



For use during routine visits and reviews conducted as required by Mental Hygiene Law to certified site based programs.

Program Information

Agency Name:		Agency ID:	
Site Op Cert:			
Site Address:			
City:		State:	Zip:
Program Type:	IRA Small (≤ 8) IRA Large ($9 \leq$) CR	Day Habilitation Day Training where HCBS Pre-Voc or SEMP is delivered on site that are NOT Sheltered Workshops	
Heightened Scrutiny Applies:	YES NO	HCBS Settings Review Conducted:	YES NO
	Select yes for any IRA or CR at least one (1) NOT MET in Section 1.		Must be yes for any IRA or CR at least one (1) NOT MET in Section 1.
Survey Start Date:		Survey End Date:	Survey Team #:
Observation Period(s):		# of Individuals Present (during each observation):	
Names of Individuals in the SAMPLE			
Survey Team Members /Surveyor ID:			

Interviewees

Name:	Contact Type: (Select one)	
	Executive/Mgmt	Family Member/Spouse
	Staff/Direct Support	Advocate/Guardian
	Individual/Self	Other:
	Auth. Representative	
	Executive/Mgmt	Family Member/Spouse
	Staff/Direct Support	Advocate/Guardian
	Individual/Self	Other:
	Auth. Representative	
	Executive/Mgmt	Family Member/Spouse
	Staff/Direct Support	Advocate/Guardian
	Individual/Self	Other:
	Auth. Representative	
	Executive/Mgmt	Family Member/Spouse
	Staff/Direct Support	Advocate/Guardian
	Individual/Self	Other:
	Auth. Representative	
	Executive/Mgmt	Family Member/Spouse
	Staff/Direct Support	Advocate/Guardian
	Individual/Self	Other:
	Auth. Representative	
	Executive/Mgmt	Family Member/Spouse
	Staff/Direct Support	Advocate/Guardian
	Individual/Self	Other:
	Auth. Representative	
	Executive/Mgmt	Family Member/Spouse
	Staff/Direct Support	Advocate/Guardian
	Individual/Self	Other:
	Auth. Representative	

SECTION 1: HEIGHTENED SCRUTINY TRIGGERS				
<i>Physical Characteristics Of Site</i>				
IMPLEMENT FOR ALL IRAs, CRs, and DAY HAB SITES, and Day Training where site based Pre-voc or SEMP is delivered				
Tag No.	REF	STANDARD:	DECISION:	RATIONALE FOR DECISION
HT101	HST	1-1 The site is in a location <u>other than</u> on the grounds of a public institution.	Met Not Met	
HT102	HST	1-2 The site is in a building separate from a publically or privately operated facility that provides inpatient institutional treatment.	Met Not Met	
HT103	HST	1-3 The site is in a location <u>other than</u> immediately adjacent to a public institution.	Met Not Met	
HT104	HST	1-4 The home meets the following description: It did not convert from an ICF on or after March 17, 2014.	Met Not Met	
HT105	HST	1-5 The site is located apart from other certified facilities. <i>It is not part of co-located and/or clustered programs/sites that are operationally related resulting in the isolation from and/or inhibition of interaction with the broader community.</i>	Met Not Met	
HT106	HST	1-6 The site’s design, appearance and location is not institutional and does not isolate people from the broader community.	Met Not Met	

COMPLETE ALL THE REMAINING SECTIONS ONLY IF:

THE SITE IS A RESIDENCE

AND

ONE or MORE RESPONSE ABOVE WAS “not met”

SECTION 2: HCBS Settings Requirements <i>ACCESS TO THE COMMUNITY</i>				
Tag No.	REFERENCE	STANDARD:	DECISION:	RATIONALE FOR DECISION
HS201	HCBSS	2-1. Individuals are encouraged and supported to have full access (scheduled and unscheduled) to the broader community, in the same manner as people not receiving HCBS. SD	Met Not Met	
HS202	HCBSS	2-2. Sufficient transportation is available and used to support individualized choices of activities and schedules	Met Not Met	
HS203	HCBSS	2-3. Staff scheduling and general operations are sufficient and responsive to support individualized and personally meaningful community activities.	Met Not Met	

SECTION 3: HCBS Settings Requirements <i>Site Operations/Practices Promote HCBS Rights and are not Institutional in Nature</i>				
TAG NO:	REFERENCE	STANDARD:	DECISION:	RATIONALE FOR DECISION
HS301	HCBSS	3-1. The home has a process to assess living arrangement choice and satisfaction.	Met Not Met	
HS302	HCBSS	3-2. The home has process to assess roommate choice and satisfaction.	Met Not Met	
HS303	HCBSS	3-3. The home takes timely action to address peoples' dissatisfaction with the living environment. SD	Met Not Met	
HS304	HCBSS	3-4. The home has a process to offer people keys to enter their home (or other method to enter their home independently).	Met Not Met	

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HS305	HCBS	3-5. The home has a process to offer people keys to their bedrooms (or other method to access their bedroom independently).	Met Not Met	
HS306	HCBS	3-6. The home takes timely action to provide requesting people with keys or other independent access to their home and/or bedroom. SD	Met Not Met	
HS307	HCBS	3-7. People have full access to the typical facilities in the site.	Met Not Met	
HS308	HCBS	3-8. Peoples' schedules and routines are personally determined by their needs, interests and preferences (not by the staff or agency operations). SD	Met Not Met	
HS309	HCBS	3-9. Peoples' cultural, religious, and lifestyle backgrounds and choices are supported by staff.	Met Not Met	
HS310	HCBS	3-10. People are encouraged and supported to express their preferences and choices in personal appearance, i.e. style and dress. SD	Met Not Met	
HS311	HCBS	3-11. People are encouraged and supported to express their preferences and choices in décor in their personal living space. SD	Met Not Met	
HS312	HCBS	3-12. People are supported by staff to exercise control and choice in their own lives.	Met Not Met	

SECTION 4: HCBS Settings Requirements				
<i>RIGHTS PROTECTIONS</i>				
TAG NO.	REFERENCE	STANDARD:	DECISION:	RATIONALE FOR DECISION
HS401	HCBSS	4-1. People are provided information about their rights, <i>including HCBS rights</i> , in a manner understandable and accessible to them. SD	Met Not Met	
HS402	HCBSS	4-2. People are provided a written lease or occupancy agreement that provides eviction protections, due process appeals, and specifies the circumstances when eviction could be required. SD	Met Not Met	
HS403	HCBSS	4-3. People know how to make an <u>anonymous</u> complaint regarding the residence/living situation. SD	Met Not Met	
HS404	HCBSS	4-4. The site is absent of generally applied rules that limit people’s rights and access. There are no blanket house rules, policies or procedures that limit individual rights, independence, choices or autonomy.	Met Not Met	
HS405	HCBSS	4-5. People are permitted by the program to engage in any legal activities per their interests.	Met Not Met	
HS406	HCBSS	4-6. Observed rights limitations comply with HCBS and 633.16 requirements.	Met Not Met N/A	
HS407	HCBSS	4-7. When environmental protections are in place due to one individual’s needs, action is taken to ensure that the rights of others in the facility are accommodated.	Met Not Met N/A	
HS408	HCBSS	4-8. Peoples’ health and other protected information is kept private/protected.	Met Not Met	

HS409	HCBSS	4-9. People have privacy in their living quarters as appropriate to the situation.	Met Not Met	
HS410	HCBSS	4-10. People are allowed to have visitors of their choosing at any time. SD	Met Not Met	
HS411	HCBSS	4-11. People have access to food/snacks at any time and can choose to eat meals where/when desired. SD	Met Not Met	
HS412	HCBSS	4-12. People can choose to eat meals where/when desired. SD	Met Not Met	
HS413	HCBSS	4-13. People are supported and encouraged to decide how to spend their personal funds and to control their personal resources. SD	Met Not Met	

SECTION 5: HCBS Settings Requirements <i>SITE ENVIRONMENTAL CHARACTERISTICS</i>				
TAG NO.	REFERENCE:	STANDARD:	DECISION:	RATIONALE FOR DECISION
HS501	HCBSS	5-1. The residence appears "home-like", rather than Institutional.	Met Not Met	
HS502	HCBSS	5-2. Surveillance cameras are not present in the site.	Met Not Met	

SECTION 6: HCBS Settings Requirements <i>Individualized Habilitation Services Planning</i>				
TAG NO.	REFERENCE:	STANDARD:	DECISION:	RATIONALE FOR DECISION
HS601	HCBSS	6-1 Habilitation Plans reflect the individual’s informed choices and interests. SD	Met Not Met	
HS602	HCBSS	6-2 Habilitation Plans identify the meaningful and individualized community based activities that the individual wants, including desired frequency and the supports needed. SD	Met Not Met	
HS603	HCBSS	6-3 Habilitation Plans are written with plain person-centered language, in a manner understandable to the individual. SD	Met Not Met	
HS604	HCBSS	6-4. There is a means for people to report dissatisfaction with Habilitation Planning and/or the delivery of Habilitation Services, and ensure it addressed by the facility. SD	Met Not Met	

General Comments: