



Home and Community-Based Services (HCBS) Compliance Tool

Note: All 10 Federal Requirements apply to residential service providers. Non-residential service providers are responsible for Federal Requirements 1-5 and 10.

Date of Visit:	
Name of Evaluator:	
Service Provider Name:	
Vendor Number:	
Service Code:	
Group Home Level:	
Contact Name:	
Title:	
Phone Number:	
Email:	
Address:	
Name/s of Person Served Interviewed:	
Name/s of Staff Interviewed:	
Other HRC Staff Present: (Name and Title)	
Other Provider Staff Present: (Name and Title)	

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.

Is the service provider in compliance with FR#1?

Yes No Partially Met

Reviewed Documentation:

- IPP
- ISP / Report
- Provider Policy and Procedure
- Staff Training
- Program Design
- Resident Handbook
- Schedule or Calendar of Activities
- Monthly Residential Meeting Records
- Staff Training Curriculum And Schedule

Review Summary: Describe how the reviewed documentation and interviews supports whether or not service provider complies with the FD.

In order to meet full compliance, complete the following action item/s:

Action Item:	Due Date:	Completed Date:

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.

Is the service provider in compliance with FR#2?

Yes No Partially Met

Reviewed Documentation:

- IPP
- ISP / Report
- Provider Policy and Procedure
- Staff Training
- Program Design
- Resident Handbook
- Schedule or Calendar of Activities
- Monthly Residential Meeting Records
- Staff Training Curriculum And Schedule

Review Summary: Describe how the reviewed documentation and interviews supports whether or not service provider complies with the FD.

In order to meet full compliance, complete the following action item/s:

Action Item:	Due Date:	Completed Date:

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.

Is the service provider in compliance with FR#3?

Yes No Partially Met

Reviewed Documentation:

- IPP
- ISP / Report
- Provider Policy and Procedure
- Staff Training
- Program Design
- Resident Handbook
- Schedule or Calendar of Activities
- Monthly Residential Meeting Records
- Staff Training Curriculum And Schedule

Review Summary: Describe how the reviewed documentation and interviews supports whether or not service provider complies with the FD.

In order to meet full compliance, complete the following action item/s:

Action Item:	Due Date:	Completed Date:

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.

Is the service provider in compliance with FR#4?

Yes No Partially Met

Reviewed Documentation:

- IPP
- ISP / Report
- Provider Policy and Procedure
- Staff Training
- Program Design
- Resident Handbook
- Schedule or Calendar of Activities
- Monthly Residential Meeting Records
- Staff Training Curriculum And Schedule

Review Summary: Describe how the reviewed documentation and interviews supports whether or not service provider complies with the FD.

In order to meet full compliance, complete the following action item/s:

Action Item:	Due Date:	Completed Date:

Federal Requirement 5: Choice of Services and Supports

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

Is the service provider in compliance with FR#5?

Yes No Partially Met

Reviewed Documentation:

- IPP
- ISP / Report
- Provider Policy and Procedure
- Staff Training
- Program Design
- Resident Handbook
- Schedule or Calendar of Activities
- Monthly Residential Meeting Records
- Staff Training Curriculum And Schedule

Review Summary: Describe how the reviewed documentation and interviews supports whether or not service provider complies with the FD.

In order to meet full compliance, complete the following action item/s:

Action Item:	Due Date:	Completed Date:

Federal Requirement 6: Residential Agreement

A lease, residence agreement or other form of written agreement is in place for each participant and the document provides protections that address eviction processes and appeals comparable to those provided under the jurisdiction’s landlord tenant law.

Is the service provider in compliance with FR#6?

Yes No Partially Met

Reviewed Documentation:

- IPP
- ISP / Report
- Provider Policy and Procedure
- Staff Training
- Program Design
- Resident Handbook
- Schedule or Calendar of Activities
- Monthly Residential Meeting Records
- Staff Training Curriculum And Schedule

Review Summary: Describe how the reviewed documentation and interviews supports whether or not service provider complies with the FD.

In order to meet full compliance, complete the following action item/s:

Action Item:	Due Date:	Completed Date:

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.

Is the service provider in compliance with FR#7?

Yes No Partially Met

Reviewed Documentation:

IPP	Resident Handbook
ISP / Report	Schedule or Calendar of Activities
Provider Policy and Procedure	Monthly Residential Meeting Records
Staff Training	Staff Training Curriculum And Schedule
Program Design	

Review Summary: Describe how the reviewed documentation and interviews supports whether or not service provider complies with the FD.

In order to meet full compliance, complete the following action item/s:

Action Item:	Due Date:	Completed Date:

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.

Is the service provider in compliance with FR#8?

Yes No Partially Met

Reviewed Documentation:

- IPP
- ISP / Report
- Provider Policy and Procedure
- Staff Training
- Program Design
- Resident Handbook
- Schedule or Calendar of Activities
- Monthly Residential Meeting Records
- Staff Training Curriculum And Schedule

Review Summary: Describe how the reviewed documentation and interviews supports whether or not service provider complies with the FD.

In order to meet full compliance, complete the following action item/s:

Action Item:	Due Date:	Completed Date:

Federal Requirement 9: Right to Visitors

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

Is the service provider in compliance with FR#9?

Yes No Partially Met

Reviewed Documentation:

- IPP
- ISP / Report
- Provider Policy and Procedure
- Staff Training
- Program Design
- Resident Handbook
- Schedule or Calendar of Activities
- Monthly Residential Meeting Records
- Staff Training Curriculum And Schedule

Review Summary: Describe how the reviewed documentation and interviews supports whether or not service provider complies with the FD.

In order to meet full compliance, complete the following action item/s:

Action Item:	Due Date:	Completed Date:

Federal Requirement 10: Accessibility

The setting is physically accessible to the individual.

Is the service provider in compliance with FR#10?

Yes No Partially Met

Reviewed Documentation:

- IPP
- ISP / Report
- Provider Policy and Procedure
- Staff Training
- Program Design
- Resident Handbook
- Schedule or Calendar of Activities
- Monthly Residential Meeting Records
- Staff Training Curriculum And Schedule

Review Summary: Describe how the reviewed documentation and interviews supports whether or not service provider is in compliance of FD.

In order to meet full compliance, complete the following action item/s:

Action Item:	Due Date:	Completed Date:

I understand that in order to be in full compliance of the HCBS Final Rule, the action items above need to be completed and submitted to HRC by the due date. Failure to comply can result in a Corrective Action Plan, sanctions, and termination of vendorization.

Signature

Title

Date