



ELEMENT #3

Heightened Scrutiny On-Site Assessment Tool

INSTRUCTIONS: In order to assess your agency's compliance with the Home and Community Based Settings (HCBS) Rule, a Heightened Scrutiny Review Team made up of TennCare representative(s) and the reviewing entity (MCO/DIDD) will be conducting an on-site assessment at each identified HCBS Setting (HS element #3). Your designated reviewer will contact you at least 30 days prior to your on-site assessment to schedule the visit. During this visit the team will take a tour, talk to executive staff, talk with direct support staff and interview participants. If you have any questions, please contact your designated reviewer.

Elements of the On-Site Assessment:

1. On-Site Physical Assessment. While on site, the HS team will assess the setting's physical location to ensure it is not:
 - a. Skilled Nursing Facility,
 - b. An institution for mental diseases,
 - c. An intermediate care facility for individuals with intellectual disabilities,
 - d. A hospital, or
 - e. Any other locations that have qualities of an institutional setting, as determined by the Secretary (Health and Human Services):
 - i. settings located in a public or privately operated building that provides inpatient institutional treatment,
 - ii. settings located on the grounds or, or immediately adjacent to a public institution, and
 - iii. settings that have the effect of isolating members who receive Medicaid funded HCBS from the broader community of people who do not receive Medicaid funded HCBS;
2. Facility Tour. While on site, the HS team will take a tour of the setting, discuss with executive staff the service setting and the individual's experience within the setting, and observe the characteristic and qualities of the setting.
 - a. Observations during the tour will note characteristics that may be institutional in nature as well as qualities of a home and community based setting such as:
 - i. Physical accessibility
 - ii. Access to common areas
 - iii. Access to food
 - iv. Lockable doors on living units

- v. Individualized decor
- vi. Security cameras
- vii. Intercom systems
- viii. Posted PHI

3. Staff Interviews. While on site, the HS team will talk with direct support staff will use a standard set of questions to have a conversation with staff that support individuals on a daily basis.
4. Participant Interviews. While on site, the HS team will talk with a selected sample of waiver participants. Questions will vary based on the service setting and the individual's plan of care.
5. Post On-Site Activities. After the on-site visit, the HS review team will review the information received from the waiver participants and compare the responses to person centered plan, service utilization documentation, and the individual's IEA. Additionally, the team will complete its review of the HS Assessment Tool data and documentation submitted by the provider. Utilizing all of the requested data and documentation the HS team will:
 - a. Prepare a written summary indicating the results of the assessment and submit to the Advocacy Review Committee. This summary will include:
 - i. Results of data collection
 - ii. Summary of documentation review
 - iii. Summary of interview responses
 - iv. If necessary, transition plan revisions based on the HS review