

**NDHHS (MLTC & DD) HOME AND COMMUNITY BASED SETTINGS (HCBS)
 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 live in the setting (apartment, group home, assisted living, extended family home).
4. The setting is not located in a building that is 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); ▪ 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
The setting does not isolate individuals from individuals receiving Medicaid HCBS in the broader community	
A. Is there evidence that waived and non-waived individuals are served in the same manner?	Ask the manager or site director if the services provided to individuals on the HCBS waiver the same as the services available to individuals not on the HCBS waiver? Does the setting differentiate different physical areas of service provision based solely on waiver status?
B. Is the setting in the community among other private residences?	Is this a residential neighborhood or is the home isolated or in a commercial/industrial only area?
C. Are the physical setting's characteristics consistent with community standards?	Does this home fit into the neighborhood? Is the yard/outdoor space comparable to other homes in the neighborhood?
D. Does the setting encourage individuals receiving waiver services to have relationships with the broader community?	People live and socialize primarily with other people who do not have disabilities. Do the individuals in the setting socialize with their neighbors outside of the setting?
Individuals have full access to the community.	
E. Does the setting permit individuals to come and go at will?	Does the site impose any rules that govern individuals served ability to access the community at times of the individual's choosing?
F. Is the setting free from imposed curfews or other requirements for a scheduled return to the setting?	Is there a curfew either posted or implied at the site? Does the site dictate transportation at certain times?
G. Is public transportation available to and from the setting?	This question is aimed at determining if the site provides access to transportation resources (what is available to the general population in the area) within a given community with recognition given to urban and rural barriers.

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H. Where public transportation is limited, are other resources provided for the individual to access the broader community, including accessible transportation for individuals who use wheelchairs?	If public transportation is limited or not available, does the provider ensure individuals served at the site have access to appropriate transportation to meet their needs?
Individuals are active in the community outside the setting.	
I. For interested individuals, does the setting provide them the opportunity to work in an integrated setting?	Does the site prevent individuals served from working outside of the setting?
J. Does the setting provide activities and/or or training to individuals to enhance their lives?	Does the site have opportunities for individuals' served to access activities and or training outside of the setting?
K. Does the setting promote participation, regularly, in meaningful non-work activities in integrated community settings for the period of time desired by the individual?	Is there evidence that the individuals have the opportunity to be 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) and that occur outside of the setting.

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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
The individual, or person chosen by the individual, has an active role in the development and update of the individual's person-centered plan.	
A. Does the setting have on-file a person-centered plan based on needs and preferences of the individuals served?	Check for either a paper copy of the current person centered plan or electronic copy that appropriate staff/support providers have access to.

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- The setting ensures an individual's rights of privacy, dignity, and respect, and freedom from coercion and restraint.

Specific Question	Guidance
The individual's right to dignity and privacy is respected.	

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<p>A. Does the setting have policies and procedures that address the individuals' rights of privacy, dignity, respect, and freedom from coercion and restraint?</p>	<p>Please review the site's current Policy and Procedure (P&P) sections which address individual's rights. This is an area where discussion with the provider might be especially helpful in identifying if the site's current P&P speaks to the rights of privacy, dignity, respect and freedom from coercion and restraint. Some examples:</p> <ul style="list-style-type: none"> ▪ There must always be the availability of space and time to ensure the individual can talk privately with family, friends and others of the persons choosing whether in person, over the phone or the internet (if access is available). ▪ Even in shared situations, there must also be availability for a person to have "personal and alone time" as they define it during their day based on what is reasonable for that living setting and taking into account house/roommates. If an individual is unable to use words to communicate, information should be obtained from others that know the person the best to ensure they have opportunity to do what is important to them. ▪ Informed Consent by definition is given by a person and/or guardian who has a clear appreciation and understanding of the facts, implications and future consequences of action.
<p>B. Does the setting have a process to inform individuals of their rights to privacy, dignity, respect and freedom from coercion and restraint?</p>	<p>Ask to see the site's/provider's written process to ensure individuals are informed of their rights? Do individuals' charts contain individual/guardian acknowledgement of individuals' rights?</p>
<p align="center">Individuals are free from coercion, privacy is respected and due process is followed.</p>	
<p>C. Does the setting have a complaint/grievance process for individuals?</p>	<p>If so, how are individuals/guardians informed? What if there are communication barriers (i.e. language, literacy, verbal communication)? How are these barriers addressed?</p>
<p>D. Does the setting allow for the filing of an anonymous complaint?</p>	<p>If so, how is anonymity assured?</p>
<p>E. Does the setting ensure information about individuals is kept private? For instance, do paid staff/providers follow confidentiality policies/practices and does staff within the</p>	<p>Does the site have a confidentiality policy/procedure? Do you see confidential information posted? Are providers discussing confidential</p>

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<p>setting ensure that, for example, there are no posted schedules of individuals for PT, OT, medications, restricted diet, etc., in a general open area?</p>	<p>information in common areas. This can be answered based on personal observation while at the site.</p>
<p>F. Does the setting ensure communications about individuals medical conditions, financial situations and other personal information are conducted in a place where privacy/confidentiality is assured?</p>	<p>Ask...where would communication about these topics take place? What policies and procedures are in place to ensure privacy is protected?</p>
<p>G. Does the setting support individuals' personal care needs to appear as they desire?</p>	<p>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?</p>
<p>H. Does the setting support providing personal assistance in private areas, as appropriate?</p>	<p>Does the site provide for privacy for personal assistance in the individual's bedroom, bathroom or other private area?</p>
<p>I. Does the setting assure that staff interact and communicate with individuals respectfully?</p>	<p>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")?</p>
<p>J. Are individuals who reside in the setting free of restraints?</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>K. Does the setting 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>L. 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</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</p>

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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?	each person. Are individuals' interests and preferences taken into account or is it one-size-fits-all?
M. Is the setting free from the use of delayed egress devices or a secured perimeter?	Are there door alarms? Is there anything in place which would prevent individuals from independently leaving the site if they choose to do so?
N. Does the setting offer a secure place for the individual to store personal belongings?	Is there a locked area individuals can store their belongings that does not require them to go through staff to access their own belongings?

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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
A. Does the setting allow for individuals to choose with whom they interact?	Is there assigned seating within the site for individuals? Does the site prohibit individuals from interacting with anyone? How does the site facilitate the individual's desire to interact with others?
B. Does the setting allow for individuals to choose which activities to participate in?	Are individuals given a menu of activities in which to participate? How is the site helping to identify activities in which the individual may want to participate? How does the site facilitate the individual's ability to participate in activities?
C. Does the setting allow for individuals to choose to dine alone or in a private area?	Can the individual eat in their room if they would like? What about on the sofa in front of the television?
D. Does the setting allow for individuals to do activities in the community alone?	Are there any formal policies in place which prohibit sites from allowing individuals to do activities alone in the community? What supports are provided by the site to facilitate or promote individuals accessing activities in the community alone?
The individual chooses a schedule that meets his/her wishes in accordance with a person-centered plan.	
E. Does the setting provide for individuals to have access to such things as a television, radio, and other leisure activities that interest him/her and can s/he schedule such activities at his/her convenience?	Individuals must be able to engage and make their daily decisions and choices, which includes, at a minimum, people they talk to, what they want to do during the day, where they spend their time, and with whom they have relationships.

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	<p>There must be clear evidence that the individual’s schedule is not prescriptive (developed and imposed by support team without any involvement of the person), and is not identical to that of his/her housemates, but may have some similarities, e.g. (can they share/show their schedule; do they make/write their own schedule if one is needed, do they carry a personal copy/have it on their preferred technology device if this is important in their life, is it repeated from day to day with no changes noted?). Is there evidence that schedules are flexible and change as needed based on personal preferences? For example, if a person chooses to not go to the movies at the last minute this does not present a problem?</p> <p>There must be evidence that a person is not required to get up, go to bed, take a bath, exercise at the same time every day, unless it is truly their choice.</p> <p>There must be availability and noted use of preferred activities/“things to do”, e.g. television, board games, iPod, computer, etc. when a person chooses to do them yet lending consideration to the rights of others.</p> <p>Evidence of free/supported control of an individuals’ daily choice of preferred activities may include personal preference assessments or interest inventories to help identify what individuals like to do.</p>
<p>The individual controls his/her personal resources.</p>	
<p>F. Does the setting allow individuals to have access to their personal financial assets?</p>	<p>What policy and procedure are in place to ensure the individual can access their money? Can individuals carry cash, check, debit or credits cards?</p>
<p>The individual has access to make private telephone calls/texts/email at the individual’s preference and convenience.</p>	
<p>G. Does the setting allow for individuals to have access to communication tools?</p>	<p>Does the individual utilize any specialized communication devices? Are there any policy restrictions regarding such devices? Example: if an iPad is used to facilitate communication does it have to be “turned into staff at a certain time each night”?</p>

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

Specific Question	Guidance
A. Does the setting ensure individuals are provided a choice regarding the services, provider and settings and the opportunity to visit/understand the options?	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. Examples of evidence include but are not limited to: <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.
B. Does the setting ensure individuals are supported to make decisions and exercise autonomy to the greatest extent possible?	Observe how staff at the site help individuals make decisions. Do you see evidence that these decisions are respected?
C. Does the setting policy ensure the individual is supported in developing plans to support her/his 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?
D. 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.

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6. The setting provides for a legally enforceable agreement between the provider and the individual that allows the individual to own, rent, or occupy, the residence and provides protection against eviction.

Specific Question	Guidance
The individual's right to dignity and privacy is respected.	
A. Does the setting provide individuals a lease or, for a setting in which landlord-tenant laws do not apply, a written residency agreement?	Is there a lease (notice of changes), residency agreement, or memorandum of agreement or other agreed upon form that details the housing relationship between the individual and the property owner?
B. Does the setting inform individuals of their rights regarding housing and when they could be required to relocate?	Where is this information? Is it in the person centered plan? Is there documentation that these rights were communicated to the individual served?

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7. The setting provides for privacy in units including lockable doors, choice of roommates/housemates and freedom to furnish and decorate the sleeping or living units within the lease or other agreement.

Specific Question	Guidance
The individual has his/her own bedroom or shares a room with a roommate of choice.	
A. Does the setting provide the individual a choice of roommate/housemate?	How are roommates/house mates assigned? What is the site's written procedure for assisting individuals in identifying and choosing roommates/housemates?
B. Does the provider allow for married couples to share or not share a room by choice?	If the site has married couples, is there evidence that they have had the choice of sharing or not sharing a room?
C. Does the setting inform individuals how s/he can request a roommate change?	Is there a written process in place to request a change in roommates? What is the evidence that individuals/guardians are aware of the process?
Individuals have privacy in their sleeping spaces and toileting facility	
D. Does the setting provide locking bedroom doors?	If an individual is not able to lock their personal living area (bedroom), check to see that this is addressed in the person-centered plan or

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	assessment. Also, check to see if the restrictive intervention has been reviewed/approved by a human/legal rights committee.
E. Does the setting allow individuals to close and lock the bathroom door?	If an individual is not able to lock their personal living area (bathroom), check to see that this is addressed in the person-centered plan or assessment. Also, check to see if the restrictive intervention has been reviewed/approved by a human/legal rights committee.
The individual has privacy in his/her living space.	
F. Is the setting free of cameras or other monitoring devices?	Are cameras present at the site? If there are cameras present, is the use of cameras/monitoring devices approved of in writing by the individual or guardian?

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8. The setting provides for options for individuals to control their own schedules including access to food at any time.

Specific Question	Guidance
The individual chooses when and what to eat.	
A. Are individuals free to eat at any time?	Are there only certain times of the day individuals have access to food? Is food kept locked?
B. Is the setting free from a regimented eating schedule?	Do individuals have a choice in menu planning? Do individuals have options/alternatives if they choose not to eat what is prepared?
C. Does the setting allow individuals to eat where they choose in the setting?	Are individuals given a “seating assignment” for meals? Can individuals choose to eat in a room other than a designated dining area? Can individuals choose to eat with a friend of their choice or choose to eat alone?

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9. The setting provides individuals the freedom to have visitors at any time.

Specific Question	Guidance
Individuals are to have guests visit.	

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A. Does the setting encourage individuals to have visitors?	Are there comfortable places within the site for individuals to entertain visitors?
B. Can individuals have visitors at any hour of their choosing?	Are there any signs posted that identify certain visiting hours? Are there any site rules or regulations that restrict visiting hours?
C. Does the setting allow for visitors to take the individuals outside the setting, such as for a meal or shopping?	Are there any restrictions put in place by the site which creates barriers to individuals served leaving the setting for a few hours?
D. Does the setting allow for visitors to take the individuals for longer visits outside the home, such as for holidays or a weekend?	Are there any restrictions put in place by the site which create barriers to individuals leaving the setting for a few hours? Does the site help to facilitate the longer visits (e.g., ensuring medications are packed, assisting the individual with packing prior to the extended visit)?

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10. The setting is physically accessible.

Specific Question	Guidance
The setting is an environment that supports individual comfort, independence and preferences.	
A. Does the setting provide full access to typical facilities in a home such as a kitchen with cooking facilities, dining area, laundry, and comfortable seating in the shared areas?	If not, please note which parts of the home individuals do not have access to and why.
B. Does the setting provide informal (written and oral) communication conducted in a language that the individual understands?	How does the site identify the language the individuals/guardian prefers to communicate in? Is there evidence in the individual's chart to reflect language preference? Are staff able to communicate in the language of the individual's choice?
The individual has unrestricted access in the setting.	
C. Is the setting free of gates, Velcro strips, locked doors or other barriers preventing individuals' entrance to or exit from certain areas of the setting?	Check to see that there are no obstructions at the site that limit or prevent a person's ability to access all of his/her living areas.
D. Is the setting physically accessible and there are no obstructions such as steps, lips in a doorway, narrow hallways, etc., limiting individuals' mobility in the setting or	Have reasonable modifications been made that address individuals' needs specific to ensuring full access to the home; e.g., grab bars, raised seats in the bathroom/ Are shower chairs, ramps, reasonable height and

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if they are present are there environmental adaptations such as a stair lift or elevator to ameliorate the obstruction?	location of tables/chairs, accessibility of washer and dryers, commensurate with an individual's needs etc.?
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