, written, object format? ▪ Options provided align with the individual's available resources, e.g. SSI, VA, Special Assistance, Social Security, earned income, trusts, etc. <p>Is there documentation provided to the individual/guardian regarding how to request changes in services or service providers?</p>
<p>B. Does the setting afford individuals the opportunity to regularly and periodically update or change their services or provider?</p>	<p>Is there evidence that an individual or guardian who requested a change in services or service provider was denied?</p>
<p>C. Does the setting ensure individuals are supported to make decisions and exercise autonomy to the greatest extent possible?</p>	<p>Observe how staff at the site help individuals make decisions. Do you see evidence that these decisions are respected?</p>
<p>D. Does the setting afford the individual with the opportunity to participate in meaningful activities in integrated community settings in a manner consistent with the individual's needs and preferences?</p>	<p>How are the individual's preferences identified? Does the site offer access to a variety of integrated activities in the greater community?</p>

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E. Does the setting ensure the individual is supported in developing plans to support their needs and preferences?	How does the site demonstrate that individuals are involved in developing the person centered plan? Do staff provide support to the individual to develop their plan?
F. Does the setting provide information to individuals about how to make a request for additional services, or changes to their current services?	Is there documentation provided to the individual/guardian regarding how to request changes in services or service provider? Note: this information may come from the service coordinator or case manager.