

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

Developmental Disabilities Services Licensed under Minnesota Statutes, chapter 245B

USING THE SELF-MONITORING CHECKLISTS - FOR CARF ACCREDITED DAY TRAINING & HABILITATION AND SUPPORTED EMPLOYMENT SERVICES

Programs licensed under Minnesota Statutes, chapter 245B to provide services to persons with developmental disabilities may use the self monitoring checklists to monitor the program's compliance with the 245B licensing standards. Some standards are included on more than one checklist where a requirement applies to more than one area. For example, some standards are written to require a specific practice and a policy, so they apply to the practice checklist as well as the policy and procedures checklist.

Each checklist includes the statute or rule cite where the standard can be found, the actual language from the standard, columns to record whether compliance was met or not (+ / -) and notes. The beginning of each individual requirement is indicated by bold text with a bold border for that row. Additional information is provided to clarify meaning or include an applicable definition. The additional information is • bulleted. Text in [brackets] is provided to further clarify the context of a requirement.

Alternative Inspection Status

Day Training & Habilitation and Supported Employment Services licensed under chapter 245B and accredited by the Commission on Accreditation of Rehabilitation Facilities (CARF) may be eligible for approval of an alternative inspection status as allowed under section 245B.031. Approved programs are exempt from certain 245B licensing standards. Here, those exempted standards are indicated wherever the statute or rule cites is struck out. The exemptions are also noted in the individual checklists.

License holders with an approved alternative inspection status are reminded that this means only that DHS Licensing will not conduct license reviews of the nonexempt licensing standards. However, approved license holders must maintain compliance with all nonexempt licensing standards. This means that in the event DHS Licensing conducts an investigation on a report alleging violation of nonexempt licensing standards that the license holder will be able to demonstrate compliance with the nonexempt standards.

The DHS commissioner has requested the Commission on Accreditation of Rehabilitation Facilities to routinely inspect for compliance with standards that are similar to the following nonexempt licensing requirements.

- (1) section 245A.54; [Inclusion of this section is a technical error, this section does not exist.]
- (2) section 245A.65;
- (3) section 245A.66;
- (4) section 245B.05, subdivisions 1, 2, and 7;
- (5) section 245B.055;
- (6) section 245B.06, subdivisions 2, 7, 9, and 10;
- (7) section 245B.07, subdivisions 2, 5, and 8, paragraph (a), clause (7);
- (8) section 245C.04, subdivision 1, paragraph (f); [Inclusion of paragraph (f) is a technical error, the correct paragraphs are (h) and (i).]
- (9) section 245C.07;
- (10) section 245C.13, subdivision 2;
- (11) section 245C.20; and
- (12) Minnesota Rules, parts 9525.2700 to 9525.2810.

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INDIVIDUAL CHECKLISTS - The exempt requirements are struck out and the nonexempt requirements to be inspected by CARF are highlighted.

CONSUMER DATA FILE & PRIVACY

~~245B.07, Subd. 1~~ Contents of Consumer Data File
245B.07, Subd. 2 Persons with Access to the File
~~245B.07, Subd. 3~~ Record Retention
~~245B.07, Subd. 8, (b), (1)~~ Data Privacy Policy
~~245B.04, Subd. 1 and 3~~ Consumer Privacy Rights

CONSUMER ADMISSIONS

~~245B.07, Subd. 8, (a), (8)~~ Admission Policy
~~245B.04, Subd. 1, (1), (2)~~ Consumer Rights
~~245B.07, Subd. 9, (2)~~ Availability of Current Written Policies and Procedures
245A.65, Subd. 1, (c) Vulnerable Adult Maltreatment Orientation
245B.06, Subd. 2, (e) & (f) Initial Risk Management Plan
~~245B.06, Subd. 4~~ Initial Development of Supports and Methods
245B.07, Subd. 5, (b), (6) Admission of Consumer with Overriding Health Care Needs
~~245B.07, Subd. 10, (c)~~ Consumer Funds: Authorization and Survey
~~243.166, Subd. 4b~~ Admission of Registered Predatory Offenders

RISK MANAGEMENT PLANS (RMP)

245B.06, Subd. 2, (a)-(d), (f) RMP Development, Documentation, Implementation and Annual Review

SERVICE DELIVERY & EVALUATION

~~245B.06, Subd. 1~~ Outcome Based Services
~~245B.06, Subd. 3~~ Consumer Assessments
~~245B.06, Subd. 4~~ Methods to Support Outcomes
~~245B.06, Subd. 5~~ Progress Reviews
~~245B.06, Subd. 6~~ Status Reports
245B.06, Subd. 7 Staffing Requirements
~~245B.06, Subd. 8~~ Services During the Day
245B.06, Subd. 9 Day Training and Habilitation Service Days
245B.06, Subd. 10 Prohibitions
~~245B.07, Subd. 4, (a)~~ Staff Competence
~~245B.07, Subd. 4, (b) & (c)~~ Designated Coordinator Duties
~~245B.07, Subd. 4, (d)~~ Supervision of Direct Care Staff
~~245B.07, Subd. 8, (c)~~ Program Evaluation

CONSUMER HEALTH NEEDS

~~245B.05, Subd. 5~~ Meeting Consumer Health Needs
~~245B.05, Subd. 6~~ Staff Trained in First Aid and CPR
245B.06, Subd. 7 Staffing Requirements
~~245B.07, Subd. 4, (a)~~ Staff Qualifications
245B.07, Subd. 5, (b), (6) Staff Trained in Med. Admin. Procedures
~~245B.07, Subd. 8, (a), (6)~~ Implement Med. Admin. Policy & Proced.

PSYCHOTROPIC MEDICATION USE MONITORING

245B.07, Subd. 8, (a), (7) Psychotropic Medication Use Monitoring
245B.02, Subd. 19 Psychotropic Medication Use Checklist

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EMERGENCY AND INCIDENT RESPONSE & REPORTING

245B.07, Subd. 8, (a), (1) Consumer Safety in Emergencies
245B.07, Subd. 8, (a), (5) & Incident Response
245B.02, Subd. 10
245B.07, Subd. 8, (a), (5) & Incident Reporting
245B.05, Subd. 7
245B.07, Subd. 8, (a), (4) Emergency and Incident Record Keeping
245B.07, Subd. 4, (b), (4) ~~Review and Evaluation of Emergency and
Incident Reports by Designated Coordinator~~

MALTREATMENT REPORTING

626.557, Subd. 4a Alleged and Suspected Maltreatment of
Vulnerable Adults Reported
245A.65, Subd. 1, (b) Internal Review Completed When
Maltreatment of Vulnerable Adult Reported
245A.66 Internal Review Completed When
Maltreatment of Minor Reported

CONTROLLED PROCEDURES

9525.2750, Subp. 1 Standards & Conditions For Use
9525.2780, Subp. 2, 3, 4, 5 Consent for Use
9525.2750, Subp. 1a Review & Approval by the Expanded IDT
9525.2750, Subp. 2 Review & Approval by the IRC
9525.2750, Subp. 2a Quarterly Reporting
9525.2750, Subp. 4 Plans Submitted to DHS Rule 40 Coord.
9525.2760 Requirements for Plans
9525.2760, Subp. 2 Assessments Required
9525.2760, Subp. 4 Required Elements
9525.2760, Subp. 5 Monitoring Use
9525.2760, Subp. 6 Consent Obtained & Recorded

EMERGENCY USE OF CONTROLLED PROCEDURES (EUCP)

9525.2770, Subp. 2 Conditions Were Met for Emergency Use
9525.2770, Subp. 5 EUCP Policy and Procedures Were
Implemented
9525.2770, Subp. 6 Report and Review of EUCP

CONSUMER RIGHTS

245B.04, Subd. 1 ~~Rights Were Exercised and Protected~~
245B.04, Subd. 2 ~~Service-Related Rights~~
245B.04, Subd. 3 ~~Protection-Related Rights~~

CONSUMER FUNDS & PROPERTY

245B.07, Subd. 10, (a) Funds and Property Available for Use by
Consumer
245B.07, Subd. 10, (b) Separation of Funds Maintained
245B.07, Subd. 10, (c) Authorization, Reporting & Return
245B.07, Subd. 10, (d) Prohibitions on Use and Handling

SERVICE SUSPENSION & TERMINATION

245B.07, Subd. 8, (c), (1) Service Suspension and Termination

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STAFF AND VOLUNTEER ORIENTATION & TRAINING

245B.07, Subd. 4, (a), (b)	Staff Qualifications
245B.07, Subd. 5, (a)	Staff Orientation Provided on Time
245B.07, Subd. 5, (c)	Provision of Staff Orientation Documented
245B.07, Subd. 5, (b)	Staff Orientation Subjects Covered
245B.07, Subd. 6, (a)	Staff Training Provided on Time
	Provision of Staff Training Documented
245B.07, Subd. 6, (b), (c), (d)	Staff Training Subjects Covered
245B.05, Subd. 6	Staff Trained in First Aid and CPR
245B.07, Subd. 7	Direct Service Volunteers Received Necessary Training and Orientation
245A.65, Subd. 3	Vulnerable Adults Orientation & Training

DTH STAFFING AND SUPERVISION

245B.055, Subd. 3	Staff Ratio Requirements
245B.055, Subd. 7	Minimum Staffing Requirements
245B.055, Subd. 8	Additional Staff Requirements
245B.055, Subd. 9	Minimum Supervision Requirements

BACKGROUND STUDIES (BGS)

245C.04, Subd. 1, (h), (i)	When to Submit BGS
245C.04, Subd. 5	Staff from Outside Agencies
245C.07	Staff Working Across Multiple Programs
245C.13, Subd. 2	Continuous Direct Supervision
245C.20	BGS Records
245C.30	BGS Variances

PHYSICAL ENVIRONMENT

245B.05, Subd. 1	Consumer Environment Protections
245B.05, Subd. 2	DT&H Licensed Capacity and Primary Space
245B.05, Subd. 3	ICF/DD Fire Safety Requirements
245B.05, Subd. 4	Fire and Safety Codes
245A.65, Subd. 1, (d)	Posting VA Reporting Policy

POLICIES AND PROCEDURES

245B.07, Subd. 8, (a)	Health and Safety Policies and Procedures
245B.07, Subd. 8, (b)	Consumer Rights and Privacy Policies and Procedures
245B.07, Subd. 8, (c)	Continuity of Care and Service Coordination Policies and Procedures
9525.2770, Subp. 5	Emergency Use of Controlled Procedures
245A.65, Subd. 1, (a), (b)	Reporting Maltreatment of Vulnerable Adults Conducting Internal Reviews of VA Maltreatment Reports
245A.04, Subd. 1, (c)	Prohibition on Being Under the Influence
245B.07, Subd. 9	Availability of Written Policies and Procedures
245A.04, Subd. 14, (b), (3)	Monitoring Staff Implementation of Policies and Procedures
245A.04, Subd. 14, (c)	Staff Access to Policies and Procedures