

HCBS Provider Attestation Audit Summary for Customized Living Settings

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.**

You may submit agency-developed documents **only** if the documents meet licensing standards and contain the required content for the HCBS requirements of the provider attestation.

Note: Do not submit documents with participant identifiable information.

[A Provider's Guide to Putting the HCBS Rule into Practice](#) contains informational guidance, best practices and examples to assist you in understanding each new HCBS requirement and help generate ideas of HCBS-compliant practices.

1: Lease 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 lease or residency agreement.

2: 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):

Staff orientation/annual training record that includes review of lockable door policy or review of the lease or housing with services contract as applicable.

Policy/procedure or informational documents, such as resident handbook or rights document to inform people of their right to have a lockable bedroom door. This may also be stated in the lease or housing with services contract. Policy must also outline procedures for entering, such as knocking and waiting for permission to enter.

For memory care units, each person must have a documented need for a modification to this requirement in their support plan if they do not have a lockable door. A provider cannot have a blanket policy that covers everyone in that setting. This modification must be written in every person's support plan. See the Modifying/restricting HCBS standards policy for more information.

3: Roommates

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):

Staff orientation/annual training record that includes review of roommate policy and/or grievance policy.

Policy/procedure or informational document such as a resident handbook or rights document that documents how people choose their roommates and how they may request a change of roommates or this setting's grievance policy that addresses bedroom sharing.

4: Decoration

Federal requirement: The setting provides people with the freedom to furnish and decorate their bedroom and living unit within the lease or residency agreement.

- Not yet compliant: To comply – Submit the following document(s):**
- Staff orientation/annual training record that includes training on a person's right to a decorate their living space policy or review of the lease or housing with services contract as applicable.
 - Policy/procedure or informational documents such as resident handbook or rights document that informs a person of their right to furnish and decorate. This may also be found in the lease.

5: 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):**
- Blank copy of staff orientation/annual training record that includes a review of the policy regarding people's right to freedom to control their schedule, including food at any time.
 - Policy/procedure or informational document such as a resident handbook or rights document that informs people of their right to have control of their daily schedule and have access to food at any time. This may include staff training that includes person-centered service delivery that includes control of schedule. Suggested statements are:
 - Accommodations will be made for a person who may miss a regular meal time, such as saving a plate for them to reheat later, offering snacks or allowing a person to keep food in their unit.
 - A person will have their support services provided in a way that's flexible and respects their personal preferences.

6. Visitors

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

- Not yet compliant: To comply – Submit the following document(s):**
- Blank copy of staff orientation/annual training record that includes a review of the policy or lease as applicable.
 - Policy/procedure or informational documents such as resident handbook or rights document that informs people of their right to have visitors at any time. This may also be found in the lease. Suggested statements are:
 - A person may have visitors at any time and privacy during these visits.
 - A person is free to have visitors at any time, including overnight, within the guidelines of the lease.

7. Accessibility

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

- Not yet compliant: To comply – Submit the following document(s):**
- Blank copy of staff orientation/annual training record including a review of the policy on accessibility.
 - Policy/procedure or informational documents such a resident handbook or rights document that informs people of their right to have use of and access to common areas of the residence and how an accommodation can be requested.

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):**
- Blank copy of staff orientation/annual training record including a review of the policy on employment.
 - Policy/procedure that documents how this setting will provide supports for people who desire to seek employment, if the supports are identified in the individual support plan as a desired outcome. Suggested statements for this policy are:
 - The setting and services provided support flexible scheduling, including accommodating a person’s work schedule as appropriate,

and delivering services in a way that complements a person's schedule.

- We support people to complement their work schedule.
- We offer flexible scheduling/staffing.
- A person can choose the schedule that works right for them.

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):**
- Blank copy of staff orientation/annual training record that includes review of the policy on community engagement.
 - Policy/procedure or informational documents such as a resident handbook or rights document that informs people of their right to have access to and engage in community life. Suggested statements for this policy are:
 - A person will be informed of their opportunities to experience and engage with members of their community, and provided assistance with access as needed.
 - A person will receive a monthly calendar of community events and assistance with scheduling and attending these activities.

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):**
- Policy/procedure/form that informs a person of their right to control their personal funds and how to authorize the provider to assist in management of personal funds. Suggested statement for informing people of this right is:
 - I have been informed and understand that whenever this program assists me with the safekeeping of my funds or other property, the program must ensure that I retain the use and availability of my personal funds or property unless restrictions are justified and documented.

- Policy/procedure that outlines the provider’s management of personal funds if applicable. This must include training for staff on safeguarding funds and following a person’s plan, in compliance with Minnesota Statute 144A.479 Subdivision 5:
 - Staff may assist with household budgeting, including paying bills and purchasing goods, but may not otherwise manage a person’s property.
 - Staff must provide people receipts for, or otherwise document, all transactions.
 - Staff must not borrow or take possession of people’s funds or property.

11. Privacy

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

- Not yet compliant: To comply – Submit the following document(s):**
 - Blank copy of staff orientation/annual training record that includes review of policy on privacy or Minnesota Home Care Bill of Rights.
 - Policy/procedure or informational documents such as resident handbook or rights document to inform people of their right to privacy. Review of the Minnesota Home Care Bill of Rights satisfies this requirement.

12. Dignity and respect

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

- Not yet compliant: To comply – Submit the following document(s):**
 - Blank copy of staff orientation/annual training record that includes review of policy on dignity and respect in the Minnesota Home Care Bill of Rights.
 - Policy/procedure or informational documents such as resident handbook or rights document to inform people of their right to be treated with dignity and respect. Review of the Minnesota Home Care Bill of Rights satisfies this requirement.

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):**
- Blank copy of staff orientation/annual training record that includes review of policy on freedom from coercion and restraint or Minnesota Home Care Bill of Rights.
 - Policy/procedure or informational documents such as resident handbook or rights document to inform people of their right to be free from coercion and restraint. Review of the Minnesota Home Care Bill of Rights satisfies this requirement.

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):**
- Blank copy of staff orientation/annual training record that includes review of policy on making life choices or training on person-centered practices and individual support plans including these elements.
 - Policy/procedure or informational documents such as resident handbook or rights document to inform people of their right to independence in making life choices. Suggested statements for this policy are:
 - People are encouraged to participate in a variety of daily recreation/leisure activities.
 - People are asked about their interests and activities that they wish to participate in and have choices and options that meet their interests and preferences.
 - Community events/activities are scheduled and planned based on participant needs and suggestions. A calendar of activities is provided to participants on a monthly basis to keep them informed of community events they can choose to participate in. Please attach a sample calendar.

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.**

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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