

## Document Guide

This flow sheet provides an overview of the documents needed for county licensure and the minimum review timelines.

RLS – Sourcewell Regional Licensing Specialist

Document Name	When to review	Responsibility to complete	Posting	Licensing Oversight
<p>Program Plan</p> <p>Think of this like an amenities list. What do you offer and what can someone expect?</p>	At least at time of relicensing, for a change of premise, or when there are significant changes to the programming or items in the plan	License holder	No, maintain with policies.	Reviewed and signed by RLS
<p>Program Abuse Prevention Plan (PAPP)</p> <p>Identify potential risks generally related to your home.</p>	At least annually, for a change of premise, or when there are significant changes to the programming or items in the plan	License holder	<b>Yes</b> <b>Posted or in an easily accessible location (small binder, etc)</b>	Reviewed by RLS  Must give a copy to residents/guardians annually. <b>Document in resident files the date the guardian received the PAPP.</b>
Workers Compensation Verification	Verification form completed at least at time of relicensing	License holder License holder is also responsible to renew policy as indicated	No, maintain with policies.	Reviewed by RLS
<p>Emergency Response, Reporting and Review Policy</p> <p>Drug and Alcohol Policy</p>	<p>At least at time of relicensing, for a change of premise, or when there are changes to the policies and/or procedures</p> <p>For programs with a HCBS/245D license – please follow the 245D policy and procedure review timeline</p>	License holder	No, maintain in an easily accessible location.	Reviewed by RLS  Reviewed by 245D licensing for programs with an HCBS/245D license
Internal and External Maltreatment Reporting Policy	At least at time of relicensing, for a change of premise, or when there are changes to the	License holder	<b>Yes</b> <b>Posted or in an easily accessible</b>	Reviewed by RLS

Grievance Policy	policies and/or procedures		<b>location (small binder, etc)</b>	
Emergency Escape Plan	For programs with a HCBS/245D license – please follow the 245D policy and procedure review timeline			
Notice of Privacy Practices	At least annually	License holder	No, maintain in resident files	Reviewed by RLS  Must give a copy to residents/guardians annually
Vulnerable Adults Act Summary				
Service Termination Policy	Reviewed at least annually.  For programs with a HCBS/245D license – please follow the 245D policy and procedure review timeline	License holder	No, maintain with policies.	Reviewed by RLS  Must give a copy to residents/guardians annually
Fire Drills	Must be completed at least once every 90 days within the license anniversary. Highly encouraged to be completed on a different day of the month and at varied times.	License holder	No, maintain with policies.	Reviewed by RLS
Smoke and carbon monoxide detectors	Highly encouraged to be tested with each drill to ensure functionality. Replace according to manufacturer guidelines or at least every 10 years.  Hardwired alarms MUST be replaced with hardwired alarms.	License holder	N/A	Reviewed by RLS
Training	All AFC programs: Annual Vulnerable Adult Maltreatment Training  AFC without 245D:	License holder	No, maintain with policies.	Reviewed by RLS

AFC with 245D – follow 245D training requirements	Caregivers with 0-5 years of experience: 12 hours of annual training  Caregivers with 6+ years of experience: 6 hours of annual training			Programs with 245D: training reviewed by 245D licensing
Individual Resident Placement Agreement (IRPA)  Individual Abuse Prevention Plan (IAPP)	Reviewed and updated at least annually  IAPP should be updated as appropriate for updates with potential risks for abuse, neglect, and/or maltreatment	License holder, case manager, resident, and guardian	No, maintain in resident files	Reviewed by RLS  Both must be reviewed and signed by LH, resident/guardian, case manager at least annually.
Fire extinguishers	Must service annually  Must document on tags that fire extinguishers were checked monthly	License holder	NA	Reviewed by RLS
Well water	Must be tested annually by a MN Health Department certified lab for coliform and nitrates	License holder	No, maintain with policies.	Reviewed by RLS
Background studies	Complete for all new employees, volunteers, contractors, etc. or children turning 13.  If the person needing a background study will not be providing 245D services (i.e. a minor between 13 and 17), you can run the study under your AFC license	License holder  For programs with a 245D license: ensure to affiliate with both licenses in NETStudy2	No, maintain with policies.	Roster reviewed by RLS
For programs without a 245D license:  Resident files	Ensure the following items are in place and updated with any changes:  Resident demographic information	License holder – may need to collaborate with case manager, guardian, doctors, or others	No, maintain in resident files	Reviewed by RLS

	<p>Resident emergency and provider contact information</p> <p>Medication administration record, permission to administer medication, and medication policy</p> <p>Cash resource record and permission to manage funds</p> <p>Mobility Access Assessment – reviewed unless there were changes</p> <p>Release of Information (ROI) signed by resident/guardian for provider for all needed outside individuals/organizations</p>			
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