

HCBS Provider Attestation Audit Summary for Elderly Waiver Foster Care (EW)

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 is necessary).
- Non-compliance is found in one or more of the HCBS requirements. Requirements that are non-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 meet licensing standards and contain the required content found in the DHS forms listed here.

Note: Do not submit documents with participant identifiable information.

1: Residency agreement

Federal requirement: Each person at the setting has a 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 [Individual Resident Placement Agreement \(IRPA\) \(PDF\)](#).
 - Service Termination policy/procedure or [AFC Service Termination Policy – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#).

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 completed [AFC Program Plan – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or other policy/procedure that documents how this setting will ensure people have the right to have a lockable bedroom door; **or**

A staff orientation/annual training record that documents that staff are trained on Recipient Rights.

*If submitting a staff orientation/training record, **the content of the training relevant to this standard must also be submitted** to verify that the training includes HCBS compliant Recipient Rights.
 - Blank copy of [AFC Recipient Rights – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or resident handbook that includes:

“Residents have the right to personal privacy, including the right to use a lock on their 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):**
- A completed [AFC Program Plan – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or other policy/procedure that documents how people choose their roommates or request a change of roommates in this setting; **or**
A staff orientation/annual training record that documents that staff are trained on Recipient Rights.

*If submitting a staff orientation/training record, **the content of the training relevant to this standard must also be submitted** to verify that the training includes HCBS compliant Recipient Rights.
 - Blank copy of [AFC Recipient Rights – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or resident handbook that includes:
Residents have the right to -

“Choose my roommate, if I have to share a bedroom. Each roommate must consent in writing to sharing a bedroom with one another.”

4: Freedom to furnish and decorate bedroom

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):**
- A completed [AFC Program Plan – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or other policy/procedure that documents how this setting allows people to furnish and decorate their bedrooms; **or**
A staff orientation/annual training record that documents that staff are trained on Recipient Rights.

*If submitting a staff orientation/training record, **the content of the training relevant to this standard must also be submitted** to verify that the training includes HCBS compliant Recipient Rights.

- Blank copy of [AFC Recipient Rights – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or resident handbook that includes: Residents have the right to -
“Furnish and decorate my bedroom or living unit.”

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 completed [AFC Program Plan – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or other policy/procedure that documents how this setting ensures that people have control of their daily schedule and have access to food at any time; **or**
A staff orientation/annual training record that documents that staff are trained on Recipient Rights.
***If submitting a staff orientation/training record, the content of the training relevant to this standard must also be submitted to verify that the training includes HCBS compliant Recipient Rights.**
 - Blank copy of [AFC Recipient Rights – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or resident handbook that includes: Residents have the right to -
“Take part in activities that I choose and have my individual schedule that includes my preferences, supported by the program.”
“Freedom and support to access 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 completed [AFC Program Plan – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or other policy/procedure that documents how this setting ensures that people can have visitors at any time; **or**

A staff orientation/annual training record that documents that staff are trained on Recipient Rights.

*If submitting a staff orientation/training record, **the content of the training relevant to this standard must also be submitted** to verify that the training includes HCBS compliant Recipient Rights.

- Blank copy of [AFC Recipient Rights – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or resident handbook that includes: Residents have the right to -

“Choose my own visitors and time of visits and participate in activities of commercial, religious, political, and community groups without interference if the activities do not infringe on the rights of another resident or household member.”

7. Physical accessibility

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

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

- A completed [AFC Program Plan – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or other policy/procedure that documents how this setting ensures people have use of and access to common areas of the residence; **or**

A staff orientation/annual training record that documents that staff are trained on Recipient Rights.

*If submitting a staff orientation/training record, **the content of the training relevant to this standard must also be submitted** to verify that the training includes HCBS compliant Recipient Rights.

- Blank copy of [AFC Recipient Rights – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or resident handbook that includes: Residents have the right to -

“Have use of and free access to common areas in the residence and the freedom to come and go from the residence at will.”

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 completed [AFC Program Plan – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or other policy/procedure that documents how this setting will provide supports, such as flexible scheduling, for people who desire to seek employment, if the supports are identified in the individual support plan and/or placement agreement; **or**

A staff orientation/annual training record that documents that staff are trained on Recipient Rights.

*If submitting a staff orientation/training record, **the content of the training relevant to this standard must also be submitted** to verify that the training includes HCBS compliant Recipient Rights.

Blank copy of [AFC Recipient Rights – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or resident handbook that includes: Residents have the right to -

“Take part in activities that I choose and have my individual schedule that includes my preferences, supported by the program.”

9. Community life

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

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

A completed [AFC Program Plan – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or other policy/procedure that documents that people have access to and can engage in community life; **or**

A staff orientation/annual training record that documents that staff are trained on Recipient Rights.

*If submitting a staff orientation/training record, **the content of the training relevant to this standard must also be submitted** to verify that the training includes HCBS compliant Recipient Rights.

- Blank copy of [AFC Recipient Rights – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or resident handbook that includes:

Residents have the right to -

“Take part in activities that I choose and have my individual schedule that includes my preferences, supported by the program.”

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 completed [AFC Program Plan – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or other policy/procedure that documents how this setting will provide assistance safeguarding cash resources as specified in the resident’s individual service plan and/or placement agreement; **or**

A staff orientation/annual training record that documents that staff are trained on Recipient Rights.

*If submitting a staff orientation/training record, **the content of the training relevant to this standard must also be submitted** to verify that the training includes HCBS compliant Recipient Rights.
 - Blank copy of [AFC Recipient Rights – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or resident handbook that includes: Residents have the right to -

“Keep, use, and access my personal clothing and possessions as space permits, unless this right infringes on the health, safety, or rights of another resident or household member, including the right to access my personal possessions at any time.”

11. Privacy

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

- Not yet compliant: To comply – Submit the following document(s):**
- A completed [AFC Program Plan – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or other policy/procedure that documents how this setting ensures people’s right to privacy; **or**
- A staff orientation/annual training record that documents that staff are trained on Recipient Rights.
- *If submitting a staff orientation/training record, **the content of the training relevant to this standard must also be submitted** to verify that the training includes HCBS compliant Recipient Rights.
- Blank copy of [AFC Recipient Rights – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or resident handbook that includes: Residents have the right to -
- “Personal privacy including use of the lock on my bedroom door or unit door. My privacy must be respected by the program, caregivers, household members, and volunteers by knocking on the door of my bedroom or bathroom and seeking consent before entering, except in an emergency”;
 - “Daily, private access to and use of a telephone for local and long-distance calls made collect or paid for by me;”
 - “Receive and send uncensored, unopened mail or electronic correspondence or communication;”
 - “Privacy for visits with my spouse, family, legal counsel, religious adviser, or others allowed in Minnesota Human Services Rights Act, Minnesota Statutes, section 363A.09, including privacy in my bedroom;”
 - “Privacy for visits by my spouse if married, and, if we are both residents of the adult foster home, we have the right to share a bedroom and bed.”

12. Dignity and respect

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

- Not yet compliant: To comply – Submit the following document(s):**
- A completed [AFC Program Plan – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or other policy/procedure that documents how this setting will ensure people are treated with dignity and respect; **or**

A staff orientation/annual training record that documents that staff are trained on Recipient Rights.

*If submitting a staff orientation/training record, **the content of the training relevant to this standard must also be submitted** to verify that the training includes HCBS compliant Recipient Rights.
 - Blank copy of [AFC Recipient Rights – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or resident handbook that includes:
Residents have the right to -

“Be treated with courtesy, respect and have my property treated with 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 completed [AFC Program Plan – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#), [Adult Foster Care \(AFC\)](#) and [Community Residential Setting \(CRS\) Program Abuse Prevention Plan \(PAPP\)](#) or other policy/procedure that documents how this setting will ensure people are free from coercion and restraint is an acceptable example of a policy/procedure that meets this requirement; **or**

A staff orientation or annual training record that documents staff have received training on the Vulnerable Adults Act and reporting requirements within 72 hours of first providing direct contact services and annually thereafter.

*If submitting a staff orientation/training record, **the content of the training relevant to this standard must also be submitted** to verify that the training includes HCBS compliant content.

- Blank copy of [AFC Recipient Rights – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or resident handbook that includes: Residents have the right to -

“Be free from abuse, neglect, maltreatment by the program or its staff.”

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 completed [AFC Program Plan – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or other policy/procedure that documents how services and supports are provided in a way that optimizes independence in making life choices; **or**

A staff orientation/annual training record that documents that staff are trained on Recipient Rights.

*If submitting a staff orientation/training record, **the content of the training relevant to this standard must also be submitted** to verify that the training includes HCBS compliant Recipient Rights.

- Blank copy of [AFC Recipient Rights – Programs that serve individuals funded by Elderly Waiver \(DOC\)](#) or resident handbook that includes: Residents have the right to -

“Take part in activities that I choose and have my individual schedule that includes my preferences, supported by the program.”

18. Multiple homes with shared programming or activities

- 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.

Not yet compliant: 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 provided on-site

- 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.

Not yet compliant: 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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