

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

Home and Community-Based Services Licensed under Minnesota Statutes, chapter 245D

SERVICE DELIVERY & EVALUATION

The license holder is responsible for the coordination of service delivery and evaluation of the service delivery for each person that receives services. This coordination and evaluation is fulfilled by a designated coordinator. The designated coordinator has primary responsibility for the oversight of the majority of service delivery requirements related to individual service recipients and provides supervision, support, and evaluation of those activities. This oversight and evaluation helps ensure compliance with the coordinated service and support plan (CSSP), accomplishment of assigned outcomes, instruction and assistance to staff, and evaluation of program related to individual service delivery.

The license holder is responsible for the program management and oversight of the services provided. These duties are fulfilled by a designated manager. The designated manager has primary responsibility for maintaining an understanding of licensing requirements and using this knowledge to maintain compliance with all applicable laws and rules, ensuring that the designated coordinator requirements are fulfilled, ensuring implementation of corrective action following incident, emergency, or maltreatment reports and as ordered by the commissioner including terms and condition of the license and any variances are met, and evaluating information to develop, document, and implement ongoing program improvements.

Each license holder determines how many designated coordinators and designated managers are needed to fulfill their duties. Some license holders may elect to have the same person fill both roles.

Basic Support Services vs. Intensive Support Services

There are different licensing requirements when a license holder is providing basic support services and intensive support services during the early period of service provision [section 245D.03, subdivision 1]. The checklist designates when the licensing standards apply to a specific service type. When there is no designation, the licensing standards apply to both basic support services and intensive support services.

Basic support services include:

- In-home and out-of home respite care
- Adult companion services
- Personal support
- 24-hour emergency assistance
- Night supervision
- Homemaker

Intensive support services include:

- Intervention services, including
 - Behavioral support
 - In-home and out-of home crisis respite
 - Specialist services
- In-home support services, including
 - In-home family support and supported living services
 - Independent living skills training
 - Semi-independent living services
- Residential supports and services, including
 - Supported living services and foster care services provided in a child foster care residence, a family adult foster care residence, a community residential setting, or a supervised living facility
 - Residential services provided in an ICF/DD;
- Day services, including
 - Structured day services,
 - Day training and habilitation
 - Prevocational services
- Supported employment

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Definitions

"Coordinated service and support plan" [CSSP] has the meaning given in sections [256B.0913, subdivision 8](#); [256B.0915, subdivision 6](#); [256B.092, subdivision 1b](#); and [256B.49, subdivision 15](#), or successor provisions [section 245D.02, subdivision 4b].

The CSSP is developed by the case manager in consultation with person and/or their representative. The CSSP provides direction to license holders and assigns responsibilities, including:

- *Services/tasks that the license holder is responsible to implement*
- *Reporting requirements above the minimum reporting required in Chapter 245D*
- *Person-centered planning elements*
- *Additional assessments to be completed by the license holder, if any.*

"Coordinated service and support plan addendum" [CSSP addendum] means the documentation that this chapter requires of the license holder for each person receiving services [section 245D.02, subdivision 4c].

The person's support team or expanded support team must participate in the development of the CSSP addendum. The CSSP addendum is not a single document. It is multiple documents or documentation the license holder is required to develop that identify how services will be delivered in order to meet a person's identified needs and desired outcomes.

Within the scope of services and the responsibilities assigned to the license holder in the CSSP, the CSSP addendum may include the following elements:

- *Documentation when the person's rights have been restricted, including justification and the plan for full restoration of rights [section 245D.04, subdivision 3, paragraph (c)]*
- *Documentation of the health needs procedures, including psychotropic medication monitoring [sections 245D.04, subdivision 3, paragraph (c) and 245D.051]*
- *Reports of incidents [section 245D.06, subdivision 1]*
- *Documentation of the positive support transition plan, when required [section 245D.06, subdivision 8]*
- *Individual abuse prevention plan (IAPP) [section 245A.65, subdivision 2, paragraph (b)]*
- *Assessments and service planning [sections 245D.07, subdivision 2 and 245D.071, subdivision 3]*
- *Documentation of the methods to be used to support a person's identified needs and accomplish identified outcomes [section 245D.071, subdivisions 3 – 5] including:*
 - Documentation of any continuous use of permitted actions and procedures [section 245D.06, subdivision 7, paragraphs (b) and (c)] and*
 - Documentation of the support team's review of emergency use of manual restraint and any changes to the person's service plan [section 245D.061, subdivision 7]*
- *Progress reports and recommendations [sections 245D.07, subdivision 3 and 245D.071, subdivision 5]*

"Legal representative" means the parent of a person who is under 18 years of age, a court-appointed guardian, or other representative with legal authority to make decisions about services for a person. Other representatives with legal authority to make decisions include but are not limited to a health care agent or an attorney-in-fact authorized through a health care directive or power of attorney [section 245D.02, subdivision 12].

"Most integrated setting" means a setting that enables individuals with disabilities to interact with nondisabled persons to the fullest extent possible [section 245D.02, subdivision 20a].

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“Outcome” means the behavior, action, or status attained by the person that can be observed, measured, and determined reliable and valid [section 245D.02, subdivision 21a].

"Self-determination" means the person makes decisions independently, plans for the person's own future, determines how money is spent for the person's supports, and takes responsibility for making these decisions. If a person has a legal representative, the legal representative's decision-making authority is limited to the scope of authority granted by the court or allowed in the document authorizing the legal representative to act [section 245D.02, subdivision 29a].

"Service" means care, training, supervision, counseling, consultation, or medication assistance assigned to the license holder in the coordinated service and support plan [section 245D.02, subdivision 22].

“Working day” means Monday, Tuesday, Wednesday, Thursday, or Friday, excluding any legal holiday [section 245D.02, subdivision 37].

Key

Language that is contained in [brackets], *italics*, or ■ bulleted is provided for clarification.

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LAW / RULE CITE	LICENSING STANDARD	RECORD 1	RECORD 2	RECORD 3	NOTES
245D.07 , Subd. 1 and 245D.03 , Subd. 2	Provision of Services The license holder provided assigned services assigned in compliance with applicable laws and regulations.				
245D.07 , Subd. 1	The license holder provided services assigned in the CSSP.				
	The provision of services complied with the requirements of this chapter and the federal waiver plans.				
245D.03 , Subd. 2, (h)	The documentation required under sections 245D.07 and 245D.071 met the individual program plan requirements identified in section 256B.092 or successor provisions.				
245D.07 , Subd. 1a	Person-Centered Planning and Service Delivery The license holder provided person-centered services through planning and delivery.				
245D.07 , Subd. 1a, (a)	The license holder provided services in response to the person's identified needs, interest, preferences, and desired outcomes as specified in the CSSP and the CSSP addendum, and in compliance with the requirements of this chapter.				
	License holders providing intensive support services also provided outcome-based services according to the requirements in section 245D.071.				
245D.07 , Subd. 1a, (b)	Services were provided in a manner that supported the person's preferences, daily needs, and activities and accomplishment of the person's personal goals and service outcomes, consistent with the principles of:				
	(1) person-centered service planning and delivery that:				
	(i) identified and supported what is important to the person as well as what is important for the person, including preferences for when, how, and by whom direct support service is provided;				
	(ii) used that information to identify outcomes the person desires; and				

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	(iii) respected each person's history, dignity, and cultural background;				
	(2) self-determination that supported and provided:				
	(i) the affirmation and protection of each person's civil and legal rights; and				
	(ii) used that information to identify outcomes the person desired; and				
	(3) provided the most integrated setting and inclusive service delivery that supported, promoted, and allowed:				
	(i) inclusion and participation in the person's community as desired by the person in a manner that enabled the person to interact with nondisabled persons to the fullest extent possible and supported the person in developing and maintaining a role as a valued community member;				
	(ii) opportunities for self-sufficiency as well as developing and maintaining social relationships and natural supports; and				
	(iii) a balance between risk and opportunity, meaning the least restrictive supports or interventions necessary were provided in the most integrated settings in the most inclusive manner possible to support the person to engage in activities of the person's own choosing that may otherwise present a risk to the person's health, safety, or rights.				
245D.07, Subd. 2	<u>Meetings</u> The license holder participated in team meetings.				
245D.07, Subd. 2, (d)	The license holder participated in service planning and support team meetings for the person following stated timelines established in the person's CSSP or as requested by the person or the person's legal representative, the support team or the expanded support team.				

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245D.071 , Subd. 5, (b) REQUIRED FOR INTENSIVE SUPPORT SERVICIES	The license holder ___ summarized the person's progress toward achieving the identified outcomes and ___ made recommendations and ___ identified the rationale for changing, continuing, or discontinuing implementation of supports and methods identified in subdivision 4 ___ in a report available at the time of the progress review meeting. The report was sent at least five working days prior to the progress review meeting if requested by the team in the coordinated service and support plan or coordinated service and support plan addendum.	Date of Mtg: Date Sent:	Date of Mtg: Date Sent:	Date of Mtg: Date Sent:	
245D.071 , Subd. 5, (c) REQUIRED FOR INTENSIVE SUPPORT SERVICIES	The license holder sent the coordinated service and support plan addendum to the ___ person, ___ the person's legal representative, and the ___ case manager by mail within ten working days of the progress review meeting. Within ten working days of the mailing of the coordinated service and support plan addendum, the license holder obtained dated signatures from the ___ person or the person's legal representative and the ___ case manager to document approval of any changes to the CSSP addendum. <i>[License holders providing intervention services or in-home support services may meet compliance following the standards in section 245D.07 rather than the standards found in section 245D.071. When following the standards in section 245D.07, the license holder must provide services as specified in the CSSP or CSSP addendum, including requirements to exceed licensing standards in chapter 245D.]</i>	Date of Mtg: Date of Signatures:	Date of Mtg: Date of Signatures:	Date of Mtg: Date of Signatures:	

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245D.071 , Subd. 5, (d)	If, within ten working days of submitting changes to the coordinated service and support plan and coordinated service and support plan addendum, the person or the person's legal representative or case manager has not signed and returned to the license holder the coordinated service and support plan or coordinated service and support plan addendum or has not proposed written modifications to the license holder's submission, the submission is deemed approved and the coordinated service and support plan addendum becomes effective and remains in effect until the legal representative or case manager submits a written request to revise the coordinated service and support plan addendum.				
<u>245D.081,</u> Subd. 1	<u>Program Coordination, Evaluation, and Oversight</u> The license holder ensured that responsibilities for the coordination and evaluation of the program were met.				
245D.081, Subd. 1, (a)	The license holder was responsible for (1) coordination of service delivery and evaluation for each person served by the program as identified in subdivision 2; and (2) program management and oversight that includes evaluation of the program quality and program improvement for services provided by the license holder as identified in subdivision 3.				
245D.081, Subd. 1, (b)	The same person may have performed the functions in subdivision (a) if the work and education qualifications were met in subdivisions 2 and 3.				
245D.081, Subd. 2	<u>Coordination and Evaluation of Individual Service Delivery</u> The license holder ensured that a designated coordinator provided supervision, support and evaluation of the services.				
<u>245D.03</u> , Subd. 2, (e)	A license holder who provided residential services to persons in an ICF/DD is exempt from compliance with subdivision 2.				
<u>245D.081,</u> Subd. 2, (a)	Delivery and evaluation of services provided by the license holder were coordinated by a designated staff person.				

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	<p>The designated coordinator provided ___supervision, ___support, and ___ evaluation of activities that included:</p> <p>(1) oversight of the license holder's responsibilities assigned in the person's CSSP and the CSSP addendum;</p> <p>(2) taking the action necessary to facilitate the accomplishment of the outcomes according to the requirements in section 245D.07;</p> <p>(3) ___instruction and ___assistance to direct support staff implementing the CSSP and the service outcomes, ___including direct observation of service delivery sufficient to assess staff competency; and</p> <p>(4) evaluation of the effectiveness of service delivery, methodologies, and progress on the person's outcomes based on the measurable and observable criteria for identifying when the desired outcome has been achieved according to the requirements in section 245D.07.</p>				
245D.081, Subd. 3	<p><u>Program Management and Oversight</u> The license holder ensured that a designated manager provided management and oversight of the program and services.</p>				
245D.081, Subd. 3, (a)	<p>The license holder designated a managerial staff person or persons to provide management and oversight of the program and services provided by the license holder.</p>				
	<p>The designated manager was responsible for the following:</p> <p>(1) maintaining a current understanding of the licensing requirements sufficient to ensure compliance throughout the program as identified in section 245A.04, subdivision 1, paragraph (e), and when applicable, as identified in section 256B.04, subdivision 21, paragraph (b);</p> <p>(2) ensuring the duties of the designated coordinator were fulfilled according to the requirements in [245D.081,] subdivision 2;</p>				

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	(3) ensuring the program implemented corrective action identified as necessary by the program following review of incident and emergency reports according to the requirements in section 245D.11, subdivision 2 , clause (7).				
	An internal review of incident reports of alleged or suspected maltreatment was conducted according to the requirements in section 245A.65, subdivision 1 , paragraph (b);				
	(4) evaluation of satisfaction of ___ persons served by the program, ___ the person's legal representative, if any, and ___ the case manager, with the ___ service delivery and progress towards accomplishing outcomes identified in sections 245D.07 and 245D.071 , and ___ ensuring and protecting each person's rights as identified in section 245D.04 ;				
	(5) ensuring staff competency requirements are met according to the requirements in section 245D.09, subdivision 3 , and				
	ensuring staff orientation and training is provided according to the requirements in section 245D.09, subdivisions 4, 4a, and 5 ;				
	(6) ensuring corrective action is taken when ordered by the commissioner and				
	that the terms and conditions of the license and any variances are met; and				
	(7) evaluating the information identified in clauses (1) to (6) to ___ develop, ___ document, and ___ implement ongoing program improvements.				