

HCBS Provider Attestation Audit Summary for DTH, Prevocational and Structured Day Services

HFID #	NAME OF SETTING/SITE

DHS has completed the audit of this setting’s provider attestation and any additional submitted documentation.

Determination of compliance is as follows:

- Initial compliance is documented in all HCBS requirements (no further action is necessary).
- Not yet compliant in one or more of the HCBS requirements.
Requirements that are not yet compliant are checked below. Please refer to the instructions below each requirement for specific instruction to reach full compliance. **Submit the required documentation by attaching the documents to a reply to this email within 30 days of the receipt of this email.**

For each standard, DHS has provided a link to HCBS compliant documents for you to use and implement at your setting. You may submit agency developed documents **only** if the documents include specific language identified under each standard.

Note: Do not submit documents with participant identifiable information.

8. Employment

Federal requirement: The setting provides opportunities for people to seek employment and work in competitive integrated settings.

- Not yet compliant: To comply – Submit the following document(s):**
 - A blank copy of the DHS [Staff Annual Training Record form \(DOCX\)](#) or a staff training record or employee handbook that includes the following language:
 - “Staff are trained on the person’s CSSP/CSSP Addendum.”
 - A blank copy of the DHS [45-Day Meeting Summary form \(for new people\)\(DOCX\)](#) or a support planning document that provides information to support the following:
 - The provider explores with people whether they want to look for competitive, integrated employment.
 - The provider works with people to enable them to work in the community.

9. Community Life

Federal requirement: The setting provides opportunities to access and engage in community life.

- Not yet compliant: To comply – Submit the following document(s):**
 - A blank copy of the DHS [Staff Annual Training Record form \(DOCX\)](#) or a provider developed staff training record that indicates:
 - “Staff are trained on the person’s CSSP/CSSP Addendum.”
 - A blank copy of the DHS [45-Day Meeting Summary form \(for new people\)\(DOCX\)](#), Progress Review Meeting Summary Form or other form that supports the following:
 - The provider asks people about their interests and activities they want to participate in.
 - The provider provides opportunities and support for people to be fully included in the greater community, individually and in groups, as desired.

10. Control of money

Federal requirement: The setting supports the person’s control of personal resources (their money).

- Not yet compliant: To comply – Submit the following document(s):**
 - A blank copy of the [Staff Annual Training Record form \(DOCX\)](#) or other form that shows staff are trained on service recipient rights and staff responsibilities related to ensuring the exercise and protection of those rights.

- Blank copy of DHS [Funds and Property Authorization form \(DOCX\)](#) or a policy/procedure containing supporting documentation that includes the following elements:
 - People must retain the use and availability of their personal funds or property (unless restrictions are justified and documented), have their funds separated from funds of other persons, funds of provider or staff, and document the receipt and disbursement of my funds or other property at the time of receipt or disbursement.
 - Staff must not borrow money from people, purchase personal items from people, require people to purchase items for which the program is eligible for reimbursement or use a person's funds to purchase items for which the provider is already receiving public or private payments.

11. Privacy

Federal requirement: The setting ensures people's rights to privacy.

- Not yet compliant: To comply – Submit the following document(s):**
 - A blank copy of the DHS [Staff Annual Training Record form \(DOCX\)](#) or a staff training record or employee handbook that includes the following language:
 - "Staff are trained on recipient rights and staff responsibilities related to ensuring the exercise and protection of those rights."
 - A blank copy of the DHS [Home and Community-based Services - Service Recipient Rights \(DOCX\)](#) or client/participant handbook that includes the following language:
 - "All participant/service recipients have the right to respect and privacy."
 - "People's information, such as personal, financial, service, health and/or medical information is kept private."

12. Dignity and respect

Federal requirement: The setting ensures people's dignity, respect.

- Not yet compliant: To comply – Submit the following document(s):**
 - A blank copy of the DHS [Staff Annual Training Record form \(DOCX\)](#) or a staff training record or employee handbook that includes the following language:
 - "Staff are trained on recipient rights and staff

responsibilities related to ensuring the exercise and protection of those rights.”

- A blank copy of the DHS [Home and Community-based Services - Service Recipient Rights \(DOCX\)](#) or client/participant handbook that includes the following language:
 - “All participant/service recipients are informed of their right to be treated with courtesy (dignity) and/or respect and have access to and respectful treatment of their personal possessions at any time.”

13. No coercion/restraint

Federal requirement: The setting ensures people’s freedom from coercion and restraint.

Not yet compliant: To comply – Submit the following document(s):

- A blank copy of the DHS [Emergency Use of Manual Restraint \(EUMR\) Policy \(DOCX\)](#), [Staff Annual Training Record form \(DOCX\)](#) or other form staff training record or employee handbook that includes the following language:
 - If EUMR template: “All participants, service recipients will be free from staff trying to control their behavior by physically holding them or using a restraint to keep them from moving, giving them medication they don’t want to take or that isn’t prescribed for the person, or putting them in time out, seclusion or restrictive intervention; except if and when manual restraint is needed in an emergency to protect the person or others from physical harm.”
 - “Providers must not use manual, physical, or chemical restraints, or restrictive interventions unless in an emergency to protect the person or others from physical harm.”
 - If staff training or orientation form: “Staff are trained on recipient rights and staff responsibilities related to ensuring the exercise and protection of those rights.”
- A blank copy of the DHS [Home and Community-based Services - Service Recipient Rights \(DOCX\)](#) or [Emergency Use of Manual Restraint \(EUMR\) Policy \(DOCX\)](#) or client/participant handbook that includes the following language:
 - “All participants, service recipients will be free from staff trying to control their behavior by physically holding them or using a restraint to keep them from moving, giving them medication they don’t want to take or that isn’t prescribed for them, or putting them in time out, seclusion or restrictive intervention; except if and when manual restraint is needed in an emergency to protect the person or others from physical harm.”
 - “I will be free from staff trying to control my behavior by physically

holding me or using a restraint to keep me from moving, giving me medication I don't want to take or that isn't prescribed for me, or putting me in time out, seclusion or restrictive intervention; except if and when manual restraint is needed in an emergency to protect me or others from physical harm.”

14. Independent choices

Federal requirement: The setting optimizes individual initiative, autonomy, and independence in making life choices, including daily schedule and with whom to interact.

- Not yet compliant: To comply – Submit the following document(s):**
 - A blank copy of the DHS [Staff Annual Training Record form \(DOCX\)](#) or a staff training record or employee handbook indicating:
 - Staff are trained on the person's CSSP/CSSP Addendum.
 - A blank copy of the DHS [45-Day Meeting Summary form \(for new people\)\(DOCX\)](#) or a Progress Review Meeting Summary form, or other form that informs people how they will be supported in making their own life choices. Elements needed in supporting documentation:
 - “The scope of services to be provided to support the person's daily needs and activities include (list below):”
 - “Opportunities and supports will be provided to this person so they are fully included in the greater community, individually and in groups by (list below):”

18. Shared Programming

- This setting is a residential (home) setting that the provider also owns/operates multiple homes located on the same street or adjoining property and shares programming or activities with the other settings.**

To comply – Submit a 1-2 page document answering the following questions and include examples:

- Describe how often (on a weekly or daily basis?) and what type of programming or activities are shared. For example, do people that live in different homes or buildings dine or share meals, transportation, social recreation activities and outings together on a weekly or daily basis?
- Describe how opportunities are presented and available for people to interact with the broader community individually and in groups, as they desired? How often are people asked about their interest in activities in the community? How are people participating, as desired?

- Describe how people can individually choose activities to participate in? For example, not everyone has the same activities or schedule. How are people informed of available activities?

Suggested practices: Activities coordinator for offsite activities, activities calendar, people are frequently asked about their interests, people use other supports to access community on an individual level (e.g. formal services, volunteers, information supports).

19. Multiple Services

- This setting attested that it is designed to provide people with disabilities or older adults multiple types of services and activities onsite, including any two of the following: 1) residential, or 2) day services and 3) medical, and includes the option for people to choose to use community service providers instead of receiving the above multiple services onsite.**

To comply – Submit the following document(s):

- Supporting documentation pertaining to how people are informed of their option to choose community providers.

List of additional settings:

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