



Home and Community-Based Services (HCBS)
Provider Site Assessment **Guide**

The *HCBS Site Assessment Guide* offers a series of questions intended to help identify compliance or non-compliance with each requirement as it relates to the HCBS rules. The assessment team is to assess and discuss each of the applicable federal requirements with the provider and individual(s) served. The assessment team is not limited to the guidance provided within this document and questions under each federal requirement may not apply to every assessment. The assessment team is to consider person centered needs when conducting the provider site assessment.

Federal Requirement 1: Integration

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.

Provider Questions:

1. Do individuals have the opportunity to participate in individual and group outings and activities in the community at the frequency and for the amount of time desired by individuals?
2. Do individuals receive services in the community based on their needs, preferences and abilities?
3. Do the opportunities for community outings and activities include meaningful interaction with individuals not receiving regional center services, not including paid staff or volunteers?
4. If individuals want to seek paid employment, do they have access to competitive integrated employment opportunities?
5. Do individuals have the choice to receive related personal services in the community (rather than on site) based on their needs, preferences and abilities to the same degree as individuals not receiving regional center services?
 - Personal Services may include but are not limited to: Medical, Dental, Optometry/ophthalmology, Therapy (PT, OT, Speech etc.), Therapy (Behavioral), Salon Services, Banking Services, Community Services
6. Do individuals have access to transportation options that promote ease of use and optimize individuals' independence, per their individual program plan?
 - Access to transportation may include but is not limited to: Public Transportation, Provider Transportation, Ride Share (Uber, Lyft), Volunteer Organization, Family or Friends, Church
7. Do individuals have the option to control their personal resources (Including financials and other personal item) if applicable?
 - Control of personal resources may include but is not limited to: Money, Checkbook, Budget.

Individual Questions:

1. Do you go to the community to do things you like to do?
2. Do you go on errands (drug store, shopping for clothing, etc.) if you want to?
3. Do you have to do errands with the entire group at the same time?
4. Do you get to choose who you go on errands with?
5. When other people go out in the community to do an activity, do you have to go, even if you don't want to?
6. Are you currently attending a day/employment program? (If no, please answer the questions based on what you experienced when you did attend the program.)

7. Do you get to control/keep your own money? If no, do you know how to ask for your money?
8. Can you get money when you ask for it?
9. Can you choose to receive medical, dental or therapy services within the community?
10. Do you get to choose any services in the community, such as salon or bank? If No, do you have to receive these services at this setting?

Federal Requirement 2: Choice of Setting

The setting is selected by the individual from among setting options, including non-disability-specific settings and an option for a private unit in a residential setting. The setting options are identified and documented in the person-centered service plan and are based on the individual's needs, preferences, and, for residential settings, resources available for room and board.

Provider Questions:

1. Does the provider have a current regional center Individual Program Plan (IPP) on file for all individuals?
2. Does each individual's IPP document the different setting options that were considered prior to selecting this setting?

Individual Questions:

1. Did you choose this setting? If residential - home or apartment?
2. Was there another setting you wanted to attend? If residential – home or apartment you wanted to live?
3. Were you able to see/visit other places before you selected this one?

Federal Requirement 3: Right to be Treated Well

Ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.

Provider Questions:

1. Does the provider inform individuals, in a manner they can understand, of their rights to:
 - Privacy
 - Dignity
 - Respect
 - Freedom from coercion and restraint
2. Identify providers practices on freedom from coercion and restraint
3. Identify providers privacy practices with
 - Written communications/files
 - Verbal communications (health, finances, etc.)
 - Medication administration
 - Visitors
 - Email, checking mail, phone calls
 - Personal Care
4. Do staff communicate with individuals based on their needs and preferences, including alternative methods of communication where needed (e.g. assistive technology, Braille, large font print, sign language, participants' language, etc.)?
5. Are individuals allowed to dress or groom in a manner that is appropriate to the setting while honoring individual choice and life-style preferences?
6. Does the provider ensure staff is knowledgeable about the capabilities, preferences, interests, and needs of the individuals they serve?

- Are individual capabilities, preferences, interests and needs documented in the IPP?
 - Do staff have access to the IPP either electronically or onsite?
7. Is there a place for individuals to store belongings in a secure manner? (i.e. Cubby or locker (with lock, secure lock box, nightstand, closet, locked room or bedroom, staff office)
 - Does only the individual have access to the secured belongings?
 8. Are all individuals able to talk on the phone, Virtual Chat or comparable technology, text, and read mail/email in private?
 9. Does the provider impose restrictions regarding access within the service location, inside or outside, for individuals or visitors?
 10. Does the site have Delayed Egress/ Secured perimeters? (“Delayed egress” is defined in [Health and Safety Code 1531.1](#); and “Secured perimeter” is defined in [Health and Safety Code 1531.15](#))
 11. Do individuals have privacy in the bathroom?
 - Can bathroom doors be locked from the inside?
 12. Does the provider impose visiting hours? If yes, explain.
 13. Does the provider utilize restraints? (i.e. chemical restrains, physical restraint, mechanical restraint)
 14. Staff is trained upon hire and, at a minimum, annually on the use of restraints?
 15. Staff trainings on the use of restraints are documented.
 16. Does the setting have a policy in place for the use of restraints?
 17. Is there a process/protocol in place for reporting the use of restraints?

Individual Questions:

1. Do you have a specific space to keep your personal items secure (e.g., locker, cubby, nightstand, closet)?
2. If you are unhappy or uncomfortable with staff, do you feel safe enough to tell someone?
3. Do you know what to do or who to talk to if you have a problem?
4. Has anyone given you a telephone number you can call if you have a problem?
5. Are you able to use the phone or other device in private?
6. Are you able to get your own mail (residential) /check email in private if you choose?
7. Are you able to keep things that are important to you /valuable with yourself, in a safe place or locked up?
8. Do staff treat you and talk to you like an adult?

Federal Requirement 4: Independence

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.

Provider Questions:

1. Do individuals have input into and choice among daily activities that are based on the individuals' needs and preferences?
 - Daily Activities
 - Group activates
 - Daily Schedule
 - Who they interact with in the home and or program
 - Do they interact with non- disabled peers in the community?
2. Can individuals choose to spend time, including dining, alone or in a private area?
 - Can individuals dine alone in their bedroom or other private area?
 - If individuals dine in a dining area, is there assigned seating?
3. Does the provider support individuals' autonomy to make personal decisions such as practicing religion and voting?

- Can individuals attend religious services at a location and faith of their choosing?
- Are individuals supported to vote?

Individual Questions:

1. Do you make decisions about what daily activities you want to participate in?
2. Do staff support you to make these decisions?
3. Are you able to bring the food you want to eat?
4. Are you able to eat where you want (e.g., dining room, outside etc.)?
5. Do you have an assigned seat where you must sit by the same person when you eat?

Federal Requirement 5: Choice of Services and Supports

Facilitates individual choice regarding services and supports, and who provides them.

Provider Questions:

1. Does the provider support individuals in choosing which staff provide their care (for example gender or language spoken)?
2. Does the provider have a complaint/grievance policy for individuals?
3. Does the provider inform individuals how to file a Grievance in communication methods outlined in their IPPs?
4. Do individuals have opportunities to modify their services or schedules?
5. Do individuals have opportunities to voice their concerns in the manner and timing of their choosing, consistent with their communication abilities and preferences?
6. If individuals are of retirement age, are they offered the choice to retire from a day or work program?

Individual Questions:

1. If you wanted to receive different services or change some of your services, do you know what to do or who to speak with to make that request?
2. Do you go to the meeting where your individual service plan is developed?
3. Do you get to decide on who is invited to your service planning meeting?
4. Does anyone else come to your service planning meeting (family, friends, others)?
5. Do you think you are listened to during the individual service planning meeting?
6. Does your service plan include things that are important to you?

Federal Requirement 6: Residential Agreement

The unit or dwelling is a specific physical place that can be owned, rented or occupied under a legally enforceable agreement by the individual receiving services, and the individual has, at a minimum, the same responsibilities and protections from eviction that tenants have under the landlord/tenant law of the State, county, city or other designated entity. For settings in which landlord/tenant laws do not apply, the State must ensure that a lease, residency agreement or other form of written agreement will be in place for each participant and that the document provides protections that address eviction processes and appeals comparable to those provided under the jurisdiction's landlord/tenant law.

Provider Questions:

1. Does each individual have a lease, residency agreement, admission agreement, or other form of written residency agreement?
2. Are individuals informed about how to relocate and request new housing?
3. In the case of any possible eviction or involuntary relocation, are there policies and procedures in place to ensure individuals have eviction protections?

4. Are individuals informed of their protections from eviction and the appeals process?

Individual Questions:

1. Do you have a lease or other agreement you signed to live here?
2. Do you know who to speak with if you want to move?

Federal Requirement 7: Privacy

Each individual has privacy in his/her sleeping or living unit: Units have entrance doors lockable by the individual, with only appropriate staff having keys to doors as needed. Individuals sharing units have a choice of roommates in that setting. Individuals have the freedom to furnish and decorate their sleeping or living units within the lease or other agreement.

Provider Questions:

1. Do individuals have a choice regarding roommates?
2. Do individuals have a choice for private accommodations?
3. Do individuals have the option to change roommates, if desired?
4. Is there a policy/procedure for changing roommates?
 - Are individuals informed of this process?
5. Do individuals have the option of furnishing and decorating their sleeping or living units in a manner that is based on their preferences, or with their own personal items?
6. Do individuals have the ability to lock their bedroom doors?
7. Are any individual restrictions regarding the use of bedroom locks documented in the IPP?
8. Are policies in place to ensure only necessary and appropriate staff have access to bedrooms?
 - Are there protocols to ensure the policies are followed?

Individual Questions:

1. Did you get to choose to have a private bedroom?
2. If no, was this explained to you before you moved in?
3. If you have a roommate, did you get to choose your roommate?
4. Do you know who to speak with if you want to change roommates?
5. Do you have a key to the door where you live?
6. If you do not have a key, do you want one?
7. Can you close and lock your bedroom door?
8. Do you have a key to your bedroom?
9. Can you close and lock your bathroom door?

Federal Requirement 8: Schedule and Access to Food

Individuals have the freedom and support to control their own schedules and activities, and have access to food at any time.

Provider Questions:

1. Do individuals have access to food at any time?
2. Are restrictions on access to food documented in the IPP?
3. Does the home allow individuals to set their own daily schedules?
4. Are restrictions on daily schedules documented in the IPP?
5. Do individuals have full access to common areas in a home such as a kitchen, dining area, laundry?
6. Are restrictions on access to common areas documented in the IPP?
7. Is there comfortable seating available in shared areas?

Individual Questions:

1. Are you able to eat what you want to eat?
2. Do you get to eat at the time you want?
3. Are you able to eat where you want? (e.g. in a place other than the dining room or kitchen)?
4. Do you have to go to bed at a certain time?
5. Do you have to wake up at a certain time?
6. Do you get to help decide what activities you get to do or restaurants you go to?
7. Can you choose to do chores such as clean or do laundry?

Federal Requirement 9: Right to Visitors

Individuals are able to have visitors of their choosing at any time.

Provider Questions:

1. Are visitors welcome to visit the home at any time?
2. Are restrictions on visitors documented in the IPP?
3. Does the setting have policies and procedures regarding visitors?
4. Do individuals have the option to have overnight guests?
5. Can individuals go with visitors outside the home; such as for a meal or shopping, or for a longer visit outside the home, such as for holidays or weekends?

Individual Questions:

1. Can you have visitors come to the program whenever you want?

Federal Requirement 10: Accessibility

The setting is physically accessible to the individual.

Provider Questions:

1. Is the setting physically accessible for individuals who have a physical disability (e.g. ramps, railings, roll in showers, etc.?)
2. Are appliances and furniture accessible to every individual?

Individual Questions:

1. Are you able to access any area or room in the home or apartment you choose? (e.g. kitchen, closets, laundry room, garage – as applicable)

Additional Information and Resources

More information on the HCBS rules can be found on the [DDS-HCBS](#) and the [ELARC](#) websites. More information on the SDP can be found on the [DDS-DSP](#) and the [ELARC](#) websites.

HCBS Questions can be directed to HCBS Evaluator, Lizette Villa at lvilla@elarc.org