

**Indiana Family and Social Services Administration
Division of Disability and Rehabilitative Services - DDRS
HCBS Final Rule Onsite Assessment Tool – Non-Residential**

Visit Information

Date of assessment	
Start time of assessment	
Assessor name	

General Provider Information

Provider name	
Project-assigned provider ID	
Provider address	
Provider contact	
Number of waiver clients served	
Overall site capacity	
Services provided	<div style="display: flex; flex-wrap: wrap;"> <div style="width: 50%;"> <input type="checkbox"/> Facility Based Habilitation <input type="checkbox"/> Community Based Habilitation <input type="checkbox"/> Adult Day Services <input type="checkbox"/> Prevocational Services <input type="checkbox"/> Recreational Therapy <input type="checkbox"/> Group Therapy </div> <div style="width: 50%;"> <input type="checkbox"/> Occupational Therapy <input type="checkbox"/> Physical Therapy <input type="checkbox"/> Music Therapy <input type="checkbox"/> Extended Services <input type="checkbox"/> Individual Therapy </div> </div>

HCBS Compliance

#	CMS HCBS Standard	Observational Guidance to Assess Compliance	Observation		Evidence for Observation
1-A	The setting is integrated in and supports full access to the greater community	Is the site in a community among other residences or commercial businesses (retail, residential neighborhood, commercial, industrial, other)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
1-B	The setting is integrated in and supports full access to the greater community	Does the site support both facility habilitation AND community habilitation?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
1-C	The setting is integrated in and supports full access to the greater community	Is the site located in or adjacent to a building that is also a publicly or privately operated facility that provides inpatient institutional treatment (NF, ICF/IID, IMD, hospital)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
1-D	The setting is integrated in and supports full access to the greater community	Does the site(s) provide onsite medical (office setting, a medical complex wellness center), behavioral, or therapeutic services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

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1-E	The setting is integrated in and supports full access to the greater community	Does the setting provide opportunities for regular meaningful non-work activities in integrated community settings for the amount of time desired by consumers?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
1-F	The setting is integrated in and supports full access to the greater community	Do the individuals served in this setting regularly interact (4 times or more per week) with members of the community (not staff or volunteers)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
1-G	The setting is integrated in and supports full access to the greater community	Does the setting afford opportunities for individual schedules that focus on the needs and desires of an individual and an opportunity for individual growth?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
1-H	The setting is integrated in and supports full access to the greater community	Does the setting allow individuals the freedom to move about the setting, including the freedom to go outside as they chose?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

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			<input type="checkbox"/> Yes	<input type="checkbox"/> No	
1-I	The setting is integrated in and supports full access to the greater community	Does the setting allow individuals the freedom to move about based on the individuals identified needs?			
1-J	The setting is integrated in and supports full access to the greater community	Is public transportation available to/from the setting?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
1-K	The setting is integrated in and supports full access to the greater community	Is information regarding transportation available to individuals in a convenient manner such as participant handbooks, handouts, or public postings?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
1-L	The setting is integrated in and supports full access to the greater community	Are resources other than public transportation available for individuals to access the setting?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
1-M	The setting is integrated in and supports full access to the greater community	Does the setting assure that tasks and activities, both inside and outside the setting, are comparable to tasks and activities for people of similar ages?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

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2-A	The setting is selected by the individual from among setting options	Does the setting provide individuals with flexibility in their schedule?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
2-B	The setting is selected by the individual from among setting options	Are individuals given flexibility in when they take breaks/lunch times?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
2-C	The setting is selected by the individual from among setting options	Are activities adapted to individuals' needs and preferences?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3-A	The setting ensures an individual's rights of privacy, dignity, and respect, and freedom from coercion and restraint.	Does the setting have policies to ensure all information about individuals is kept private/confidential?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

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3-B	The setting ensures an individual's rights of privacy, dignity, and respect, and freedom from coercion and restraint.	Is personal care assistance, when needed, provided in private?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3-C	The setting ensures an individual's rights of privacy, dignity, and respect, and freedom from coercion and restraint.	Does the setting have policies to ensure staff interacts and communicates with people respectfully and in a manner in which the person would like to be addressed at all times?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3-D	The setting ensures an individual's rights of privacy, dignity, and respect, and freedom from coercion and restraint.	Does the setting/service provide the opportunity for all individuals to have the space in order to speak on the telephone, open and read mail, and visit with others in private?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

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3-E	The setting ensures an individual's rights of privacy, dignity, and respect, and freedom from coercion and restraint.	Does the setting policy ensure response to each individual's needs as defined in their individual service plan?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3-F	The setting ensures an individual's rights of privacy, dignity, and respect, and freedom from coercion and restraint.	Does the setting ensure that one person's behavior supports do not impede on the rights of other individuals?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3-G	The setting ensures an individual's rights of privacy, dignity, and respect, and freedom from coercion and restraint.	Does the setting offer a secure place for the individual to store personal belongings?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

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4-A	The setting optimizes, but does not regiment, individual initiative, autonomy, and independence in making life choices included but not limited to daily activities, physical environment, and with whom to interact.	Does the setting have any of the following barriers preventing individuals' movement? -Gates -Locked doors -Fences -Other (please specify under Evidence for Observation)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4-B	The setting optimizes, but does not regiment, individual initiative, autonomy, and independence in making life choices included but not limited to daily activities, physical environment, and with whom to interact.	Does the setting offer any options for the consumers to meet physical environment goals and needs? -indoor gathering space -outdoor gathering space -large group activity space -small group activity space -private space -area for calming activities -area for stimulating activities	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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4-C	The setting 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.	Does the setting afford the opportunity for tasks and activities that match to the following attributes for individuals? -age -skills -abilities -desires/goals	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4-D	The setting 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.	Is the setting physically accessible, including access to bathrooms and break rooms?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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4-E	The setting 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.	Does the setting provide for an alternative meal and/or private dining if requested by the individual?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4-F	The setting 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.	Do the individuals have access to food at any time consistent with individuals in similar and/or the same setting?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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4-G	The setting 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.	Does the setting allow individuals to choose with whom they spend their time while at the setting?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4-H	The setting 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.	Does the setting support individuals to do the following? -Make decisions -Move about the community -Associate with others -Practice their religion -Access their money -Make personal decisions -Vote	<input type="checkbox"/> Yes <input type="checkbox"/> No	

#	CMS HCBS Standard	Observational Guidance to Assess Compliance	Observation		Evidence for Observation
5-A	The setting facilitates individual choice regarding services and supports, and who provides them.	Are individuals provided a choice regarding the setting they participate in when they sign their Individual Service Plan?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
5-B	The setting facilitates individual choice regarding services and supports, and who provides them.	Does the setting allow individuals to choose which of the setting's employees provide his/her services? Example: An individual requests that all personal care services for her be conducted by female employees. Is that individual's request met?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
5-C	The setting facilitates individual choice regarding services and supports, and who provides them.	Does the setting allow prospective individuals the opportunity to tour the setting?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

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5-D	The setting facilitates individual choice regarding services and supports, and who provides them.	Does the setting afford individuals the opportunity to regularly and periodically update or change their work/daily activities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
5-E	The setting facilitates individual choice regarding services and supports, and who provides them.	Does the setting have person-centered policies to ensure individuals are supported in developing setting-specific plans to support his/her needs and preferences?	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
5-F	The setting facilitates individual choice regarding services and supports, and who provides them.	Does the setting ensure staff is knowledgeable about the capabilities, interests, preferences, and needs of people?	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
5-G	The setting facilitates individual choice regarding services and supports, and who provides them.	Does the setting provide information to individuals about how to make a request for additional services, or changes to their setting-specific plans?	<input type="checkbox"/> Yes	<input type="checkbox"/> No		

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6-A	Additional Information	Do all staff (paid and unpaid) receive new hire training related to company policies?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
6-B	Additional Information	Do all staff (paid and unpaid) receive continued education related to company policies?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
6-C	Additional Information	Are company policies regularly reassessed for compliance and effectiveness, and amended as necessary?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
6-D	Additional Information	Does the setting have documentation indicative of staff's adherence to policies, such as training documentation and sign-in sheets for relevant activities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

Did you observe anything while onsite that should be noted for the Indiana DORS that could not be captured in the parameters above concerning compliance with the federal Medicaid regulations? These could include, but not limited to, obvious unmet needs of individuals or indications from an individual that they did not receive an option of settings or services.
