COMPLETING PROVIDER SELF-ASSESSMENTS

Home and Community-Based Settings Requirements:

■ Be home-like

■ Promote community inclusion

■ Be person-centered

The Self-Assessment Tool Layout

■ **Three Sections**
- *Setting information (demographic and identifying information)*
- *Presumptively Institutional Setting Assessment*
- *Home and Community-Based Characteristics*

Completing Section One: Demographics

- The self-assessment tools are waiver specific
- Setting location is based on census data

Completing Section Two: Presumptive Institution Setting

- Three criterion to determine if the setting has any institutional qualities or meets the threshold for Medicaid-funded home and community-based settings.

  - *Settings which are in a publicly or privately-owned facility that provides inpatient treatment;*

  - *Settings which are on the grounds of, or immediately adjacent to, a public institution; or*

  - *Settings which have the effect of isolating individuals receiving Medicaid-funded home and community-based services from the broader community of individuals not receiving Medicaid-funded home and community-based services.*

Questions to ask to determine if the setting has the effect of isolating individuals

- Is the setting one of the following:
  - *A Farmstead or disability-specific farm community*
  - *Gated/secured community for specific disabilities*
  - *Multiple settings co-located and operationally related*
  - *A place where an individual both lives and attends school/work*
  - *One that is designed to only serve individuals with specific disabilities*
  - *One that uses/authorizes interventions/restrictions that are used, or are deemed unacceptable in an institutional setting*
    - An example would be the use of seclusion
    - The use of physical barriers around the premises to isolate community members

- Settings that use interventions and restrictions, like physical barriers around the premises, to isolate an individual from the broader community;

- Settings that do not allow individuals to choose to participate in activities in the community;

- Settings that do not provide information about activities in the community;

- Settings where individuals only interact with other individuals with disabilities or staff;

- Setting is developed to provide multiple on-site services for those with specific disabilities;

- Settings where people have limited interaction with the broader community and are restricted access to the general community by nature of the provider setting and limited access to transportation;

- Setting that do not allow individuals to go out into the broader community as part of their daily life;

Questions continued

- Settings that do not provide information about community activities (flyers, emails, announcements, etc.);

- Settings that do not provide transportation, help to arrange transportation, or provide education about how to use public transportation;

- Settings that are isolated geographically;

- Setting that provides all of the services needed to the individual, so the individual does not travel into the broader community. These setting providers limit opportunities for individuals to choose similar outside services;

- Settings where the individual's experience in the broader community is limited to large group activities on field trips;

- Settings (specifically, multiple settings that are co-located and operationally related) that provide shared programming and staff where the individual's ability to interact with the broader community is limited;

Questions continued

What happens if you answered

"YES"

to any of the three presumptive institutional setting criterion?

- Send a copy of the complete self-assessment to the Agency for Health Care Administration (Agency) at FLMedicaidWaivers@ahca.myflorida.com
  - *With the complete self-assessment*
    - Send contact telephone number
    - Send contact email address, and
    - Any evidence/documentation to demonstrate the setting meets the requirements of the home and community-based settings rule despite the criteria for being presumptively institutional
- The Agency will work with other state agencies to provide technical assistance as needed to address any deficiencies in this area.
- The Agency will ask for public comments to address the presumptive institutional setting
- The Agency will submit a complete package to CMS to assist them in their heightened scrutiny process to determine if compliance threshold is met.

Completing Section Three - Home and Community-Based Settings Characteristics

The Six Characteristic Standards of Home and Community-Based Settings

- Setting

- Room/Privacy

- Meals

- Activities/Community Integration

- Respect/Rights/Choice

- Other

Standard One - Setting

- Does not isolate
- Feels home-like
- Accessible and has necessary supports
- Allows for visitation
- Does not restrict access within the facility
- Allows access to appliances and amenities

Standard Two – Room/Privacy

- Choice of roommate and private/semi-private room
- Home-like living quarters
- Privacy in the living quarters
- Appropriate staff access policies to individual rooms
- Opportunity to change living arrangements
- Ability to make/send calls and text at resident's convenience
- Resident's know how to file anonymous complaint
- Restrictions based on individual needs/preferences

Standard Three - Meals

- Flexible meal schedules

- Dignity and respect during meal times

- Access to snacks and a place to store them

Standard Four – Activities and Community Integration

- Access to newspapers, computers, and Internet

- Transportation provided or available

- Access to community activities and religious institutions

Standard Five – Respect/Rights/Choice

- Individual choices are accommodated
    - *Keep their own money*
    - *Create personal schedules*
    - *Be employed outside of setting*
    - *Meal options*
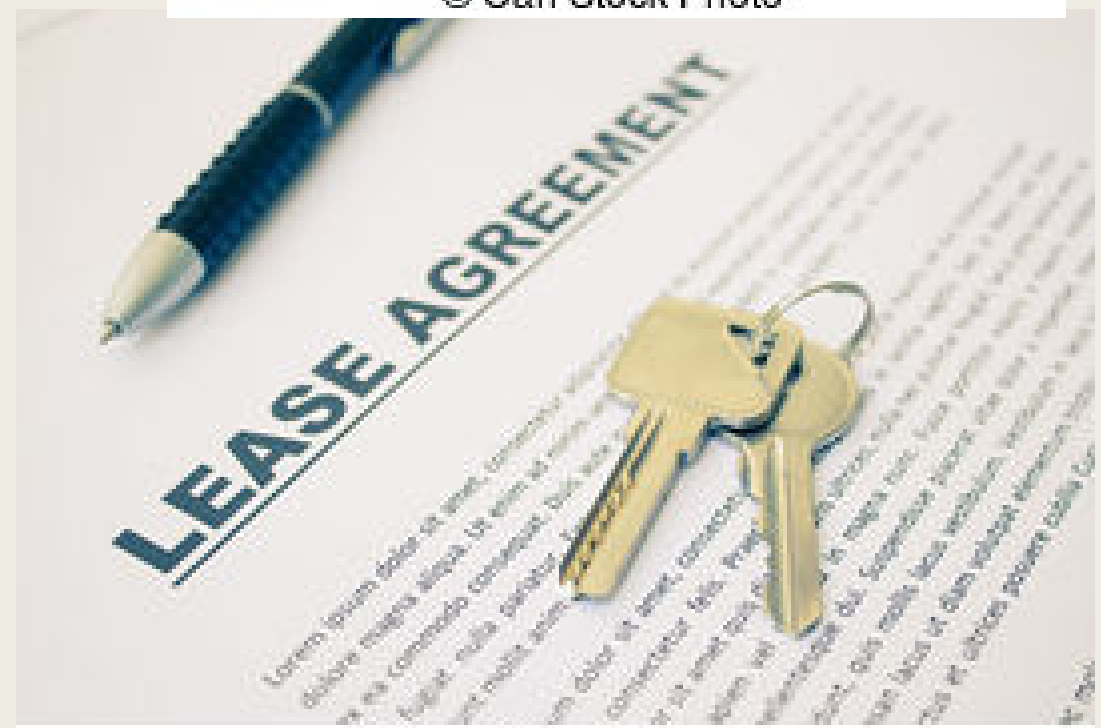- Be an active participant in development of person-centered plan

Standard Six - Other

- Modifications to the home and community-based characteristics are addressed and documented in the person-centered plan

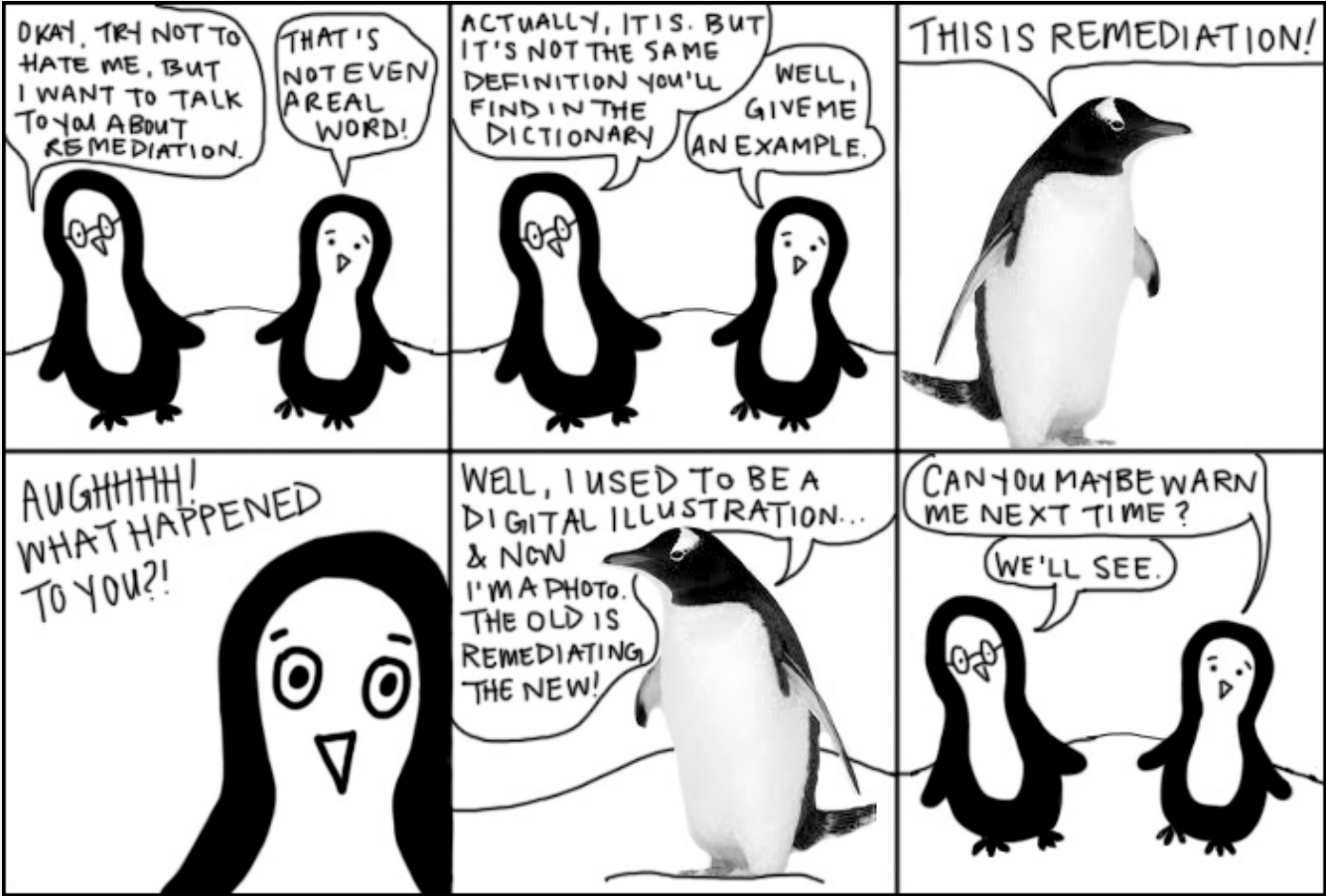- Setting has legally enforceable lease or written agreement

© Can Stock Photo

The Whole Person
- Career Developmental Cycle
- Goals
- Abilities
- Values
- Skills
- Family
- Interests
- Personal Style

© Can Stock Photo

Home and Community-Based Setting Characteristics Determining Compliance with Standards

- Use probing questions to ensure the intent of the standard is fully addressed

- How to use
  - *If the response to the question is not clear, use the probing questions to clarify the expectation and determine compliance.*
  - *If the response results in noncompliance, review and answer the probing questions to confirm.*
  - *Use responses from the probing questions to fill in the comment areas of each substandard*

Remediation

Requesting Technical Assistance

■ Technical assistance is available to assist you at various stages of this process. You may request technical assistance prior to the validation assessment based on your concerns or the outcome of your self-assessment by sending the fully completed self-assessment to FLMedicaidWaivers@ahca.myflorida.com. All request for technical assistance must include the following additional information with the request:

■ Contact telephone number,

■ Contact email address,

■ Request for technical assistance, and

■ Proposed remediation steps and timeframes.

Next Steps

- Maintain the completed self-assessment(s)

- Work on remediating deficiencies

- Plan for validation assessment visit

Still Have Questions?

- ■ Refer to the CMS frequently asked questions about this topic at http://www.medicaid.gov/medicaid-chip-program-information/by-topics/long-term-services-and-supports/home-and-community-based-services/downloads/Home-and-Community-based-Setting-Requirements.pdf

- ■ You may also send questions to AHCA at FLMedicaidWaivers@ahca.myflorida.com.