

# Home and Community-Based Services (HCBS) Settings Statewide Transition Plan

## Appendix B. External Assessment Results

External assessments were conducted only for programs that provide HCBS in both non-residential and residential settings: DBMD, HCS and STAR+PLUS HCBS.<sup>1</sup>

HHSC administered a provider self-assessment to a representative sample of residential and non-residential providers in the DBMD, HCS and TxHmL programs. Participation in the assessment was mandatory and not anonymous. The sampling methodology for this assessment is in Appendix C to the statewide transition plan (STP). The former Department of Aging and Disability Services (DADS), before it merged with HHSC, conducted a survey of individuals receiving services in the HCS and DBMD programs. The survey was based on questions asked in the provider self-assessment.

HHSC administered a provider self-assessment survey and resident survey for ALF and AFC providers based on CMS exploratory questions. The provider self-assessment was designed for direct support professionals who work directly with individuals. HHSC contracted with the Texas EQRO to survey a representative sample of individuals receiving licensed assisted living or AFC services. Between July 2016 and September 2016, face-to-face interviews were conducted with individuals enrolled in STAR+PLUS HCBS and receiving licensed assisted living or AFC services. The methodology for this assessment is described in Appendix D to the STP. Findings from these assessments have been used to inform development of remediation strategies to achieve full compliance with the HCBS settings rule.

### Residential Surveys

HCBS Settings Rule Requirement	Survey Responses					
	HCS Individual	HCS Provider	DBMD Individual	DBMD Provider	SP Individual	SP Provider
<p><b>The setting is integrated in and supports full access of individuals receiving Medicaid HCBS 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 Medicaid HCBS.</b></p> <p><b>42 CFR §441.301(c)(4)(i)</b></p>	57% percent of individuals indicated they do not have to be home at a specific time.	83% of providers indicated there is no curfew for residents unless otherwise indicated in the ISP. 76% of providers reported residents may come and go from the home at any time.	64% of individuals reported that, when they go out, they do not have to be home at a certain time.	82% of providers indicated there is no curfew for residents unless otherwise indicated in the ISP. 59% of providers reported residents may come and go from the home at any time.	37.4% of individuals must be home at a certain time.	62.60% of providers report that residents can come and go from the home at any time they choose, while 28.91% report that there is a curfew for all residents.

<sup>1</sup> The CLASS program offers services to individuals living in the residence of a SFS or CFS provider. However, there are no CLASS program recipients receiving services in an SFS or CFS, so an external assessment was not conducted for these settings.

HCBS Settings Rule Requirement	Survey Responses					
<p><b>42 CFR §441.301(c)(4)(i)</b></p>	<p>90% of individuals reported going places for activities. Specific activities include:</p> <p>Church: 51%</p> <p>Non-Religious Meetings: 16%</p> <p>Shopping: 86%</p> <p>Library: 29%</p> <p>Going out to eat: 89%</p> <p>Hairdresser/ Barber: 57%</p> <p>Movies: 59%</p> <p>Sports Events: 46%</p> <p>Meeting friends and family: 77%</p>		<p>82% of individuals reported going places for activities.</p> <p>63% report going shopping.</p> <p>94% report going out to eat.</p> <p>77% go to the hairdresser/barber.</p> <p>71% meet with friends and family.</p> <p>Between 2 and 6% reported going to sporting events, church, the library, and movies.</p>		<p>Individuals reported usually or always having the ability to participate in the following community activities when they are interested in doing so:</p> <p>Church or other religious meetings: 45.8%</p> <p>Other (non-religious) meetings: 33.2%</p> <p>Shopping for food when they wish.: 44%</p> <p>Shopping for clothes and other things: 41%</p> <p>Visit the library: 27%</p> <p>Go out to eat: 39%</p> <p>Go to the hairdresser or barbershop: 37%</p> <p>Go to plays or movies: 25%</p> <p>Go to ball games or other sports: 20%</p> <p>Meet friends or family out in the community: 43%</p>	
<p><b>42 CFR §441.301(c)(4)(i)</b></p>	<p>96% of individuals who indicated their residence had a car or van to take them where they need to go.</p>	<p>84% of providers reported an accessible vehicle is available for individuals.</p>	<p>All respondents reported their home has a car or van.</p> <p>All respondents indicated they can get in the car or van, with or without staff assistance.</p>	<p>73% of providers reported an accessible vehicle is always available for individuals to use.</p> <p>96% reported that the available vehicle accommodates the physical needs of all individuals receiving DBMD services in the household.</p>	<p>82.9% reported their home has a car, van, or bus to take them where they need to go.</p> <p>95% of individuals report being able to get into the house car or van, either independently or with assistance.</p>	<p>60.94% of providers have at least one vehicle dedicated to the setting in question for residents of this site to use.</p> <p>65.38% of providers have an organization-owned vehicle that accommodates the physical needs of all waiver participants in the household (for example, being wheelchair-accessible if needed).</p>
<p><b>42 CFR §441.301(c)(4)(i)</b></p>	<p>56% of individuals indicated they can use the provider transportation when they want to.</p>		<p>70% reported being able to use the van when they want to.</p> <p>98% of individuals responded that they use the residential setting's van/car when they need transportation to access the community.</p>		<p>32.6% of individuals report the residence car or van is usually or always available for their use.</p>	<p>61.54% report the organization-owned vehicle is usually available for an outing for one resident.</p>

HCBS Settings Rule Requirement	Survey Responses					
42 CFR §441.301(c)(4)(i)					When asked how they get places in the community, most individuals responded: either the home's transportation (62.0%), or friends/family members (58.8%).	
42 CFR §441.301(c)(4)(i)	43% of individuals reported a staff member takes them to activities one-on-one. 70% of individuals indicated a staff member takes them on outings with housemates.	83% of providers indicated residents who need staff support can participate in the community one-on-one with staff. 33% of providers indicated individuals can participate in unique activities on their own.	96% go alone with staff. 94% participate in group outings with housemates.	59% of providers indicated residents who need staff support can participate in the community one-on-one with staff.		55.07% of providers report that individuals who require staff support to participate in community activities can receive this support for an individual outing at least once per month if requested. 10.14% reported individuals can receive this support for an individual outing, but less often than once per month.
42 CFR §441.301(c)(4)(i)			64% participate in the community with friends or family who don't live in the home.		Regarding who they are typically with when they leave the home, the two most common responses were friends or family who don't live in the home (64.7%) and staff and housemates (53.8%).	

HCBS Settings Rule Requirement	Survey Responses					
<p><b>42 CFR §441.301(c)(4)(i)</b></p>	<p>89% indicated they can spend their money as they choose.</p>	<p>77% of providers indicated that in all cases of individuals having less than full access to their funds, it is indicated in the ISP.</p>	<p>90% of individuals can choose how to spend their money at least sometimes. 98% of individuals reported having money they can spend themselves.</p>	<p>9% of providers reported that at least one individual has no personal funds because all SSI or earnings are paid directly to the provider for room and board. 46% of providers reported that at least one individual has all their funds in their possession to use as they wish. 46% of providers reported that at least one individual has funds held by the provider or another entity (guardian or trust manager, for example) and turned over to the individuals at the other entity's discretion. 67% of providers indicated that in all cases of individuals having less than full access to their funds, it is indicated in the ISP.</p>		

HCBS Settings Rule Requirement	Survey Responses					
42 CFR §441.301(c)(4)(i)		34% of providers reported that individuals participate in volunteer work in a place where most people do not have disabilities.		<p>5% of providers indicated individuals residing at the location regularly participate in unpaid or volunteer activities.</p> <p>23% of providers indicated individuals residing at the location sometimes participate in unpaid or volunteer activities.</p> <p>9% of providers reported that individuals participate in volunteer or unpaid work in a place where most people do not have disabilities.</p> <p>23.81% of providers reported that, when individuals participate in volunteer or service activities, they can each participate in unique activities.</p> <p>28.57% reported that it depended on the volunteer activity.</p>		17% of providers report that a least one resident at this site does volunteer work at places like a hospital, library, pet shelter, food bank or similar organizations.
42 CFR §441.301(c)(4)(i)						89% of providers report that, among individuals who receive STAR+PLUS waiver services at this site, no residents have a job where they are paid minimum wage or more. 91% of providers report that, among individuals who receive STAR+PLUS waiver services at this site, none have a job where they are paid less than minimum wage.
42 CFR §441.301(c)(4)(i)					Of individuals who work, 68% would like to work more hours.	

HCBS Settings Rule Requirement	Survey Responses					
42 CFR §441.301(c)(4)(i)						89% of providers report that, among individuals who receive STAR+PLUS waiver services at this site, none participate in prevocational, EA, or other services with a goal of future employment.
42 CFR §441.301(c)(4)(i)					Of those who work, 68.0% work only with people who do not have disabilities.	90.5% of providers report that, among individuals who receive STAR+PLUS waiver services at this site, none have a job where most other workers do not have disabilities.
42 CFR §441.301(c)(4)(i)					32% of individuals reported someone else chose their job.	
<p><b>The setting is selected by the individual from among setting options including non-disability specific settings and an option for a private unit in a residential setting. The setting options are identified and documented in the person-centered service plan and are based on the individual's needs, preferences, and, for residential settings, resources available for room and board.</b></p> <p>42 CFR §441.301(c)(4)(ii)</p>	39% looked at multiple homes	<p>80% of service coordinators responded there are at least two homes for individuals to choose between.</p> <p>90% of service coordinators reported individuals had a chance to visit more than one type of residential setting before making a choice.</p> <p>94% of service coordinators reported individuals are offered opportunities to visit different types of homes.</p> <p>79% of providers said individuals could visit their home before moving in.</p>		<p>39% of providers said individuals could visit overnight if space is available.</p> <p>13% reported individuals could do so sometimes.</p> <p>95.45% of providers reported that individuals could look at multiple homes before moving into their home, unless there is an emergency or other unusual problem.</p>	<p>26.9% of individuals looked at their current home and others before moving into home, and 18.7% looked at this home and chose it without looking at others.</p> <p>73.2% of individuals reported having chosen current home.</p> <p>38% of individuals report they would like to live in a different home.</p>	<p>88.8% of providers report visits from future residents are usually not overnight.</p> <p>77.9% of providers usually offer individuals the opportunity to look at other homes and residential options before choosing a home.</p> <p>79.56% of providers report that future residents usually visit in advance to decide if this home might meet their needs and preferences.</p>
<p><b>The setting ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.</b></p> <p>42 CFR §441.301(c)(4)(iii)</p>				82% of providers report staff never use a language or communication method not understood by an individual in their presence.	62.6% report staff always speak to them respectfully, and 20.3 % report staff usually do so. 60.5% report staff are always friendly and nice to them, and 21.6% report this is usually the case.	96.67% of providers report that staff are always expected to use adult-language in speaking to individuals, rather than addressing them with child-like terms such as mijo, my kids, etc.

HCBS Settings Rule Requirement	Survey Responses					
<p><b>42 CFR §441.301(c)(4)(iii)</b></p>	<p>82% of individuals reported private information is posted in an area of the home where others can see the information.</p> <p>91% reported being assisted by staff with activities of daily living in private.</p> <p>82% of responding individuals indicated staff assist them with hygiene activities individually (rather than as a group).</p>	<p>19% of residential providers reported posting in public areas of the home individual information such as therapy schedules, medications, or diets.</p> <p>99% of providers reported assisting individuals with ADLs in private.</p> <p>97% residential staff report assisting individuals with ADLs individually.</p>		<p>18% of residential providers reported at least sometimes posting in public areas of the home individual information such as therapy schedules, medications, or diets.</p> <p>100% of providers reported assisting individuals with ADLs in private.</p> <p>100% residential staff report assisting individuals with ADLs individually.</p>	<p>89.3% report staff do not post private information in public areas of the home.</p> <p>84.1% report staff always help with ADLs in a private location.</p> <p>85.1% report staff members help with ADLs alone.</p> <p>17.9% reported staff speak about their health to others, including other staff (68.2%), other residents (25.4%), providers (16.1%), and family members/friends (19.8%).</p>	<p>29.17% of providers report posting information like an individual's therapy schedules, medications used, or restricted diets in a shared area of the home.</p> <p>95.90% of providers report always helping individuals with personal care, such as bathing, toileting, or grooming, in private.</p> <p>95.90% of providers report always helping individuals with personal care, such as bathing, toileting, or grooming, in private.</p> <p>72.50% of providers report staff members never discuss residents' health issues and services when people other than the individual's family members, guardian, or legally authorized representative are present.</p>

HCBS Settings Rule Requirement	Survey Responses					
<p><b>42 CFR §441.301(c)(4)(iii)</b></p>	<p>81% of respondents indicated no one comes in the bathroom without permission.</p> <p>74% of respondents indicated staff do not enter their bedrooms.</p> <p>When asked if they can close and lock their bedroom door, 60% of individuals indicated yes.</p>	<p>90% of providers indicated residents can always close and lock their bathroom doors unless it is otherwise specified in the service plan or there is a safety concern.</p> <p>93% of providers reported that staff knock and receive permission to enter prior to entering an individual's bedroom or bathroom unless it is otherwise specified in the service plan or if there is a safety concern.</p> <p>22% of providers do not use a key to enter a resident's locked bedroom.</p> <p>24% do with the individual's permission and 55% reported they would only in certain circumstances such as cleaning or for a safety reason.</p>		<p>86% of providers indicated residents can always close and lock their bathroom doors unless it is otherwise specified in the service plan or there is a safety concern.</p> <p>96% of providers reported that staff knock and receive permission to enter prior to entering an individual's bedroom or bathroom unless it is otherwise specified in the service plan or if there is a safety concern.</p> <p>82% reported individuals with private bedrooms can always close and lock their bedroom doors unless otherwise specified in the individual's service plan or there is a safety concern.</p> <p>37% of providers do not use a key to enter a resident's locked bedroom.</p> <p>32% do with the individual's permission and 27% reported they would only in certain circumstances such as cleaning or for a safety reason.</p>	<p>73.0% reported others never come in the bathroom without knocking and/or getting permission.</p> <p>66.6% can close and lock the bedroom door.</p> <p>22.6% reported staff members use their keys to get into their bedroom whenever they want.</p> <p>13.4% reported staff members use their keys to get into their bedroom, but only with permission.</p> <p>20.2% reported staff members use their keys to get into their bedroom, but only for safety or security reasons. 25.6% reported their door does not lock.</p>	<p>98.28% of providers report that staff always knock and receive permission prior to entering a bathroom with an individual inside.</p> <p>81.03% of providers report individuals are always allowed to lock the bathroom door.</p> <p>90.12% of providers report that individuals with private bedrooms are always allowed to close their bedroom doors, while 68.49% report individuals with private bedrooms are always allowed to lock their bedroom doors.</p> <p>18.10% of providers report staff can use a key to enter an individual's bedroom under any circumstances, while 46.55% report staff can do so only with permission or under certain defined circumstances, such as cleaning, safety, laundry, etc.</p>
<p><b>42 CFR §441.301(c)(4)(iii)</b></p>					<p>62.7% reported people usually or always let them know before coming into their home.</p>	
<p><b>42 CFR §441.301(c)(4)(iii)</b></p>				<p>Only 54.55% reported surveillance cameras are not used in the home.</p>	<p>16.7% of individuals reported surveillance cameras are in use in their home.</p> <p>13.7% were unsure.</p>	<p>40.52% of providers report using surveillance cameras in common areas of the home and 86% report using them in all clients' bedrooms.</p>

HCBS Settings Rule Requirement	Survey Responses					
<b>42 CFR §441.301(c)(4)(iii)</b>					<p>When staff members help you (bathe, shave, comb or fix your hair, or do your nails), do they do it the way you want? 75.3% report that staff respect individual's preferences when helping them bathe, shave, fix hair, or do nails. 17.6% report this is sometimes true for some things staff assist with.</p>	<p>96.67% of providers report always taking individual preferences (re. hairstyle, clothing, etc.) into account when individuals are assisted with grooming.</p>
<p><b>The setting optimizes, but does not regiment, individual initiative, autonomy, and independence in making life choices, including but not limited to, daily activities, physical environment, and with whom to interact.</b></p> <p><b>42 CFR §441.301(c)(4)(iv)</b></p>	<p>Of individuals who reported using local transportation, 76% reported receiving residential staff assistance.</p>	<p>70% of providers indicated public transportation is available in the setting's community; however, 63% responded "not applicable" when asked if individuals were provided support and training to use public transportation.</p>	<p>83% of those using local transportation responded that staff help them do so.</p>	<p>Of those serving individuals who use public transportation, 36% report individuals are provided individualized support and training to do so.</p> <p>42% of providers reported at least one individual uses public transportation or paratransit on a weekly basis.</p>	<p>42.4% report staff members help them arrange and use local transportation. 14.7% report staff always accompany them when using local transportation. 74.9% report using local transportation alone.</p>	<p>59.38% of providers post or otherwise provide information about private transportation options like taxis to individuals in the home.</p>
<p><b>42 CFR §441.301(c)(4)(iv)</b></p>	<p>88% of individuals have access to a phone in their home.</p> <p>Of individuals with access to a phone, 82% can be alone when using the phone.</p> <p>Of the individuals reporting they had access to a phone, 66% of individuals can use the phone at any time</p>	<p>95% of providers indicated residents can use the telephone at any time.</p>	<p>Only 16% of individuals reported having access to a phone.</p> <p>Of individuals with access to a phone, none can be alone when using the phone.</p> <p>Of individuals with access to a phone, none had unlimited access.</p>	<p>Of providers serving individuals with access to a phone, 96% reported individuals can have privacy while using the phone.</p> <p>96% of providers indicated residents can use the telephone at any time.</p>	<p>43.4% have their own phone and 20.8% have a household phone they can use.</p> <p>74.1% can always be alone when using the phone.</p>	<p>98% of providers report the house telephone is in a place where individuals can usually have privacy.</p> <p>87.50% of providers allow individuals to use the phone at any time they choose, if it is available.</p>
<p><b>42 CFR §441.301(c)(4)(iv)</b></p>		<p>64% of providers reported that individuals can participate in the community without staff support unless otherwise specified in the individual's service plan.</p>		<p>82% of providers reported that individuals can participate in the community without staff support unless otherwise specified in the individual's service plan.</p>		<p>67.18% of providers report that residents are always allowed to participate in community activities without staff presence. Only 54.20% of providers reported that individuals living in the home require staff support to participate in community activities.</p>

HCBS Settings Rule Requirement	Survey Responses					
<p><b>The setting facilitates individual choice regarding services and supports, and who provides them.</b></p> <p><b>42 CFR §441.301(c)(4)(v)</b></p>	<p>78% of individuals indicated someone asked them what they wanted to include in their service plan.</p>	<p>99% of service coordinators indicated they consult the individual when creating or updating the service plan.</p> <p>82% of providers reported asking the individual for input in service plan; 86% speak with family, guardian, legally authorized representative, or other involved individuals; 86% consult with the service coordinator or case manager</p>		<p>91% of providers indicated they consult the individual when creating or updating the service plan.</p> <p>95.45% of providers ask the individual for input on the service plan; 95.45% speak with family, LAR, or other involved individuals; and 63.64% consult with the individual's case manager.</p>	<p>53.4% report being asked what services you want in your service plan.</p> <p>47.7% chose most or all the services included on their service plan. 27.1% chose none of the services.</p>	
<p><b>42 CFR §441.301(c)(4)(v)</b></p>	<p>76% of individuals indicated their service plan always or most of the time has everything they would like it to include.</p>				<p>42.5% report their service plan includes everything they want. 31.3% report it includes most of what they want.</p>	

HCBS Settings Rule Requirement	Survey Responses					
<p><b>In a provider-owned or controlled residential setting:</b></p> <p><b>The unit or dwelling is a specific physical place that can be owned, rented, or occupied under a legally enforceable agreement by the individual receiving services, and the individual has, at a minimum, the same responsibilities and protections from eviction that tenants have under the landlord/tenant law of the State, county, city, or other designated entity. For settings in which landlord tenant laws do not apply, the State must ensure that a lease, residency agreement or other form of written agreement will be in place for each HCBS participant, and that the document provides protections that address eviction processes and appeals comparable to those provided under the jurisdiction's landlord tenant law.</b></p> <p><b>42 CFR §441.301(c)(4)(vi)(A)<sup>2</sup></b></p>	<p>66% of respondents indicated they do not have to move from their home if they do not want to.</p>	<p>55% of providers report that individuals have a lease-like document.</p> <p>85% of providers report that individuals are informed about their rights under a residency agreement.</p>		<p>73% of providers report that individuals have a lease-like document.</p> <p>77% of providers report that individuals are informed about their rights under a residency agreement.</p>	<p>71.6% of individuals report they can move somewhere else. 38.5% believe they can be forced to move from their home against their will. 23.2% aren't sure if they can be.</p>	<p>81.90% of providers report that individuals have a lease-like document.</p> <p>92.24% of providers report all individuals are informed about their rights under a residency agreement.</p>
<p><b>In a provider-owned or controlled residential setting:</b></p> <p><b>Each individual has privacy in their sleeping or living unit.</b></p> <p><b>42 CFR §441.301(c)(4)(vi)(B)<sup>2</sup></b></p>					<p>81.3% reported having a place to be alone in their home.</p>	

<sup>2</sup> Any modification to the conditions described in 42 CFR §441.301(c)(4)(vi)(A) through (D) must be supported by a specific assessed need and justified in the person-centered service plan, as required by 42 CFR §441.301(c)(4)(vi)(F).

HCBS Settings Rule Requirement	Survey Responses					
<p><b>42 CFR §441.301(c)(4)(vi)(B)<sup>2</sup></b></p>					<p>70.1% reported all or most of their furniture is comfortable. 21.5% reported some of it is comfortable.</p> <p>55.5% reported all the furniture in their room is in good condition, while 21.5 reported most of it is in good condition.</p>	
<p><b>In a provider-owned or controlled residential setting:</b>  <b>Each individual has privacy in their sleeping or living unit:</b>  <b>Individuals sharing units have a choice of roommates in that setting.</b>  <b>42 CFR §441.301(c)(4)(vi)(B)(2)<sup>2</sup></b></p>	<p>43% had a choice in who their roommate is.  63% can change roommates.</p>	<p>72% of providers responding indicated that, if individuals have roommates, they can choose who they are.  89% of providers reported individuals could change roommates if both parties agree.</p>		<p>78% of providers responding indicated that, if individuals have roommates, they can choose who they are.  100% of providers reported individuals could change roommates if both parties agree.</p>	<p>80% of individuals with a roommate did not have a choice of roommate when they first moved in to the home.  47% reported they are able to change their roommate.</p>	<p>84% of providers report individuals can choose who their roommates are if both parties agree and unless otherwise specified in one of their individual service plans.  92% of providers report individuals can change roommates if they request to do so, if both parties agree and unless otherwise specified in one of their individual service plans.</p>
<p><b>In a provider-owned or controlled residential setting:</b>  <b>Each individual has privacy in their sleeping or living unit.</b>  <b>Individuals have the freedom to furnish and decorate their sleeping or living units within the lease or other agreement.</b>  <b>42 CFR §441.301(c)(4)(vi)(B)(3)<sup>2</sup></b></p>	<p>67% of individuals chose their bedroom décor and supplies.</p>	<p>99% of responding providers indicated individuals can decorate their own rooms.</p>		<p>91% of responding providers indicated individuals can decorate their own rooms and display their own pictures, books, or other belongings.</p>	<p>48% of individuals chose all or most things in their room, such as sheets, bedspread, or towels.</p>	<p>98% of providers report individuals who receive STAR+PLUS waiver services can decorate their rooms and display their own pictures, books, or other belongings.  93% of providers report individuals who receive STAR+PLUS waiver services can choose the bedding, linens, or other household items used in their own rooms.</p>

HCBS Settings Rule Requirement	Survey Responses					
<p><b>In a provider-owned or controlled residential setting:</b></p> <p><b>Individuals have the freedom and support to control their own schedules and activities, and have access to food at any time.</b></p> <p><b>42 CFR §441.301(c)(4)(vi)(C)<sup>2</sup></b></p>		<p>66% of residential providers reported individuals have unique daily schedules.</p> <p>62% of providers reported that individuals set their own schedules for sleeping, bathing, eating, and other routine daily activities.</p>		<p>68% of providers reported that individuals set their own schedules for sleeping, bathing, eating, and other routine daily activities.</p>		<p>55.28% of providers report that usually everyone who receives STAR+PLUS waiver services in the home follows the same daily schedule.</p> <p>24.39% of providers report the default is for individuals in the home to set their own schedule for sleeping, waking, bathing, eating, exercising, and other daily activities.</p>
<p><b>42 CFR §441.301(c)(4)(vi)(C)<sup>2</sup></b></p>	<p>72% of respondents reported being able to choose when to go to bed and when to get up in the morning.</p> <p>Almost half of responding individuals indicated everyone in their home gets up and goes to bed at the same time at least sometimes.</p>		<p>54% of individuals reported choosing when to get up or go to bed.</p> <p>24% reported all residents get up and go to bed at the same time.</p>		<p>75% always choose when to get up in the morning. 81.5% always choose when to go to bed.</p> <p>28.6% report everyone in the home always gets up at the same time, while 20.4% reported this never happens.</p> <p>25.7% report everyone always goes to bed at the same time, while 23.9% report this never happens.</p>	

HCBS Settings Rule Requirement	Survey Responses					
<p><b>42 CFR §441.301(c)(4)(vi)(C)<sup>2</sup></b></p>	<p>54% of respondents indicated they choose when to eat their meals.</p> <p>62% indicated they can decide what to eat.</p> <p>81% indicated they decide where to sit at mealtimes.</p> <p>81% indicated they can eat alone if they prefer.</p> <p>75% of individuals indicated they can get a snack at any time they choose</p>	<p>69% of providers responded that individuals can choose when and where they eat their meals.</p> <p>82% of providers reported that residents can request and receive a different meal from what is served.</p> <p>89% of providers reported individuals decide where to sit at mealtimes.</p> <p>94% of providers indicated that residents can eat alone if they choose.</p> <p>90% of providers indicated individuals can get a snack at any time they choose</p>	<p>46% of individuals sometimes choose when to eat.</p> <p>24% reported being able to choose what to eat.</p> <p>86% of individuals can choose where to sit when eating.</p> <p>86% of individuals reported being able to eat alone if that was their choice.</p> <p>64% of individuals reported they cannot get a snack when they wish.</p>	<p>64% of providers responded that individuals can choose when and where they eat their meals.</p> <p>86% of providers reported that residents can request and receive a different meal from what is served.</p> <p>82% of providers reported individuals decide where to sit at mealtimes.</p> <p>96% of providers indicated that residents can eat alone if they choose.</p> <p>91% of providers indicated individuals can get a snack at any time they choose</p>	<p>40.6% report always choosing when to eat breakfast, lunch, or dinner.</p> <p>42.6% report they never choose.</p> <p>40.3% report never choosing what to eat for breakfast, while 37.4% report always choosing.</p> <p>48.7% report always deciding what to eat for dinner, while 31.4% report never deciding.</p> <p>57.9% always decide where to sit when eating breakfast or dinner. 30.3% never decide.</p> <p>55.4% report always having the option to eat alone.</p> <p>32.2% can always get a snack when they wish.</p>	<p>48.28% of providers report that individuals are always able to choose when they eat their meals.</p> <p>38.79% report individuals are sometimes able to choose.</p> <p>72.41% of providers report an individual can always request and receive a different meal if he or she doesn't want to eat the meal that has been prepared.</p> <p>49.1% report staff never ask them what they want for dinner, while 35.4% report staff always ask.</p> <p>44.83% of providers report individuals are always allowed to choose where they eat their meals.</p> <p>81.90% of providers allow individuals to choose where they sit at meals.</p> <p>78.45% of providers always allow an individual to eat alone if he or she chooses.</p> <p>78.45% of providers allow individuals to get their own snacks anytime they wish.</p>
<p><b>42 CFR §441.301(c)(4)(vi)(C)<sup>2</sup></b></p>					<p>75% report always choosing when to exercise.</p> <p>83% can always watch television or listen to the radio when they wish.</p>	
<p><b>42 CFR §441.301(c)(4)(vi)(C)<sup>2</sup></b></p>						<p>All providers reported at least one individual attends a day habilitation program. 83% reported at least one individual does not attend any formal employment or program during the day.</p>

HCBS Settings Rule Requirement	Survey Responses					
<p><b>In a provider-owned or controlled residential setting:</b></p> <p><b>Individuals are able to have visitors of their choosing at any time.</b></p> <p><b>42 CFR §441.301(c)(4)(vi)(D)<sup>2</sup></b></p>	<p>58% indicated their guests had full access to the house.</p> <p>Before an individual can receive a visitor in his or her home, the visitor must:</p> <p>be familiar to staff: 67%</p> <p>sign something: 19%;</p> <p>be introduced to staff: 45%</p>	<p>89% of providers do not restrict the public areas where an individual may have visitors.</p> <p>77% of providers reported that guests must either call before visiting or identify themselves to staff when arriving at the home.</p>	<p>94% of individuals reported being able to access any part of the house with their visitors.</p> <p>All individuals reported being able to have visitors when they choose.</p> <p>96% of individuals reported that staff must be familiar with their visitors before they visit, and the same number reported that visitors must sign in. All individuals reported that, if staff are not familiar with the visitor, they must speak with the visitor prior to the visit. Respondents could choose more than one answer.</p>	<p>86% of providers do not restrict the public areas where an individual may have visitors.</p> <p>77% of providers reported there are not times when visitors are not permitted unless indicated by the individual's service plan.</p> <p>73% of providers reported that guests must either call before visiting or identify themselves to staff when arriving at the home.</p>	<p>71.8% report all or most places in their home are open to visitors.</p> <p>81.5% can always have visitors. 16.1% can usually or sometimes have visitors.</p> <p>79.7% report guests must sign a book, form, or paper before visiting with the individual.</p>	<p>58.33% of reports permit visitors in all common areas of the home (e.g. laundry, dining room, kitchen, living room).</p> <p>44.17% of providers report there are no restrictions on visitors and 38.33% restrict visitors only if indicated in individual service plans.</p> <p>75.83% of providers require visitors to identify themselves to staff on arrival.</p>
<p><b>In a provider-owned or controlled residential setting:</b></p> <p><b>The setting is physically accessible to the individual.</b></p> <p><b>42 CFR §441.301(c)(4)(vi)(E)<sup>2</sup></b></p>	<p>69% of individuals reported no restrictions on where they can go in their home. Note that when those who reported having restrictions were asked the reason for the restrictions, the most frequent response was that others were using the space, or "other".</p>	<p>97% of responding providers indicated individuals had unrestricted access to the residence unless otherwise indicated in the ISP.</p> <p>16% indicated they have locks or alarms preventing individuals from entering areas of the home.</p>		<p>64% of responding providers indicated individuals had unrestricted access to the residence unless otherwise indicated in the ISP.</p> <p>32% indicated they have locks or alarms preventing individuals from entering areas of the home.</p>	<p>74.8% of individuals report there are no places in their home where they are not allowed to go.</p> <p>Of those reporting limitations, what keeps you from going to these places? Check all that apply:</p> <p>22.9% Others are using the space 35.4% The doors are locked</p> <p>11.8% There is an alarm that goes off if I open the door 59.7% Other</p> <p>7.6 Don't Know</p>	<p>57.72% of providers report individuals who receive STAR+PLUS waiver services have full access to the home's kitchen, dining area, laundry, and living space unless otherwise indicated by individual service plans.</p> <p>20.33% of providers reported that certain areas of the home have locked doors or alarms to prevent individuals who receive waiver services from entering or exiting because it is indicated in at least one resident's individual service plan, and 27.64% reported these restrictions are in place but it is not indicated in a resident's individual service plan.</p>
<p><b>In a provider-owned or controlled residential setting:</b></p> <p><b>The setting is physically accessible to the individual.</b></p> <p><b>42 CFR §441.301(c)(4)(vi)(E)<sup>2</sup></b></p>	<p>82% said it was not hard to get around their homes.</p>	<p>93% of providers indicated residents were able to access all rooms in the home, without physical barriers.</p>		<p>82% of providers indicated residents were able to access all rooms in the home, without physical barriers.</p>	<p>84.4% of individuals report there are no hard to access areas in their home.</p>	

## Non-Residential Survey Results

HCBS Settings Rule Requirement	HCS Individual	HCS Provider	DBMD Provider
<p><b>The setting is integrated in and supports full access of individuals receiving Medicaid HCBS 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 Medicaid HCBS.</b></p> <p><b>42 CFR §441.301(c)(4)(i)</b></p>	28% of individuals reported doing volunteer work of some kind.	78% reported that individuals have access to SE.	
<p><b>42 CFR §441.301(c)(4)(i)</b></p>	42% of individuals indicated they were working. Twenty-one percent of individuals responding to the residential survey stated they have a paid job in the community.	18% of residential providers reported that at least one individual is employed and making at least minimum wage.	100% of residential providers reported that no individuals in the home are employed in a job where they work for at least minimum wage.
<p><b>42 CFR §441.301(c)(4)(i)</b></p>	<p>79% of individuals said they have services intended to help them get a job.</p> <p>56% of respondents to the non-residential survey have tried to get services that will help them get a job.</p> <p>50% of respondents to the non-residential survey were able to get services to help find employment.</p>	<p>15% of residential providers reported at least one individual in the home is receiving employment services with a goal of becoming employed.</p> <p>53% of residential providers indicate they facilitate EA and job training for individuals who do not currently work for pay but who would like to.</p> <p>75% reported that individuals have access to EA.</p> <p>70% reported individuals are supported to find competitive employment.</p>	<p>91% of providers reported at least one individual participates in pre-vocational, EA or other services with a goal of future employment.</p> <p>13% of residential providers indicate they facilitate EA and job training for individuals who do not currently work for pay but who would like to.</p>
<p><b>42 CFR §441.301(c)(4)(i)</b></p>	57% work with others who have disabilities	87% of residential providers reported that no individuals in the home are employed in a setting where most other individuals do not have a disability.	
<p><b>42 CFR §441.301(c)(4)(i)</b></p>	<p>46% reported that staff help them arrange public transportation.</p> <p>77% of individuals indicated staff will help them go places they want to go.</p>	74% of providers report that they provide support to individuals in accessing transportation off-site during the day.	
<p><b>The setting ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.</b></p> <p><b>42 CFR §441.301(c)(4)(iii)</b></p>	82% reported having somewhere safe to store their belongings.	Eighty-two percent of providers reported that individuals have a secure place to store their belongings at the site.	

HCBS Settings Rule Requirement	HCS Individual	HCS Provider	DBMD Provider
<b>42 CFR §441.301(c)(4)(iii)</b>	79% of individuals report that staff do not speak about them in front of other people.  76% of individuals reported staff use familiar words.		
<b>42 CFR §441.301(c)(4)(iii)</b>	47% reported they did not receive hygiene assistance privately.	82% of providers reported that assistance with toileting or grooming is provided in private.	
<b>The setting optimizes, but does not regiment, individual initiative, autonomy, and independence in making life choices, including but not limited to, daily activities, physical environment, and with whom to interact.</b>  <b>42 CFR §441.301(c)(4)(iv)</b>		81% of providers reported individuals are supported in skill development to participate in an alternative to day habilitation	
<b>42 CFR §441.301(c)(4)(iv)</b>	83% indicated they can ask to do something different at their day program.  36% of individuals reported people engage in the same activities at the day habilitation site.  58% of individuals indicated they had opportunities to leave their day habilitation site during the day.  32% of individuals indicated they choose their activities at day hab.	15% of providers report that individuals either can't do a different activity or must be present for the activity even if they are not participating.  79% of providers reported individuals are supported in pursuing day activities at locations that are not disability specific, such as the YMCA.  95% of providers reported they provide both individual and group activities.  60% of providers reported they offer a variety of activities at their day habilitation sites.  70% of providers reported their programs allow individuals to set their own schedules.  84% reported that individuals can come up with their own activities.	
<b>42 CFR §441.301(c)(4)(iv)</b>	46% of individuals choose their mealtime at their day program.  56% can eat a snack at any time.	66% of providers reported that individuals can decide when and where they eat their meals.  78% reported individuals can eat a snack at any time unless it is documented in the ISP.	

HCBS Settings Rule Requirement	HCS Individual	HCS Provider	DBMD Provider
<p><b>42 CFR §441.301(c)(4)(iv)</b></p>	<p>When asked if there were areas of the day habilitation site that the individual could not access because of an inability to climb stairs or fit a wheelchair, 84% said no.</p> <p>60% of individuals reported having access to all parts of the day habilitation site</p>	<p>68% of providers reported individuals can move about anywhere without physical barriers or needing permission.</p> <p>89% of providers report that individuals have access to all parts of the day habilitation site.</p>	
<p><b>The setting facilitates individual choice regarding services and supports, and who provides them.</b></p> <p><b>42 CFR §441.301(c)(4)(v)</b></p>	<p>41% of respondents indicated they decided to attend their day program.</p> <p>80% of individuals reported they could do something different during the day.</p>	<p>87% of providers reported that information on how to request a change in services is available to individuals.</p> <p>Approximately 87% of providers indicated individuals are informed of choice of day activity, provider, or site annually or more frequently than annually.</p> <p>94% of non-residential providers indicated individuals are informed of choice of day activity, provider, or site annually or more frequently than annually.</p> <p>81% reported individuals are supported in choosing other activities during day program hours (e.g. shopping, eating out, etc.)</p>	

## Service Coordination and Case Manager Survey Results

The service coordinator or case manager is responsible for convening the service planning team to develop an individual’s person-centered service plan and make changes to the plan as needed. Service coordinators and case managers facilitate the service planning process for individuals receiving services in residential and non-residential settings.

### CLASS, DBMD, HCS and TxHmL Programs

The Department of Aging and Disability Services (DADS), before it merged with HHSC, administered a survey for service coordinators and case managers. Survey questions were based on exploratory questions provided by CMS. The survey was distributed to all service coordinators and case managers currently working with program participants. Former DADS received 444 completed surveys from service coordinators and case managers across programs.

The table below summarizes key survey questions and responses.

HCBS Settings Rule Requirement	Survey Question	Responses
<p><b>The individual will lead the person-centered planning process where possible. The individual's representative should have a participatory role, as needed and as defined by the individual, unless State law confers decision-making authority to the legal representative. All references to individuals include the role of the individual's representative.</b></p> <p><b>42 CFR §441.301(c)(1)</b></p>	<p>When the service plan is developed or updated, who participates? [Check all that apply]</p>	<p>Individual: 99% LAR or Family Member: 99% Other LIDDA Staff: 52% Provider Staff: 97% Service Coordinator/Case Manager: 100%</p>
<p><b>The person-centered planning process offers informed choices to the individual regarding the services and supports they receive and from whom.</b></p> <p><b>42 CFR §441.301(c)(1)(viii)</b></p>	<p>When an individual requests a change in their services at a time other than the annual review, what is the usual response? [Check all that apply]</p>	<p>Hold the request until next meeting: 2% Immediately change plan: 22% Encourage/assist the individual to speak to LAR: 43% Encourage/assist the individual to contact provider: 44% Contact LAR and provider to initiate change: 93% Other/Don't Know: 3%</p>
<p><b>The written plan must: Document that any modification of the additional conditions, under <a href="#">paragraph (c)(4)(vi)(A)</a> through <a href="#">(D)</a> of this section, must be supported by a specific assessed need and justified in the person-centered service plan.</b></p> <p><b>42 CFR §441.301(c)(2)(xiii)</b></p>	<p>When the service plan is developed, does it address limitations on the individual coming and going without staff support?</p>	<p>Yes: 89% No: 11%</p>
<p><b>The person-centered service plan must be reviewed, and revised upon reassessment of functional need as required by <a href="#">§ 441.365(e)</a>, at least every 12 months, when the individual's circumstances or needs change significantly, or at the request of the individual.</b></p>	<p>How often do you typically review the person-directed plan (PDP) with individuals and their support team? [Check all that apply]</p>	<p>Annually: 75% As requested by LAR and/or other Support Team: 60% Quarterly: 45% As requested by provider: 43%</p>

<b>42 CFR §441.301(c)(3)</b>		As requested by individual: 54% Other/Don't Know: 5%
<b>The setting is integrated in and supports full access of individuals receiving Medicaid HCBS 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 Medicaid HCBS.</b> <b>42 CFR §441.301(c)(4)(i)</b>	Do any individuals on your caseload receive Day Habilitation or other daytime service outside of their own home?	Yes: 98% No: 2%
<b>42 CFR §441.301(c)(4)(i)</b>	Under what circumstances are individuals prevented from having Competitive Employment? [Check all that apply]	Provider house policy: 5% Implementation plan:20% Lack of services and support: 20% Specifications on the PDP: 42% No individual on my load has restrictions: 58%
<b>42 CFR §441.301(c)(4)(i)</b>	Under what circumstances are individuals restricted from using public transit? [Check all that apply]	Provider house policy: 16% Implementation plan:29% Lack of services and support: 23% Specifications on the PDP: 56% No individual on my load has restrictions: 45%
<b>42 CFR §441.301(c)(4)(i)</b>	Under what circumstances are individuals restricted from receiving Employment Assistance? [Check all that apply]	Provider house policy: 4% Implementation plan:18% Lack of services and support: 20% Specifications on the PDP: 38% No individual on my load has restrictions: 60%
<b>42 CFR §441.301(c)(4)(i)</b>	Under what circumstances do individuals not have access to and control of their own funds? [Check all that apply]	Provider house policy: 7% Implementation plan:80% Lack of services and support: 23% Specifications on the PDP: 55% No individual on my load has restrictions: 15%
<b>The setting is selected by the individual from among setting options including non-disability specific settings and an option for a private unit in a residential setting. The setting options are identified and documented in the person-centered service plan and are based on the individual's needs, preferences, and, for residential settings, resources available for room and board.</b>	When individuals on your caseload enroll in a residential service, are they offered opportunity to visit different types of homes (e.g. 3- or 4-person home, host home, etc.)?	Yes: 94% No:6%

42 CFR §441.301(c)(4)(ii)		
42 CFR §441.301(c)(4)(ii)	Do individuals in your area have a choice of two or more homes near where they want to live?	Yes: 80% No: 20%
42 CFR §441.301(c)(4)(ii)	Do individuals have a chance to visit more than one type of residential setting before making a choice?	Yes: 90% No: 10%
42 CFR §441.301(c)(4)(ii)	When individuals are enrolled in a waiver or seeking a change in living arrangement, which of the following options are offered: [Check all that apply]	Host home/companion care (HCS program): 96% 3- or 4-Bedroom Home (HCS program): 94% Assisted living facility (DBMD and CLASS): 20% Own Home/Family Home (DBMD/CLASS): 49%
42 CFR §441.301(c)(4)(ii)	Are individuals informed that they can choose their direct service provider for day programs?	Yes, but only from those subcontracted by the residential provider: 19% No: 8% Yes, in all cases: 73%
<b>The setting ensures an individual's rights of privacy, dignity and respect, and freedom from coercion and restraint.</b> 42 CFR §441.301(c)(4)(iii)	Under what conditions are individuals required to wear a bib? [Check all that apply]	Provider house policy: 8% Implementation plan: 37% Lack of services and support: 2% Specifications on the PDP: 72% No individual on my load has restrictions: 32%
42 CFR §441.301(c)(4)(iii)	Is information about how to make a complaint available to individuals in an understandable and accessible form?	Yes: 99% No: 1%
42 CFR §441.301(c)(4)(iii)	Under what circumstances are individuals restricted in personal style preferences (e.g. clothing, hairstyle, etc.)? [Check all that apply]	Provider house policy: 7% Implementation plan: 10% Lack of services and support: 5% Specifications on the PDP: 24% No individual on my load has restrictions: 79%
<b>The setting optimizes, but does not regiment, individual initiative, autonomy, and independence in making life choices, including but not limited to, daily activities, physical environment, and with whom to interact.</b> 42 CFR §441.301(c)(4)(iv)	Under what circumstances are individuals restricted from participation in community activities without staff support? [Check all that apply]	Provider house policy: 26% Implementation plan: 36% Lack of services and support: 30% Specifications on the PDP: 65% No individual on my load has restrictions: 33%
42 CFR §441.301(c)(4)(iv)	Under what circumstances are individuals restricted in phone use? [Check all that apply]	Provider house policy: 28% Implementation plan: 22%

		Lack of services and support: 3% Specifications on the PDP: 42% No individual on my load has restrictions: 57%
<b>The setting facilitates individual choice regarding services and supports, and who provides them.</b> <b>42 CFR §441.301(c)(4)(v)</b>	When are individuals informed they may choose a different provider? [Check all that apply]	Annually: 94% Other/Don't Know: 0% At enrollment: 74% Every planning meeting: 57%
<b>42 CFR §441.301(c)(4)(v)</b>	If the individual wished to change providers, who would act on the request? [Check all that apply]	Individual: 51% LAR or Family Member: 59% Service Coordinator/Case Manager: 99% Direct Service Provider: 21% Legal Entity: 21%
<b>The unit or dwelling is a specific physical place that can be owned, rented, or occupied under a legally enforceable agreement by the individual receiving services, and the individual has, at a minimum, the same responsibilities and protections from eviction that tenants have under the landlord/tenant law of the State, county, city, or other designated entity. For settings in which landlord tenant laws do not apply, the State must ensure that a lease, residency agreement or other form of written agreement will be in place for each HCBS participant, and that the document provides protections that address eviction processes and appeals comparable to those provided under the jurisdiction's landlord tenant law.</b> <b>42 CFR §441.301(c)(4)(vi)(A)<sup>2</sup></b>	Who helps individuals understand their rights and responsibilities as a tenant in the HCBS program? [Check all that apply]	LAR, or Family: 65% Service Coordinator/Case Manager: 71% Other/Don't Know: 8% Direct Service Provider: 54% Legal Entity: 32% Ask the individual for input: 79%
<b>Each individual has privacy in their sleeping or living unit.</b> <b>42 CFR §441.301(c)(4)(vi)(B)<sup>2</sup></b>	Under what circumstances are individuals restricted from having their own bedroom? [Check all that apply]	Provider house policy: 9% Implementation plan: 9% Lack of services and support: 8% Specifications on the PDP: 21% No individual on my load has restrictions: 74% Not enough bedrooms: 20%
<b>Each individual has privacy in their sleeping or living unit: Units have entrance doors lockable by the individual, with only appropriate staff having keys to doors.</b> <b>42 CFR §441.301(c)(4)(vi)(B)(1)<sup>2</sup></b>	Under what circumstances are individuals restricted from having a bedroom with a locking door? [Check all that apply]	Provider house policy: 32% Implementation plan: 30% Lack of services and support: 5% Specifications on the PDP: 58% No individual on my load has restrictions: 45%

<p><b>Each individual has privacy in their sleeping or living unit: Individuals sharing units have a choice of roommates in that setting. 42 CFR §441.301(c)(4)(vi)(B)(2)<sup>2</sup></b></p>	<p>If an individual on your caseload wanted a roommate, under what circumstances would they be restricted in choice? [Check all that apply]</p>	<p>Provider house policy: 38% Implementation plan:18% Lack of services and support: 9% Specifications on the PDP: 45% No individual on my load has restrictions: 54%</p>
<p><b>Each individual has privacy in their sleeping or living unit: Individuals have the freedom to furnish and decorate their sleeping or living units within the lease or other agreement. 42 CFR §441.301(c)(4)(vi)(B)(3)<sup>2</sup></b></p>	<p>Under what circumstances are individuals restricted from decorating their private rooms and/or displaying their own pictures, books, or other belongings? [Check all that apply]</p>	<p>Provider house policy: 18% Implementation plan:11% Lack of services and support: 3% Specifications on the PDP: 23% No individual on my load has restrictions: 75%</p>
<p><b>Individuals have the freedom and support to control their own schedules and activities, and have access to food at any time. 42 CFR §441.301(c)(4)(vi)(C)<sup>2</sup></b></p>	<p>Under what circumstances are individuals restricted from coming and going at any time? [Check all that apply]</p>	<p>Provider house policy: 43% Implementation plan:37% Lack of services and support: 21% Specifications on the PDP: 61% No individual on my load has restrictions: 28% Behavioral Support Plan: 63%</p>
<p><b>42 CFR §441.301(c)(4)(vi)(C)<sup>2</sup></b></p>	<p>Under what circumstances are individuals given a curfew? [Check all that apply]</p>	<p>Provider house policy: 52% Implementation plan:31% Lack of services and support: 14% Specifications on the PDP: 56% No individual on my load has restrictions: 36%</p>
<p><b>42 CFR §441.301(c)(4)(vi)(C)<sup>2</sup></b></p>	<p>Under what circumstances are individuals restricted in setting their own schedule (e.g. for sleeping, bathing, eating, etc.)? [Check all that apply]</p>	<p>Provider house policy: 39% Implementation plan:27% Lack of services and support: 17% Specifications on the PDP: 48% No individual on my load has restrictions: 43%</p>
<p><b>42 CFR §441.301(c)(4)(vi)(C)<sup>2</sup></b></p>	<p>Under what circumstances are individuals restricted in choosing when and where to eat? [Check all that apply]</p>	<p>Provider house policy: 37% Implementation plan:25% Lack of services and support: 9% Specifications on the PDP: 52% No individual on my load has restrictions: 45%</p>
<p><b>42 CFR §441.301(c)(4)(vi)(C)<sup>2</sup></b></p>	<p>Under what conditions are individuals restricted from eating alone? [Check all that apply]</p>	<p>Provider house policy: 13% Implementation plan:33%</p>

		Lack of services and support: 6% Specifications on the PDP: 65% No individual on my load has restrictions: 40%
<b>Individuals are able to have visitors of their choosing at any time.</b> <b>42 CFR §441.301(c)(4)(vi)(D)<sup>2</sup></b>	Under what circumstances are individuals restricted by set visiting hours? [Check all that apply]	Provider house policy: 50% Implementation plan:14% Lack of services and support: 6% Specifications on the PDP: 35% No individual on my load has restrictions: 49%
<b>42 CFR §441.301(c)(4)(vi)(D)<sup>2</sup></b>	Under what circumstances are restrictions set on who visits the residence? [Check all that apply]	Provider house policy: 29% Implementation plan:22% Lack of services and support: 4% Specifications on the PDP: 54% No individual on my load has restrictions: 47%
<b>42 CFR §441.301(c)(4)(vi)(D)<sup>2</sup></b>	Under what circumstances are individuals restricted in where they can receive visitors? [Check all that apply]	Provider house policy: 41% Implementation plan:20% Lack of services and support: 6% Specifications on the PDP: 43% No individual on my load has restrictions: 49%
<b>The setting is physically accessible to the individual.</b> <b>42 CFR §441.301(c)(4)(vi)(E)<sup>2</sup></b>	Under what circumstances would a home have locks and/or alarms to restrict the individual's access? [Check all that apply]	Provider house policy: 32% Implementation plan:32% Lack of services and support: 9% Specifications on the PDP: 63% No individual on my load has restrictions: 38%

## STAR+PLUS HCBS Program

HHSC released a self-assessment tool based on the exploratory questions provided by CMS for MCO service coordinators. The self-assessment was required for all STAR+PLUS MCO service coordinators.

The table below summarizes key survey questions and responses.

HCBS Settings Rule Requirement	Survey Question	Responses <sup>3</sup>
<p><b>In addition to being led by the individual receiving services and supports, the person-centered planning process: Includes people chosen by the individual.</b></p> <p><b>42 CFR §441.301(c)(1)(i)</b></p>	<p>When the service plan is developed or updated, who is consulted?</p> <p>Check all that apply.</p>	<p>Individual: 84</p> <p>Legally authorized representative or guardian: 10%</p> <p>Family: 2%</p> <p>Friends: 0%</p> <p>Other managed care organization staff: 2%</p> <p>Provider staff: 2%</p>
<p><b>In addition to being led by the individual receiving services and supports, the person-centered planning process: Includes a method for the individual to request updates to the plan as needed.</b></p> <p><b>42 CFR §441.301(c)(1)(viii)</b></p>	<p>When an individual requests a change in the service plan at a time other than the annual review, what is the usual response?</p>	<p>Hold the request until annual reassessment: 1%</p> <p>Service coordinator convenes a meeting with the individual and other relevant parties: 94%</p> <p>Service coordinator encourages the individual to speak to his or her family or guardian: 2%</p> <p>Service coordinator encourages the individual to contact his or her program provider: 4%</p>
<p><b>Commensurate with the level of need of the individual, and the scope of services and supports available under the State's 1915(c) HCBS waiver, the written plan must: Reflect the individual's strengths and preferences. Reflect clinical and support needs as identified through an assessment of functional need.</b></p> <p><b>42 CFR §441.301(c)(2)(ii-iii)</b></p>	<p>How do you ensure that individual needs, preferences, goals, and desires are included in the service plan?</p> <p>Check all that apply.</p>	<p>Ask the individual for input: 71%</p> <p>Talk with family, guardian, LAR, or other involved individuals: 20%</p> <p>Consult with providers of long-term services and supports (LTSS): 9%</p>
<p><b>The setting is selected by the individual from among setting options including non-disability specific settings and an option for a private unit in a residential setting. The setting options are identified and documented in the person-centered service plan and are based on the individual's needs, preferences, and, for residential settings, resources available for room and board.</b></p> <p><b>42 CFR §441.301(c)(4)(ii)</b></p>	<p>When are individuals informed they may choose a different provider?</p> <p>Check all that apply.</p>	<p>At enrollment: 66%</p> <p>Annually: 66%</p> <p>At every service planning meeting: 71%</p>
<p><b>42 CFR §441.301(c)(4)(ii)</b></p>	<p>When individuals on your caseload are choosing a community residential service, which of the following options are offered to the individual?</p> <p>Check all that apply.</p>	<p>Living with family with non-24-hour support (i.e., attendant care): 81%</p> <p>Living with family with 24-hour support (i.e., adult foster care): 60%</p> <p>Living with family without additional support: 54%</p> <p>Living in their own home with support: 87%</p>

<sup>3</sup> Response percentages have been rounded to the nearest percentage point.

		<p>Living in their own home without additional support: 53%</p> <p>Living with another family or friends with non-24-hour support: 76%</p> <p>Living with another family or friends with 24-hour support: 59%</p> <p>Living with another family or friends without additional support: 52%</p> <p>Living in an assisted living facility: 85%</p>
<b>42 CFR §441.301(c)(4)(ii)</b>	When individuals on your caseload are choosing a residential service, how often are they offered the opportunity to visit multiple residential program types (assisted living facility, adult foster care, nursing facility, etc.)?	<p>Always: 69%</p> <p>Usually: 14%</p> <p>Sometimes: 9%</p> <p>Rarely: 5%</p> <p>Never: 3%</p>
<b>42 CFR §441.301(c)(4)(ii)</b>	For individuals who choose an assisted living facility, how often is he or she assisted with looking at multiple options before deciding which facility best meets his or her needs and preferences?	<p>Always: 74%</p> <p>Usually: 15%</p> <p>Sometimes: 6%</p> <p>Rarely: 3%</p> <p>Never: 3%</p>
<b>42 CFR §441.301(c)(4)(ii)</b>	How often is an individual able to visit a potential home for an overnight visit prior to choosing?	<p>Always: 27%</p> <p>Usually: 14%</p> <p>Sometimes: 22%</p> <p>Rarely: 20%</p> <p>Never: 16%</p>
<b>42 CFR §441.301(c)(4)(ii)</b>	<p>If an individual wished to change providers, who would act on the request?</p> <p>Check all that apply.</p>	<p>Service coordinator or case manager: 84%</p> <p>Provider staff: 4%</p> <p>Family or guardian: 12%</p>
<b>42 CFR §441.301(c)(4)(ii)</b>	When an individual residing in an assisted living facility or adult foster care setting requests to move to a different home, how long does the transition usually take, from the time the request is made to time of successful placement in the new home?	<p>One to three months: 87%</p> <p>Four to six months: 8%</p> <p>More than six months: 2%</p> <p>It is not usually possible to make such a move: 3%</p>
<b>42 CFR §441.301(c)(4)(ii)</b>	How often do individuals on your caseload who choose to live in an assisted living facility have a choice of two or more homes in their preferred community?	<p>Always: 40%</p> <p>Usually: 27%</p> <p>Sometimes: 18%</p> <p>Rarely: 11%</p> <p>Never: 5%</p>

