



VALLEY MOUNTAIN REGIONAL CENTER

Life with the
Power of Choice
and Possibilities

Residential HCBS Onsite Assessment

VENDOR NAME:

VENDOR NUMBER:

SERVICE CODE:

SETTING TYPE:

DATE OF ASSESSMENT:

General Vendor Information	
Vendor Name:	
Vendor Number:	
Vendoring Regional Center:	
Service Type:	
Setting Type:	
Number Served:	
Total Capacity:	

Vendor Contact Information	
Vendor Contact Name:	
Street Address:	
City:	State:
Zip:	Phone Number:
Email Address:	

Visit Information	
Date of Assessment:	
Assessor Name:	
Name(s) and titles of Provider Staff Interviewed:	
<p>This section will list staff interviewed, it will also mention whether a single participant or group of participants were interviewed</p>	

Compliance Recommendation Summary

Below is a summary of your setting's Compliance Recommendation for each of the HCBS characteristics (e.g. community integration, individual rights, etc.). Please note this section represents a summary of your setting's compliance. The sections that follow will include the response to each question as observed during the visit.

Overall Compliance

Overall compliance is an observation comprised of results from the site assessment for each Federal Requirement.

Heightened Scrutiny

According to CMS, the location in which services are provided, or the way in which some services are provided, results in the need for additional review, or "heightened scrutiny" in order to verify that the service meets the federal requirements.

Federal Requirement 1-5	Fed 1	Fed 2	Fed 3	Fed 4	Fed 5
	Met, partially met or not met				

Federal Requirement 6-10	Fed 6	Fed 7	Fed 8	Fed 9	Fed 10

Heightened Scrutiny

According to CMS, the location in which services are provided, or the way in which some services are provided, results in the need for “heightened scrutiny” in order to verify that the service meets the federal requirements. For more information about this, please see guidance from CMS: <https://www.medicaid.gov/federal-policy-guidance/downloads/smd19001.pdf>. The following questions below help determine which services may need further verification.

Has this site been identified for Heightened Scrutiny?

Most of our vendor community does not fall under heightened scrutiny and will be marked n/a

1. The service is provided in settings that are located in a building that is also a publicly or privately operated facility that provides inpatient institutional treatment.

2. The service is provided in settings that are located on the grounds of, or immediately adjacent to, a public institution.

3. Does the way the service is provided have the effect of isolating individuals from the broader community of individuals who do not receive regional center services?

4. Does the setting and/or the way services are provided restrict individuals’ choice to receive services or to engage in activities outside of the location where services are provided?

5. Is the service provided in a location that is physically separate ** and apart from the broader community and does not facilitate opportunities to access the broader community and participate in community services, consistent with an individual’s service plan?

Heightened Scrutiny Remediation Activities Needed:

Please note this section may appear blank. Remediation Activities Needed are completed for settings identified as Heightened Scrutiny.

This section will be marked n/a

Federal Requirement 1: Access to the Community

The setting/service is integrated in and supports full access 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 regional center services.

1a. As part of their plan for services, 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?

Documents for #1 will show how you know what individuals want to participate in and that those activities are scheduled. e.g. calendars, questionnaires, house meeting notes, individual progress notes

- What are the Individual Activities?

- Who are Individual Activities Planned by?

- What are the Group Activities?

- Who are Group Activities Planned by?

1b. Do the opportunities for community outings and activities include meaningful interaction with individuals not receiving regional center services, not including paid staff or volunteers?

1c. If individuals want to seek paid employment, do they have access to competitive integrated employment opportunities?

1d. 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?

- Medical Services:

- Dental Services:

Federal Requirement 1: Access to the Community

The setting/service is integrated in and supports full access 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 regional center services.

- Optometry/ophthalmology Services:

- Therapy (PT, OT, Speech):

- Therapy (Behavioral):

- Salon Services:

- Banking Services:

1e. Do individuals have access to transportation options, including public transportation, family/friends/and volunteer organizations that promote ease of use and optimize individuals' independence, per their individual program plan?

1e. Continued...

- Public Transportation:

- Provider Transportation:

- Ride Share (Uber, Lyft):

- Volunteer Organization:

- Family or Friends:

Federal Requirement 1: Access to the Community

The setting/service is integrated in and supports full access 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 regional center services.

- Assistance with religious or spiritual activities of choice if requested:

1f. Do individuals have the option to control their personal resources, if applicable? (Including financials and other personal item?)

- Money:

- Checkbook/Debit Card:

- Budget:

Federal Requirement 1 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? If other people in the home are going to church or other religious activity do you feel like you have to go even if you don't want to?

Federal Requirement 1 Individual Questions

6. Are you currently attending a day/employment program?

7. Do you get to control/keep your own money?

8. If the home holds your money for you do you know how to ask for your money?

9. Can you get money when you ask for it? Do staff tell you what you can or should spend your money on or not spend money on?

10. When you need to see a doctor do you go out in the community or does the doctor come to the home?

11. 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 1 Access to the Community Compliance Recommendation

Based on the observations, does the setting meet the standards of Federal Requirement 1?

Remediation Activities Needed:

This section will detail what the provider needs to remediate and give some examples of ways that the federal requirement can be remediated. e.g. creation of forms for gathering information in small groups of where individuals want to go and what they want to do when they are there, also keeping calendars that show when activities change on a daily basis based on feedback from participants

Federal Requirement 2: Choice of Setting

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

2a. Does the setting have a current regional center Individual Program Plan (IPP) on file for all individuals?

- Are setting options identified on the IPP, including non-disability specific?

- Are service options specified?

2b. Do you review with residents that other options for living arrangements exist at least annually? What is your process if someone expresses a desire to move to a different home?

This option should be documented as being discussed in ISP's if available or a signature that the option was discussed in client notes

Federal Requirement 2 Individual Questions

12. Did you choose to live at this home?

13. Was there another home you wanted to live at instead?

14. Were you able to see/visit other homes before choosing this home?

Federal Requirement 2 Choice of Setting Compliance Recommendation

Based on the observations, does the setting meet the standards of Federal Requirement 2?

Remediations Activities Needed:

Federal Requirement 3: Right to be Treated Well

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

3a. Does the provider inform individuals, in a manner they can understand, of their rights to privacy, dignity, respect, and freedom from coercion and restraint? What is the frequency of rights based training for residents? For staff? Is there a written record of the training taking place? What documents are provided?

HCBS specific rights documents should be provided to staff and residents, signatues should be available that individuals received training on these rights and copies of the rights documents

3b. Does the provider have a written policy for visitors? Does the policy explicitly state that residents can have guests at any time? Does the policy explicitly state that the residents can have overnight guests? Does the policy explicitly state that residents can spend time alone with their guests in all common areas as well as in their own bedrooms?

see 'remediaiton activities needed' for notes on what to include in the privacy policy

3c. Does the provider have a written policy regarding privacy? Does the policy explicitly speak to privacy during: Medication distribution? Discussing confidential information of residents? Privacy in communications for residents (mail, email, internet use, phone)? During assistance with personal care?

3d. Do residents have privacy in the bathroom? Do the bathroom doors have locks?

3e. 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.)? What methods are currently used? How is that information obtained and how is it shared with staff?

3f. Are individuals allowed to dress or groom in a manner that is appropriate to the setting while honoring individual choice and life-style preferences? Is there a dress code in place for residents?

Aside from being clothed in common areas there should be no restriction

3g. Does the facility ensure staff is knowledgeable about the capabilities, preferences, interests, and needs of the individuals they serve? How does the home ensure that?

Federal Requirement 3: Right to be Treated Well

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

3h. Are individual capabilities, preferences, interests and needs documented in the ISP?

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3i. Do staff have access to the IPP and ISP either electronically or onsite?

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3j. Can residents secure their own belongings without others including staff having access? Can they lock their door when they leave and have the expectation that no one will enter without their permission? If they have a roommate, do they have a locking cabinet or other such furniture that they can lock items in to secure their belongings?

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3k. Does the provider impose restrictions regarding access within the service location, inside or outside, for residents or visitors?

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3l. Does the residence have secured perimeters or delayed egress?

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3m. Does the provider utilize restraints? Are staff trained upon hire and at least annually thereafter on the use of behavioral interventions and de-escalation techniques? Are there records of such training? What are the policies for behavior intervention? What is the reporting process for using restraints? What is the follow up after the use of restraints?

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Federal Requirement 3 Individual Questions

15. If you share a room do you have a specific space to keep your personal items secure (e.g., lock box, locking drawers or cabinet)?

16. If you are unhappy or uncomfortable with staff, do you feel safe enough to tell someone? Who would you feel comfortable telling?

17. Do you know what to do or who to talk to if you have a problem?

18. Has anyone given you a telephone number you can call if you have a problem?

19. Are you able to use the phone or other device in private? Does anyone check to see what you are doing on the computer or tablet or your phone when you are on social media?

20. Are you able to get your own mail (residential) /check email in private if you choose?

21. Can you visit with your guests by yourself if you want?

22. Do staff treat you with respect and dignity?

23. Has anyone given you a copy of your Home and Community Based Services rights?

Federal Requirement 3 Right to be Treated Well Compliance Recommendation

Based on the observations, does the setting meet the standards of Federal Requirement 3?

Remediation Activities Needed:

Privacy Policy Should Contain the Following:

- locks on bedroom/bathroom doors and circumstances where staff are allowed to enter without permission of the resident, typically this would be related to health and safety
- Privacy while entertaining guests
- In roommate situations what stipulations are there for staff to mediate between roommates who want to use the room privately to entertain guests including overnight
- Communications including talking on the phone, texting, using social media, internet use and mail
- privacy around HIPAA and distributing medication

You should be able to provide a copy of the policy and have signature pages showing it was provided to both staff and residents

Federal Requirement 4: Independence

The setting/service optimizes but does not regiment individual initiative, autonomy and independence in making life choices, including daily activities, physical environment and with whom to interact.

4a. Do individuals have input into and choice among daily activities that are based on the individuals' needs and preferences?

Documentation related to preferences will be requested

- Daily Activities, what does that look like?

- Group Activities, what does that look like?

- Daily Schedule, what does that look like?

- Choosing to interact with others in the home, both staff and other residents?

- Interact in community with non-disabled peers, if they want that opportunity?

4b. 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?

4c. Does the provider support individuals' autonomy to make personal decisions such as practicing religion and voting?

- Can individuals attend religious/spiritual services at a location and faith of their choosing?

- How are individuals supported to vote if they choose to?

Federal Requirement 4 Individual Questions

24. Do you get to choose what to do while you are at home? Do you get to go to the places you want to go out in the community?

25. Do staff ask you where you want to go and what you want to do and then help you get there?

26. Do you have to go to church with everyone in the home? If you want to go to a different religious place will staff help make that happen for you?

27. Are you able to eat where you want (e.g., dining room, outside, your bedroom etc.)? What you want?

28. Do you have an assigned seat where you must sit by the same person when you eat?

Federal Requirement 4 Independence Compliance Recommendation

Based on the observations, does the setting meet the standards of Federal Requirement 4?

Remediation Activities Needed:

Ensure you have adequate documentation related to individuals choices throughout their day

Federal Requirement 5: Choice of Services and Supports

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

5a. Does the provider support individuals in choosing which staff provide their care (for example gender or language spoken)? How do you know those preferences? How are they documented?

There should be documentation related to preferences and that shows those preferences are implemented

5b. Does the provider have a complaint/grievance policy for individuals? When is that policy provided to residents?

Copies will be requested

- Does the provider inform individuals how to file a Grievance in communication methods outlined in their IPPs?

5c. Do individuals have opportunities to modify their services or schedules? When/How? What does that process look like?

- Do individuals have opportunities to voice their concerns in the manner and timing of their choosing, consistent with their communication abilities and preferences?

Federal Requirement 5 Individual Questions

29. If you wanted to move to a different home or type of living situation, do you know what to do or who to speak with to make that request?

30. Do you go to the meeting where your individual program plan is developed?

31. Do you get to decide on who is invited to your service planning meeting? Do you know that you can say no to people coming to your meeting?

32. Does anyone else come to your service planning meeting (family, friends, others)?

33. Do you feel like people listen to you during the individual program planning meeting?

Federal Requirement 5 Individual Questions

34. Does your IPP include things that are important to you?

Federal Requirement 5 Choice of Services and Supports Compliance Recommendation

Based on the observations, does the setting meet the standards of Federal Requirement 5?

Remediation Activities Needed:

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.

6a. Does each individual have a lease, residency agreement, admission agreement, or other form of written residency agreement?

This is the placement agreement/attachment A, if you have a separate residency agreement it should be provided

6b. Are individuals informed about how to relocate and request new housing?

This should be discussed at all annuals

6c. In the case of any possible eviction or involuntary relocation, are there policies and procedures in place to ensure individuals have eviction protections?

- Are individuals informed of their protections from eviction and the appeals process? When does that take place and what does it look like?

6d. Can the resident decorate their space how they want?

6e. Can the resident say no to staff entering their room?

Federal Requirement 6 Individual Questions

35. Do you have a lease or other agreement you signed to live here?

36. Do you know who to speak with if you want to move?

37. Can you say no if staff want to come in your room? Do staff knock and ask permission before entering?

Federal Requirement 6 Residential Agreement Compliance Recommendation

Based on the observations, does the setting meet the standards of Federal Requirement 6?

Remediation Activities Needed:

Federal Requirement 7: Privacy

Each individual has privacy in his/her sleeping or living unit:

1. Units have entrance doors lockable by the individual, with only appropriate staff having keys to doors as needed.
2. Individuals sharing units have a choice of roommates in that setting.
3. Individuals have the freedom to furnish and decorate their sleeping or living units within the lease or other agreement.

7a. Do individuals have a choice regarding roommates? When a potential resident tours for an available room that already has one resident what matching activities take place to ensure they would like being roommates?

- Do individuals have a choice for private accommodations?

7b. Do individuals have the option to change roommates, if desired? Is there a documented process to facilitate roommate changes? If a change of roommate isn't possible does the administrator discuss with both residents the right to move to a different home or potentially a different type of accommodation?

If there are shared rooms we will ask for your policy surrounding roommate changes

7c. 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?

7d. Do individuals have the ability to lock their bedroom doors? Can the door be locked only when the resident is inside or do they have a key/pin code so they can lock it when they leave?

- Are any individual restrictions regarding the use of bedroom locks documented in the IPP?

7e. Are policies in place to ensure only necessary and appropriate staff have keys to bedrooms? Is it documented that access is only in emergencies and otherwise staff must get permission from the resident to enter?

Federal Requirement 7 Individual Questions
38. Did you get to choose to have a private bedroom?
39. If not, did someone tell you before you moved in that you would have a roommate?
40. If you have a roommate, did you get to choose your roommate? Did you meet them before you moved in?
41. Do you know who to speak with if you want to change roommates?
42. Do you have a key to the front door where you live? Do you have a key to your bedroom?
43. Can you close and lock your bedroom door?
44. Do you have a key to your bedroom?
45. Can you close and lock your bathroom door?

Federal Requirement 7 Privacy Compliance Recommendation

Based on the observations, does the setting meet the standards of Federal Requirement 7?

Remediation Activities Needed:

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.

8a. Do individuals have access to food at any time?

- Are restrictions on access to food documented in the IPP? Including that sharps and cleaning chemicals are locked?

8b. Does the home allow individuals to set their own daily schedules? What does that look like in this home?

- Are restrictions on daily schedules documented in the IPP?

8c. Do individuals have full access to common areas in a home such as a kitchen, dining area, Laundry, garage, backyard?

- Are restrictions on access to common areas documented in the IPP?

- Is there comfortable seating available in shared areas?

Federal Requirement 8 Individual Questions

46. Are you able to eat what you want to eat?

47. Do you get to eat at the time you want?

48. Are you able to eat where you want? (e.g. in a place other than the dining room or kitchen)?

49. Do you have to go to bed at a certain time or get up at a certain time?

50. Do you have to go to a day program or work program or can you stay home during the day?

Federal Requirement 9: Right to Visitors

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

9a. Are visitors welcome to visit the home at any time? Do you have a visitors policy?

We will ask for your visitors policy, see 'remediation activities needed' section for details

9b. Do individuals have the option to have overnight guests?

9c. 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?

9d. Where can individuals visits with their guests?

9e. Are any restrictions on guests documented in the IPP?

Federal Requirement 9 Individual Questions

54. Can you have visitors come to the home whenever you want?

55. Can you visit with your guests privately? Can you invite them to spend the night?

56. If you have a boyfriend/girlfriend can you be alone with them? Does anyone tell you what you should or shouldn't do with them?

Federal Requirement 9 Right to Visitors Compliance Recommendation

Based on the observations, does the setting meet the standards of Federal Requirement 9?

Remediation Activities Needed:

Visitors Policy Requirements:

- in alignment with any emergency PINs from CCL
- Cannot restrict visiting hours including overnight guests
- Cannot restrict where in the home residents can visit with their guests
- Cannot restrict who the resident wants to visit with
- May include a stipulation that guests follow house rules

Exceptions that don't need to be noted on your privacy policy:

- individual restrictions based on court order
- that you can and should ask a visitor to leave if they are behaving in a manner that endangers residents, staff or property or violates the rights of residents or staff

Best Practices:

Address with staff ahead of time what constitutes asking a visitor to leave and/or contacting the police, as well as when to contact the administrator

Federal Requirement 10: Accessibility

The setting is physically accessible to the individual.

10a. Is the setting physically accessible for individuals who have a physical disability (e.g. ramps, railings, roll in showers, etc. ?)

10b. Are appliances and furniture accessible to every individual?

10c. Can individuals independently access all parts of the home including the bathroom if their disability allows?

Federal Requirement 10 Individual Questions

57. Is it ever hard for you to get from one part of the building to another? Can you get in and out of doors, hallways, bathroom stalls easily? Are there any areas you can't go without staff help?

Federal Requirement 10 Accessibility Compliance Recommendation

Based on the observations, does the setting meet the standards of Federal Requirement 10?

Remediation Activities Needed:

_____	Date	_____	Date
HCBS Program Evaluator		Community Services Division Manager	
_____	Date	_____	Date
Vendor Representative		Vendor Representative	

We appreciate your time and participation in completing the assessment. If you have any questions, please contact Valley Mountain Regional Center.

General Questions about compliance determinations:

Valley Mountain Regional Center

asims@vmrc.net

HCBS Questions related to the Statewide Transition Plan:

Department of Developmental Services

hcbsregs@dds.ca.gov

Additional HCBS Final Rule resources can be found below:

CMS HCBS Information:

<https://www.medicaid.gov/medicaid/home-community-based-services/home-community-based-services-guidance/index.html>

CMS Heightened Scrutiny Guidance:

<https://www.medicaid.gov/sites/default/files/Federal-Policy-Guidance/Downloads/smd19001.pdf> California

Statewide Transition Plan:

<https://www.dhcs.ca.gov/services/ltc/Pages/HCBSStatewideTransitionPlan.aspx>

California DDS Website:

<https://www.dds.ca.gov/initiatives/cms-hcbs-regulations/>