

Appendix 1:
HCBS Settings Rule Outcomes and Measurements

Area 1: Community access and integration

Rule Requirements: The setting is integrated in and supports full access of individuals receiving Medicaid HCBS to the greater community ... to the same degree of access as individuals not receiving Medicaid HCBS.

Outcome	Individual Measurement & Source	Provider Measurement/ Indicator & Source	Statewide/systemic Measurement/Ind. & Source
<p>Increased number of HCBS participants deciding what to do and with whom</p>	<p>NCI/POMS questions:</p> <p>NCI: Are you able to go out and do the things you want to Who do you usually do things with (shopping, dining, etc.)</p> <p>Do people have a choice of activities? Choice of who they do them with? → Distinguish between group and individual activities [limitations of the NCI - can tell in the negative (someone wants to do less of something)]</p> <p>Are people engaged to understand the choices about what there is to do in the community?</p> <p>Do people have to leave their residence when other people are out in the community?</p>	<p>Policies and practices around supporting participants in community activities → Distinguish between group and individual activities</p> <p>Staffing levels sufficient to allow people to participate in activities of their choice or aren't forced to participate in activities when others choose to</p> <p>Policies and practices re curfews, people having to go out if others are out of the residence, and other restrictions</p> <p>Risk management policies impacting community access</p> <p>CQL Basic Assurances® :</p> <ul style="list-style-type: none"> ● Do people receive the support needed to make choices about 	<p>State funding/rates for staffing community service/access [State waiver]</p> <p>State service definitions for community access [State waiver]</p> <p>State's risk policies (i.e., do they set limits on access) [State policies/procedures]</p> <p>State regulations set expectations in accordance with the rule's principles</p> <p>[NCI Choice questions are two composite scales- one is on service choice, the second is on day to day</p>

	<p>[recently added to NCI]</p> <p>HCBS Experience Survey: #80-81</p> <p>Did you take part in deciding what you do with your time each day? Did you take part in deciding when you do things each day?</p> <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● What does the person do for work and/or other daytime activities? ● Does the person have opportunities to experience different options? ● If YES, do the options include generic community work/day activities? ● Does the person have the opportunity to participate in challenging and interesting activities? ● <i>Information gathering questions for the person</i> <ul style="list-style-type: none"> ○ What do you do for work or your career? ○ What options did you have? ○ Who chose what you do? ○ Can you do something different if you want to? ○ How did others help you with this? ○ Are you satisfied with the decision either you or others made? 	<p>the kinds of work and activities they prefer?</p> <ul style="list-style-type: none"> ● Do people have autonomy and independence in making life choices, including control over their own schedules and routines? 	<p>choice/control.]</p>
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	<p>○ If not, what would you like instead?</p>		
<p>Increased number of HCBS participants having relationships with community members who are not paid to provide support or services</p>	<p>NCI Questions: Are people lonely? Do you have a best friend (question) -- if not, do you want one Are you part of community groups? Do people have someone to go to if they have a problem or concern? (NCI Question)</p> <p>Who do people know in their communities?</p> <p>HCBS Exp. Survey (other q's): Community integration (#74-79) When you wanted, how often could you get together with family and friends? How often could you do things in the community that you like? Did someone help you to do things in the community?</p> <p>CQL Personal Outcome Measures®: <ul style="list-style-type: none"> ● Is there direct interaction between the person and others in the community? ● Is the type of interaction satisfactory to the person? ● Is the frequency of interaction satisfactory to the person? ● Does the person have a natural support network? ● If YES, does the person feel they have </p>	<p>CQL Basic Assurances® :</p> <ul style="list-style-type: none"> ● Are people actively supported to engage in community life? ● Do policies describe, and practices reflect, how the organization assists people to access their natural supports? ● Does the organization use community resources, including local organizations, clubs, places of worship and schools, to build capacity for potential natural supports? <p>CQL Personal Outcome Measures®: <ul style="list-style-type: none"> ● Has the organization assessed the type of the person's interaction with other members of the community? ● Has the organization assessed the frequency of the person's interaction with other members of the community? ● Does the organization know the person's preferences for interaction or are efforts being made to learn about the person's preferences? ● Does the organization provide support for the person to access </p>	<p>State service definitions that include helping build natural supports [State waiver]</p> <p>State services and supports include strong elements for opportunities for individuals to build community connections</p> <p>State person centered planning requirements</p> <p>Regulations further rather than detract from goals of community integration [note: this is an element of the systemic review included in the STP process (in theory)]</p> <p>NCI systemic measures of relationships.</p>

	<p>enough contact with each group of people in their network? Family Friends Others in Community.</p> <ul style="list-style-type: none"> ● Does the person have friends? <ul style="list-style-type: none"> ○ Is the person satisfied with the number of friends they have? ○ Is the person satisfied with this amount of contact with their friends? ● Does the person have intimate relationships? <ul style="list-style-type: none"> ○ If YES, are they satisfied with the type and scope of intimate relationships ● Does the person fill a variety of social roles? ● <i>Information gathering questions for the person</i> <ul style="list-style-type: none"> ○ Who do you know in your community? ○ With whom do you like to spend time? With whom do you spend most of your time? ○ When you go places, whom do you meet? Talk with? ○ What kinds of interactions do you have with people (order food in restaurants; pay for purchases; talk with people at church, synagogue, or other places 	<p>opportunities for interaction with others, if needed and requested?</p> <ul style="list-style-type: none"> ● Has the person's natural support network been identified by the organization? ● Does the organization provide support for the person's relationships within the network if needed and requested? ● Are supports provided to assist the person with developing, maintaining and enhancing friendships, if needed? ● Does the organization assist the person to explore and evaluate experiences in order to make choices about intimate relationships? ● Does the organization provide support for the person to pursue, form and maintain intimate relationships? ● Has the organization addressed any barriers to the person having intimate relationships? ● Are supports provided to assist the person with performing chosen social roles if needed and requested? ● <i>Information gathering questions</i> <ul style="list-style-type: none"> ○ How do you support the person to have opportunities to 	
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	<p>of worship; visit with neighbors)?</p> <ul style="list-style-type: none"> ○ If you work, what kinds of social contacts do you have there (lunches, breaks, parties after work)? ○ What barriers do you face? With whom do you talk about this? ○ Who are the people in your life that you can count on? ○ Who do you want to talk to or be with when you go through tough times? ○ Who do you want to share your successes with? How do you maintain contact with these people? ○ Have you lost contact with family members or others? ○ Is the contact you have enough for you? If not, what is the reason? ○ What type or frequency of contact would you prefer? ○ What do you think could be done to change the situation? ○ Where do you get emotional strength? ○ How do you define 	<p>meet and interact with others?</p> <ul style="list-style-type: none"> ○ How do you determine the person's preferences for interactions? ○ How do you know if the type and frequency of interactions are satisfactory to the person? ○ Are there any barriers that affect the outcome for the person? ○ How do you assist the person to overcome barriers to this outcome? ○ What organizational practices, values, and activities support this and encourage the person to interact with others? ○ How do you learn about the person's support network? ○ What do you do to support contact? ○ If there is no 	
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	<p>friendship? Who are your friends?</p> <ul style="list-style-type: none"> ○ With whom do you like to spend time? ○ What do you like to do with friends? ○ How often do you see your friends? ○ Do you spend enough time with them? ○ Besides seeing your friends, what other kinds of things do you do to stay in contact? ○ Do you have enough friends? Would you like more? ○ Who are you closest to? ○ Is there someone with whom you share your personal thoughts or feelings? ○ Whom do you trust to talk with about private concerns and feelings? ○ Who is there for you when you need to talk? ○ With whom do you share your good and bad feelings? ○ Is this enough for you? 	<p>contact, what is done to assist the person to re-establish contact if desired?</p> <ul style="list-style-type: none"> ○ If contact is with parents only, what do you do to expand the network to extended family? ○ What do you do if the extent and frequency of contact is unsatisfactory to the person? ○ Are there any barriers that prevent the person from remaining connected with the people he or she identifies as part of their support network? ○ How do you assist the person to overcome barriers to this outcome? ○ What organizational practices, values, and activities support this outcome for the person? ○ How do you determine the 	
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		<p>importance of friendship to the person?</p> <ul style="list-style-type: none">○ How do you know if the person needs support to develop or maintain friendships?○ How do you determine satisfaction with the extent and frequency of contact?○ Are there any barriers that affect the outcome for the person?○ How do you assist the person to overcome barriers to this outcome?○ What organizational practices, values, and activities support this outcome for the person?○ How do you learn about the person's desires for intimacy?○ How do you know if the person needs support to develop or maintain intimate	
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		<ul style="list-style-type: none"> relationships? ○ If the person needs support, what has been arranged? ○ Are there any barriers that affect the outcome for the person? ○ How do you assist the person to overcome barriers to forming intimate relationships with others? ○ What organizational practices, values, and activities support this outcome for the person? 	
<p>Increased number of HCBS participants having access to transportation or support to access community activities of choice</p>	<p>NCI Questions: Do you have a way to get where need to go Do you have a way to get to places you want to go (to see friends, etc.) Do people have transportation to community activities?</p> <p>→ Need to distinguish between medical and recreational Do people have access to public</p>	<p>CQL Basic Assurances[®]:</p> <ul style="list-style-type: none"> ● Are transportation and other supports provided so people can access community services similar to those used by the community at large? <p>Policies and practices re helping people learn how to use public</p>	<p>State funding for disability-related transportation [state’s Medicaid waiver or state plan]</p> <p>Funding for public transportation; walkability of different areas [state and local transportation plans; ADA</p>

	<p>transportation? Do they know how to use it?</p> <p>Does their provider provide you transportation?</p> <p>HCBS Experience Survey (#59-62): How often do you have a way to medical appts? Last 3 mos, did you use a van or transportation service? Were you able to get in and out easily How often did it arrive on time?</p> <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Does the person have maximum access to each physical environment they frequent? (home work community) <ul style="list-style-type: none"> ○ If no...What, if anything, MOST limits their ability to access the environment? (lack of training lack of equipment technology lack of environmental modifications lack of transportation organizational rules/practices other) ● Services the Individual Currently Receives Transportation Currently receives this service ● <i>Information gathering questions for</i> 	<p>transportation or other transportation (like uber)</p>	<p>PARC Walkability & Transit scores^{1]}</p>
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¹ Access to Community Resources information from the ADA Participatory Action Research Consortium (ADA-PARC): [Walk score](#) and [Transit score](#).

	<p><i>the person</i></p> <ul style="list-style-type: none">○ Is there something you wish you could do, but can't?○ Is transportation available when you want to go somewhere?		
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Area 2: Residential options

Rule Requirements: 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.

Outcome	Individual Measurement & Source	Provider Measurement/ Indicator & Source	Statewide/systemic Measurement/Ind. & Source
Increased number of HCBS participants living in their own homes	<p>NCI, POMS</p> <p>Where people live (family home, own home, foster home, group home, etc)</p> <p>CQL Personal Outcome Measures®: Type of Residence: Select one.</p> <ul style="list-style-type: none"> • Own house/apartment 	<p>Types of residential settings provider offers (support in own home, supported living, group home, etc) & capacity</p> <p>CQL Basic Assurances® :</p> <ul style="list-style-type: none"> • Are people provided options for support settings that include generic settings? • Are supports provided in integrated settings? 	<p>Sources:</p> <ul style="list-style-type: none"> • Residential Information Systems Project (RISP) • State data <p>Longitudinal trends on capacity of congregate settings vs. own home/apt.</p> <p>Spending trends by waiver (T-MSIS may also begin to provide greater specificity on waiver spending trends.)</p>
Increased number of people living in smaller settings	<p>NCI</p> <p>Size of setting</p> <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> • Number of Housemates: Receiving paid services/supports (e.g., with disabilities, INCLUDE person interviewed) • Number of Housemates: Not receiving paid services/supports (e.g., without disabilities) • Number of Housemates: TOTAL 	<p>Types of settings provider offers & capacity</p> <p>CQL Basic Assurances® :</p> <p>[We collect organization wide demographic info on where people live]</p> <p>Type of Residence: Select one.</p> <ul style="list-style-type: none"> • Own house/apartment • Family's house • Host family/family foster care • Provider owned/operated house or 	<p>Sources:</p> <ul style="list-style-type: none"> • RISP • State of the States • State data • ICF & NF data (public v private) <p>Rates/expenditures* (DSP pay impacts)</p> <p>*concerns with own family home</p> <p>Structure and funding of residential services</p>

	<p>number in household (including person interviewed)</p>	<p>apartment (3 or less)</p> <ul style="list-style-type: none"> • Provider owned/operated house or apartment (4 to 8) • Provider owned/operated house or apartment (9 to 15) • Provider owned/operated house or apartment (16+) • Private ICF/DD (4 to 8) • Private ICF/DD (9 to 15) • Private ICF/DD (16+) • State-operated HCBS group home • State-operated ICF/DD (4 to 8) • State-operated ICF/DD (9 to 15) • State-operated ICF/DD (16+) • State-operated psychiatric facility • Assisted living facility • Nursing home • Transitional housing • Prison • Homeless • Other 	<p>(definitions, waivers, etc.)</p> <p>Size of waitlists [Note: this can be more complex than it seems on first blush - may want to discuss with group]</p> <p>Provider licensing/oversight for different services?</p> <p>NCI data is sorted by type of living arrangement and can be sorted by number of people who live together;</p>
<p>Increased number of HCBS participants choosing the people they live with</p>	<p>NCI Question: Did you choose your roommate?</p> <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> • Does the person have options about where and with whom to live? • Does the person select with whom they live? [NOTE: in the conversation we ask “how” they decided where to live. The POMs is open ended so we typically don’t 	<p>Policies and practices: how you support people to choose where they live</p> <p>CQL Basic Assurances®:</p> <ul style="list-style-type: none"> • Do people have a choice of roommates (if applicable)? • Do people have an option to choose a private bedroom if receiving residential support? 	<p>Regulations and policies set forth clear expectations for meaningful person-centered planning. (including mechanisms to conduct oversight of system performance)</p>

	<p>ask yes/no questions]</p> <ul style="list-style-type: none"> ● <i>Information gathering questions</i> <ul style="list-style-type: none"> ○ How did you choose where to live? ○ What options did you have to choose from? ○ How did you decide who would live with you? ○ What do you like about your living situation? ○ What would you like to be different? 	<p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Does the organization know where and with whom the person wants to live or are there efforts being made to learn about the person's preferences? ● Does the organization support the person to explore all options so he or she can make informed choices? ● Does the organization acknowledge the person's preferences and support the person to address any barriers that prevent him/her from choosing where and with whom to live? ● <i>Information gathering questions</i> <ul style="list-style-type: none"> ○ How do you learn about the person's preferences for type of living situation? ○ How do you present options to the person so he or she can make informed choices? ○ Is the person living where and with whom he or she wishes? If not, what is the barrier? ○ What are you doing to overcome this barrier? ○ What organizational practices, values, and activities support the person to maintain or 	
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		achieve this outcome?	
Increased number of HCBS participants choosing where they live (location)	<p>NCI Question: Did you choose where your live</p> <p>Did you choose your location/home?</p> <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Does the person have options about where and with whom to live? <ul style="list-style-type: none"> ○ If YES, do the options include generic (non-disability specific) community settings? ○ If YES, do the options include options for a private unit in a residential setting, and respect the person's choice? ● Does the person decide where to live? <ul style="list-style-type: none"> ● <i>Information gathering questions</i> <ul style="list-style-type: none"> ○ How did you choose where to live? ○ What options did you have to choose from? ○ How did you decide who would live with you? ○ What do you like about your living situation? ○ What would you like to be different? 	<p>Policies and practices: how you support people to choose where they live</p> <p>CQL Basic Assurances®:</p> <ul style="list-style-type: none"> ● Are people provided options for support settings that include generic settings? ● Are setting options identified and documented in the person-centered plans? Are they chosen by the person? ● Do people choose their goals and services, including where they work (or spend their day) and where and with whom they live? <p>Policies and practices: how you support people to choose where they live</p> <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Were the person's preferences and unique characteristics used as the home was selected? ● Does the organization acknowledge the person's preferences and support the person to address any barriers that prevent him/her from choosing where and with whom to live? <ul style="list-style-type: none"> ● <i>Information gathering questions</i> 	<p>Regulations and policies set forth clear expectations for meaningful person-centered planning. (including mechanisms to conduct oversight of system performance)</p>

		<ul style="list-style-type: none">○ How do you learn about the person's preferences for type of living situation?○ How do you present options to the person so he or she can make informed choices?○ Is the person living where and with whom he or she wishes? If not, what is the barrier?○ What are you doing to overcome this barrier?○ What organizational practices, values, and activities support the person to maintain or achieve this outcome?	
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Area 3: Day options (Competitive Integrated Employment (CIE) focus)

Rule Requirements: 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.

Outcome	Individual Measurement & Source	Provider Measurement/ Indicator & Source	Statewide/systemic Measurement/Ind. & Source
<p>Increased number of HCBS participants spending their days in ways that are important to them as defined by the individual</p>	<p>NCI Questions: Do you have a job in the community? Did you choose your job? Do you like your job? What do you do during the day? (facility-based, etc.) Is employment a goal in the plan?</p> <p>If person wants a job a job in person-centered plan?</p> <p>HCBS Experience Survey: (#80-81) and community integration</p> <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Does the person decide where to work or what to do (e.g., type of job/employer or daytime activity)? ● Does the person have opportunities to experience different options? <ul style="list-style-type: none"> ○ If YES, do the options include generic community work/day activities? ● <i>Information gathering questions</i> 	<p>Policies and practices</p> <ul style="list-style-type: none"> ● How to support people to choose day services? To encourage CIE? <p>CQL Basic Assurances®:</p> <ul style="list-style-type: none"> ● Do people receive the support needed to make choices about the kinds of work and activities they prefer? ● Do people choose their goals and services, including where they work (or spend their day), and where and with whom they live? <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Does the organization know the person's interests for work, or are efforts being made to learn what the person would like to do? ● Has the organization responded to the person's desires for pursuing specific work or career options with supports? ● Does the organization actively solicit the person's preferences, provide 	<p>Sources: ICI data, State of the States</p> <p>Service vs. outcome data.</p> <ul style="list-style-type: none"> ● # participating ● \$/investment <p>Structure/funding and expenditures by setting types</p> <p>Service definitions of day services and utilization of different service definitions.</p>

	<ul style="list-style-type: none"> ○ What do you do for work or your career? ○ What options did you have? ○ Who chose what you do? ○ Can you do something different if you want to? ○ How did others help you with this? ○ Are you satisfied with the decision either you or others made? ○ If not, what would you like instead? 	<p>options to the person, and honor the person's choices about services? Residential/In-home</p> <ul style="list-style-type: none"> ● <i>Information gathering questions</i> <ul style="list-style-type: none"> ○ How do you learn about the person's preferences for work? ○ How do you present options to the person so he or she can make informed choices? ○ Is the person working where he or she wishes? If not, what is the barrier? ○ What are you doing to overcome the barrier? ○ How do you learn about the person's job satisfaction? ○ What organizational practices, values, and activities support the person to maintain or achieve this outcome? 	
<p>Increased number of HCBS participants in CIE</p>	<p>NCI and ICI data: NCI data: Type of job, wages, benefits, hours</p> <p>More people working</p> <ul style="list-style-type: none"> ● # of hours worked ● Wages ● Did you pick your job? ● Interactions with coworkers 	<p>ICI data</p> <p>Types of services offered vs. capacity</p> <p>Policies and practices</p> <ul style="list-style-type: none"> ● Job development, timeframe to get a job <p>CQL Basic Assurances[®]:</p> <ul style="list-style-type: none"> ● <input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/> Are people supported to 	<p>Sources: ICI data, State of the States</p> <p>Capacity changes</p> <ul style="list-style-type: none"> ● More people in CIE (prob. with disaggregating group vs. individual CIE), engaged in community

	<ul style="list-style-type: none"> ● Do you like your job? <p>HCBS experience survey: #52-53: Did you ask case manager for help in changing services, such as help with getting places or finding a job?</p> <p>HCBS Experience Employment Module: 21 questions on help finding employment, selection of employment, reliability and helpfulness of job coach; ability of job coach to listen and communicate well; satisfaction with and willing to rec job coach.</p> <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Does the person decide where to work or what to do (e.g., type of job/employer or daytime activity)? ● Does the organization know the person's interests for work, or are efforts being made to learn what the person would like to do? ● Does the organization provide the person with access to varied job experiences and options? ● Do the options include generic (non-disability) community work/day activities? ● Has the organization responded to the person's desires for pursuing specific work or career options with supports? 	<p>generate income to be used for needs and wants not covered by public assistance?</p> <ul style="list-style-type: none"> ● Are people actively supported to seek employment, and work in competitive and integrated settings? <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Does the organization know the person's interests for work, or are efforts being made to learn what the person would like to do? ● Does the organization provide the person with access to varied job experiences and options? ● Do the options include generic (non-disability) community work/day activities? ● Has the organization responded to the person's desires for pursuing specific work or career options with supports? ● Has the organization supported the person to address any identified barriers to achieving this outcome (choosing where to work)? <ul style="list-style-type: none"> ● <i>Information gathering questions</i> <ul style="list-style-type: none"> ○ How do you learn about the person's preferences for work? ○ How do you present options to the person so he or she can make informed choices? 	<ul style="list-style-type: none"> ● Fewer in congregate day settings (day hab), sheltered work <p>Service definitions for employment services and utilization of different service definitions.</p>
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	<ul style="list-style-type: none"> ● Has the organization supported the person to address any identified barriers to achieving this outcome (choosing where to work)? <ul style="list-style-type: none"> ● <i>Information gathering questions</i> <ul style="list-style-type: none"> ○ What do you do for work or your career? ○ What options did you have? ○ Who chose what you do? ○ Can you do something different if you want to? ○ How did others help you with this? ○ Are you satisfied with the decision either you or others made? ○ If not, what would you like instead? 	<ul style="list-style-type: none"> ○ Is the person working where he or she wishes? If not, what is the barrier? ○ What are you doing to overcome the barrier? ○ How do you learn about the person's job satisfaction? ○ What organizational practices, values, and activities support the person to maintain or achieve this outcome? 	
<p>Increased number of HCBS participants engaged in community life or activities aimed at improving community engagement</p>	<p>NCI, POMS and ICI data: NCI Question: Did you choose your day services?</p> <p>More people engaged in community life, engagement wraparound</p> <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Does the person participate in the life of the community? <ul style="list-style-type: none"> ○ If YES, is the person satisfied 	<p>CQL, ICI data</p> <p>Policies and practices</p> <ul style="list-style-type: none"> ● Community engagement <p>CQL Basic Assurances® :</p> <ul style="list-style-type: none"> ● Are people actively supported to engage in community life? ● Are transportation and other supports provided so people can access community services similar to those used by the community at large? 	<p>ICI data, State of the states</p> <p>Data re community life engagement/wraparound services</p>

	<p>with the type of their participation?</p> <ul style="list-style-type: none"> ○ If YES, is the person satisfied with the frequency of their participation? ● Does the person use the same environments used by people without disabilities? ● Is there direct interaction between the person and others in the community? <ul style="list-style-type: none"> ○ Is the type of interaction satisfactory to the person? ○ Is the type of interaction satisfactory to the person? ● <i>Information gathering questions</i> <ul style="list-style-type: none"> ○ What kinds of things do you do in the community (shopping, banking, church, synagogue, mosque, school, hair care)? How often? ○ What kinds of recreational or fun things do you do in your community (movies, sports, restaurants, special events)? How often? ○ How do you know what there is to do? 	<ul style="list-style-type: none"> ● Do people receive the support needed to make choices about the kinds of work and activities they prefer? <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Does the organization know what the person would like to do in the community or are efforts being made to learn about the person's preferences? ● Does the organization know what integration means to the person, or are efforts being made to learn about the person's preferences? ● Does the organization know the person's preferences for interaction or are efforts being made to learn about the person's preferences? ● Does the organization provide support for the person to access opportunities for interaction with others, if needed and requested? ● Does the organization provide the person with access to information about options for community participation? ● Does the organization provide support for the person to do the things he or she wants to do? ● <i>Information gathering questions</i> <ul style="list-style-type: none"> ○ How is the person informed of options available in his or her 	
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	<ul style="list-style-type: none"> ○ Who decides where and with whom you go? ○ Is there anything you would like to do in your community that you don't do now? What do you need to make this happen? ○ What supports do you need to participate as often as you'd like in community activities? ○ Who do you know in your community? ○ With whom do you like to spend time? With whom do you spend most of your time? ○ When you go places, whom do you meet? Talk with? ○ What kinds of interactions do you have with people (order food in restaurants; pay for purchases; talk with people at church, synagogue, or other places of worship; visit with neighbors)? ○ If you work, what kinds of social contacts do you have there 	<p>community?</p> <ul style="list-style-type: none"> ○ How do you learn about what the person prefers to do? ○ How do you learn about how often the person likes to be involved in community activities? ○ What supports does the person need to participate in community activities? How are those provided? ○ Are there any barriers that affect the outcome for the person? ○ How do you assist the person to overcome barriers to this outcome? ○ What organizational practices, values, and activities support this outcome for the person? ○ <i>How</i> do you support the person to have opportunities to meet and interact with others? ○ How do you determine the person's preferences for interactions? ○ How do you know if the type and frequency of interactions are satisfactory to the person? 	
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	<p>(lunches, breaks, parties after work)?</p> <ul style="list-style-type: none"> ○ What barriers do you face? With whom do you talk about this? 	<ul style="list-style-type: none"> ○ Are there any barriers that affect the outcome for the person? ○ How do you assist the person to overcome barriers to this outcome? ○ What organizational practices, values, and activities support this and encourage the person to interact with others? 	
<p>Decreased number of HCBS participants in congregate care/day hab</p>	<p>NCI, and ICI data</p> <p>Number of people in day hab</p> <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● What does the person do for work and/or other daytime activities? (select all) Sheltered work Enclave Work Day program/activities Community-based day activities 	<p>ICI data</p> <p>Policies and practices:</p> <ul style="list-style-type: none"> ● Engaging people on CIE and community participation <p>CQL Basic Assurances®:</p> <ul style="list-style-type: none"> ● Are the activity and work options available to people age appropriate and culturally normative? Do these options promote a positive self-image? ● Are people paid fairly for work they perform? ● Are people actively supported to seek employment, and work in competitive and integrated settings? <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Services the Individual Currently Receives Day program/activities Receives service from THIS organization; Community-based 	<p>ICI data, state of the states</p> <p>Fewer people in congregate care/day hab.</p> <p>Structure/funding and expenditures.</p>

		day activities Receives service from THIS organization; Sheltered work Receives service from THIS organization	
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Area 4: Individual control in settings/individual rights

Rule Requirements: Facilitates individual choice regarding services and supports, and who provides them. 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. The setting ensures an individual’s rights of privacy, dignity and respect, and freedom from coercion and restraint.

In addition, in a provider-owned or controlled residential setting, 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; individuals sharing units have a choice of roommates in that setting; individuals have the freedom to furnish and decorate their sleeping or living units; and individuals have the freedom and support to control their own schedules and activities, and have access to food at any time; individuals are able to have visitors of their choosing at any time.

Outcome	Individual Measurement & Source	Provider Measurement/ Indicator & Source	Statewide/systemic Measurement/ Indicator & Source
<p>Increased number of HCBS participants whose rights are fully protected in accordance with the Rule.</p> <p>Decreased number of HCBS participants with rights restrictions; and any rights restrictions conform with the requirements of the Rule.</p>	<p>NCI Questions: Do you have a key to your room, do you have privacy, can you have friends over, can you use the phone, can you use the internet, etc., can you control your spending money, can you control your schedule, eat when you want</p> <p>HCBS Exp. survey NQF endorsed measures: Choose the services that matter to you (2 items, #56-57); personal safety and respect (3 items -- #63-73); planning your time and activities (6 items --#79-81);</p> <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Indicate whether the person exercises their rights for the following categories 	<p>Policies and practices: educating people about their rights in setting</p> <p>Manage health without limiting rights.</p> <ul style="list-style-type: none"> ● Rule’s process for rights restrictions <p>CQL Basic Assurances® :</p> <ul style="list-style-type: none"> ● Are people provided needed supports to exercise the rights that are important to them? ● Does the organization assess people’s abilities to exercise their rights, especially those rights that are most important to them? ● Does the assessment address people’s civil and legal rights and personal freedoms? Examples include, but are not limited to the 	<p>Sources:</p> <p>State regs./licensing/provider manual</p> <p>Provider training (rights & rights restrictions)</p> <p>Oversight of providers – do they measure this? Do they measure oversee rts. restrictions?</p> <ul style="list-style-type: none"> ● Does diagnosis drive rights limitation? <p>Human rights grievances/complaints process, types of grievances/complaints and resolution</p>

	<ul style="list-style-type: none"> ○ Right to voice an opinion ○ Vote ○ Move about the community ○ Associate with others ○ Practice religion ○ Privacy ○ Personal possessions ○ Access food ○ Have visitors at any time ○ Access money ○ Personal decision-making ○ Fair wages ○ Non-discrimination at work ○ Freedom from coercion and restraint ○ File complaints about services ○ Other rights that are important to the person ● For each item where rights limitations were noted, was adequate due process provided? <ul style="list-style-type: none"> ○ Right to voice an opinion ○ Vote ○ Move about the community ○ Associate with others ○ Practice religion ○ Privacy ○ Personal possessions ○ Access food ○ Have visitors at any time ○ Access money ○ Personal decision-making ○ Fair wages 	<p>ability to do the following:</p> <ul style="list-style-type: none"> ○ move freely ○ manage money ○ send and receive mail ○ make and receive telephone calls and use other means of communication ○ visit and be visited by whomever they choose ○ access personal possessions ○ vote <p>THE ORGANIZATION UPHOLDS DUE PROCESS REQUIREMENTS.</p> <ul style="list-style-type: none"> ● Does the organization have, or have access to, a working and effective Rights Committee? ● Do the policies and procedures define Rights Committee membership, training, roles, responsibilities and procedures? ● Does the Rights Committee oversee the use of restrictive or intrusive interventions that are part of a plan of behavioral or medical supports? ● When restrictive or intrusive interventions are reviewed, is at least one-third of the Rights Committee membership present not affiliated with the organization? ● Does the Rights Committee review policies, procedures and practices 	<p>Look at what did in initial STP & <u>implementing</u></p> <p>[Aggregation of CQL data can show systemic trends]</p>
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	<ul style="list-style-type: none"> ○ Non-discrimination at work ○ Freedom from coercion and restraint ○ File complaints about services ○ Other rights that are important to the person ● <i>Information gathering questions</i> <ul style="list-style-type: none"> ○ What do you know about your rights as a citizen? ○ Do you have access to information about your rights as a citizen? As an employee? As a person receiving services? ○ What rights are most important to you? ○ Are you able to exercise your rights without difficulty? ○ What information or support do you need to help you to exercise your rights? ○ With whom can you talk about your questions or concerns regarding rights? ○ Have there been times when you thought you were treated unfairly or that your rights were violated? ○ With whom can you talk 	<p>that have the potential for rights restrictions without an individualized assessment (such as blanket restrictions that affect more than 1 person)?</p> <ul style="list-style-type: none"> ● Does the Rights Committee review all individual rights restrictions? ● Does the Rights Committee review the frequencies and reasons surrounding the use of restraint for behavioral or medical purposes? ● Does the Rights Committee review reports of substantiated allegations of abuse, neglect, mistreatment, exploitation and other data that reveal the organization’s practices with respect to human, civil and legal rights? ● Does it make recommendations to the organization for promoting people’s rights? ● Does the Rights Committee proactively promote and protect people’s rights, such as direct interactions with people served to discuss issues surrounding rights and basic protections? ● Does the Rights Committee maintain a record of its activities and document issues reviewed, actions taken and requested follow-up? 	
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	<p>when you have concerns about your rights or how you are treated?</p> <ul style="list-style-type: none"> ○ Are any of your rights formally limited? ○ If yes, did you agree to the limitation? ○ What is being done to change the situation? ○ What assistance are you getting so that you can exercise this right in the future? <p>HCBS Exp. Survey (other questions): Community integration (#74-78) Did personal assistant know what kind of help you needed with everyday activities?</p> <p>The following are not in NCI</p> <ul style="list-style-type: none"> ● Freedom of movement ● Ability to have consensual sexual relationships ● Do they know their rights ● Do you know what to do if you don't like how you're treated → Concerns validated ● Décor <p>Who created the rules for the setting?</p>	<ul style="list-style-type: none"> ● Are people supported to attend Rights Committee meetings and provide input? ● Does the Rights Committee review behavior support plans that include restrictive/intrusive procedures? ● Do people receive needed supports to report complaints, problems or concerns? ● Are people supported to decorate their homes as they choose and to maintain homes that are safe and sanitary? ● Do people receive only the level of support needed to make their own decisions? ● Do people have autonomy and independence in making life choices, including control over their own schedules and routines? ● Does the policy prohibit standing policies and practices that restrict people's rights? ● Are people supported to advocate for themselves? <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Are the person's preferences and desires about the exercise of rights solicited by the organization? ● Have the rights that are important to the person been identified or are there efforts being made to learn 	
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		<p>about their preferences?</p> <ul style="list-style-type: none"> ● Is the person provided with the support needed to exercise their rights? ● Does the organization respond to the person's fair treatment issues to address any concerns? ● Has the organization solicited information about rights violations or fair treatment issues from the person? ● Have procedures for due process for identified rights limitations been implemented? ● Are the procedures used by the organization consistent with due process principles? ● For any fair treatment issues, was the issue(s) addressed so that the person's concerns were resolved to their satisfaction? ● <i>Information gathering questions</i> <ul style="list-style-type: none"> ○ How is the person supported to learn about his or her rights? ○ Does the person need support to exercise rights? ○ If so, what are the supports and who provides them? ○ Are there any barriers that affect the outcome 	
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		<p>for the person?</p> <ul style="list-style-type: none"> ○ How do you assist the person to overcome barriers to this outcome? ○ What organizational practices, values, and activities support this outcome for the person? ○ Does the person have rights limitations? ○ What is the reason for the limitation? ○ How was it decided that the limitation was necessary? ○ Who consented to the limitation? ○ Who reviewed the limitation? What is the plan to remove the limitation (training; support; change in policy or practice)? ○ How long will the limitation be in place? ○ What are the barriers that affect the outcome for the person? ○ How do you assist the person to overcome barriers to this outcome? 	
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		<ul style="list-style-type: none">○ What organizational practices, values, and activities support this outcome for the person?	
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Area 5: Self-determination (person-centered planning and self-direction)

Rule Requirements: The setting facilitates individual choice regarding services and supports, and who provides them.

Outcome	Individual Measurement & Source	Provider Measurement/ Indicator & Source	Statewide/systemic Measurement/ Indicator & Source
<p>Increased number of HCBS participants who have choices about providers and services</p>	<p>Source: NCI</p> <p>Do you get to choose who is part of (and not part of) planning meeting?</p> <p>Can you choose your staff</p> <p>Can participants change services/provider?</p> <p>Does the person have a guardian</p> <p>HCBS experiences: Have you asked for changes to your services? (#52-54, #58)</p> <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Does the person choose personal goals? ● Does the person select the services and/or supports that they receive? Residential/In-home ● Does the person select the services and/or supports that they receive? Employment/Day ● Does the person select the services and/or supports that they receive? Health 	<p>CQL/POM</p> <p>Policies and practices – how to help people explore choices</p> <p>How policies and practices support the person to lead the person-centered planning process direct their own services.</p> <p>Guardianship</p> <ul style="list-style-type: none"> ● engaging the individual vs. the guardian ● review scope of guardianship ● in person-centered plan, if it documents need for & scope of guardianship <p>CQL Basic Assurances® :</p> <ul style="list-style-type: none"> ● Do people choose their goals and services, including where they work (or spend their day), and where and with whom they live? ● Do people choose their own health care providers? ● Do people receive only the level of support needed to make their own decisions? ● Does the organization review the <i>need</i> for advocacy, guardianship, representative payee, and alternatives to guardianship and/ or representative 	<p>Longitudinal</p> <ul style="list-style-type: none"> ● # of people self-directing [NCI gives sample] ● # of people under guardianship versus alternatives to guardianship

	<ul style="list-style-type: none"> ● Does the person select the services and/or supports that they receive? Case Management ● Does the person select the services and/or supports that they receive? Generic Community (bank, stores, dentist, doctor, etc.) ● Do the services and/or supports focus on the person's goals? Residential/In-home ● Do the services and/or supports focus on the person's goals? Employment/Day ● Do the services and/or supports focus on the person's goals? Health ● Do the services and/or supports focus on the person's goals? Case Management ● Do the services and/or supports focus on the person's goals? Generic Community (bank, stores, dentist, doctor, etc.) ● Does the person have choices about service provider organizations? Residential/In-home ● Does the person have choices about service provider organizations? Employment/Day ● Does the person have choices about service provider organizations? Health ● Does the person have choices about 	<p>payee, including supported decision-making options?</p> <ul style="list-style-type: none"> ● Does the organization review the <i>scope</i> of advocacy, guardianship, representative payee, and alternatives to guardianship and/or representative payee needed and desired by each person? ● Does the person-centered plan document the need for and scope of advocacy, guardianship, representative payee, and alternatives to guardianship and/or representative payee, including supported decision-making options? Is the plan then reviewed annually? ● Is there a written plan to obtain advocacy, guardianship, representative payee, and alternatives to guardianship and/or representative payee if those supports are needed? ● Do people receive information about their supports and services in plain language that is accessible and reflects cultural considerations? <p>CQL Personal Outcome Measures®:</p> <ul style="list-style-type: none"> ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's choices about SERVICES? Residential/In-home ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's 	
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	<p>service provider organizations? Case Management</p> <ul style="list-style-type: none"> ● Does the person have choices about service provider organizations? Generic Community (bank, stores, dentist, doctor, etc.) ● Does the person have choices about direct support professionals/staff? Residential/In-home ● Does the person have choices about direct support professionals/staff? Employment/Day ● <i>Information gathering questions</i> <ul style="list-style-type: none"> ○ How do you want your life to be in the future? ○ What is important to you to accomplish or learn? ○ Whom do you talk with about your future? ○ What are your hopes and dreams for yourself? ○ What assistance (if any) do you need to make these things happen? ○ What services are you receiving? ○ When, where, and from whom do you receive the services? ○ Who decided what services you would receive? ○ If you did not decide, 	<p>choices about SERVICES? Employment/Day</p> <ul style="list-style-type: none"> ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's choices about SERVICES? Health ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's choices about SERVICES? Case Management ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's choices about SERVICES? Generic Community ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's choices about PROVIDER ORGANIZATIONS? Residential/In-home ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's choices about PROVIDER ORGANIZATIONS? Employment/Day ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's choices about PROVIDER ORGANIZATIONS? Health ● Does the organization actively solicit the 	
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	<p>what was the reason?</p> <ul style="list-style-type: none"> ○ How did you decide who would provide the service? ○ Are these the services you want? ○ Do you have enough services? Are they meeting your needs and expectations? ○ Can you change services or providers if you so choose? 	<p>person's preferences, provide options to the person, and honor the person's choices about PROVIDER ORGANIZATIONS? Case Management</p> <ul style="list-style-type: none"> ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's choices about PROVIDER ORGANIZATIONS? Generic Community ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's choices about DIRECT SUPPORT PROFESSIONALS/ STAFF? Residential/In-home ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's choices about DIRECT SUPPORT PROFESSIONALS/ STAFF? Employment/Day ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's choices about DIRECT SUPPORT PROFESSIONALS/ STAFF? Health ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's choices about DIRECT SUPPORT PROFESSIONALS/ STAFF? Case Management 	
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		<ul style="list-style-type: none"> ● Does the organization actively solicit the person's preferences, provide options to the person, and honor the person's choices about DIRECT SUPPORT PROFESSIONALS/ STAFF? Generic Community ● <i>Information gathering questions</i> ● <i>How do you determine the services desired by the person?</i> <ul style="list-style-type: none"> ○ How were options for services and providers presented to the person? ○ How were the person's preferences considered when presenting options? ○ If the person has limited ability to make decisions or limited experience in decision-making, what do you do? ○ How do you assist the person to overcome barriers to this outcome? ○ What organizational practices, values, and activities support this outcome for the person? 	
<p>Increased number of HCBS participants who are given a choice to self-direct</p>	<p>Source: NCI</p> <p>Are you self directing? Do you control your budget, hire your staff, etc. Not in NCI: Do/did you have an option to self-direct services?</p>	<p>CQL Basic Assurances® :</p> <ul style="list-style-type: none"> ● Do people supported by the organization participate in the organization's staff recruitment and retention programs? ● Is a single team identified by each person that includes the person and 	<p>Self-direction option in the waiver Materials accessible to families and</p>

		<p>others critical to assessing and providing needed supports?</p> <ul style="list-style-type: none"> Do people receive information and support to direct the development of the plans, or are they supported to do so? 	<p>individuals regarding the process of self-direction Availability of service brokers</p>
<p>Increased number of HCBS participants who use PCP to describe what they want and need to bring purpose and meaning to their life</p> <p>[Faithful implementation of person-centered planning requirements]</p>	<p>PCPC rights restriction (any changes are documented in the plan).</p> <p>Can you choose who does or doesn't participate? (Asking individual re: guardian)</p> <p>NCI Questions: Did you decide who could be at your planning process, are there goals in your plan re: employment, friendships, does your plan include things that are important to you</p>	<p>CQL Basic Assurances® :</p> <ul style="list-style-type: none"> Do people have person-centered plans that they develop with individual support teams that are chosen by them? Do teams include both paid and natural supports? Do people receive information and support to direct the development of the plans, or are they supported to do so? Are setting options identified and documented in the person-centered plans? Are they chosen by the person? Do person-centered plans incorporate the results of assessments, evaluations and screenings required by the organization and by the person based on individual strengths and needs? Do assessments, evaluations and screenings focus on the skills and supports present, those preferred and desired by the person, and those needed to realize personal goals? Do person-centered plans include goals, action steps designed to achieve those goals, and methods to achieve the objectives? Do people choose their goals and 	<p>Person-setting planning regulations, oversight, training</p> <p>Guardianship and alternatives to guardianship</p>

		<p>services, including where they work (or spend their day), and where and with whom they live?</p> <ul style="list-style-type: none"> ● Are person-centered plans written in plain language and accessible to the person? ● Are person-centered plans reviewed at least monthly by the individual plan coordinator and at least annually by the team? ● Are person-centered plans modified by people with their individual support teams as goals and objectives are or are not realized? ● Is the plan agreed to, with informed consent of the person in writing? Do all team members responsible for implementation sign the plan? ● Does the organization have a system to monitor implementation of person-centered plans? Does it include direct observation of services and supports as well as assessment of the reliability of data used to evaluate people's progress? ● Do staff receive training in skills and abilities needed to implement people's plans? ● Do staff document that they have provided services and supports in accordance with the person-centered plan and the organization's policies and procedures? 	
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