

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

Developmental Disabilities Services Licensed under Minnesota Statutes, chapter 245B

**STAFF QUALIFICATIONS, ORIENTATION AND TRAINING**

LAW / RULE CITE	LICENSING STANDARD	RECORD 1	RECORD 2	RECORD 3	NOTES
245B.07, Subd. 4	<b><u>Staff Qualifications</u></b> The license holder ensured that the staff qualification requirements were met.				
245B.031, Subd. 2	245B license holders licensed to provide day training and habilitation or supported employment services that are CARF accredited and approved by DHS Licensing for an alternative inspection status are exempt from the requirements of section 245B.07, subdivision 4.				
245B.07, Subd. 4, (a)	<b><u>Staff Competence</u></b> The license holder ensured that staff was competent through training, experience, and education to meet the consumer's needs and additional requirements as written in the ISP.				

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	<p><u>Documentation of Qualifications</u> Staff qualifications were documented.</p> <ul style="list-style-type: none"> <li>▪ Documentation needed for designated coordinators (DC) includes a copy of the DC's resume and degree or diploma. If the degree or diploma does not state the field of study then a copy of the person's transcripts is required to verify that the degree or diploma meet the requirements.</li> <li>▪ For staff who are responsible for providing first aid or CPR, copies of certificates of completion of training from a qualified training source.</li> <li>▪ For staff that will be driving consumers, verification that the person holds a valid MN driver's license.</li> <li>▪ Records of completion of all required staff orientation and annual training.</li> <li>▪ For staff that will administer medication, a certificate of completion of a medication administration curriculum developed by a health services professional and successful completion of an observed skill assessment.</li> </ul>				
	<p><u>Minimum Age Requirements</u> Staff under 18 years of age did not perform overnight duties or administer medication.</p>				
245B.07, Subd. 4, (b)	<p><u>Designated Coordinator Qualifications</u> The staff person responsible for coordinating the delivery and evaluation of services, the designated coordinator, met the minimum qualifications:</p> <p>a four-year degree in a field related to service provision, and one year work experience with consumers with developmental disabilities,</p> <p>a two-year degree in a field related to service provision, and two years of work experience with consumers with developmental disabilities, or</p> <p>a diploma in community-based developmental disability services from an accredited postsecondary institution and two years of work experience with consumers with developmental disabilities.</p>				

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245B.07, Subd. 5	<b>Staff Orientation</b> The license holder ensured that staff providing direct service received orientation as required.				
245B.02, Subd. 8	"Direct service" means, for a consumer receiving residential-based services, day training and habilitation services, or respite care services, one or more of the following: supervision, assistance, or training.				
245B.03, Subd. 3, (b)	EXEMPTION: When a direct service staff person begins providing direct service under one or more licenses [held by the same license holder] other than the license for which the staff person initially received the staff orientation requirements, the license holder is exempt from all staff orientation requirements, except that:				
245B.03, Subd. 3, (b), (1)	if the service provision location changes, the staff person must receive orientation regarding any policies or procedures under section 245B.07, subdivision 8, that are specific to the service provision location; and				
245B.03, Subd. 3, (b), (2)	if the staff person provides direct service to one or more consumers for whom the staff person has not previously provided direct service, the staff person must review <u>each consumer's</u> :  (i) service plans and risk management plan; and  (ii) [individual] medication administration [procedures for medication monitoring and administration and seizure monitoring, if needed].				

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245B.07, Subd. 5, (a)	Within 60 days of hiring staff who provide direct service,  Date of hire:				
	Date 60-days from date of hire:				
	the license holder provided 30 hours of staff orientation (15 hours if the staff person has previously received orientation training from a license holder licensed under this chapter).	30 / 15 circle the req. #	30 / 15 circle the req. #	30 / 15 circle the req. #	
	Total number of hours of orientation completed within first 60 days:				
	Direct care staff completed 15 of the 30 hours orientation before providing any unsupervised direct service to a consumer (8 of the 15 if the staff person has received orientation training from a license holder licensed under this chapter, or provides semi-independent living services only, the 15-hour requirement may be reduced to eight hours).	15 / 8 circle the req. #	15 / 8 circle the req. #	15 / 8 circle the req. #	
	Date first 15 or 8 hours of orientation was completed:  Date of first unsupervised direct service to a consumer:				
245B.07, Subd. 5, (c)	The license holder documented each employee's orientation received.  <ul style="list-style-type: none"> <li>▪ For staff persons who are exempt from the orientation requirements as identified under section 245B.03, subd. 3, (b), the license holder must maintain documentation of the orientation the staff person received under the other license.</li> </ul>				

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245B.07, Subd. 5, (b)	The 30 hours of orientation combined supervised on-the-job training with coverage of the following material:				
245B.07, Subd. 5, (b), (1)	review of the consumer's service plans and risk management plan to achieve an understanding of the consumer as a unique individual [for each consumer the staff person will provide direct service to];				
245B.07, Subd. 5, (b), (2)	review and instruction on the license holder's policies and procedures, including their location and access [including, at a minimum];				
	▪ consumer safety in emergency situations;				
	▪ consumer health through sanitary practices;				
	▪ safe transportation;				
	▪ a system of record keeping;				
	▪ incident response and reporting;				
	▪ medication administration;				
	▪ psychotropic medication monitoring;				
	▪ service admission;				
	▪ consumer data privacy;				
	▪ complaint procedures;				
	▪ termination or temporary service suspension;				
	▪ program evaluation;				
▪ emergency use of controlled procedures [9525.2770, subp. 5]					
▪ drug and alcohol policy [245A.04, subd. 1, (c)]; and					

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	<ul style="list-style-type: none"> <li>▪ any other license holder policies and procedures.</li> </ul>				
245B.07, Subd. 5, (b), (3)	emergency procedures;				
245B.07, Subd. 5, (b), (4)	explanation of specific job functions, including implementing objectives from the consumer's individual service plan [for each consumer the staff person will provide direct service to];				
245B.07, Subd. 5, (b), (5)	explanation of responsibilities related to section 245A.65; sections 626.556 and 626.557, governing maltreatment reporting and service planning for children and vulnerable adults; and				
	section 245.825, governing use of aversive and deprivation procedures [Rule 40]; <ul style="list-style-type: none"> <li>▪ Training on Rule 40 is required whether or not any consumers being served have an individual program plan that includes the use of a controlled procedure or not.</li> </ul>				
245B.07, Subd. 5, (b), (6)	medication administration as it applies to the individual consumer ,				
	<ul style="list-style-type: none"> <li>▪ Meaning the procedures the license holder will follow for the consumer regarding medication monitoring and administration and seizure monitoring, if needed.</li> <li>▪ The medication administration procedures are those procedures necessary to implement medication and treatment orders issued by appropriately licensed professionals as identified under 245B.05, subd. 5.</li> </ul>				
	from a training curriculum developed by a health services professional described in section 245B.05, subdivision 5. <ul style="list-style-type: none"> <li>▪ Meaning a nurse, nurse practitioner, physician's assistant, or medical doctor.</li> </ul>				

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	<p>Staff administered medications only after they demonstrated the ability to do so, as defined in the license holder's medication administration policy and procedures.</p> <ul style="list-style-type: none"> <li>▪ Meaning that after completing the training and orientation the staff person successfully completed an observed skill assessment as required under 245B.07, subd. 8, to ensure that staff demonstrated the ability to administer medications consistent with the license holder's policy and procedures.</li> </ul>				
	<p>When a consumer met the criteria of having overriding health care needs, then the medication administration was taught by a health services professional.</p>				
	<p>Once a consumer with overriding health care needs was admitted, staff were provided with remedial training as deemed necessary by the license holder and the health professional to meet the needs of that consumer.</p>				
	<ul style="list-style-type: none"> <li>▪ For purposes of this section, overriding health care needs means a health care condition that affects the service options available to the consumer because the condition requires: <ul style="list-style-type: none"> <li>(i) specialized or intensive medical or nursing supervision; and</li> <li>(ii) nonmedical service providers to adapt their services to accommodate the health and safety needs of the consumer;</li> </ul> </li> <li>▪ On the DD screening document overriding healthcare need is identified in the medical needs assessment as (code 05) needing on-site medical attention 24 hours/day. The example given is for a person who is [including, but not limited to] ventilator dependent, requires frequent, unscheduled intramuscular medication or is at risk of aspiration.</li> </ul>				
245B.07, Subd. 5, (b), (7)	consumer rights; and				
245B.07, Subd. 5, (b), (8)	other topics necessary as determined by the consumer's ISP or other areas identified by the license holder.				



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	<p>ALL OTHERS: All other license holders ensured that direct service staff annually completed the required number of hours of training as follows:</p> <table border="1" data-bbox="241 418 1159 896"> <thead> <tr> <th colspan="2">STAFF EMPLOYED FOR ONE TO 24 MONTHS</th> <th>Avg # Work Hrs / Week:</th> <th>Avg # Work Hrs / Week:</th> <th>Avg # Work Hrs / Week:</th> </tr> <tr> <th><u>Avg # of work hours scheduled per week</u></th> <th><u># of hours of annual training required</u></th> <th></th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>30-40</td> <td>40</td> <td># of Annual Train Hrs Completed:</td> <td># of Annual Train Hrs Completed:</td> <td># of Annual Train Hrs Completed:</td> </tr> <tr> <td>20-29</td> <td>30</td> <td></td> <td></td> <td></td> </tr> <tr> <td>1-19</td> <td>20</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <table border="1" data-bbox="241 662 1159 896"> <thead> <tr> <th colspan="2">STAFF EMPLOYED MORE THAN 24 MONTHS</th> <th>Avg # Work Hrs / Week:</th> <th>Avg # Work Hrs / Week:</th> <th>Avg # Work Hrs / Week:</th> </tr> <tr> <th><u>Avg # of work hours scheduled per week</u></th> <th><u># of hours of annual training required</u></th> <th></th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>30-40</td> <td>20</td> <td># of Annual Train Hrs Completed:</td> <td># of Annual Train Hrs Completed:</td> <td># of Annual Train Hrs Completed:</td> </tr> <tr> <td>20-29</td> <td>15</td> <td></td> <td></td> <td></td> </tr> <tr> <td>1-19</td> <td>12</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>If direct service staff has received training from a license holder licensed under this chapter or completed course work regarding disability-related issues from a postsecondary educational institute that training may also count toward training requirements for other services and for other license holders.</p>	STAFF EMPLOYED FOR ONE TO 24 MONTHS		Avg # Work Hrs / Week:	Avg # Work Hrs / Week:	Avg # Work Hrs / Week:	<u>Avg # of work hours scheduled per week</u>	<u># of hours of annual training required</u>				30-40	40	# of Annual Train Hrs Completed:	# of Annual Train Hrs Completed:	# of Annual Train Hrs Completed:	20-29	30				1-19	20				STAFF EMPLOYED MORE THAN 24 MONTHS		Avg # Work Hrs / Week:	Avg # Work Hrs / Week:	Avg # Work Hrs / Week:	<u>Avg # of work hours scheduled per week</u>	<u># of hours of annual training required</u>				30-40	20	# of Annual Train Hrs Completed:	# of Annual Train Hrs Completed:	# of Annual Train Hrs Completed:	20-29	15				1-19	12							
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245B.07, Subd. 6, (b)	<p>The license holder documented the training completed by each employee.</p> <ul style="list-style-type: none"> <li>▪ At a minimum this included the name of the employee, the topic covered, the date of the training, the number of hours completed, the training source and instructor/trainer name.</li> </ul>																																																						
245B.07, Subd. 6, (c)	<p>Training addressed staff competencies necessary to address the consumer needs as identified in the consumer's ISP and</p> <p>ensure consumer health, safety, and protection of rights.</p> <p>Training also included other areas identified by the license holder.</p>																																																						

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245B.07, Subd. 6, (d)	For consumers requiring a 24-hour plan of care, the license holder provided training in CPR, from a qualified source determined by the commissioner, <u>if the consumer's health needs as determined by the consumer's physician</u> indicated trained staff would be necessary to the consumer.				
<b>245B.05, Subd. 6</b>	<b><u>First Aid &amp; CPR</u> The license holder met all requirements for having a staff person available trained in first aid and if needed, CPR.</b>				
	<p><u>Staff Trained in First Aid</u> If the license holder was providing direct service and supervision to a consumer who required a 24-hour plan of care and received services at a <b>site</b> licensed under 245B, the license holder had a staff person available trained in first aid; and</p> <ul style="list-style-type: none"> <li>▪ “Site licensed under 245B” means a DT&amp;H facility, an ICF/MR or a SLF serving four or more people with DD, or a</li> <li>▪ If the license holder's policies and procedures or a consumer's risk management plan states that <u>all</u> staff will be trained in First Aid or CPR then the license holder must meet that requirement.</li> <li>▪</li> </ul>				
	<p><u>Staff Trained in CPR if Needed</u> If needed [under section 245B.07, subd. 6, (d)], cardiopulmonary resuscitation</p>				
	<p><u>Qualified Training Source</u> from a qualified source, as determined by the commissioner.</p> <p>Cont'd next page</p>				

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	<p><u>Qualified Training Source</u> Qualified source means the license holder used one of three approved curriculums for first aid and cardiopulmonary resuscitation, or a curriculum that is comparable to one of three approved curriculums:</p> <ol style="list-style-type: none"> <li>1. American Heart Association;</li> <li>2. American Red Cross;</li> <li>3. National Safety Council</li> </ol> <ul style="list-style-type: none"> <li>▪ The instructor must be recognized as a qualified and certified first aid or CPR instructor by the training agency.</li> <li>▪ The curriculum must include an observed skill assessment (demonstration of skill) and a post-test indicating understanding and competency.</li> <li>▪ Training must result in certification upon successful completion of the course.</li> </ul>				
245B.07, Subd. 7	<p><u>Volunteers</u> <b>The license holder ensured that volunteers who provided direct services to consumers received the training and orientation necessary to fulfill their responsibilities.</b></p>				
245B.03, Subd. 2, (a)	245B-Residential Services that are ICF/MR certified Supervised Living Facilities are exempt from the requirements of this section.				
	This includes the orientation and training requirements in subdivisions 5 and 6 above.	Orient Prov?  Train Prov?	Orient Prov?  Train Prov?	Orient Prov?  Train Prov?	

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245A.65, Subd. 3	<b><u>VA Maltreatment Orientation and Annual Training</u></b> The license holder provided orientation and annual training on maltreatment of vulnerable adults to mandated reporters as required.				
	The license holder shall ensure that each new mandated reporter, as defined in section 626.5572, subdivision 16, who is under the control of the license holder, receives:				
	<u>Time Lines</u> An orientation within 72 hours of first providing direct contact services as defined in section 245C.02, subdivision 11, to a vulnerable adult; and				
	Date first provided direct contact services?				
	Date of orientation?				
	annually thereafter. Date of annual training:				
245A.02, Subd. 2b.	"Annual" or "annually" means prior to or within the same month of the subsequent calendar year.				
	<u>Content</u> The orientation and annual review shall inform the mandated reporters of:				
	the reporting requirements and definitions in sections 626.557 and 626.5572,				
	the requirements of this section [245A.65],				
	the license holder's program abuse prevention plan [the license holder is exempt from this requirement under section 245B.06, subd. 2, when training on consumers' risk management plans is provided] and				
	all internal policies and procedures related to the prevention and reporting of maltreatment of individuals receiving services.				