

**DHS DIVISION OF LICENSING
Self-Monitoring Checklist**

Home and Community-Based Services Licensed under Minnesota Statutes, chapter 245D

ADMISSION & SERVICE INITIATION

There are multiple requirements tied to either the date of admission into the program, meaning the day a person is admitted or enrolled for service, and the date of service initiation, meaning the first day services were actually provided. The difference between the two is important. In many situations there is a period of days or weeks between when a person is admitted to a program and the day services are actually initiated. The timing of these requirements is for the benefit of the person receiving services, especially those related to providing information about rights or rights related policies of the programs.

Basic Support Services vs. Intensive Support Services

There are different licensing requirements when a license holder is providing basic support services and intensive support services during the early period of service provision [section 245D.03, subdivision 1]. The checklist designates when the licensing standards apply to a specific service type. When there is no designation, the licensing standards apply to both basic support services and intensive support services.

Basic support services include:

- In-home and out-of home respite care
- Adult companion services
- Personal support
- 24-hour emergency assistance
- Night supervision
- Homemaker
- Individual community living support
- Individualized home supports services

Intensive support services include:

- Intervention services, including
 - Positive Support Services
 - In-home and out-of home crisis respite
 - Specialist services
- In-home support services, including
 - In-home family support and supported living services
 - Independent living skills training
 - Semi-independent living services
 - Individualized home supports
- Residential supports and services, including
 - Supported living services and foster care services provided in a child foster care residence, a family adult foster care residence, a community residential setting, or a supervised living facility
 - Residential services provided in an ICF/DD;
- Day services, including
 - Structured day services,
 - Day training and habilitation
 - Prevocational services
- Supported Employment Services, including
 - Employment development services
 - Employment exploration services
 - Employment support services
- Supported employment services

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Definitions:

"Annual" or "Annually" means prior to or within the same month of the subsequent calendar year [section 245A.02, subd. 2b].

"Common entry point" means the entity designated by each county responsible for receiving reports under section 626.557.

"Coordinated service and support plan" [CSSP] has the meaning given in sections [256B.0913, subdivision 8](#); [256B.0915, subdivision 6](#); [256B.092, subdivision 1b](#); and [256B.49, subdivision 15](#), or successor provisions [section 245D.02, subdivision 4b].

The CSSP is developed by the case manager in consultation with person and/or their representative. The CSSP provides direction to license holders and assigns responsibilities, including:

- *Services/tasks that the license holder is responsible to implement*
- *Reporting requirements above the minimum reporting required in Chapter 245D*
- *Person-centered planning elements*
- *Additional assessments to be completed by the license holder, if any.*

"Coordinated service and support plan addendum" [CSSP addendum] means the documentation that this chapter requires of the license holder for each person receiving services [section 245D.02, subdivision 4c].

The person's support team or expanded support team must participate in the development of the CSSP addendum. The CSSP addendum is not a single document. It is multiple documents or documentation the license holder is required to develop that identify how services will be delivered in order to meet a person's identified needs and desired outcomes.

Within the scope of services and the responsibilities assigned to the license holder in the CSSP, the CSSP addendum may include the following elements:

- *Documentation when the person's rights have been restricted, including justification and the plan for full restoration of rights [section 245D.04, subdivision 3, paragraph (c)]*
- *Documentation of the health needs procedures, including psychotropic medication monitoring [sections 245D.04, subdivision 3, paragraph (c) and 245D.051]*
- *Reports of incidents [section 245D.06, subdivision 1]*
- *Documentation of the positive support transition plan, when required [section 245D.06, subdivision 8]*
- *Individual abuse prevention plan (IAPP) [section 245A.65, subdivision 2, paragraph (b)]*
- *Assessments and service planning [sections 245D.07, subdivision 2 and 245D.071, subdivision 3]*
- *Documentation of the methods to be used to support a person's identified needs and accomplish identified outcomes [section 245D.071, subdivisions 3 – 5] including:*
 - Documentation of any continuous use of permitted actions and procedures [section 245D.06, subdivision 7, paragraphs (b) and (c)] and*
 - Documentation of the support team's review of emergency use of manual restraint and any changes to the person's service plan [section 245D.061, subdivision 7]*
- *Progress reports and recommendations [sections 245D.07, subdivision 3 and 245D.071, subdivision 5]*

Key

Language that is contained in [brackets], *italics*, or ■ bulleted is provided for clarification.

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	Date of admission to the program:				
	Date of service initiation, meaning the first day services were actually provided (if different from admission):				
245D.095 , Subd. 2	Admission and Discharge Register The license holder maintained a register of all persons served by program, including admissions, discharges, or transfers.				
	The license holder kept a written or electronic register, listing ____ in chronological order ____ the dates and names of all persons served by the program who have been admitted, discharged, or transferred, ____ including service terminations initiated by the license holder and deaths. <i>[Transfers would include when a person's service(s) change or they move into and/or out of a licensed service site but continue to receive services from the license holder.]</i>				
245D.11 , Subd. 4	Admission Criteria The license holder imposed consistent admission criteria that promoted continuity of care.				
245D.11, Subd. 4	Admission Criteria – Intensive Support Services The license holder established policies and procedures that promoted continuity of care by ensuring that admission or service initiation criteria: (1) was consistent with the service-related rights identified in section 245D.04, subdivision 2 , clauses (4) to (7), and 3, clause (8); (2) identified the criteria to be applied in determining whether the license holder can develop services to meet the needs specified in the person's CSSP;				

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	<p>(3) required a license holder providing services in a health care facility to comply with the requirements in section 243.166, subdivision 4b, to provide notification to residents when a registered predatory offender was admitted into the program or to a potential admission when the facility was already serving a registered predatory offender; and</p> <p>If the license holder is a health care facility and received a fact sheet that had an assigned risk level classification for a registered offender and if the facility admitted the offender, the facility distributed the fact sheet to all residents at the facility. If the facility determined that distribution to a resident was not appropriate given the resident's medical, emotional, or mental status, the facility distributed the fact sheet to the patient's next of kin or emergency contact.</p> <ul style="list-style-type: none"> ▪ The fact sheet must be distributed by the facility as received from the law enforcement authority or corrections agent without alteration. ▪ "Health Care Facility," means a facility licensed by the commissioner of human services as a residential facility under chapter 245A to provide adult foster care, adult mental health treatment, chemical dependency treatment to adults, or residential services to persons with developmental disabilities. ▪ "Fact sheet" A law enforcement authority or corrections agent who receives notice or who knows that a person required to register is planning to be admitted and receive, or has been admitted and is receiving health care at a health care facility shall notify the administrator of the facility and deliver a fact sheet to the administrator containing the following information: <ul style="list-style-type: none"> (1) name and physical description of the offender; (2) the offender's conviction history, including the dates of conviction; (3) the risk level classification assigned to the offender, if any; and (4) the profile of likely victims. 				

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	(4) required that when a person or the person's legal representative requested services from the license holder, a refusal to admit the person was based on an evaluation of the person's assessed needs and the license holder's lack of capacity to meet the needs of the person.				
245D.10 , Subd. 4	<u>Policies and Procedures</u> The license holder informed the person of their policies and procedures.				
245D.10, Subd. 4, (b)	(1) The license holder informed the ___ person and ___ case manager of the policies and procedures affecting a persons rights under section 245D.04	Date provided:	Date provided:	Date provided:	
	and provided copies of those policies and procedures,				
	within five working days of service initiation.				
	(2) If a license holder only provided basic services and supports, this included the:				
	(i) grievance policy and procedure required under subdivision 2; and				
	(ii) service suspension and termination policy and procedure required under subdivision 3.				
	(3) For all other license holders this included the:				
	(i) policies and procedures in clause 2 [grievance and service suspension and termination];				
	(ii) emergency use of manual restraints policy and procedure required under section 245D.061, subdivision 10 ; and				
	(iii) data privacy requirements under section 245D.11, subdivision 3 .				

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<u>245D.04</u> , Subd. 1	<u>License Holder's Responsibility for Service Recipient Rights</u> The license holder met all service recipient rights requirements upon service initiation.				
	(1) The license holder provided each person or each person's legal representative with a written notice that ___ identified the service recipient's rights in subdivisions 2 and 3 and ___ and explanation of those rights within five working days of service initiation and annually thereafter.	Date provided:	Date provided:	Date provided:	
	(2) The license holder made reasonable accommodations to provide this information in other formats or languages as needed to facilitate understanding of the rights by the person and the person's legal representative, if any.	Needed? Yes / No Provided? Yes / No	Needed? Yes / No Provided? Yes / No	Needed? Yes / No Provided? Yes / No	
	(3) The license holder maintained documentation of the person's or the person's legal representative's receipt of a copy and an explanation of the rights.				
	(4) The license holder ensured the exercise and protection of the person's rights in the services provided by the license holder and as authorized in the CSSP.				
<u>245A.65</u> , Subd. 1	<u>VA Maltreatment Orientation</u> The license holder met all requirements for providing orientation to the license holder's internal and external reporting procedures of alleged or suspected maltreatment of vulnerable adults.				
245A.65, Subd. 1, (c)	The license holder provided an orientation to the internal and external reporting procedures to all persons receiving services.				
	The orientation was provided within 24 hours of admission, or for persons who would benefit more from a later orientation; the orientation took place within 72 hours.	Date provided:	Date provided:	Date provided:	
	<i>[Compliance would be met if the orientation occurred at the time of service admission or within 24 or 72 hours of service initiation.]</i>				

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	<p>The orientation included the telephone number for the common entry point [CEP] in the county where services are provided as defined in section 626.5572, subdivision 5.</p> <p><i>The CEP number must be for the county where services were provided and could be provided separately or in the program's policy and procedures for reporting suspected maltreatment.</i></p>				
	<p>If applicable, the person's legal representative was notified of the orientation.</p> <ul style="list-style-type: none"> ▪ <i>"If applicable" means that if the person has a legal representative then the legal representative must also be notified.</i> ▪ <i>The timeline is the same for a legal representative as a person.</i> 	<p>Legal rep? Yes / No</p> <p>If yes, notified?</p> <p>Yes / No</p>	<p>Legal rep? Yes / No</p> <p>If yes, notified?</p> <p>Yes / No</p>	<p>Legal rep? Yes / No</p> <p>If yes, notified?</p> <p>Yes / No</p>	
245A.65, Subd. 2, (b)	<p><u>Abuse Prevention Plans</u> The license holder met the requirements for an abuse prevention plans.</p>				
	<p><u>Individual Abuse Prevention Plan</u></p> <p>(2) An individual abuse prevention plan (IAPP) was developed as part of the initial individual program plan or service plan as required under chapter 245D.</p>				
	The person receiving services participated in the development of the IAPP to the full extent of the person's ability.				
	If applicable, the person's legal representative was given the opportunity to participate with or for the person in the development of the plan.				
	(1) The IAPP included a statement of measure that would be taken to minimize the risk of abuse to the vulnerable adult when the individual assessment required in section 626.557, subdivision 14, paragraph (b), indicated the need for measures in addition to the specific measures identified in the program abuse prevention plan.				

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	<p>The measures included specific actions the program would take to minimize the risk of abuse within the scope of the licensed services,</p> <p>and identified referrals made when the vulnerable adult was susceptible to abuse outside of the scope or control of the licensed services.</p> <p>If the assessment indicated that the vulnerable adult did not need specific risk reduction measures in addition to those identified in the program abuse prevention plan, the IAPP documented this determination.</p>				
245A.65, Subd. 2, (a)	<p><u>Program Abuse Prevention Plan</u></p> <p>(4) The license holder provided an orientation to the program abuse prevention plan (PAPP) for persons receiving services.</p> <p>If applicable, the client's legal representative was notified of the orientation.</p> <p>The license holder provided this orientation for each new person within 24 hours of admission, or for persons who would benefit from a later orientation, the orientation took place within 72 hours.</p> <p><i>[Compliance would be met if the orientation occurred at the time of service admission or within 24 or 72 hours of service initiation.]</i></p>				
245D.07 and 245D.071 , Subd. 3	<p>Initial Service Planning and Service Provision</p> <p>Upon service initiation, the license holder met all requirements as assigned or developed in the CSSP or CSSP addendum.</p>				
245D.07, Subd. 1	<p><u>Provision of Services</u></p> <p>The license holder provided services as assigned in the CSSP.</p> <p>The provision of services complied with the requirements of this chapter and the federal waiver plans.</p>				

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245D.07, Subd. 2, (a) REQUIRED FOR BASIC SUPPORT SERVICES	<u>Initial Service. Planning – Basic Support Services</u> License holders that provided basic support services met the requirements of this subdivision.				
245D.07, Subd. 2, (b) REQUIRED FOR BASIC SUPPORT SERVICES	Within 15 days of service initiation the license holder completed a preliminary CSSP addendum based on the CSSP.	Date Completed:	Date Completed:	Date Completed:	
245D.07, Subd. 2, (c) REQUIRED FOR BASIC SUPPORT SERVICES	<u>Review of Initial Plan – Basic Support Services</u> Within 60 days of service initiation the license holder reviewed and revised as needed the preliminary CSSP addendum to document the services that will be provided including how, when, and by whom services will be provided, and the person responsible for overseeing the delivery and coordination of services.	Date of review:	Date of review:	Date of review:	
245D.071, Subd. 1 REQUIRED FOR INTENSIVE SUPPORT SERVICES	<u>Initial Service. Planning – Intensive Support Services</u> Except for services identified in section 245D.03, subdivision 1, paragraph (c), clauses (1) and (2) [<i>intervention services and in-home support services follow the requirements for basic support services</i>], a license holder that provided intensive support services identified in section 245D.03, subdivision 1, paragraph (c), complied with the requirements in this section and section 245D.07, subdivisions 1 and 3. [License holders providing intervention services or in-home support services may meet compliance following the standards in section 245D.07 rather than the standards found in section 245D.071. When following the standards in section 245D.07, the license holder must provide services as specified in the CSSP or CSSP addendum, including requirements to exceed licensing standards in chapter 245D.]				

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	Services identified in section 245D.03, subdivision 1, paragraph (c), clauses (1) and (2) [<i>intervention services and in-home support services</i>], complied with the requirements in section 245D.07, subdivision 2.				
245D.071, Subd. 3, (b) REQUIRED FOR INTENSIVE SUPPORT SERVICES	<p><u>Review of Initial Plan – <i>Intensive Support Services</i></u> Within the scope of services, the license holder, at a minimum, completed assessments in the following areas before the 45-day planning meeting:</p> <p>(1) the person's ability to self-manage health and medical needs to maintain or improve ___physical, ___mental, and ___emotional well-being, including, when applicable,</p> <p style="margin-left: 40px;">___ allergies, ___ seizures, ___ choking, ___ special dietary needs, ___ chronic medical conditions, ___ self-administration of medication or treatment orders, ___ preventative screening, and medical and dental appointments;</p>	Date of 45-day IDT meeting:	Date of 45-day IDT meeting:	Date of 45-day IDT meeting:	
	<p>(2) the person's ability to self-manage personal safety to avoid injury or accident in the service setting, including, when applicable,</p> <p style="margin-left: 40px;">___ risk of falling, ___ mobility, ___ regulating water temperature, ___ community survival skills, ___ water safety skills, and ___ sensory disabilities; and</p>				

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	(3) the person's ability to self-manage symptoms or behavior that may otherwise result in an ___ incident as defined in section 245D.02, subdivision 11, clauses (4) to (7), ___ suspension or termination of services by the license holder, or ___ other symptoms or behaviors that may jeopardize the health and safety of the person or others.				
	Assessments produced information about the person that described the person's overall strengths, functional skills and abilities, and behaviors or symptoms..				
	Assessments were based on the person's status within the last 12 months at the time of service initiation.				
	Assessments based on older information were documented and justified.				
	Assessments were conducted annually at a minimum or within 30 days of a written request from the person or the person's legal representative or case manager.				
	The results were reviewed by the support team or expanded support team as part of a service plan review.				
245D.071, Subd. 3, (c) REQUIRED FOR INTENSIVE SUPPORT SERVICES	Before providing 45 days of service, the license holder met with the person, the person's legal representative, the case manager, other members of the support team or expanded support team, other people as identified by the person or the person's legal representative to determine the following based on information obtained from the assessments identified in paragraph (b), the person's identified needs in the CSSP, and the requirements in subdivision 4 and section 245D.07, subdivision 1a: (1) the scope of the services to be provided to support the person's daily needs and activities;				

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	(2) the person's desired outcomes and the supports necessary to accomplish the person's desired outcomes;				
	(3) the person's preferences for how services and supports are provided;				
	(4) whether the current service setting is the most integrated setting available and appropriate for the person;				
	(5) opportunities to develop and strengthen personal relationships with other persons of the person's choice in the community;				
	(6) opportunities for community access, participation, and inclusion in preferred community activities;				
	(7) opportunities to develop and strengthen personal relationships with other persons of the person's choice in the community;				
	(8) opportunities to seek competitive employment and work at competitively paying jobs in the community; and				
	(9) how services must be coordinated across other providers licensed under this chapter serving the person and members of the support team or expanded support team to ensure continuity of care and coordination of services for the person.				
245D.07, Subd. 2 and 245D.071, Subd. 4	<u>Service Outcomes and Supports</u> The license holder met all requirements for developing supports and methods within the required time lines following service initiation.				
245D.07, Subd. 2, (d) REQUIRED FOR INTENSIVE SUPPORT SERVICES	<u>Outcome and Support Development – Basic Support Services</u> The license holder participated in service planning and support team meetings for the person following stated timelines established in the person's CSSP or as requested by the person or the person's legal representative, the support team or the expanded support team.				

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245D.071, Subd. 4, (a) REQUIRED FOR INTENSIVE SUPPORT SERVICES	<u>Outcome and Support Development – Intensive Support Services</u> Within ten working days of the 45-day planning meeting, the license holder developed a service plan that documented the service outcomes and supports based on the assessments completed under subdivision 3 and the requirements in section 245D.07, subdivision 1a .	Date developed & documented:	Date developed & documented:	Date developed & documented:	
	The outcomes and supports were included in the CSSP addendum.				
245D.071, Subd. 4, (b)	The license holder documented the supports and methods to be implemented to support the person and accomplish outcomes related to acquiring, retaining, or improving skills and physical, mental, and emotional health and wellbeing.				
REQUIRED FOR INTENSIVE SUPPORT SERVICES	The documentation included:				
	(1) the methods or actions that will be used to support the person and to accomplish the service outcomes, including information about:				
	(i) any changes or modifications to the physical and social environments necessary when the service supports were provided;				
	(ii) any equipment and materials required; and				
	(iii) techniques that were consistent with the person's communication mode and learning style;				
	(2) the measurable and observable criteria for identifying when the desired outcome had been achieved and how data would be collected;				
	(3) the projected starting date for implementing the supports and methods and the date by which progress towards accomplishing the outcomes would be reviewed and evaluated; and				
	(4) the names of the staff or position responsible for implementing the supports and methods.				

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245D.071, Subd. 4, (c)	Within 20 working days of the 45-day meeting, the license holder submitted to and obtained dated signatures from the ___ person or the person's legal representative and ___ case manager to document completion and approval of the assessment and CSSP addendum.				
REQUIRED FOR INTENSIVE SUPPORT SERVICES	If, within ten working days of the submission of the assessment or CSSP addendum, the person or the person's legal representative or case manager had not signed and returned to the license holder the assessment and CSSP addendum or had not proposed written modifications to the license holder's submission, the submission is deemed approved and the assessment and CSSP addendum became effective and remained in effect until the legal representative or case manager submitted a written request to revise the assessment or CSSP addendum.				
<u>245D.06,</u> Subd. 4	<u>Handling Service Recipient Funds</u> The license holder obtained authorization to handle service recipient funds or property.				
245D.06, Subd. 4, (a)	<u>Written Authorization</u> Whenever the license holder assisted a person with the safekeeping of funds or other property according to section 245A.04, subdivision 13 , the license holder obtained written authorization to do so from the person or the person's legal representative and the case manager.				
	Authorization was obtained within five working days of service initiation and renewed annually thereafter.	Date authorization obtained:	Date authorization obtained:	Date authorization obtained:	
	<u>Survey of preferences</u> At the time initial authorization was obtained, the license holder ___ surveyed, ___ documented, and ___ implemented the preferences of ___ the person or the person's legal representative, and ___ the case manager	Date of survey:	Date of survey:	Date of survey:	

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	for frequency of receiving a statement that itemizes receipts and disbursements of funds or other property.	Frequency preferred?	Frequency preferred?	Frequency preferred?	
	The license holder documented changes to these preferences when they were requested.				
245D.06, Subd. 4, (b)	A license holder or staff person did not accept powers-of-attorney from a person who received services from the license holder for any purpose.				
	Does not apply to license holders that are Minnesota counties or other units of government or to staff persons employed by license holders who were acting as attorney-in-fact for specific individuals prior to implementation [<i>January 1, 2014</i>] of this chapter.				
	The license holder maintained documentation of the power-of-attorney in the service recipient record.				
245D.06, Subd. 4, (c)	Upon the transfer or death of a person, any funds or other property of the person were surrendered to the person or the person's legal representative, or given to the executor or administrator of the estate in exchange for an itemized receipt.				
<u>245D.09.</u> Subd. 4a, (g)	<u>Emergency Service Initiation</u> The license holder ensured staff training when a person was admitted in an emergency.				
	In the event of an emergency service initiation, the license holder documented the reason for the unplanned or emergency service initiation and maintained the documentation in the person's service recipient record.				