

Non-Residential HCBS Provider Settings Self-Assessment Report

The Office of Developmental Programs

HCBS Non-Residential Provider Settings Self-Assessment Summary

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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 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 employment, work in competitive and integrated settings, 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 non-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 (AAW). ODP began this process by developing the [Non-Residential HCBS Provider Settings Self-Assessment](#). Through this process, each provider was required to assess all of their non-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 the 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 Non-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 states, 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, SurveyGizmo.

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

¹The service location is where the non-residential services are provided.

comment period, ODP developed a question and answer document to assist providers in filling out the Non-Residential HCBS Provider Settings Self-Assessment ([ODP Communication 035-18](#)).

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

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

- Community Participation Support (CPS) in the Consolidated, Person/Family Directed Support and/or Community Living waivers
- Day Habilitation in the AAW and/or Adult Community Autism Program (ACAP)

The providers were notified through multiple ODP Announcements, webinars, and targeted emails with instructions to complete the Non-Residential HCBS Provider Settings Self-Assessments. 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](#)

Non-Residential HCBS Provider Settings Self-Assessment 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 Non-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.

By June 30, 2018, about 70 non-residential service locations did not submit 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 two-week extension, 11 non-residential service locations remained and an onsite visit from an Administrative Entity took place at each location.

An email was sent to each service location for which a Non-Residential HCBS Provider Settings Self-Assessment was completed. The email contained a Non-Residential HCBS 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 "Non-Residential Guidance for Complying with the HCBS Rule" were emailed to the providers from December 2018 through January 2019. 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 Non-Residential HCBS Provider Settings Self-Assessment was linked to either a specific regulation within the HCBS Final Settings Rule, a state regulation, or ODP waiver policy, as is seen on the “[Non-Residential Guidance for Complying with the HCBS Rule](#)”. 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 543 service locations that completed a Non-Residential HCBS Provider Settings Self-Assessment and 11 service locations that did not complete a self-assessment. These 11 service locations received an onsite visit from an Administrative Entity and a Non-Residential HCBS Provider Settings Self-Assessment was completed during the 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 Non-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 services being provided in locations that CMS deems as institutional.

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

Data not Included in Report

The data from the open-ended questions that were asked on the Non-Residential HCBS Provider Settings Self-Assessment were not included in the data summary due to responses containing personal identifying information and protected health information.

Discussion/Next Steps

ODP will be using three methods and will provide technical assistance to help Non-Residential providers achieve compliance with the HCBS Settings Rule by March 17, 2022. To ensure ongoing compliance in the future with the HCBS Settings Rule, questions from the Non-Residential HCBS Provider Settings Self-Assessment 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).

Method 1: Service Locations with Areas of Noncompliance Through the Self-Assessment with the HCBS Settings Rule

- 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.

Method 2: Heightened Scrutiny

Data from this self-assessment will be used to complete the following process:

- Develop and publish the process for completing heightened scrutiny reviews in the fall of 2019.
- Service locations that were identified as being co-located or adjacent to a Skilled Nursing Facility, Intermediate Care Facility for individuals with an Intellectual Disability (ICF/ID), or a hospital 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.

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

Method 3: Community Integration

As discussed in [ODP Communication 19-090](#), the following process will be completed to ensure each individual is offered opportunities to spend time in the community consistent with his or her preferences, choices, and interests:

- Providers will develop a transition plan by September 30, 2019, if they are not offering opportunities and needed support to participate in community activities and/or are not completing variances in accordance with policy.
- In the spring of 2020, ODP will review the Transition Plans and assess whether service locations are compliant with the requirements, including whether sufficient progress has been made with Transition Plans.
- Providers will be required to develop a CAP if the ODP assessment finds any of the following:
 - A service location is not compliant with the requirements and a Transition Plan was not completed.
 - A Transition Plan was completed, but sufficient progress has not been made.
- ODP and Administrative Entities will continue to monitor compliance/progress through December 2020.
- If compliance is not achieved at any service location by January 1, 2021, ODP will issue a Directed Corrective Action Plan no later than January 31, 2021.
- If compliance is not achieved at any service location by March 31, 2021, Administrative Entities and ODP will work with the provider, individuals served in that location, and their ISP teams to transition them to settings that are compliant with the requirements. All individuals must be transferred no later than March 31, 2022.

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

Appendix A - Data Summary

Figure 1. Non-Residential HCBS Provider Settings Self-Assessments

This pie chart represents the number of service locations that were required to complete the Non-Residential HCBS Provider Settings Self-Assessment. More specifically, the chart depicts the number of service locations that completed the self-assessment by the deadline and service locations that did not complete the self-assessment.

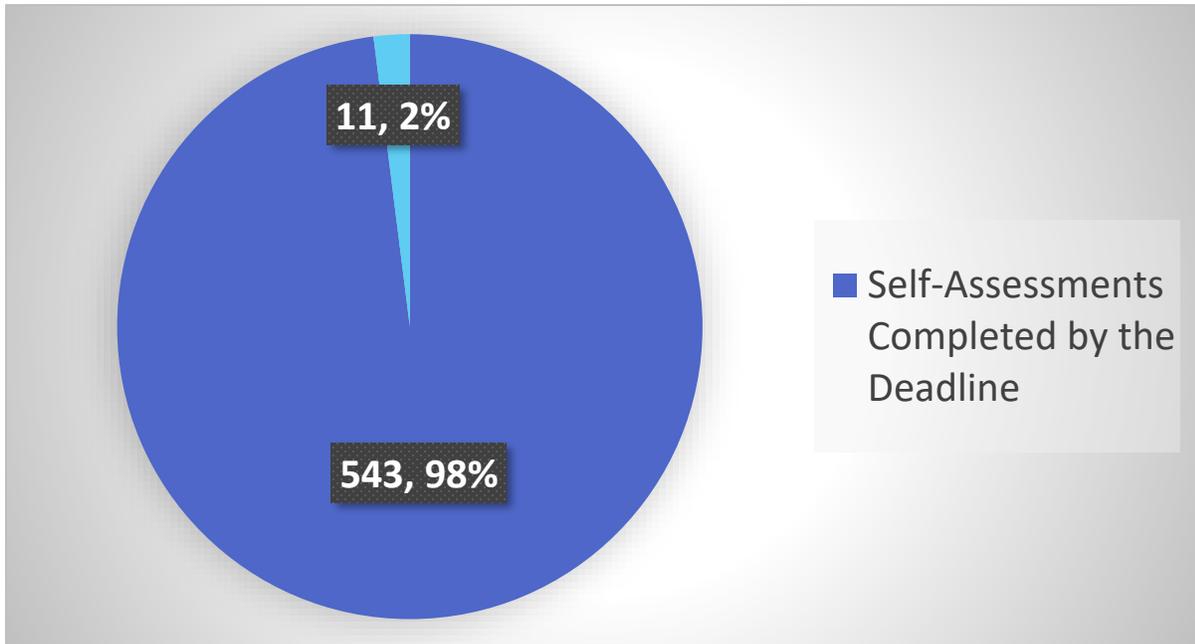


Figure 2. Non-Residential Service Locations that Completed a Self-Assessment by Region

This pie chart represents the 543 Non-Residential HCBS Provider Settings Self-Assessments completed and the region where each service location is physically located.

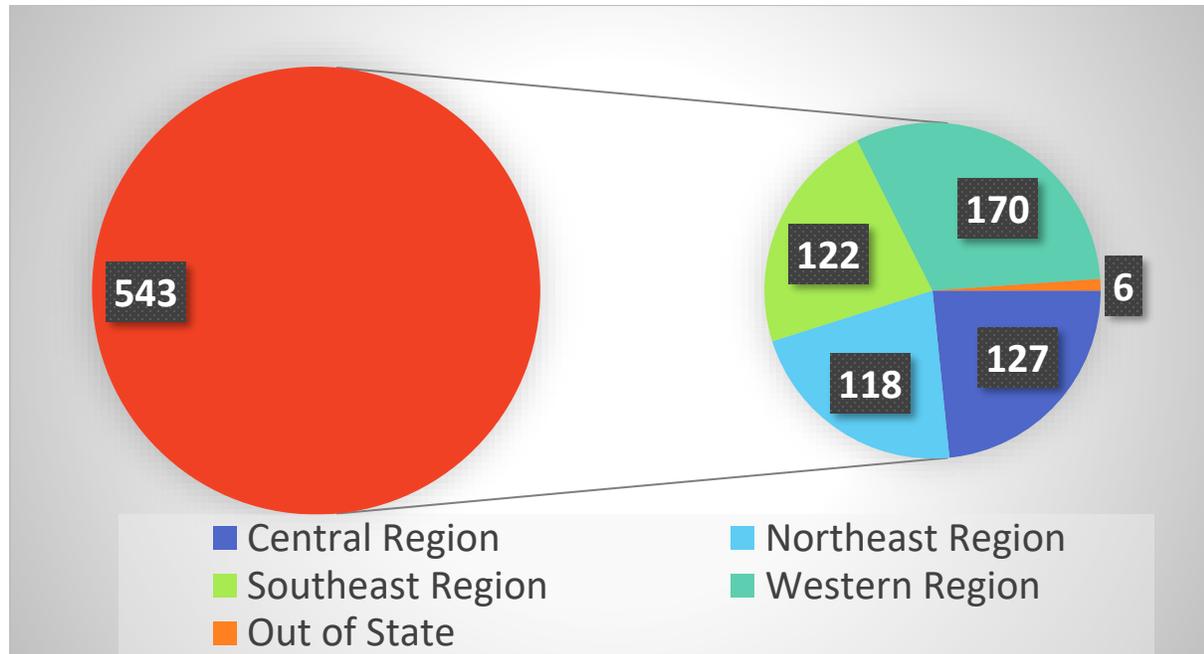
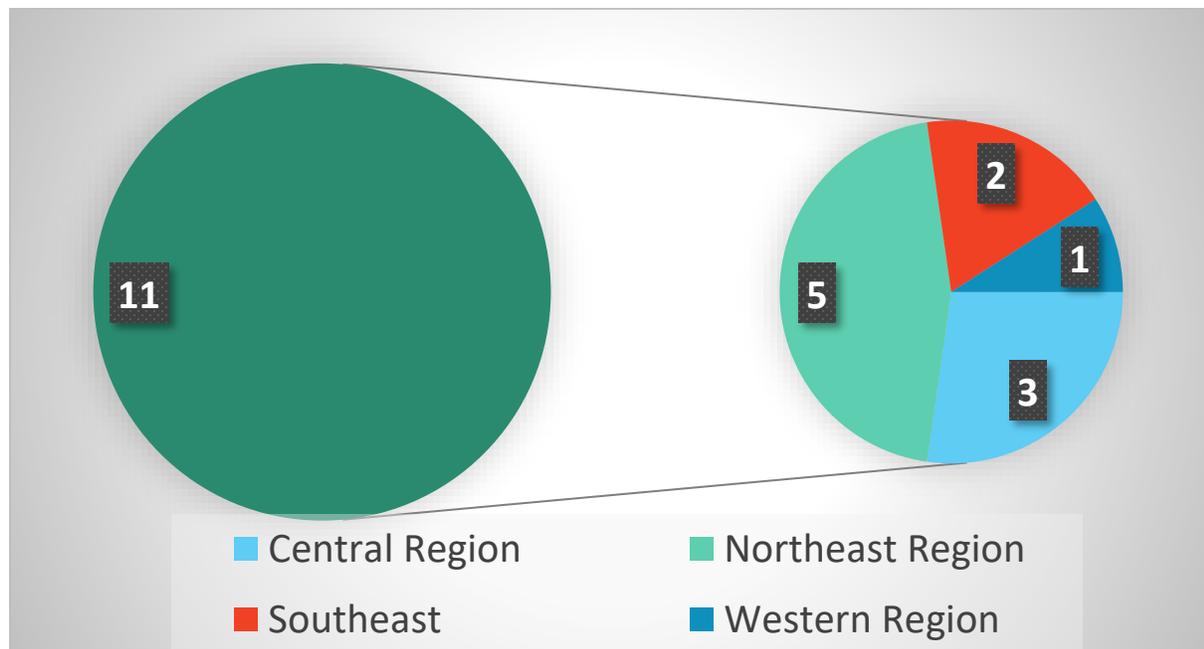


Figure 3. Non-Residential Service Locations That Did Not Complete a Self-Assessment

This pie chart shows the 11 service locations that did not complete a Non-Residential HCBS Provider Settings Self-Assessment and the region where each service location is physically located.



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 being co-located or adjacent to a skilled nursing facility, intermediate care facility for individuals with an intellectual disability (ICF/ID) or a hospital are presumed to have 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 Non-Residential HCBS Provider Settings Self-Assessment are seen below in Figures 4 and 5.

Figure 4. Non-Residential Service Locations That Will Need Heightened Scrutiny Reviews

This graph represents the number of service locations in Pennsylvania that are co-located or adjacent to one of the following:

- Skilled Nursing Facility
- Intermediate Care Facility for Individuals with Intellectual Disability (ICF/ID)
- Hospital

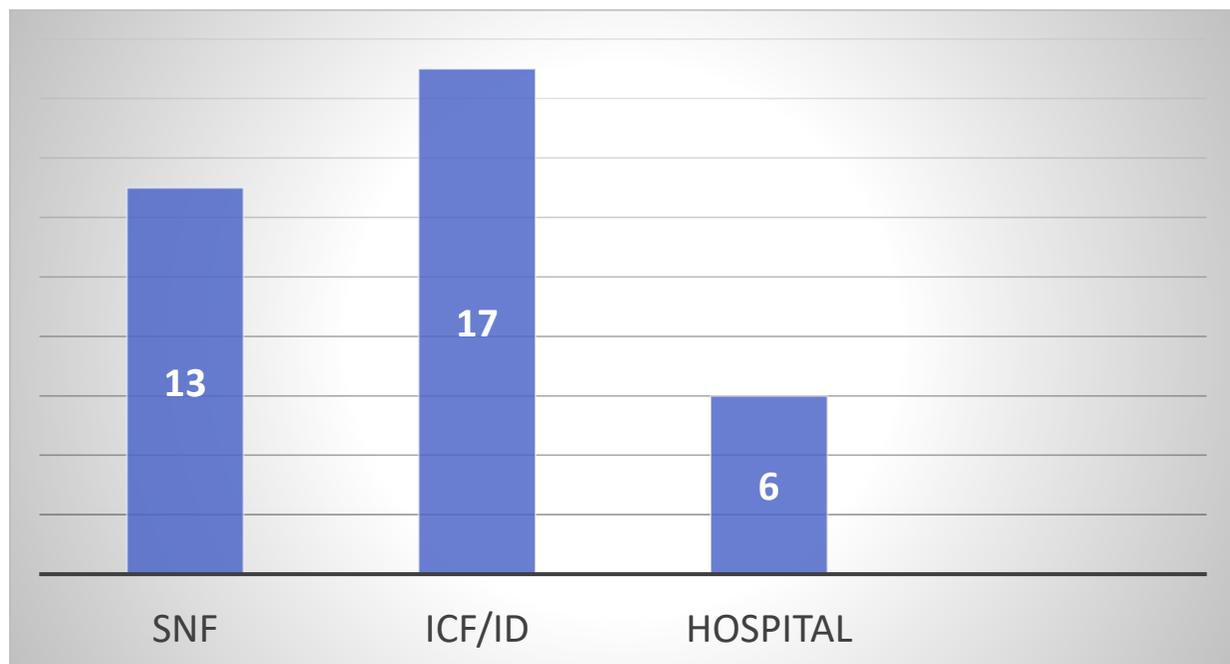
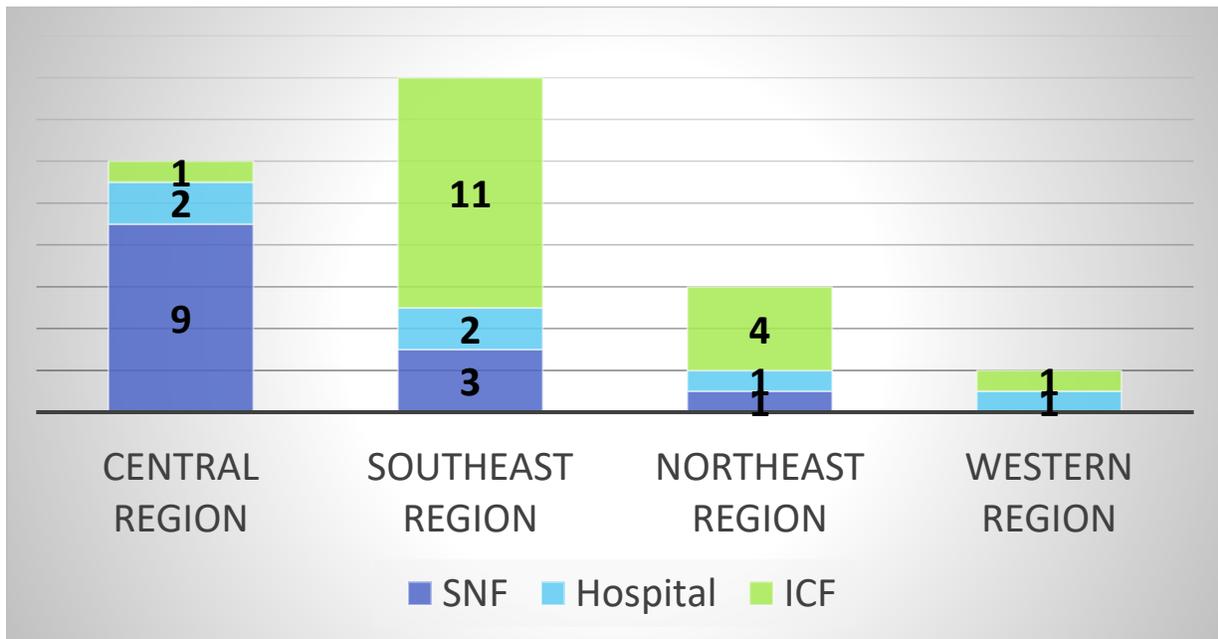


Figure 5. Non-Residential Service Locations by Region that will need Heightened Scrutiny Reviews

This graph represents the number of service locations that are co-located or adjacent to one of the following and the region where each service location resides:

- Skilled Nursing Facility (SNF)
- Intermediate Care Facility for Individuals with Intellectual Disability (ICF/ID)
- Hospital



Appendix B - Results Per Self-Assessment Question

Table 1 illustrates each question on the Non-Residential HCBS Provider Settings Self-Assessment and the number of service locations that selected the multiple-choice response. Data was combined for both Community Participation Support and Day Habilitation services.

The percentages in the column “Community Participation Support and Day Habilitation Service Location Responses” were based off of the 554 service locations that were asked the question. Questions that were not asked of every service location or if a service location did not answer a question, are 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.

Table 1. Data Summary

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
Q8.	Please describe the setting(s) in which you provide the waiver service you selected for this self-assessment? Select all that apply.	Building owned, leased, or operated by a provider of services	81.4% (451)
		Community location	52.2% (289)
		Other	6.7% (37)
Q9.	Is this service provided in both a licensed facility AND a location within the community?	Yes	71.1% (394)
		No	28.9% (160)
Q10.	Which funding sources are used for the service location and the services for which this self-assessment is being completed? Select all that apply.	Consolidated Waiver	97.1% (538)
		P/FDS Waiver	84.1% (466)

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
		Community Living Waiver	50.9% (282)
		AAW	6.9% (38)
		OLTL Waiver	14.6% (81)
		OMHSAS-BHMCO	1.4% (8)
		ACAP	.72% (4)
		Private Pay	26.7% (148)
		Base Funds	53.2% (295)
		Other	13.7% (76)
Q11.	On average, what is the percentage of time each month you are providing services to individuals in community locations? ²	0%	7.6% (42)
		.1%-10%	18.6% (103)
		10.1%-20%	14.3% (79)
		20.1%-30%	29.3% (162)
		30.1%-40%	3.1% (17)
		40.1%-50%	3.4% (19)
		50.1%-60%	.72% (4)
		60.1%-70%	.72% (4)

² For question 11, N = 533

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
		70.1%-80%	2.9% (16)
		80.1%-90%	2.2% (12)
		90.1%-99.9%	.54% (3)
		100%	16.6% (92)
Q12.	Beginning July 1, 2019, on average monthly, what is the percentage of time you expect to provide services to individuals in community locations (Do not include individuals with a variance)? ³	0%	3.6% (20)
		.1%-10%	3.3% (18)
		10.1%-20%	4.5% (25)
		20.1%-30%	51.2% (283)
		30.1%-40%	4.3% (24)
		40.1%-50%	8.9% (49)
		50.1%-60%	.90% (5)
		60.1%-70%	.36% (2)
		70.1%-80%	2.9% (16)
		80.1%-90%	1.4% (8)
		90.1%-99.9%	.72% (4)
		100%	17.9% (99)

³ For question 12, N = 553

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
Q13.	Are all individuals receiving these services offered opportunities for, and provided support to, participate in regular meaningful non-work activities in integrate community locations for the amount of time desired by individuals? ⁴	Yes	85.7% (474)
		No	14.3% (79)
Q14.	Are all individuals receiving services at this service location offered opportunities for individual schedules that focus on the needs and desires of the individual and an opportunity for individual growth?	Yes	89.2% (494)
		No	10.8% (60)
Q15.	If an individual chooses not to participate in an activity in the community, are they given the option to participate in a different community activity of their choice? ⁵	Yes	79.9% (441)
		No	20.1% (111)
Q16.	For individuals receiving services who are not participating in activities located within the community at least 25%+ of the time, please indicate which approaches you implement to ensure individuals have opportunities to participate in community activities to the same degree as non-MA waiver recipients. Check all that apply ⁶	Interest Inventories	59.4% (221)
		Person-centered planning tools	58.1% (216)
		Community mapping	26.9% (100)
		Team meetings	76.9% (286)
		Shadowing/mentoring	15.6% (58)
		Documenting attempts to explore –	61% (227)

⁴ For question 13, N = 553

⁵ For question 15, N = 552

⁶ For question 16, N = 372

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
		what works, did not work, next steps	
		Relationship mapping	15.9% (59)
		Other	11.6% (43)
Q17.	Are all individuals receiving services at this site allowed the freedom to move about the service location with or without supervision as specified in their ISP? ⁷	Yes	96.2% (435)
		No	3.8% (17)
Q18.	Are all individuals receiving services at this site allowed the freedom to move about outside of the service location with or without supervision as specified in their ISP? ⁸	Yes	89.8% (406)
		No	10.2% (46)
Q19.	Is public transportation available to/from the service location? ⁹	Yes	70.8% (335)
		No	29.2% (138)
Q21.	Is information regarding transportation options available to all individuals in a convenient manner, such as participant handbooks, handouts, or public postings?	Yes	67.9% (376)
		No	32.1% (178)
Q23.	Is the service location where the services are provided co-located or adjacent to any of the following? Check all that apply. ¹⁰	Skilled Nursing Facility (SNF)	2.6% (13)

⁷ For question 17, N = 452

⁸ For question 18, N = 452

⁹ For question 19, N = 473

¹⁰ For question 23, N = 504

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
		Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/ID)	3.4% (17)
		Institute for Mental Disease (MD)	0% (0)
		Hospital	1.2% (6)
		The service location is not co-located or adjacent to any of the above	87.7% (442)
Q24.	Is this service location an Older Adult Daily Living Center subject to licensure under 6 Pa. Code Chapter 11? ¹¹	Yes	30.8% (145)
		No	69.2% (326)
Q25(a).	What is the percentage of people served in your Older Adult Daily Living Center with a primary diagnosis of intellectual disability or autism? ¹²	0%	2.1% (3)
		1%-10%	8.3% (12)
		11%-20%	3.4% (5)
		21%-30%	6.2% (9)
		31%-40%	1.4%

¹¹ For question 24, N = 471

¹² For question 25(a), N = 145

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
			(2)
		41%-50%	2.8% (4)
		51%-60%	0% (0)
		61%-70%	2.1% (3)
		71%-80%	1.4% (2)
		81%-90%	2.8% (4)
		91%-99.9%	1.4% (2)
		100%	68.3% (99)
Q25(b)	What is the percentage of people served in your Older Adult Daily Living Center with primary diagnosis of a physical disability? ¹³	0%	43.3% (29)
		1%-10%	16.4% (11)
		11%-20%	10.4% (7)
		21%-30%	4.5% (3)
		31%-40%	10.4% (7)
		41%-50%	1.5% (1)
		51%-60%	0% (0)
		61%-70%	1.5% (1)
		71%-80%	3%

¹³ For question 25(b), N = 67

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
			(2)
		81%-90%	1.5% (1)
		91%-99.9%	1.5% (1)
		100%	6% (4)
Q25(c)	What is the percentage of people served in your Older Adult Daily Living Center with other diagnosis than physical disability, intellectual disability, or autism? ¹⁴	0%	51.6% (32)
		.1%-10%	6.5% (4)
		10.1%-20%	3.2% (2)
		20.1%-30%	8.1% (5)
		30.1%-40%	3.2% (2)
		40.1%-50%	3.2% (2)
		50.1%-60%	6.5% (4)
		60.1%-70%	3.2% (2)
		70.1%-80%	8.1% (5)
		80.1%-90%	3.2% (2)
		90.1%-99.9%	3.2% (2)
		100%	0% (0)

¹⁴ For question 25(c), N = 62

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
Q26.	Are pre-vocational services provided as part of the Community Participation Support service? ¹⁵	Yes	32.1% (169)
		No	67.9% (358)
Q28(a)	What is the total number of individuals receiving prevocational services (includes services provided in a licensed facility and/or in community locations)? ¹⁶	0	3.6% (6)
		1-25	32.1% (54)
		26-50	26.2% (44)
		51-75	15.5% (26)
		76-100	11.3% (19)
		101-125	6.5% (11)
		126-150	3% (5)
		151-175	0% (0)
		176-200	0% (0)
		201-225	.59% (1)
		226-250	0% (0)
		251-275	0% (0)
276-300	1.2% (2)		

¹⁵ For question 26, N = 527

¹⁶ For question 28(a), N = 168

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
		Total number of individuals receiving prevocational services: 8,333	
Q28(b)	What is the total number of individuals receiving prevocational services who work in the community in a job making minimum wage or higher and spending non-competitive work time at the service location? ¹⁷	0	47% (79)
		1-10	42.3% (71)
		11-20	8.9% (15)
		21-30	0% (0)
		31-40	.59% (1)
		41-50	.59% (1)
		51-60	.59% (1)
		Total number of individuals receiving prevocational services who work in the community: 599	
Q28(c)	What is the total number of individuals receiving prevocational services exclusively working on skill development and receiving sub-minimum wage (not working in a community setting at minimum wage or higher)? ¹⁸	0	32.9% (55)
		1-25	20.4% (34)
		26-50	18.6% (31)
		51-75	12% (20)
		76-100	7.8% (13)

¹⁷ For question 28(b), N = 168

¹⁸ For question 28(c), N = 167

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
		101-125	4.2% (7)
		126-150	2.4% (4)
		151-175	0% (0)
		176-200	.59% (1)
		201-225	.59% (1)
		226-250	0% (0)
		251-275	.59% (1)
		Total number of individuals receiving prevocational services exclusively working on skill development and receiving sub-minimum wage: 5,876	
Q28(d)	What is the total number of individuals receiving prevocational services exclusively working on skill development and receiving no compensation at any level (no sub-minimum wage, no minimum wage)? ¹⁹	0	71.5% (118)
		1-10	8.5% (14)
		11-20	10.3% (17)
		21-30	4.8% (8)
		31-40	.61% (1)
		41-50	1.8% (3)

¹⁹ For question 28(d), N = 165

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
		51-60	.61% (1)
		61-70	.61% (1)
		71-80	.61% (1)
		81-90	0% (0)
		91-99	.61% (1)
		Total number of individuals receiving prevocational services exclusively working on skill development and receiving no compensation: 1,013	
Q29(a)	Please list the number of individuals (unduplicated) that have transitioned from prevocational services to part-time competitive integrated employment from 1/1/17-6/30/17? ²⁰	0	78.7% (133)
		1-5	20.1% (34)
		6-10	1.2 (2)
		Total number of individuals transitioned from prevocational services to part-time employment: 78	
Q29(b)	Please list the number of individuals (unduplicated) that have transitioned from prevocational services to part-time competitive integrated employment from 7/1/17-12/31/17? ²¹	0	70.4% (119)
		1-5	26.6% (45)

²⁰ For question 29(a), N = 169

²¹ For question 29(b), N = 169

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
		6-10	1.2% (2)
		11-15	1.8% (3)
		Total number of individuals transitioned from prevocational services to part-time employment: 138	
Q29(c)	Please list the number of individuals (unduplicated) that have transitioned from prevocational services to part-time competitive integrated employment from 1/1/18-3/31/18? ²²	0	75.1% (127)
		1-5	24.3% (41)
		6-10	.59% (1)
		Total number of individuals transitioned from prevocational services to part-time employment: 74	
Q29(d)	Please list the number of individuals (unduplicated) that have transitioned from prevocational services to full-time (35+ hours per week) competitive integrated employment from 1/1/17-6/30/17? ²³	0	98.2% (166)
		1	1.8% (3)
		Total number of individuals transitioned from prevocational services to full-time employment: 3	
Q29(e)	Please list the number of individuals (unduplicated) that have transitioned from prevocational services	0	97.6% (165)
		1	1.8%

²² For question 29(c), N = 169

²³ For question 29(d), N = 169

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
	to full-time (35+ hours per week) competitive integrated employment from 7/1/17-12/31/17? ²⁴		(3)
		Total number of individuals transitioned from prevocational services to full-time employment: 3	
Q29(f)	Please list the number of individuals (unduplicated) that have transitioned from prevocational services to full-time (35+ hours per week) competitive integrated employment from 1/1/18-3/31/18? ²⁵	0	97.6% (165)
		1-3	2.4% (4)
		Total number of individuals transitioned from prevocational services to full-time employment: 6	
Q28 & Q29 summary: Out of the 8,333 individuals who receive prevocational services, 3.6% (302) individuals have transitioned from receiving prevocational services to working in a part-time or full-time competitive integrated employment from 1/1/17-3/31/18.			
Q30.	Are onsite medical, behavioral, or therapeutic services offered at this service location? ²⁶	Yes	23.5% (106)
		No	76.5% (346)
Q31.	Which of the following best describes the physical location of this service location? (Check all that apply)	Retail	14.9% (83)
		Residential Neighborhood	47.5% (263)
		Commercial	41.2% (228)
		Industrial	12.6% (70)

²⁴ For question 29(e), N = 168

²⁵ For question 29(f), N = 169

²⁶ For question 30, N = 452

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
		Other	21.7% (120)
Q33.	Are all individuals who receive this service provided with flexibility in their schedule, consistent with non-waiver recipients in the same and/or similar setting?	Yes	96.2% (533)
		No	3.8% (21)
Q34.	Are all individuals given flexibility in when they are permitted to take breaks and/or eat lunch, consistent with waiver recipients in the same and/or similar setting?	Yes	93.9% (519)
		No	6.3% (35)
Q35.	Are activities adapted to each individuals' needs and preferences?	Yes	96% (532)
		No	3.9% (22)
Q37.	Is information regarding each individual kept private/confidential?	Yes	99.8% (553)
		No	.18% (1)
Q38.	Is personal care, when needed, provided in private or available privately for individuals who do not require assistance?	Yes	99.6% (552)
		No	.36% (2)
Q39.	Does the service location ensure staff interact and communicate with individuals receiving services respectfully and in a manner in which the individual would like to be addressed at all times?	Yes	98.8% (553)
		No	.18% (1)
Q40.	Are all individuals receiving services provided the opportunity to speak on the telephone, and open	Yes	96.2% (533)

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
	and read mail/email in private, consistent with non-waiver recipients in similar and/or the same setting?	No	3.8% (21)
Q41.	Are all individuals receiving services provided the opportunity to visit with others privately, consistent with non-waiver recipients in similar and/or the same setting? ²⁷	Yes	97.5% (539)
		No	2.5% (14)
Q42.	Does the service location ensure that one individual's behavioral supports do not impede on the rights of other individuals? (N/A is selected if provider provides individual, one-on-one services and does not provide group services)	Yes	77.3% (428)
		No	3.6% (20)
		N/A	19.1% (106)
Q43.	Does the service location offer a secure place for individuals to store personal belongings? ²⁸	Yes	90.5% (429)
		No	9.5% (45)
Q45.	Are any of the following barriers present at the service location which prevent individuals' movement? Check all that apply. ²⁹	Gates	7% (34)
		Locked doors	15.4% (75)
		Fences	7.8% (38)
		Other	1% (5)
		No, we have no barriers preventing	77.3% (377)

²⁷ For question 41, N = 553

²⁸ For question 43, N = 474

²⁹ For question 45, N = 488

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Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
		individuals' movement	
Q46.	Are any of the following options available for individuals at the service location to meet desired outcomes in the Individual Support Plan and assessed needs? Check all that apply. ³⁰	Indoor gathering space	97.8% (441)
		Outdoor gathering space	81.8% (369)
		Large group activity space	92% (415)
		Small group activity space	95.6% (431)
		Private space	91.6% (413)
		Area for calming activities	89.8% (405)
		Area for stimulating activities	83.8% (378)
		None of the above	1.6% (7)
Q47.	Are all individuals receiving services provided the opportunity for tasks and activities, both inside and outside the service location, that match the following attributes for the individual and that are comparable to tasks and activities for people who do not have disabilities? Check all that apply.	Age	92.8% (514)
		Skills	95.7% (530)
		Abilities	96% (532)
		Desires/Goals	94.4% (523)

³⁰ For question 46, N = 451

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
		None of the above	2.2% (12)
Q48.	Is the service location physically accessible, including access to bathrooms and common rooms? ³¹	Yes	99.4% (464)
		No	.64% (3)
Q49.	Does the service location offer an alternative meal if requested by the individual?	Yes	25.1% (139)
		No	.54% (3)
		This service location does not provide meals	74.4% (412)
Q50	Does the service location offer a place to dine alone if requested by the individual? ³²	Yes	89.5% (495)
		No	10.5% (58)
Q51.	Do all individuals receiving services have access to food at any time consistent with non-waiver recipients in similar and/or the same setting?	Yes	40.8% (226)
		No	1.9% (11)
		This service location does not provide for or arrange meals	57.2% (317)

³¹ For question 48, N = 467

³² For question 50, N = 553

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
Q52.	Do all individuals have access to food they bring to the service location? ³³	Yes	93.9% (519)
		No	.72% (4)
		Individuals do not bring their own food to this service location	5.4% (30)
Q53.	During service provisions, are individuals allowed to choose with whom they spend their time, consistent with non-waiver recipients in similar and/or the same setting?	Yes	97.8% (542)
		No	2.2% (12)
Q54.	Does the service location support individuals to do the following? Check all that apply.	Make decisions	99.8% (553)
		Voice their opinions	99.3% (550)
		Vote	67.1% (372)
		Move about the community	91.7% (508)
		Associate with others	99.1% (549)
		Practice their religion	81.8% (453)
		Access their money	83.9% (465)
		Make personal decisions	98.7% (547)

³³ For question 52, N = 553

NON-RESIDENTIAL HCBS PROVIDER SETTINGS SELF-ASSESSMENT REPORT

Non-Residential HCBS Provider Settings Self-Assessment Question		Option of Multiple-Choice Answer	Community Participation Support and Day Habilitation Service Location Responses
		None of the above	1.3% (7)
Q56.	When hiring and/or assigning staff, are the individual's staff preferences taken into consideration?	Yes	94% (521)
		No	6% (33)
Q57.	Does the service location allow individuals who are considering receiving services at the location the opportunity to tour the setting? ³⁴	Yes	99.6% (451)
		No	.44% (2)
Q58.	Are all individuals receiving this service afforded the opportunity to regularly update or change their work/daily activities, consistent with non-waiver recipients in similar and/or the same setting?	Yes	97.7% (541)
		No	2.3% (13)
Q59.	Does the service location have person-centered policies to ensure individuals are supported in developing setting-specific plans to support his/her needs and preferences?	Yes	93.5% (518)
		No	6.5% (36)
Q60.	Does the service location ensure staff is knowledgeable about the capabilities, interests, preferences, and needs of each individual?	Yes	99.8% (553)
		No	.18% (1)
Q61.	Does the service location provide information to all individuals about how to make a request for additional services, or changes to their support plan?	Yes	97.1% (538)
		No	2.9% (16)

³⁴ For question 57, N = 453

