

Residential HCBS Provider Settings Self-Assessment Report

The Office of Developmental Programs

HCBS Residential Provider Settings Self-Assessment Summary

Table of Contents

Introduction 1

Methods 1

 Pilot Self-Assessment 1

 Service Locations Identified to Complete the Residential HCBS Provider Setting Self-Assessment 2

 Residential HCBS Provider Settings Self-Assessments Process 2

 Analysis Scheme 3

Results 3

 Data not Included in Report 3

Discussion/Next Steps 4

Appendix A - Data Summary 6

 Figure 1. Residential HCBS Provider Settings Self-Assessments 6

 Figure 2. Residential Service Locations that Completed a Self-Assessment 7

 Figure 3. Residential Service Locations that did not Submit a Self-Assessment 7

 Figure 4. Residential Service Locations that Completed a Self-Assessment by Region 8

 Service Locations that will have Heightened Scrutiny Review 8

 Figure 5. Residential Service Locations that will have a Heightened Scrutiny Review 8

 Figure 6. 9

Appendix B - Results Per Self-Assessment Question 10

Introduction

In March of 2014, the Centers for Medicare and Medicaid Services (CMS) created the Home and Community Based Services (HCBS) Settings Rule, which was established to ensure individuals receiving HCBS have full access to the benefits of community living and the opportunity to receive services in the most integrated setting appropriate, as well as to enhance the quality of HCBS and to provide protections to participants. This includes opportunities to seek competitive, integrated employment, engage in community life, control personal resources, and receive services in the community to the same degree as people who do not receive HCBS.

The CMS HCBS Settings Rule requires states to assess all residential service locations¹ that receive funding or payment through an approved HCBS waiver. The Office of Developmental Programs (ODP) HCBS waivers include the Consolidated, Community Living, Person/Family Directed Support, and Adult Autism waivers. ODP began this process by developing the [Residential HCBS Provider Settings Self-Assessment](#). Through this process, each provider was required to assess all of their residential service locations to identify potential areas of non-compliance with the CMS HCBS Settings Rule. ODP continues to work with individuals, providers, and other stakeholders to transition these waiver services to meet compliance with the vision of ensuring individuals are fully integrated into their community, afforded choice, and have their health and safety needs met. This report presents the methods for this study, how ODP analyzed the data, a series of summary results, and the next steps to ensure Pennsylvania's compliance with the CMS HCBS Settings Rule.

Methods

The self-assessment instrument, the Residential HCBS Provider Settings Self-Assessment, was developed through extensive research on the CMS HCBS Settings Rule, ODP's HCBS waivers, applicable regulations, environmental scan of other state instruments, and through stakeholder feedback on drafts of the self-assessment instrument. Due to the vast number of service locations that would be submitting a self-assessment, this instrument was created through a web-based electronic survey programming tool, Survey-Gizmo.

Pilot Self-Assessment

ODP selected providers from a pool of volunteers and asked them to complete the pilot self-assessment two to three times each on Survey Gizmo from January 8, 2018 through January 19, 2018. After receiving feedback from the providers based on this pilot testing, the self-assessment was revised and a draft was then published for public comment from February 22, 2018 through March 16, 2018. Final revisions were made to the self-assessment based on feedback from public comment. Due to the amount of questions submitted during the public comment period, ODP developed a question-and-answer document to assist providers in filling out the HCBS Provider Settings Self-Assessment ([ODP Communication 035-18](#)).

¹The service location is each home where residential services are provided.

Service Locations Identified to Complete the Residential HCBS Provider Setting Self-Assessment

Through the Home and Community Services Information System (HCSIS) and PROMISe, providers who had a verified authorization of residential services for fiscal year 2017-2018 were required to complete the Residential HCBS Provider Settings Self-Assessment for service location(s) that render any of the following services:

- Residential Habilitation in the Consolidated and/or the Adult Autism Waiver (AAW)
- Life Sharing in the Consolidated and/or Community Living Waivers
- Family Living in the AAW

The providers were notified through multiple ODP Announcements, webinars, and targeted emails with instructions on how to complete the Residential HCBS Provider Settings Self-Assessment. The communications disseminated to stakeholders include:

- [ODP Communication 035-18](#)
- [ODP Communication 054-18](#)
- [ODP Communication 061-18](#)
- [ODP Communication 088-18](#)
- [ODP Communication 100-18](#)

Residential HCBS Provider Settings Self-Assessments Process

ODP released a communication, ODP Communication 035-18, that consisted of instructions and the timeframe (April 11, 2018 through June 12, 2018) to complete the Residential HCBS Provider Settings Self-Assessment. Targeted emails were also sent to each provider that contained a link to the self-assessment. Through ODP communications and targeted emails, providers were informed that self-assessments not received for the identified service locations, would be receiving an onsite visit from ODP.

By June 30, 2018, about 470 residential service locations had not submitted a self-assessment. Due to the number of self-assessments not received, a two-week extension was offered to those providers who did not submit a self-assessment. After the extension, two residential service locations remained and an onsite visit from ODP took place at each location.

An email was sent to each service location for which a Residential HCBS Provider Settings Self-Assessment was completed. The email contained a HCBS Residential Provider Settings Self-Assessment Report that included each self-assessment question, the provider's responses submitted, and any further action required based on the provider's response. These reports along with the "Residential HCBS Self-Assessment Compliance Guidance" were emailed to the providers between November and December 2018. Providers were given 60 calendar days to remediate all issues that were identified. If the provider was unable to remediate the issue in 60 calendar days, the provider was responsible for filling out a Corrective Action Plan (CAP) by using the [CAP template](#).

Analysis Scheme

Each question on the Residential HCBS Provider Settings Self-Assessment was linked to either a specific regulation within the HCBS Settings Rule, a state regulation, or an ODP waiver policy, as is seen on the "[Residential HCBS Self-Assessment Compliance Guidance](#)". This document was developed with a compliant/non-compliant analysis scheme in which providers who were non-compliant on any question were deemed "action needed" for that specific question.

Results

There were 5,861 service locations that completed a Residential HCBS Provider Settings Self-Assessment and two service locations that did not complete a self-assessment. These two service locations received an onsite visit from ODP and a Residential HCBS Provider Settings Self-Assessment was completed during that onsite visit based on observation, discussion with provider staff and available documentation. Data from all self-assessments that appeared non-compliant were organized into three different categories:

1. Service locations that did not submit a Residential HCBS Provider Settings Self-Assessment by the extended deadline.
2. Service locations that indicated through the self-assessment questions, areas of noncompliance with the HCBS Settings Rule.
3. Service locations that will have a heightened scrutiny review due to the provider identifying the location as having characteristics of isolating HCBS beneficiaries from their broader community.

This data can be seen in [Appendix A](#).

Data not Included in Report

There is specific data that is not included in the data summary for two reasons:

1. There were 137 self-assessments submitted with inaccurate data submissions. This inaccurate data was omitted from the data summary. An example of this data included service locations that reported providing Residential Habilitation services and Life Sharing services at the same service location. Since these services cannot be rendered at the same service location, self-assessments such as these were not included in the data summary.
2. Answers to the open-ended questions asked on the Residential HCBS Provider Settings Self-Assessments due to responses containing personal identifying information and protected health information.

Discussion/Next Steps

ODP will continue to use the data from the analysis to provide technical assistance to help Residential providers achieve compliance with the HCBS Settings Rule by March 17, 2022. This will be accomplished as ODP completes the following steps:

- A sample of the service locations that indicated areas of noncompliance in relation to restraints, barriers, individual rights, and choice will have an onsite visit in the spring of 2020. Service locations that will not be part of the sample will be assessed through the Quality Assessment and Improvement (QA&I) process. The onsite visit may be scheduled at an earlier date than the routine QA&I scheduled visit.
 - Providers that indicated areas of noncompliance as described above were required to complete a corrective action plan (CAP) if the service location was unable to correct any of the areas within 60 calendar days. During the onsite visit, ODP will ask to see the CAP, if applicable, as well as documentation demonstrating compliance or progress being made with the CAP.
- Develop and publish the process for completing heightened scrutiny reviews in the fall of 2019.
 - Service locations identified as a campus, gated community, or a farmstead are presumed to have the qualities of an institution to which the heightened scrutiny process applies and will be visited by ODP in fiscal year 2019-2020.
 - A public notice will be published in the summer of 2020 which will list general information about service locations reviewed through the heightened scrutiny process along with the determination that each service location falls into one of the following categories:
 - Eligible for waiver reimbursement and will be submitted to CMS heightened scrutiny process; or
 - Ineligible for waiver reimbursement as of March 2022. Service locations that cannot remediate the necessary changes to be compliant with the HCBS Settings Rule, and therefore are determined institutional, may not receive Medicaid funding for the home and community-based service after March 17, 2022 per federal mandate.
 - ODP will submit information to CMS by October 31, 2020 regarding how ODP has determined that each service location is or will become eligible for waiver reimbursement by overcoming the presumption that it has the qualities of an institution. Information submitted will focus on the qualities of the service location including individual rights, how the service location is integrated in and supports access of individuals receiving services into the broader community via the provider organization's policies and practices as well as how the service location supports individuals consistent with their person-centered service plans.

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

- CMS will request a sample of those service locations submitted for heightened scrutiny review for which ODP will submit evidence packages for review.

To ensure ongoing compliance in the future with the HCBS Settings Rule, questions from the Residential HCBS Provider Settings Self-Assessments will be added into the Quality Assessment and Improvement (QA&I) process as well as to the Regulatory Compliance Guide (an interpretive guide that is replacing the Licensing Inspection Instrument).

For questions pertaining to this report, please email RA-PWODPHCBSSETTINGS@pa.gov

Appendix A - Data Summary

Figure 1. Residential HCBS Provider Settings Self-Assessments

This pie chart represents the number of service locations that were required to complete the Residential HCBS Provider Settings Self-Assessments. More specifically, the chart depicts the number of service locations that completed a self-assessment by the deadline and service locations that completed the self-assessment during the onsite visit with ODP because a self-assessment was not submitted by the deadline.

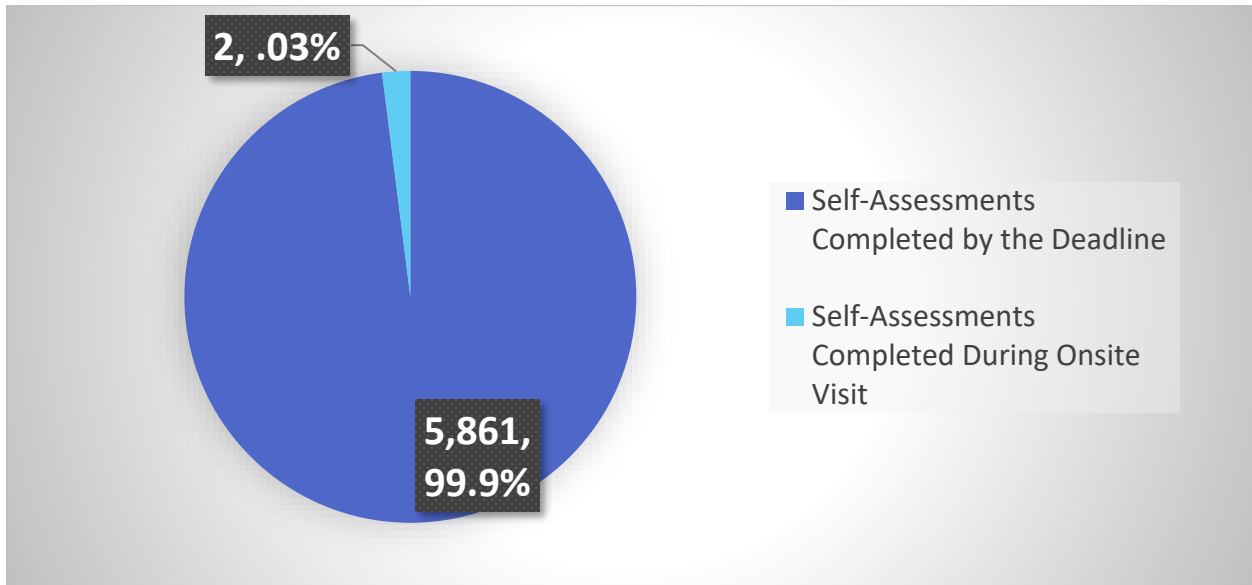


Figure 2. Residential Service Locations that Completed a Self-Assessment

This graph represents the 5,863 service locations that completed a self-assessment. This pie chart organizes the service locations’ self-assessments into categories based on the service and the waiver through which it’s funded.

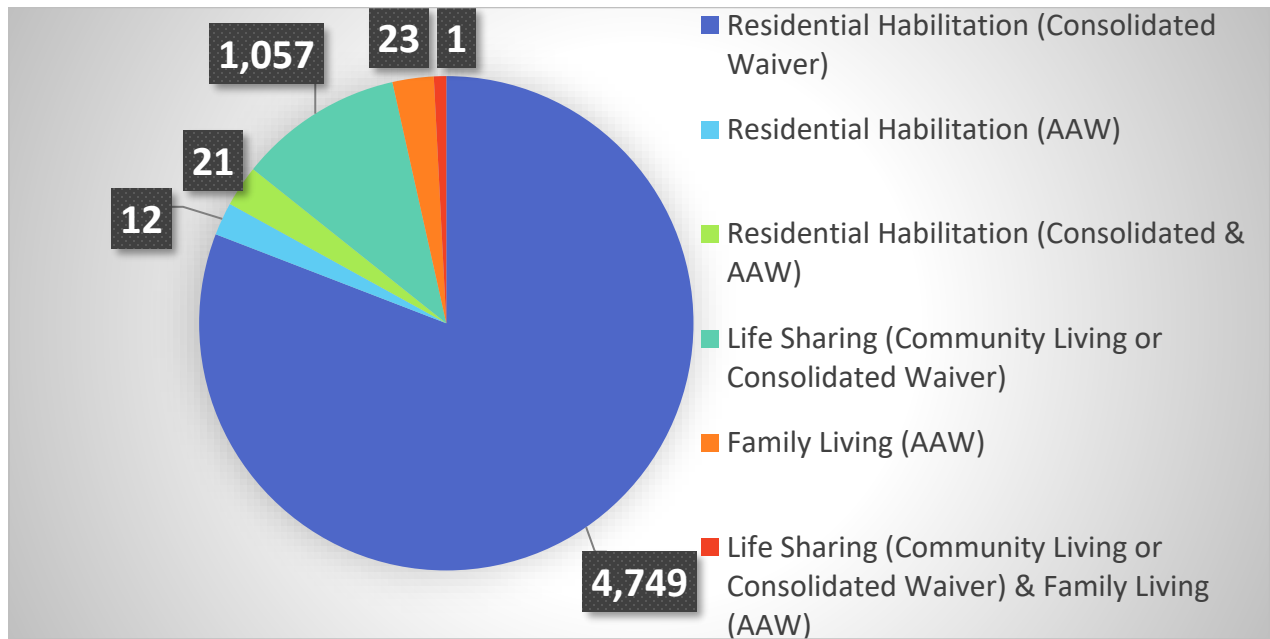


Figure 3. Residential Service Locations that did not Submit a Self-Assessment

This graph depicts the two service locations that did not complete a self-assessment, the service that was provided at the service location, and the region the service location in which the service location resides.

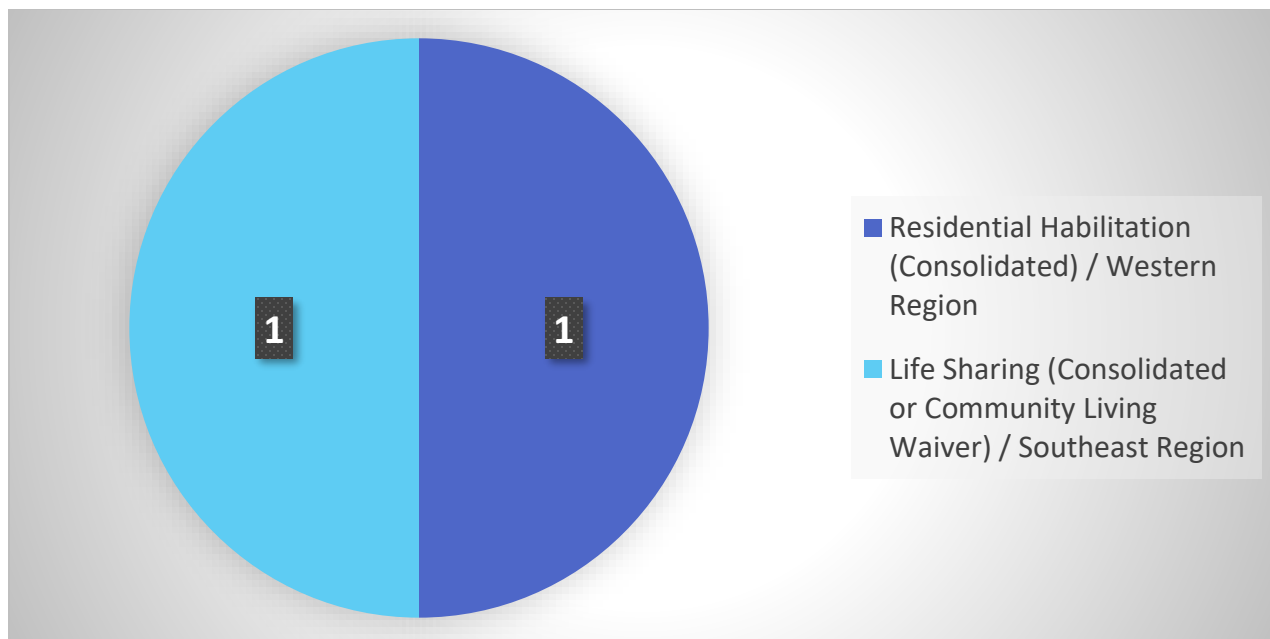
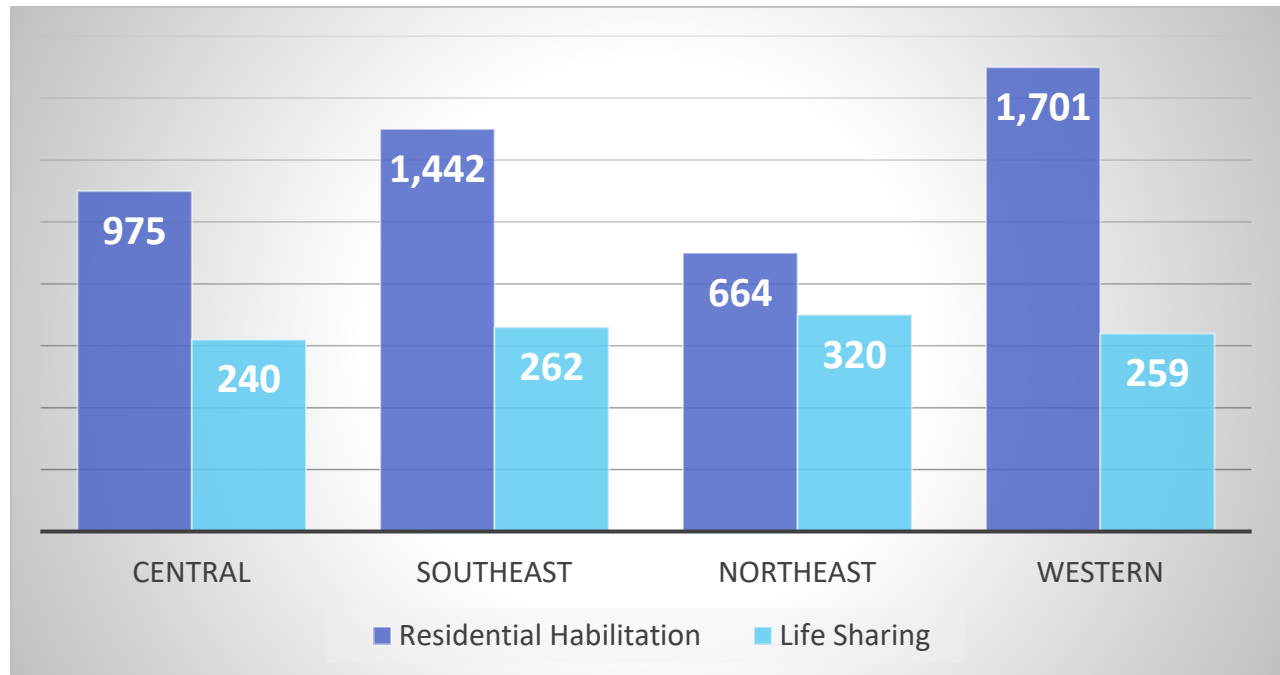


Figure 4. Residential Service Locations that Completed a Self-Assessment by Region

This graph represents the service locations that completed a self-assessment by region. Data was combined and categorized in the graph as “Residential Habilitation” for service locations that reported providing Residential Habilitation service solely in the Consolidated, Residential Habilitation service exclusively in the AAW, or both Residential Habilitation services in the Consolidated and AAW. Data was also combined and categorized as “Life Sharing” for service locations that reported providing Life Sharing services in either the Community Living or Consolidated and Family Living services in the AAW.



Service Locations that will have Heightened Scrutiny Review

The HCBS Settings Rule requires that in order for any service location to overcome the presumption that a service location has the qualities of an institution, CMS must determine that the service location does not have qualities of an institution and does have qualities of a home and community-based setting. Service locations identified as a campus, gated community, or a farmstead are presumed to have the qualities of an institution to which the heightened scrutiny process applies and will be visited by ODP in fiscal year 2019-2020.

Data results for service locations that self-identified as possibly having institutional qualities in the Residential HCBS Provider Settings Self-Assessment are seen below in Figures 5 and 6.

Figure 5. Residential Service Locations that will have a Heightened Scrutiny Review

This graph represents the number of service locations that identified as either a farmstead, gated community, or campus. ODP believes there was confusion about the definition for these specific settings. As a result, ODP will review these service locations to determine whether they

meet the definition of farmstead, gated community, or campus and will be subject to a heightened scrutiny review.

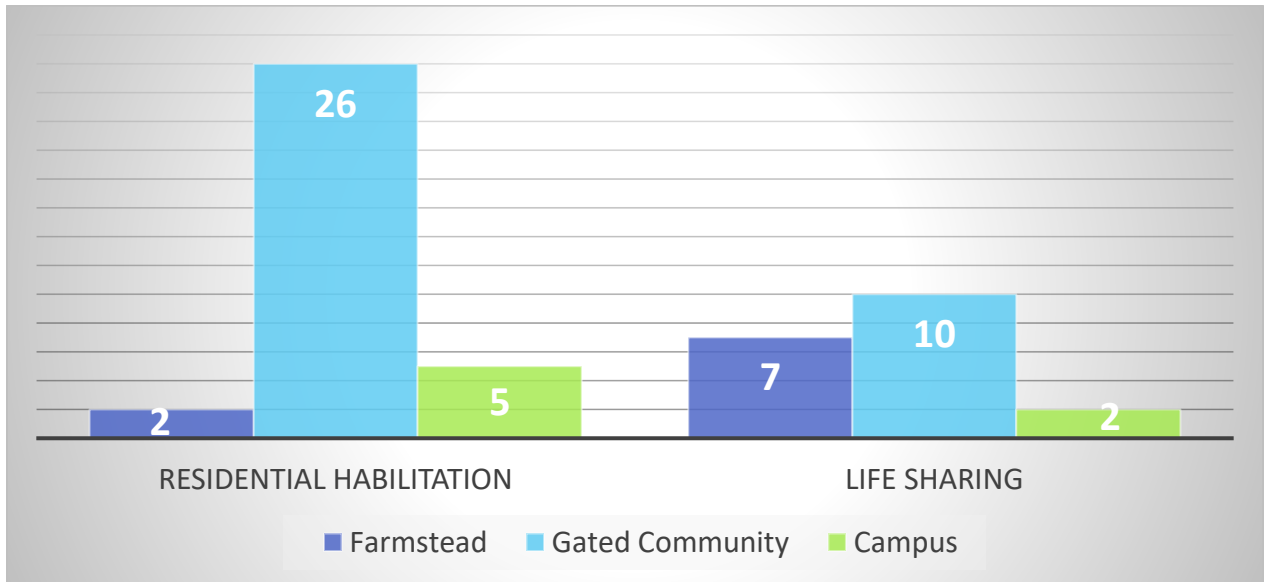
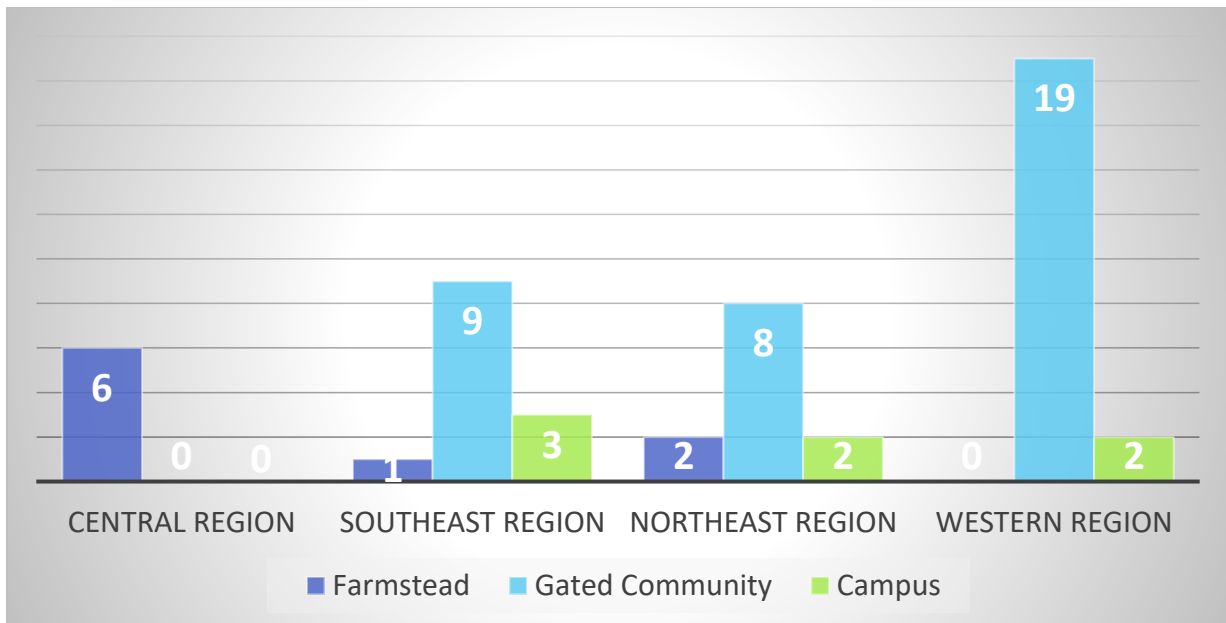


Figure 6.

This graph represents the number of service locations by region that identified as either a farmstead, gated community, or campus.



Appendix B - Results Per Self-Assessment Question

Table 1 illustrates each question on the Residential HCBS Provider Settings Self-Assessment and the number of service locations that selected the multiple-choice response. ODP combined the data for all service locations that implement Residential Habilitation in the Consolidated Waiver and AAW; there were 4,782 Residential Habilitation service locations. All service locations that implement Life Sharing in either the Consolidated or Community Living Waivers and Family Living in the AAW had the data combined under Life Sharing; there were 1,081 Life Sharing service locations. The percentages were based off the total number of service locations per service that answered the question, unless denoted as N = X. For the questions that have a denotation, these service locations did not answer the related question either because the question was accidentally skipped or the question was not asked of the provider due to logic that was built into the self-assessment. Questions 1 through 4 were demographic questions and therefore, not shown in the table below.

Table 1: Data Summary

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
Q5.	Are all individuals receiving these services offered opportunities for, and provided support to, participate in regular meaningful non-work activities in integrated community settings or sites for the amount of time desired by the individuals?	Yes	99.4% (4,751)	99.8% (1,079)
		No	.65% (31)	.19% (2)
Q6.	Do all individuals receiving this service regularly interact (3 days per week or more) with members of the community other than family members, relatives, staff, or volunteers?	Yes	74.97% (3,585)	84.9% (918)
		No	25% (1,197)	15.1% (163)
Q9.	Are all individuals receiving these services offered opportunities for individual schedules that focus on the needs and desires of the individual and an opportunity for individual growth?	Yes	99.5% (4,760)	99.5% (1,076)
		No	.46% (22)	.46% (5)

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
Q10.	If an individual chooses not to participate in an activity in the community but makes a request to attend a different activity, does the service location make arrangements to accommodate the individual's request to attend the activity of their choice?	Yes	94.2% (4,505)	98.1% (1,061)
		No	5.8% (277)	1.9% (20)
Q11.	Please identify the reason(s) the service location is not accommodating individual choice in community activities. ²	Agency staffing ratios do not support the individual choice in the scenario	27.4% (95)	25% (9)
		Agency staffing policies do not support individual choice in this scenario	0% (0)	0% (0)
		Agency staffing ratios and/or policy do support individual choice but the agency is not always able to arrange sufficient resources to support individual choice in this scenario	50.7% (176)	33.3% (12)
		Other	21.9% (76)	41.7% (15)

² For question 11, Residential Habilitation N = 347 and Life Sharing N = 36

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
Q12.	Are all individuals receiving this service allowed the freedom to move about the home?	Yes	98.1% (4,693)	99.9% (1,080)
		No	1.9% (89)	.09% (1)
Q13.	Are all individuals receiving this service allowed the freedom to move about the property?	Yes	97.9% (4,681)	99.7% (1,078)
		No	2.1% (100)	.28% (3)
Q14.	Do you have an ODP-approved restrictive procedure in place? ³	Yes	40.5% (15)	0 (0%)
		No	59.5% (22)	100% (17)
Q15.	For individuals residing at this service location, indicate the modes of transportation they use to access community activities. Check all that apply.	Public Transportation	11.7% (560)	27.8% (300)
		Family and Friends	50.9% (2,435)	70% (659)
		Ride Service	3.4% (164)	10.8% (117)
		Residential Provider	98.8% (4,727)	81.3% (879)
		Taxi	1.9% (92)	4% (43)
		Bicycle	3.4% (161)	5.6% (61)
		Walking	33.1% (1,583)	30.2% (327)
		Other	5.5% (261)	24.5% (265)

³ For question 14, Residential Habilitation N = 37 and Life Sharing N = 17

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
Q17.	Does the service location meet any of the following? Check all that apply:	The service location shares one common party wall with another human service residential location.	3.8% (181)	.37% (4)
		The service location shares more than one common party wall with other human service residential locations	1.1% (52)	0 (0%)
		The service location is adjacent to another human service residential service location	3.8% (183)	.28% (3)
		The service location is adjacent to another human service day service location	.63% (30)	.19% (2)
		None of the above apply	92% (4,400)	99.2% (1,072)
Q18.	When more than one individual resides in this home, do all of the individuals see the same primary care physician?	Yes	15.1% (724)	7.7% (83)
		No	62.7% (2,997)	14.6% (158)

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
		Only 1 individual resides in the home	22.2% (1,060)	77.7% (840)
Q19.	Is there a discussion at least on an annual basis about the individual's choice of medical professional(s) based on available resources? ⁴	Yes	91.8% (664)	95.5% (84)
		No	8.2% (59)	4.5% (4)
Q20.	Which of the following best describes the physical location of this service location? Check all that apply. (This question was an indicator for service locations that will have a Heightened Scrutiny Review that answered Farmstead, Gated Community, or Campus)	Retail	.42% (20)	.56% (6)
		Residential Neighborhood	91.9% (4,393)	79.3% (857)
		Rural area	10.6% (506)	25.7% (278)
		Farmstead	.04% (2)	.65% (7)
		Gated Community	.54% (26)	.93% (10)
		Commercial	.39% (19)	.19% (2)
		Industrial	0% (0)	.09% (1)
		Campus	.1% (5)	.19% (2)
		Other	2.1% (102)	.28% (3)
Q22.	Do all individuals control their own schedules and activities? ⁵	Yes	94.6% (4,509)	95.3% (1,024)
		No	5.4% (259)	4.7% (50)
Q23.		Age	92.8%	94%

⁴ For question 19, Residential Habilitation N = 723 and Life Sharing N = 88

⁵ For question 22, Residential Habilitation N = 4,768 and Life Sharing N = 1,074

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
	Is each individual at the service location provided the opportunity for tasks and activities similar to their non-disabled peers, both inside and outside the setting, matching the following attributes? Check all that apply.		(4,427)	(1,016)
		Skills	94.7% (4,530)	96.9% (1,048)
		Abilities	95.7% (4,577)	97.4% (1,053)
		Desires/Goals	96.9% (4,635)	97.3% (1,052)
		None of the above	1.4% (67)	1.3% (14)
Q25.	Does the service location ensure information about all individuals who receive these services is kept private/confidential?	Yes	99.9% (4,776)	100% (1,081)
		No	.13% (6)	0% (0)
Q26.	Is personal care, when needed, provided in private or available privately for individuals who do not require assistance?	Yes	99.7% (4,770)	100% (1,081)
		No	.25% (12)	0% (0)
Q27.	Do staff interact and communicate with individuals who receive these services at this service location respectfully and in a manner in which the individual would like to be addressed at all times?	Yes	99.6% (4,764)	100% (1,081)
		No	.38% (18)	0% (0)
Q28.	If an individual communicates through non-traditional means, does the service location ensure staff can communicate with the individual in a manner the individual understands? ⁶	Yes	41.2% (1,966)	19.6% (213)
		No	.96% (46)	1.3% (14)
		Not applicable	57.8% (2,761)	78.9% (851)
Q29.	Are all individuals who receive these services provided the opportunity to	Yes	97.5% (4,662)	99.4% (1,074)

⁶ For question 28, Residential Habilitation N = 4,773 and Life Sharing N = 1,078

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
	speaking on the telephone or comparable technology, text, and open and read mail/email in private?	No	2.5% (120)	.65% (7)
Q30.	Are all individuals who receive these services provided the opportunity to visit with others in private?	Yes	97.2% (4,650)	99.8% (1,079)
		No	2.8% (132)	.19% (2)
Q31.	Does the service location ensure that one individual's behavioral supports do not impede on the rights of other individuals?	Yes	76.6% (3,663)	24.1% (261)
		No	2.3% (110)	.56% (6)
		Only 1 individual resides in this home	21.1% (1,009)	75.3% (814)
Q32.	Is there a secure place at the service location for each individual to store personal belongings?	Yes	91.3% (4,368)	97.9% (1,058)
		No	8.7% (414)	2.1% (23)
Q34.	Does the service location staff inform individuals of their rights, including their right to file a formal grievance or complaint, including reminders when an individual expresses a verbal complaint about actions of the provider? ⁷	Yes	98.5% (4,636)	98.8% (1,050)
		No	1.5% (71)	1.2% (13)
Q35.	Is independent living technology or remote monitoring used at this service location? ⁸	Yes	15.7% (749)	4.8% (52)
		No	84.3% (4022)	95.2% (1028)

⁷ For question 34, Residential Habilitation N = 4,707 and Life Sharing N = 1,063

⁸ For question 35, Residential Habilitation N = 4,771 and Life Sharing N = 1,080

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
Q36.	Does the service location inform all impacted individuals and anyone identified by the individuals, of what impact the independent living technology will have on the individual's privacy? ⁹	Yes	89.7% (671)	87.3% (48)
		No	10.3% (77)	12.7% (7)
Q37.	Has consent to use independent living technology been obtained from each impacted individual in writing? ¹⁰	Yes	65.7% (491)	76.4% (42)
		No	34.3% (256)	23.6% (13)
Q39.	Does the service location have a policy outlining how it shall educate, assist, and provide the accommodation necessary for the individual to make choices and understand his or her rights? ¹¹	Yes	93.7% (4469)	95.3% (1027)
		No	6.3% (301)	4.7% (51)
Q40.	Does the service location have policies and procedures to ensure individual choices can be negotiated to resolve differences? ¹²	Yes	76.3% (3,499)	33.6% (361)
		No	7.7% (367)	.93% (10)
		Only 1 individual resides in the home	19% (908)	65.5% (704)
Q41.	How is the individual informed about the policy? Check all that apply.	Reviewed with the individual prior to receiving services in the home	80.2% (3,835)	83.3% (900)

⁹ For question 36, Residential Habilitation N = 748 and Life Sharing N = 55

¹⁰ For question 37, Residential Habilitation N = 747 and Life Sharing N = 55

¹¹ For question 39, Residential Habilitation N = 4,770 and Life Sharing N = 1,078

¹² For question 40, Residential Habilitation N = 4,774 and Life Sharing N = 1,075

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
		Reviewed with the individual at least annually	89.3% (4,269)	90.8% (982)
		Reviewed at meetings with all housemates present	16.1% (768)	10.2% (110)
		Other	5.1% (243)	2.4% (26)
Q42.	Does the service location have any of the following barriers restricting an individual's movement? Check all that apply.	Gates	3.2% (154)	6.4% (69)
		Locked Doors	11.2% (536)	2.2% (24)
		Fences	4.7% (224)	6.6% (71)
		Other	1.9% (91)	.93% (10)
		No, we do not have any barriers restricting individual movement	81.6% (3,903)	86.9% (939)
Q45.	Do all individuals receiving services have access to food at any time? ¹³	Yes	97.4% (4621)	99.2% (1,064)
		No	2.6% (121)	.84% (9)
Q46.	Do all individuals have flexibility in where they eat within the service location? ¹⁴	Yes	96.9% (4,588)	97.5% (1,048)
		No	3.1% (147)	2.5% (27)

¹³ For question 35, Residential Habilitation N = 4,742 and Life Sharing N = 1,073

¹⁴ For question 46, Residential Habilitation N = 4,735 and Life Sharing N = 1,075

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
Q47.	Is each individual given the choice to have support to do the following? Check all that apply.	Make decisions	99.2% (4,746)	99.3% (1,073)
		Vote	97.3% (4,655)	98.3% (1,063)
		Participate in community activities	99.5% (4,756)	99.6% (1,077)
		Associate with others	99.4% (4,755)	99.4% (1,075)
		Practice their religion	98.5% (4,712)	97.7% (1,056)
		Access, control, and management of their money	93.7% (4,479)	94% (1,016)
		Make personal decisions	98.6% (4,715)	98.6% (1,066)
		None of the above	1% (50)	.65% (7)
Q49.	When hiring and/or assigning staff, are the individual's staff preferences taken into consideration?	Yes	97.4% (4,659)	99.5% (1,076)
		No	2.6% (123)	.46% (5)
Q50.	Do you have a process or policy used at this service location for supporting choice in situations where the individual expresses interest in a specific community activity, but there are concerns with the individual's safety in accessing this activity? ¹⁵	Yes	92.7% (4,432)	98.9% (1,047)
		No	7.3% (349)	3.1% (34)
Q51.		Yes	98.7%	97%

¹⁵ For question 50, Residential Habilitation N = 4,781 and Life Sharing N = 1,081

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
	Does the agency allow individuals who are considering receiving services at the service location the opportunity to tour the home? (N/A should only be selected if the residence is owned by the individual receiving services or is the home of a relative of the individual receiving services) ¹⁶		(4,690)	(1,044)
		No	.44% (10)	.28% (3)
		N/A	1.1% (51)	2.7% (29)
Q52.	Is choice given to the individual(s) to update or change their daily activities?	Yes	99.5% (4761)	100% (1081)
		No	.44% (21)	0% (0)
Q53.	If any individuals in the home are of retirement age and are attending a day or work program, were they offered the right to retire and not attend a day or work program? ¹⁷	Yes	37.5% (1,790)	26% (281)
No		1.5% (70)	.37% (4)	
No individuals in this home are of retirement age		61% (2,909)	73.6% (794)	
Q54.	Does the service location develop a plan containing a detailed description of the specific activities staff will implement to achieve the broader desired outcomes of the Individual Support Plan for each individual?	Yes	97.7% (4,673)	98.5% (1,065)
		No	2.3% (109)	1.5% (16)
Q55.	Does the service location ensure staff is knowledgeable about the capabilities, interests, preferences, and needs of the individuals they support?	Yes	99.9% (4,778)	100% (1,081)
		No	.08% (4)	0% (0)

¹⁶ For question 51, Residential Habilitation N = 4,751 and Life Sharing N = 1,076

¹⁷ For question 52, Residential Habilitation N = 4,769 and Life Sharing N = 1,079

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
Q56.	When individuals talk to the service location staff about the need for additional services or changes to their Individual Support Plan, do the staff inform individuals to contact their Supports Coordinator and assist them with the contact, if needed?	Yes	96.5% (4,617)	99% (1,070)
		No	3.5% (165)	1% (11)
Q58.	If individuals share bedrooms, did they choose the person with whom they share a bedroom? ¹⁸	Yes	4.8% (227)	1.9% (20)
		No	1.5% (72)	.19% (2)
		No bedrooms are shared	93.7% (4,474)	97.9% (1,045)
Q59.	Can individuals choose to decorate their bedroom? ¹⁹	Yes	99.8% (4,745)	99.9% (1,058)
		No	.17% (8)	.09% (1)
Q60.	Can all individuals choose to decorate common areas of the home, such as a living room or other shared areas? ²⁰	Yes	99.1% (4,703)	95.2% (1,010)
		No	.89% (42)	4.8% (51)
Q61.	Are all individuals able to have visitors of their choosing at any time? ²¹	Yes	99.3% (4,627)	98.3% (1,044)
		No	2.7% (127)	1.7% (18)
Q62.	Are visitors required to sign in/out? ²²	Yes	44% (2,098)	1.8% (19)
		No	56%	98.2%

¹⁸ For question 58, Residential Habilitation N = 4,773 and Life Sharing N = 1,067

¹⁹ For question 59, Residential Habilitation N = 4,753 and Life Sharing N = 1,059

²⁰ For question 60, Residential Habilitation N = 4,745 and Life Sharing N = 1,061

²¹ For question 61, Residential Habilitation N = 4,754 and Life Sharing N = 1,062

²² For question 62, Residential Habilitation N = 4,769 and Life Sharing N = 1,064

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
			(2,671)	(1,045)
Q63.	Are all individuals allowed to answer the front door when a guest comes to their house? ²³	Yes	98.2% (4654)	97.6% (1033)
		No	1.8% (83)	2.4% (25)
Q64.	Are any individuals who live in the home required to sign in/out when leaving/re-entering the home? ²⁴	Yes	4% (191)	.94% (10)
		No	96% (4,561)	99.1% (1049)
Q65.	Are all individuals given the option to lock their bedroom door if they so choose? ²⁵	Yes	85.4% (3983)	96.5% (1008)
		No	14.6% (680)	3.5% (37)
Q66.	Are all individuals given the option to lock their bathroom door if they so choose? ²⁶	Yes	88.8% (4204)	97.3% (1026)
		No	11.2% (530)	2.7% (29)
Q67.	Are all individuals given the option of a key or other means of entry to their home if they choose? ²⁷	Yes	92.7% (4387)	95.3% (1008)
		No	7.3% (344)	4.7% (50)
Q68.	Does each individual have a signed ODP approved room and board agreement? ²⁸	Yes	98.1% (4646)	99.6% (1052)
		No	1.9% (92)	.38% (4)

²³ For question 63, Residential Habilitation N = 4,737 and Life Sharing N = 1,058

²⁴ For question 64, Residential Habilitation N = 4,752 and Life Sharing N = 1,059

²⁵ For question 65, Residential Habilitation N = 4,663 and Life Sharing N = 1,045

²⁶ For question 66, Residential Habilitation N = 4,734 and Life Sharing N = 1,055

²⁷ For question 67, Residential Habilitation N = 4,731 and Life Sharing N = 1,058

²⁸ For question 68, Residential Habilitation N = 4,738 and Life Sharing N = 1,056

RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Residential Habilitation Service Location Responses	Life Sharing Service Location Responses
Q69.	Are all individuals informed of their rights and responsibilities as well as the agency's responsibilities as outlined in the room and board agreement? ²⁹	Yes	98.2% (4666)	99.7% (1060)
		No	1.8% (87)	.28% (3)

²⁹ For question 69, Residential Habilitation N = 4,753 and Life Sharing N = 1,063