



COMMUNITY  
CONNECTIONS

What Makes Good Evidence?  
HCBS Final Settings Rule  
Provider Self-Assessment

# What Can Be Used As Evidence?

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- Photographs- These can be from internet map sources and/or photos taken by the agency.
- Policy/Procedures- These are agency documents that explain how an agency provides guidance in different areas.
- Handbooks- This is a document that supports or clarifies agency policies/procedures.
- Manuals- This is a document that supports or clarifies agency policies/procedures.
- Other Documentation (i.e., agency forms, agency brochures, agency pamphlets, rental agreements, support plans etc. - If these documents are used, they should provide support or clarification to policies, procedures, handbooks or manuals.

# Photographs

- Related to questions C1, C2, and C3.
  - Overhead photos- These should show the surrounding areas and point out which structure “is” the setting being referenced.
    - Make sure the setting’s address is present. Also, take note of surrounding structures. Does it appear the setting is connected or adjacent to an institution? Have the other large structures been identified?
    - Ground level photos- These should show enough of the facility and property to support or clarify the answer to the question.
- Related to all other questions.
  - These photos should support or link to a policy, procedure, handbook or other document. Do not include PHI or other identifying information for persons served.
    - ***Photos on their own do not support compliance.***

# Policies

- *Policies and/or procedures are the preferred documents for setting evidence.*
- Policies and/or procedures should have the following qualities at a minimum:
  - Organization Identification.
  - Policy Title and/or Policy Number (*what is this policy about*).
  - Policy effective date (*revised date is acceptable*).

# Handbook

- *Handbooks should support and/or clarify a policy and/or procedure.*
- Handbooks should have the following qualities as a minimum:
  - Organization Identification.
  - Purpose of Handbook (*can be seen in the title or stated in a purpose statement*).
  - What policy and/or procedure does the handbook support?
  - Is it a handbook for persons served/guardians or staff?
  - Effective Date (*can be on document or as evidenced by a signature/date page or initials/date*).
  - Does the handbook answer the assessment question?



# Manuals

- *Manuals should support and/or clarify a policy and/or procedure.*
- Manuals should have the following qualities as a minimum:
  - Organization Identification.
  - Purpose of Manual (*can be seen in the title or stated in a purpose statement*).
  - What policy and/or procedure does the handbook support?
  - Is it a handbook for persons served/guardian or staff?
  - Effective Date (*revised date is acceptable*).
  - Does the manual answer the assessment question?

## Other Documentation

- Other documentation submitted as evidence must support or link back to a policy, procedure, handbook or manual. (*these might include; residential agreements, rental agreements, person centered plans, behavioral support plans, agency forms, etc.*).
- Keep in mind there can be exceptions and a document can be used as stand alone evidence if it can validate and/or answer the question.