

Home and Community Based Settings (HCBS) Rules Assessment
EPD Residential Setting Self-Assessment

Date Submitted:		Setting Phone Number:	
Setting Name:		Setting Director Name:	
Setting Address:		Setting Asst. Director Name:	
Setting License Level of Care:		Setting Type:	
Setting Assessor Name:		AHCCCS Provider Number:	
Setting Assessor Title:		License Number:	
Setting Assessor Phone:		# of Health Plan Members:	
Setting Assessor Email:		# of Medicaid Members:	

General Questions

1	Is the setting co-located on the property of an institutional setting?	
2	Is the setting co-located within an institutional setting?	
3	If yes, describe how the setting is connected with the institutional setting including shared administration, finances, staff, etc.:	
4	What is the capacity of the setting?	
5	How many beds are designated for memory care?	
6	How many of the Health Plan's members are in the memory care unit/room?	
7	How many beds are designated for behavioral health/secured units?	
8	How many of the Health Plan's members are in the behavioral health/secured unit/room?	
9	Do you have individuals living in the setting who are private pay?	

For Interviewer Purposes Only
Examples supporting the self-assessment response

For Interviewer Purposes Only
Comments

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Local Area

<i>Please indicate if you agree or disagree with each of the following statements below.</i>		Setting Assessor Use	For Interviewer Purposes Only	
	Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
10	Is the setting labeled or identified in a way that sets it apart from the surrounding residences?			
11	Are the vehicles in the setting labeled or identified in a way that sets it apart from the surrounding vehicles (e.g. vans, cars, etc.)?			

Points Possible: 0

Points Received: 0

Employment/Volunteerism					
Please select whether the following will occur when safe to do so and use the COVID-19 Transition Plan to describe how the setting will comply.		Setting Assessor Use		For Interviewer Purposes Only	
		Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
12	Describe how the setting will engage individuals of working or school age to see if they are interested in work or school.		Please refer to the Companion Guide on how to address these standards in the COVID-19 Transition Plan.		
13	When individuals express an interest in employment, describe how the setting will refer them for employment				
14	Describe how the setting will support individuals to have volunteer opportunities in the community.				
15	Describe how the setting will support individuals to have employment opportunities in the community.				
16	Describe how the setting will support individuals to have career exploration opportunities.				
17	Describe how the setting will support individuals to learn new skills or instruction for skill development that pertain to volunteer opportunities or paid employment.				
18	Describe how the setting will support individuals to have access to transportation to and from work/volunteering				
Points Possible: 7		Points Received: 0			

For Reference Only

Community Life

Please select whether the following will occur when safe to do so and use the COVID-19 Transition Plan to describe how the setting will comply.

Setting Assessor Use

For Interviewer Purposes Only

		Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
19	Describe how individuals will receive information about activities in the community through a variety of methods (For example written material, posted material, education, experiential learning, etc.).		Please refer to the Companion Guide on how to address these standards in the <u>COVID-19 Transition Plan</u> .		
20	Describe how individuals will have staff support to assist them in participating in activities in the community (i.e. personal care assistance).				
21	Describe how individuals will have informal supports to assist them in participating in activities in the community.				
22	Describe how individuals will have access to transportation (provider related or otherwise) to and from the setting for the purposes of engaging in community life.				
23	Describe how individuals will be able to participate in activities in integrated settings (i.e. religious, social, cultural, recreational, etc.) comparable to peers (i.e. people of similar age, people without disabilities).				
24	Describe how individuals will be able to have regular (more than once per week) opportunities for contact with people who don't live in the home and not receiving services (family, friends, neighbors, etc.).				

Points Possible: 26

Points Received: 0

FOR REFERENCE ONLY

Personal Resources				
Please select whether the following occurs or will occur when safe to do so. Use the COVID-19 Transition Plan to describe how the setting will comply for items in blue.		Setting Assessor Use	For Interviewer Purposes Only	
	Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
25	Do individuals have someone assist them in managing their personal funds?			
26	Do individuals choose the person to assist them in managing their personal funds?			
27	Do individuals decide how to spend their money, earned or unearned?			
28	Do individuals have personal bank accounts?			
29	Do individuals have another type of account whereby they can access their personal funds?			
30	<i>Describe how individuals will have access to the community to purchase goods and services.</i>	Please refer to the Companion Guide on how to address these standards in the COVID-19 Transition Plan .		
31	<i>Describe how individuals are being assisted to purchase goods in the current environment (online shopping, family member shopping, etc.).</i>			
32	Does the setting use interest/preference inventories to inform the provision of basic necessities for the member?			
Points Possible: 8		Points Received: 0		

Payer Source				
Please select whether the following occurs.		Setting Assessor Use	For Interviewer Purposes Only	
	Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
33	Do all individuals living in the setting have the same access to activities, services, and amenities regardless of who pays for the service?			
Points Possible: 1		Points Received: 0		

Home Selection					
Please select whether the following occurs or will occur when safe to do so. Use the COVID-19 Transition Plan to describe how the setting will comply for items in blue.		Setting Assessor Use		For Interviewer Purposes Only	
		Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
34	Describe how the setting will allow individuals to visit the setting prior to choosing to live there (i.e. tours, share a meal, participate in an activity, offer respite stay, etc.).		Please refer to the Companion Guide on how to address these standards in the COVID-19 Transition Plan.		
35	Does the setting use interest and preference inventories, individual's personal goals and risks assessments to inform decisions to ensure the member is accommodated in the least restrictive manner?				
Points Possible: 2		Points Received: 0			

For Reference Only

Private Room				
Please select whether the following will occur when safe to do so and use the COVID-19 Transition Plan to describe how the setting will comply.		Setting Assessor Use	For Interviewer Purposes Only	
	Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Observations/Comments
36	Do individuals have an option for a private room if they are able to afford it?	Please refer to the Companion Guide on how to address these standards in the COVID-19 Transition Plan.		
Points Possible: 1		Points Received: 0		

MCO Person-Centered Service Plan				
Please select whether the following occurs.		Setting Assessor Use	For Interviewer Purposes Only	
	Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
37	Does the setting provide supports so that individuals can participate in the Person-Centered Service Plan meetings?			
38	Does the setting participate in the Person-Centered Service Plan meetings?			
39	Does the setting support a discussion with the member regarding key indicators that help assess an individual's integration experience (i.e. opportunities to interact with the broader community, making choices about living situation and daily activities, and privacy)?			
40	Does the setting help to identify health and safety risks that necessitate restrictions and a risk management plan?			
41	Does the setting help to identify personal goal setting opportunities to support integration?			
42	Does the setting routinely engage in customer satisfaction exercises to ensure the staff is supporting individuals to meet their goals?			
Points Possible: 6		Points Received: 0		

Setting Plan of Care/Service Plan					
Please select whether the following occurs.		Setting Assessor Use	For Interviewer Purposes Only		
		Yes/No/Not Applicable	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
43	Are the Plans of Care/Service Plans completed within 14 days of the individual being admitted to the facility?				
44	Are the Plan of Care/Service Plans current and reviewed within appropriate time frames according to AZ State Statutes to the type of care for each resident (i.e. supervisory, personal or directed care)?				
45	Does the setting provide supports to ensure the individual understands their Plan of Care/Service Plan?				
46	Does the setting utilize detailed interest and preference inventories completed with the input of the individual and others who know their life history, including past work history, hobbies and community engagement to inform decisions on personal goals related to activities both internal and external to the setting?				
Points Possible: 4		Points Received: 0			

Individual Rights					
Please select whether the following occurs.		Setting Assessor Use	For Interviewer Purposes Only		
		Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
47	Do individuals receive personal care assistance in private?				
48	Do individuals receive information about their rights in plain language?				
49	Does the setting post information about member rights in plain language?				
50	Does the setting provide supports to ensure the individual understands their rights?				
51	Do individuals know who to contact if they have concerns or complaints?				
52	Do individuals have access to a telephone and/or computer for personal use in a location that has space around it to ensure privacy?				
53	Do individuals have protection against restrictive measures, including isolation and chemical/pharmacological and physical restraints?				
Points Possible: 7		Points Received: 0			

Independence

Please select whether the following will occur when safe to do so and use the COVID-19 Transition Plan to describe how the setting will comply.

Setting Assessor Use

For Interviewer Purposes Only

		Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
54	Describe how individuals will have access to a key/code to the front door/entrance of their		Please refer to the Companion Guide on how to address these standards in the <u>COVID-19 Transition Plan</u> .		
55	Describe how individuals will be given the choice and opportunity to freely exit the facility, free from a curfew or other requirements for a scheduled return home.				
56	Describe how individuals will get to make informed decisions about what they want to do every day, including scheduling changes.				
57	Describe how individuals will receive support to make informed decisions about what they want to do every day, including scheduling changes.				
58	Describe how individuals will have access to transportation training if they are currently unable to use public				
59	Describe how individuals will have full access to the kitchen at any time.				
60	Describe how individuals will have full access to the dining areas at any time.				
61	Describe how individuals will have full access to the laundry areas at any time.				
62	Describe how individuals will have full access to shared living spaces at any time.				

Points Possible: 25

Points Received: 0

FOR REFERENCE ONLY

Choice				
Please select whether the following will occur when safe to do so and use the COVID-19 Transition Plan to describe how the setting will comply.		Setting Assessor Use	For Interviewer Purposes Only	
	Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
63	Describe how individuals will have the option to make requests for an alternate staff member to assist them.	Please refer to the Companion Guide on how to address these standards in the <u>COVID-19 Transition Plan</u> .		
64	Describe how the setting will review requests for an alternative staff member and honor when the setting can accommodate.			
65	Describe how individuals will be able to freely make requests for changes in the way their services and supports are delivered.			
66	Describe how individuals will get to choose their roommates.			
Points Possible: 4		Points Received: 0		

Setting - Residency Agreements				
Please select whether the following will occur when safe to do so and use the COVID-19 Transition Plan to describe how the setting will comply.		Setting Assessor Use	For Interviewer Purposes Only	
	Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
67	Describe the how individuals, or representative, will have a written agreement in place providing protections to address termination of residency agreement and due process and appeals.	Please refer to the Companion Guide on how to address these standards in the <u>COVID-19 Transition Plan</u> .		
68	Will the setting use the standard AHCCCS residency agreement that is in plain language?			
69	Describe how the setting will provide supports to ensure the individual understands their residency agreement.			
Points Possible: 3		Points Received: 0		

Privacy				
Please select whether the following occurs <i>in general</i> , provided there are no health and safety risks to the individual. Use the COVID-19 Transition Plan to describe how the setting will comply for items in blue.		Setting Assessor Use	For Interviewer Purposes Only	
	Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
70	Do individuals have access to a key to their bedroom/unit?			
71	Do individuals have lockable bedroom/unit doors?			
72	Do individuals have lockable bathroom doors?			
73	Do staff and other people knock and receive permission before entering an individual's bedroom/unit or bathroom?			
74	<i>Describe how individuals will have the opportunity to consider other roommate options if they want to change roommates.</i>		Please refer to the Companion Guide on how to address these standards in the <u>COVID-19 Transition Plan</u> .	
75	Are individuals allowed to decorate their own room including moving furniture and hanging up items on the walls?			
76	Are individuals consulted on décor for common areas?			
78	<i>Describe the process the setting will have in place to help individuals make choices for roommates.</i>		Please refer to the Companion Guide on how to address these standards in the <u>COVID-19 Transition Plan</u> .	
79	<i>Describe the process the setting has in place to assess roommate satisfaction, if applicable.</i>		Please refer to the Companion Guide on how to address these standards in the <u>COVID-19 Transition Plan</u> .	
Points Possible: 9		Points Received: 0		

FOR REFERENCE ONLY

Dining				
Please select whether the following occurs <i>in general</i> , provided there are no health and safety risks to the individual. Use the COVID-19 Transition Plan to describe how the setting will comply for items in blue.		Setting Assessor Use	For Interviewer Purposes Only	
	Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
80	Do individuals have a choice on what to eat if they don't like what is being served?			
81	Do individuals have a choice in what time they want to eat?			
82	<i>Describe how individuals will have a choice with whom to eat.</i>	Please refer to the Companion Guide on how to address these standards in the <u>COVID-19 Transition Plan</u> .		
83	<i>Describe how individuals will have a choice of eating alone.</i>			
84	Do individuals have access to food/snacks/drinks?			
85	<i>Describe how individuals will have an opportunity to buy their own food/snacks/drinks.</i>	Please refer to the Companion Guide on how to address these standards in the <u>COVID-19 Transition Plan</u> .		
Points Possible: 6		Points Received: 0		

Visitors				
Please select whether the following will occur when safe to do so and use the COVID-19 Transition Plan to describe how the setting will comply.		Setting Assessor Use	For Interviewer Purposes Only	
	Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
86	<i>Describe how the setting will ensure individuals will be free from restrictions (visiting hours) on when they can have family and friends to visit.</i>	Please refer to the Companion Guide on how to address these standards in the <u>COVID-19 Transition Plan</u> .		
87	<i>Describe how the setting will have areas or furniture in the home that supports individuals to meet with family and friends in private.</i>			
Points Possible: 6		Points Received: 0		

Accessibility				
<i>Please indicate if you agree or disagree with each of the following statements below.</i>		Setting Assessor Use	For Interviewer Purposes Only	
	Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
88	Is the setting accessible for people to safely and freely move around the home including entering and exiting the setting?			
89	Do all individuals have physical accessibility to appliances and furniture?			
90	Does the setting have resources for assessing and providing individualized modifications (i.e. grab bars, shower chair, etc.), if necessary based upon individual specific needs?			
91	Is the home free from barriers preventing individuals from entering or exiting common or member rooms/sleeping areas?			
Points Possible: 4		Points Received: 0		

Training				
<i>Please indicate if you agree or disagree with each of the following statements below.</i>		Setting Assessor Use	For Interviewer Purposes Only	
	Yes/No	Documentation supporting the self-assessment	Examples supporting the self-assessment response	Comments
92	All staff are trained on the prevention of abuse, neglect, and exploitation. Training for all parties should address retaliation (e.g., harassment or loss of employment) and penalization (e.g., changes to the nature and/or location of services and supports).			
Points Possible: 1		Points Received: 0		

For Reference Only

Memory Care (If applicable)				
Please indicate if you agree or disagree with each of the following statements below.		Setting Assessor Use	For Interviewer Purposes Only	
	Yes/No	Documentation supporting the self-assessment response	Examples supporting the self-assessment response	Comments
93	Does the setting utilize environmental design to accommodate individual's risks for wandering or exit seeking behaviors in an effort to maximize individual initiative, autonomy and independence?			
Are setting staff trained and able to demonstrate competencies in the following:				
94	Underlying conditions, diseases and disorders that may lead to wandering or exit seeking behavior			
95	Observing individuals for the purposes of identifying through observation (patterns, frequency and triggers) the root cause(s) for the wandering or exit seeking behavior			
96	Employing less restrictive interventions to maximize an individual's initiative, autonomy and independence			
97	Assessment of the individual's communication style (verbal, non-verbal) and needs in order to support staff to interpret non-verbal cues, body language, and behavioral changes and learn to anticipate member needs and ensure staff support optimizes each member's life experience by affording them the opportunities to make decisions to the greatest extent possible			
Points Possible: 5		Points Received: 0		
Total Points Possible: 124		Total Points Received: 0		

For Reference Only