

HCBS Provider Attestation Audit Summary for Disability Waiver Foster Care (CADI, CAC, BI and DD)

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 was determined after review of supporting documentation (no further action 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.

1: Residency agreement

Federal requirement: Each person at the setting has a written lease or residency agreement in place providing protections to address eviction processes and appeals.

- Not yet compliant: To comply – Submit the following document(s):**
 - A blank copy of the DHS residency agreement <https://edocs.dhs.state.mn.us/lfserver/Public/DHS-7176B-ENG> or a residency agreement that includes service termination requirements specified in section 245D.10, subdivision 3a, paragraphs (b) to (f).

2: Privacy in sleeping unit with lockable door

Federal requirement: Each person at the setting has privacy in his/her sleeping or living unit including a lockable door.

- 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 (one of the following may be used):
 - “All service recipients have personal privacy, including the right to use a lock on their bedroom door.”
 - “I have the right to personal privacy, including the right to use a lock on my bedroom door.”

3: Bedroom sharing

Federal requirement: The setting facilitates that a person who shares a bedroom is with a roommate of their choice.

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

- Policy/procedure outlining the mutual consent for roommate selection including the following language:
“Each person receiving services has a choice of roommate and will mutually consent, in writing, to sharing a bedroom with one another.”
- A blank copy of the DHS [Grievance policy \(DOCX\)](#) or a policy/procedure that includes the following language:
“The program will provide a written summary of the complaint and a notice of the complaint resolution to the person and case manager that:
 - identifies the nature of the complaint and the date it was received;
 - includes the results of the complaint review; and
 - identifies the complaint resolution, including any corrective action.”

4: Freedom to furnish and decorate bedroom

Federal requirement: The setting provides people with the freedom to furnish and decorate their bedroom.

- 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 (one of the following may be used):
 - “All service recipients have the right to have services and supports provided to them in a way that respects them and considers their preferences (including personal items in their bedroom).”
 - “I have the right to have services and supports provided to me in a way that respects me and considers my preferences (including personal items in my bedroom).”

5: Control daily schedule

Federal requirement: The setting provides people with the freedom and support to control their daily schedules including access to food any time.

- 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 principles of person-centered service planning and delivery and how they apply to direct support

service provided by the staff person.”

- A blank copy of the DHS [Home and Community-based Services - Service Recipient Rights \(DOCX\)](#) or client/participant handbook that includes the following language (one of the following may be used):
 - “All service recipients have use of and free access to common areas (this includes access to food at any time).”
 - “I have the right to have use of and free access to common areas (this includes access to food at any time).”

6. Visitors

Federal requirement: The setting allows people to have visitors at any time.

- 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 (one of the following may be used):
 - “All service recipients have the right to choose who visits, when they visit and to have visits in private.”
 - “I have the right to choose who visits me, when they visit and to have my visits in private.”

7. Physical accessibility

Federal requirement: The setting is physically accessible to the individual.

- 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 (one of the following may be used):
 - “All service recipients have use of and free access to

common areas.”

- “I have the right to have use of and free access to common areas.”

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 principles of person-centered service planning and delivery and how they apply to direct support service provided by the staff person.”
- A blank copy of the DHS [45-Day Meeting Summary form \(for new people\)\(DOCX\)](#) or a support planning document that includes the following questions:
 - “Has this person chosen to look for competitive employment? If yes, list how services will be provided to support this person 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 staff training record or employee handbook that includes the following language:
 - “Staff are trained on the principles of person-centered service planning and delivery and how they apply to direct support service provided by the staff person.”
- A blank copy of the DHS [45-Day Meeting Summary form \(for new people\)\(DOCX\)](#) or a support planning document that includes the following:
 - “List how opportunities and supports will be provided to this person so they are fully included in the greater community, individually and in groups.”

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 DHS [Funds and Property Authorization form \(DOCX\)](#) or a policy/procedure that includes the following language:
 - “All participants/service recipients retain the use and availability of their personal funds or property, unless restrictions are justified and documented.”

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 as it relates to their medical and personal care.”
 - “I have the right to respect and privacy as it relates to my medical and personal care.”

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 (one of the following may be used):
 - “All participant/service recipients have the right to be

treated with courtesy and respect.”

- “I have the right to be treated with courtesy and respect.”

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 [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 [Emergency Use of Manual Restraint \(EUMR\) Policy \(DOCX\)](#) or client/participant handbook that includes the following language:
 - “All participants and 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.”
 - “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 that includes the following language:
 - “Staff are trained on the principles of person-centered

service planning and delivery and how they apply to direct support service provided by the staff person.”

- A blank copy of the DHS [45-Day Meeting Summary form \(for new people\)\(DOCX\)](#) or a support planning document that includes the following:
 - “List the scope of services to be provided to support the person’s daily needs and activities.”

18. Shared programming

- This setting is a residential (home) setting and 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 desire. 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.**

