

## HCB Characteristics Review Tool – Residential Settings

### Developmental Disabilities Individual Budgeting (iBudget) Waiver

Please complete the following:

<b>Name of Organization:</b>	
<b>Contact Person:</b>	
<b>Address:</b>	
<b>Region Location:</b>	
<b>Email Address:</b>	
<b>Provider ID Number (9-digit med waiver number):</b>	
<b>Select which of the following provider type best describes your organization:</b>	Assisted Living Facility <input type="checkbox"/> Group Home <input type="checkbox"/> Residential Habilitation Center <input type="checkbox"/> Other Residential Provider <input type="checkbox"/> Explain:
<b>Setting in which the residential setting is located: Identify if your facility is in an urban or rural setting:</b>	Urban <input type="checkbox"/> Rural <input type="checkbox"/>
<b>Number of recipients who participate in the program:</b>	

**Comments:**

HCBS Characteristics Review Tool – Residential Settings	
Date	
Provider Name	
Provider Representative Name	
Address	
Reviewer Name	

All standards are in accordance with Title 42, Code of Federal Regulations, section 441.301.

1. Setting			
Standard	Standard Met MET / NOT MET / N/A	Comments	Methods
<p><b>1.1</b> The facility’s setting does not intentionally, or effectively, isolate recipients from the surrounding community and persons who are not receiving Medicaid HCB services.</p> <p><u>Expectation:</u> Recipients do not live in isolated compounds, or settings that limit their potential integration with the community at large.</p>	<p><b>MET</b>      <b>NOT MET</b>      <b>N/A</b></p> <p><input type="checkbox"/>      <input type="checkbox"/>      <input type="checkbox"/></p>		<p>Observation. Discussions with recipients.</p>
<p><b>1.2</b> The facility’s common areas have a home-like feel.</p> <p><u>Expectation:</u> Communal areas do not resemble an institution and are conducive to comfortable and social interactions free from undue restrictions.</p>	<p><b>MET</b>      <b>NOT MET</b>      <b>N/A</b></p> <p><input type="checkbox"/>      <input type="checkbox"/>      <input type="checkbox"/></p>		<p>Observation.</p>
<p><b>1.3</b> The facility is traversable by the recipients it serves; it meets the needs of recipients who require supports.</p> <p><u>Expectation:</u> Recipients are able to make their way through the hallways, doorways, and common areas with or without assistive devices. Supports are available to recipients who require them.</p>	<p><b>MET</b>      <b>NOT MET</b>      <b>N/A</b></p> <p><input type="checkbox"/>      <input type="checkbox"/>      <input type="checkbox"/></p>		<p>Observation. Discussion with provider. Discussions with recipients.</p>

1. Setting			
Standard	Standard Met MET / NOT MET / N/A	Comments	Methods
<p><b>1.4</b> Visitors are not restricted from entering the facility and there is a private meeting room to receive visitors.</p> <p><u>Expectation:</u> Recipients are able to receive visitors. Visitation is not restricted or hampered by facility policies or practices. Standard visiting hours are posted and recipients are made aware of afterhours visiting policy. Visitors must be allowed outside of standard visiting hours, but restrictions to accommodate other residents, such as limiting visitors to certain areas of the facility and observing "quiet hours," may be imposed. There is a comfortable private place for recipients to have visitors.</p>	<p><b>MET</b>      <b>NOT MET</b>      <b>N/A</b></p> <p><input type="checkbox"/>            <input type="checkbox"/>            <input type="checkbox"/></p>		<p>Observation.</p> <p>Discussion with provider.</p>
<p><b>1.5</b> There are no areas within the facility that a recipient cannot enter without permission or an escort. If there are such areas, list in Comments.</p> <p><u>Expectation:</u> Recipients are able to access all areas of the facility unless their safety would be jeopardized, e.g., recipients do not have access to maintenance rooms, janitor's closets, etc.</p>	<p><b>MET</b>      <b>NOT MET</b>      <b>N/A</b></p> <p><input type="checkbox"/>            <input type="checkbox"/>            <input type="checkbox"/></p>		<p>Discussion with provider.</p> <p>Discussions with recipients.</p>
<p><b>1.6</b> Recipients have access to standard household amenities/appliances.</p> <p><u>Expectation:</u> Recipients have independent access to appliances and household amenities in order to complete standard household chores and activities of daily living as appropriate.</p>	<p><b>MET</b>      <b>NOT MET</b>      <b>N/A</b></p> <p><input type="checkbox"/>            <input type="checkbox"/>            <input type="checkbox"/></p>		<p>Observation.</p> <p>Discussion with provider.</p> <p>Discussions with recipients.</p>

2. Room/Privacy					
Standard	Standard Met MET / NOT MET / N/A			Comments	Method
<p><b>2.1</b> Recipients have a choice of private/semi-private room and choice of roommate if applicable.</p> <p><u>Expectation:</u> Recipients have the ability to choose whether to upgrade to a private room (room and board rates may differ based on the recipient's election of a private or semi-private room.) If the recipient is housed in a semi-private room, they are not auto-assigned a roommate.</p>	<b>MET</b> <input type="checkbox"/>	<b>NOT MET</b> <input type="checkbox"/>	<b>N/A</b> <input type="checkbox"/>		Discussions with recipients.
<p><b>2.2</b> The facility's rooms are home-like.</p> <p><u>Expectation:</u> Recipients' living quarters do not resemble institutional settings or wards. Recipients have the ability to maintain their personal space according to their preferences, and living quarters are the appropriate size for the number of residents.</p>	<b>MET</b> <input type="checkbox"/>	<b>NOT MET</b> <input type="checkbox"/>	<b>N/A</b> <input type="checkbox"/>		Observation. Discussions with recipients.
<p><b>2.3</b> Recipients have privacy in their living quarters.</p> <p><u>Expectation:</u> Recipients have the right to privacy including lockable doors to their living quarters unless the recipient's physical or cognitive condition means their safety could be compromised if afforded privacy. Reasons to impede a person's right to privacy are fully and accurately documented.</p>	<b>MET</b> <input type="checkbox"/>	<b>NOT MET</b> <input type="checkbox"/>	<b>N/A</b> <input type="checkbox"/>		Observation. Discussions with recipients.
<p><b>2.4</b> The facility has a policy and procedure that addresses staff access to recipients' rooms.</p> <p><u>Expectation:</u> Facility staff respects the recipient's privacy in their room, and is familiar with and properly implements the policy and procedure to enter a recipient's room (e.g., knock twice and wait for a response, etc.).</p>	<b>MET</b> <input type="checkbox"/>	<b>NOT MET</b> <input type="checkbox"/>	<b>N/A</b> <input type="checkbox"/>		Discussion with provider.

2. Room/Privacy					
Standard	Standard Met MET / NOT MET / N/A			Comments	Method
<p><b>2.5</b> If the desired living arrangement is not available when the recipient moves in, the recipient is given the opportunity to change when their first choice becomes available.</p> <p><u>Expectation:</u> Recipients are given the option to move room and/or change roommate if their preference becomes available.</p>	<b>MET</b> <input type="checkbox"/>	<b>NOT MET</b> <input type="checkbox"/>	<b>N/A</b> <input type="checkbox"/>		Discussion with provider.
<p><b>2.6</b> Recipients are able to make/send private telephone calls/text/emails at their preference and convenience.</p> <p><u>Expectation:</u> Recipients are able to communicate at will with persons of their choosing and in privacy.</p>	<b>MET</b> <input type="checkbox"/>	<b>NOT MET</b> <input type="checkbox"/>	<b>N/A</b> <input type="checkbox"/>		Observation. Discussions with recipients.
<p><b>2.7</b> The recipient's right to dignity and privacy is respected.</p> <p><u>Expectation:</u> The recipient's right to dignity and privacy is protected and respected.</p>	<b>MET</b> <input type="checkbox"/>	<b>NOT MET</b> <input type="checkbox"/>	<b>N/A</b> <input type="checkbox"/>		Observation. Discussion with provider. Discussions with recipients.
<p><b>2.8</b> Recipients know how to file an anonymous complaint.</p> <p><u>Expectation:</u> Information is available to recipients on how to file an anonymous complaint. Telephone numbers for the Agency Consumer Complaint Hotline, Long-Term Care Ombudsman, and the Abuse and Exploitation Hotline are posted in a common area of the facility.</p>	<b>MET</b> <input type="checkbox"/>	<b>NOT MET</b> <input type="checkbox"/>	<b>N/A</b> <input type="checkbox"/>		Observation. Discussions with recipients.
<p><b>2.9</b> Restrictions are identified, documented and based on the recipient's needs and preferences.</p> <p><u>Expectation:</u> The service setting should not unduly restrict a recipient.</p>	<b>MET</b> <input type="checkbox"/>	<b>NOT MET</b> <input type="checkbox"/>	<b>N/A</b> <input type="checkbox"/>		Observation. Discussion with provider.

3. Meals					
Standard	Standard Met MET / NOT MET / N/A			Comments	Method
<p><b>3.1</b> Recipients are not required to follow a set schedule for meals.</p> <p><u>Expectation:</u> Recipients have the choice of when to eat.</p>	<p><b>MET</b> <input type="checkbox"/></p>	<p><b>NOT MET</b> <input type="checkbox"/></p>	<p><b>N/A</b> <input type="checkbox"/></p>		<p>Observation. Discussions with recipients.</p>
<p><b>3.2</b> Recipients have a choice of meals that are consistent with their preferences.</p> <p><u>Expectation:</u> Recipients have a choice of what to eat and are offered a substitute meal if they prefer. Posted menus state that alternate meals are available or list the alternate menu selections.</p>	<p><b>MET</b> <input type="checkbox"/></p>	<p><b>NOT MET</b> <input type="checkbox"/></p>	<p><b>N/A</b> <input type="checkbox"/></p>		<p>Observation. Discussions with recipients.</p>
<p><b>3.3</b> Recipients have a choice of where, and with whom to eat their meals in the facility.</p> <p><u>Expectation:</u> Recipients are given the option to eat in areas other than the dining room, including their private living quarters, and may choose to eat with persons of their choosing, or alone.</p>	<p><b>MET</b> <input type="checkbox"/></p>	<p><b>NOT MET</b> <input type="checkbox"/></p>	<p><b>N/A</b> <input type="checkbox"/></p>		<p>Observation. Discussions with recipients.</p>
<p><b>3.4</b> Recipients are afforded dignity and respect during meal times.</p> <p><u>Expectation:</u> Recipients are free from unnecessary interventions and rules during meal times which may impinge on their ability to eat and drink with dignity and respect.</p>	<p><b>MET</b> <input type="checkbox"/></p>	<p><b>NOT MET</b> <input type="checkbox"/></p>	<p><b>N/A</b> <input type="checkbox"/></p>		<p>Observation. Discussions with recipients.</p>

3. Meals			
Standard	Standard Met MET / NOT MET / N/A	Comments	Method
<p><b>3.5</b> Recipients have access to snacks and are allowed to make their own snacks; there is an area recipients can use to keep their own food and prepare snacks (e.g., kitchen or snack preparation area with refrigerator, sink, and microwave).</p> <p><u>Expectation:</u> Recipients have access to a kitchenette (microwave, refrigerator and sink), a food preparation area (a place to prepare and reheat foods), or a food pantry where they can store snacks that are accessible at any time.</p>	<p><b>MET</b>    <b>NOT MET</b>    <b>N/A</b></p> <p><input type="checkbox"/>        <input type="checkbox"/>        <input type="checkbox"/></p>		<p>Observation. Discussion with provider. Discussions with recipients.</p>
4. Activities/Community Integration			
Standard	Standard Met MET / NOT MET / N/A	Comments	Method
<p><b>4.1</b> Recipients are able to move freely outside of the facility.</p> <p><u>Expectation:</u> Recipients have full access to the community and are allowed to come and go from the facility, as they desire, unless the recipient's safety would be jeopardized. Reasons to restrict movement are documented in the facility's recipient record. Attempts to mitigate safety issues prior to revoking a recipient's right to freedom of movement are documented.</p>	<p><b>MET</b>    <b>NOT MET</b>    <b>N/A</b></p> <p><input type="checkbox"/>        <input type="checkbox"/>        <input type="checkbox"/></p>		<p>Observation. Discussion with provider. Discussions with recipients.</p>
<p><b>4.2</b> Recipients are made aware of community activities via a community board, flyers, etc.</p> <p><u>Expectation:</u> Recipients have the opportunity, but are not required, to participate in scheduled and unscheduled community and social activities. An activities calendar is posted in a common area of the facility. Recipients are consulted in selecting, planning and scheduling organized activities.</p>	<p><b>MET</b>    <b>NOT MET</b>    <b>N/A</b></p> <p><input type="checkbox"/>        <input type="checkbox"/>        <input type="checkbox"/></p>		<p>Observation.</p>



4. Activities/Community Integration					
Standard	Standard Met MET / NOT MET / N/A			Comments	Method
<p><b>4.3</b> Recipients have access to newspapers, radio, computers, television, and/or the internet.</p> <p><u>Expectation:</u> Recipients have access to outside communications.</p>	<p><b>MET</b> <input type="checkbox"/></p>	<p><b>NOT MET</b> <input type="checkbox"/></p>	<p><b>N/A</b> <input type="checkbox"/></p>		<p>Observation. Discussions with recipients.</p>
<p><b>4.4</b> Recipients are allowed to create their personal daily schedules (e.g., decide when to wake up or go to bed; go to the movies, the mall, religious events, etc.).</p> <p><u>Expectation:</u> Recipients are allowed to choose how to spend their day including sleeping schedule (i.e., wake up and bedtimes, scheduled or unscheduled naps). Recipients are allowed to vary their schedule at will in accordance with their person-centered plan.</p>	<p><b>MET</b> <input type="checkbox"/></p>	<p><b>NOT MET</b> <input type="checkbox"/></p>	<p><b>N/A</b> <input type="checkbox"/></p>		<p>Discussion with provider. Discussions with recipients.</p>
<p><b>4.5</b> Transportation is provided or arranged by the facility to community activities.</p> <p><u>Expectation:</u> Transportation is provided or arranged to community activities such as shopping, restaurants, religious institutions, senior centers, etc. The facility should have a policy for requesting transportation and recipients should be made aware of the policy. Observe sign-up sheets, instructions on how to request transportation, etc.</p>	<p><b>MET</b> <input type="checkbox"/></p>	<p><b>NOT MET</b> <input type="checkbox"/></p>	<p><b>N/A</b> <input type="checkbox"/></p>		<p>Discussion with provider.</p>
<p><b>4.6</b> Recipients are employed outside of the facility.</p> <p><u>Expectation:</u> Recipients have the ability to seek and gain competitive employment in the community.</p>	<p><b>MET</b> <input type="checkbox"/></p>	<p><b>NOT MET</b> <input type="checkbox"/></p>	<p><b>N/A</b> <input type="checkbox"/></p>		<p>Discussion with provider.</p>

5. Respect/Rights/Choice			
Standard	Standard Met MET / NOT MET / N/A	Comments	Method
<p><b>5.1</b> Recipients can keep/control of their own resources.</p> <p><u>Expectation:</u> Recipients have the option to keep their own money and to control their own finances/resources.</p>	<p><b>MET</b>    <b>NOT MET</b>    <b>N/A</b></p> <p><input type="checkbox"/>       <input type="checkbox"/>       <input type="checkbox"/></p>		Discussions with recipients.
<p><b>5.2</b> Recipients are free from coercion.</p> <p><u>Expectation:</u> Recipients have the right to live in an environment and exercise their right to choice and self-determination free from coercion.</p>	<p><b>MET</b>    <b>NOT MET</b>    <b>N/A</b></p> <p><input type="checkbox"/>       <input type="checkbox"/>       <input type="checkbox"/></p>		Observation. Discussions with recipients.
<p><b>5.3</b> Staff treats recipients in a respectful way.</p> <p><u>Expectation:</u> Staff treats recipients in a dignified manner.</p>	<p><b>MET</b>    <b>NOT MET</b>    <b>N/A</b></p> <p><input type="checkbox"/>       <input type="checkbox"/>       <input type="checkbox"/></p>		Observation. Discussions with recipients.
<p><b>5.4</b> Recipient choices are accommodated.</p> <p><u>Expectation:</u> Recipient choices are accounted for and honored unless the recipient's safety would be jeopardized and in accordance with the person-centered plan.</p>	<p><b>MET</b>    <b>NOT MET</b>    <b>N/A</b></p> <p><input type="checkbox"/>       <input type="checkbox"/>       <input type="checkbox"/></p>		Observation. Discussion with provider. Discussions with recipients.
5. Respect/Rights/Choice			
Standard	Standard Met MET / NOT MET / N/A	Comments	Method
<p><b>5.5</b> Recipients, or their delegate, are an active participant in the development of, and updates to, the person-centered plan.</p> <p><u>Expectation:</u> Recipients and/or their representatives are active participants in the person-centered planning process. Their ability to participate is not impinged upon by the facility, and their contributions/opinions are not viewed as instrumental to the facilities care planning process.</p>	<p><b>MET</b>    <b>NOT MET</b>    <b>N/A</b></p> <p><input type="checkbox"/>       <input type="checkbox"/>       <input type="checkbox"/></p>		Discussion with provider. Discussions with recipients.
6. Other			

Standard	Standard Met MET / NOT MET / N/A	Comments	Method
<p><b>6.1</b> There is a legally enforceable agreement for the unit or dwelling where the recipient resides.</p> <p><u>Expectation:</u> The recipient has the same landlord/tenant protections, are protected from eviction and afforded appeal rights as persons not receiving Medicaid HCBS services.</p>	<p><b>MET</b>      <b>NOT MET</b>      <b>N/A</b></p> <p><input type="checkbox"/>            <input type="checkbox"/>            <input type="checkbox"/></p>		Discussion with provider.
<p><b>6.2.</b> Modifications to the HCB Characteristics are addressed and documented.</p> <p><u>Expectation:</u> Modifications to the HCB Characteristics requirements are supported by an assessed need and justified in the recipient's person-centered plan.</p>	<p><b>MET</b>      <b>NOT MET</b>      <b>N/A</b></p> <p><input type="checkbox"/>            <input type="checkbox"/>            <input type="checkbox"/></p>		Discussion with provider.
<p><b>Additional Comments:</b></p>			

Facility reviewer's signature and credentials:

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Date:

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