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H. F. No.

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State of Minnesota

HOUSE OF REPRESENTATIVES

A bill for an act

relating to human services; Minnesota supplemental aid shelter needy provisions;

modifying adult foster care homes; amending Minnesota Statutes 2010, sections

EIGHTY-SEVENTH SESSION

01/26/2012 Authored by Schomacker, Hamilton, Huntley, Abeler, Pelowski and others The bill was read for the first time and referred to the Committee on Health and Human Services Reform

03/05/2012 Adoption of Report: Pass as Amended and re-referred to the Committee on Government Operations and Elections 03/12/2012 Adoption of Report: Pass as Amended and re-referred to the Committee on Health and Human Services Finance

| 1.4 1.5 | 245A.03, by adding a subdivision; 245A.11, subdivisions 2a, 7, 7a; 245B.06, subdivision 2; 245B.07, subdivision 1; 245C.04, subdivision 6; 245C.05, | |
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| 1.6 | subdivision 7; 256B.092, subdivision 1b; 256D.44, subdivision 5; Minnesota | |
| 1.7 | Statutes 2011 Supplement, sections 256B.097, subdivision 3; 256B.49, | |
| 1.8 | subdivision 23; proposing coding for new law in Minnesota Statutes, chapter | |
| 1.9 | 256B. | |
| 1.10 | BE IT ENACTED BY THE LEGISLATURE OF THE STATE OF MINNESOTA: | |
| 1.11 | Section 1. Minnesota Statutes 2010, section 245A.03, is amended by adding a | |
| 1.12 | subdivision to read: | |
| 1.13 | Subd. 6a. Adult foster care homes serving people with mental illness; | |
| 1.14 | certification. (a) The commissioner of human services shall develop an optional | |
| 1.15 | certification process for adult foster care homes licensed under this chapter and Minnesota | |
| 1.16 | Rules, parts 9555.5105 to 9555.6265, that serve people with mental illness where the | |
| 1.17 | home is not the primary residence of the license holder. If an adult foster care license | |
| 1.18 | holder becomes certified, the certification shall be included in the license information. | |
| 1.19 | The certification process shall be developed with input from advocates, mental health | |
| 1.20 | professionals, and adult foster care providers. | |
| 1.21 | (b) As part of the certification process, the commissioner shall require that: | |
| 1.22 | (1) staff working in the adult foster care home receive training on the following | |
| 1.23 | topics: | |
| 1.24 | (i) mental health diagnoses; | |
| 1.25 | (ii) mental health crisis response and de-escalation techniques; | |
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Section 1. 1

(iii) recovery from mental illness;

| 2.1 | (iv) treatment options including evidence-based practices; |
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| 2.2 | (v) medications and their side effects; |
| 2.3 | (vi) co-occurring substance abuse and health conditions; and |
| 2.4 | (vii) other topics as determined by the commissioner; and |
| 2.5 | (2) a mental health professional, as defined in section 245.462, subdivision 18, |
| 2.6 | provides oversight of the adult foster care home. |
| 2.7 | (c) The commissioner shall develop certification requirements by January 1, 2013. |
| | |
| 2.8 | Sec. 2. Minnesota Statutes 2010, section 245A.11, subdivision 2a, is amended to read: |
| 2.9 | Subd. 2a. Adult foster care license capacity. (a) The commissioner shall issue |
| 2.10 | adult foster care licenses with a maximum licensed capacity of four beds, including |
| 2.11 | nonstaff roomers and boarders, except that the commissioner may issue a license with a |
| 2.12 | capacity of five beds, including roomers and boarders, according to paragraphs (b) to (f). |
| 2.13 | (b) An adult foster care license holder may have a maximum license capacity of five |
| 2.14 | if all persons in care are age 55 or over and do not have a serious and persistent mental |
| 2.15 | illness or a developmental disability. |
| 2.16 | (c) The commissioner may grant variances to paragraph (b) to allow a foster care |
| 2.17 | provider with a licensed capacity of five persons to admit an individual under the age of 55 |
| 2.18 | if the variance complies with section 245A.04, subdivision 9, and approval of the variance |
| 2.19 | is recommended by the county in which the licensed foster care provider is located. |
| 2.20 | (d) The commissioner may grant variances to paragraph (b) to allow the use of a fifth |
| 2.21 | bed for emergency crisis services for a person with serious and persistent mental illness |
| 2.22 | or a developmental disability, regardless of age, if the variance complies with section |
| 2.23 | 245A.04, subdivision 9, and approval of the variance is recommended by the county in |
| 2.24 | which the licensed foster care provider is located. |
| 2.25 | (e) The commissioner may grant a variance to paragraph (b) to allow for the use of a |
| 2.26 | fifth bed for respite services, as defined in section 245A.02, for persons with disabilities, |
| 2.27 | regardless of age, if the variance complies with sections 245A.03, subdivision 7, and |
| 2.28 | 245A.04, subdivision 9, and approval of the variance is recommended by the county in |
| 2.29 | which the licensed foster care provider is licensed. Respite care may be provided under |
| 2.30 | the following conditions: |
| 2.31 | (1) staffing ratios cannot be reduced below the approved level for the individuals |
| 2.32 | being served in the home on a permanent basis; |
| 2.33 | (2) no more than two different individuals can be accepted for respite services in |
| 2.34 | any calendar month and the total respite days may not exceed 120 days per program in |
| 2.35 | any calendar year; |

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| 3.1 | (3) the person receiving respite services must have his or her bedroom, which could |
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| 3.2 | be used for alternative purposes when not used as a respite bedroom, and cannot be the |
| 3.3 | room of another person who lives in the foster care home; and |
| 3.4 | (4) individuals living in the foster care home must be notified when the variance |
| 3.5 | is approved. The provider must give 60 days' notice in writing to the residents and their |
| 3.6 | legal representatives prior to accepting the first respite placement. Notice must be given to |
| 3.7 | residents at least two days prior to service initiation, or as soon as the license holder is |
| 3.8 | able if they receive notice of the need for respite less than two days prior to initiation, |
| 3.9 | each time a respite client will be served, unless the requirement for this notice is waived |
| 3.10 | by the resident or legal guardian. |
| 3.11 | (e) If the 2009 legislature adopts a rate reduction that impacts providers of adult |
| 3.12 | foster care services, (f) The commissioner may issue an adult foster care license with a |
| 3.13 | capacity of five adults if the fifth bed does not increase the overall statewide capacity of |
| 3.14 | licensed adult foster care beds in homes that are not the primary residence of the license |
| 3.15 | holder, over the licensed capacity in such homes on July 1, 2009, as identified in a plan |
| 3.16 | submitted to the commissioner by the county, when the capacity is recommended by |
| 3.17 | the county licensing agency of the county in which the facility is located and if the |
| 3.18 | recommendation verifies that: |
| 3.19 | (1) the facility meets the physical environment requirements in the adult foster |
| 3.20 | care licensing rule; |
| 3.21 | (2) the five-bed living arrangement is specified for each resident in the resident's: |
| 3.22 | (i) individualized plan of care; |
| 3.23 | (ii) individual service plan under section 256B.092, subdivision 1b, if required; or |
| 3.24 | (iii) individual resident placement agreement under Minnesota Rules, part |
| 3.25 | 9555.5105, subpart 19, if required; |
| 3.26 | (3) the license holder obtains written and signed informed consent from each |
| 3.27 | resident or resident's legal representative documenting the resident's informed choice |
| 3.28 | to remain living in the home and that the resident's refusal to consent would not have |
| 3.29 | resulted in service termination; and |
| 3.30 | (4) the facility was licensed for adult foster care before March 1, 2009 2011. |
| 3.31 | (f) (g) The commissioner shall not issue a new adult foster care license under |
| 3.32 | paragraph (e) (f) after June 30, 2011 2016. The commissioner shall allow a facility with |
| 3.33 | an adult foster care license issued under paragraph (e) (f) before June 30, 2011 2016, to |
| 3.34 | continue with a capacity of five adults if the license holder continues to comply with the |

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requirements in paragraph (e) (f).

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- Sec. 3. Minnesota Statutes 2010, section 245A.11, subdivision 7, is amended to read: 4.1 Subd. 7. Adult foster care; variance for alternate overnight supervision. (a) The 4.2 commissioner may grant a variance under section 245A.04, subdivision 9, to rule parts 4.3 requiring a caregiver to be present in an adult foster care home during normal sleeping 4.4 hours to allow for alternative methods of overnight supervision. The commissioner may 4.5 grant the variance if the local county licensing agency recommends the variance and the 4.6 county recommendation includes documentation verifying that: 4.7 (1) the county has approved the license holder's plan for alternative methods of 48 providing overnight supervision and determined the plan protects the residents' health, 4.9
 - safety, and rights;
 - (2) the license holder has obtained written and signed informed consent from each resident or each resident's legal representative documenting the resident's or legal representative's agreement with the alternative method of overnight supervision; and
 - (3) the alternative method of providing overnight supervision, which may include the use of technology, is specified for each resident in the resident's: (i) individualized plan of care; (ii) individual service plan under section 256B.092, subdivision 1b, if required; or (iii) individual resident placement agreement under Minnesota Rules, part 9555.5105, subpart 19, if required.
 - (b) To be eligible for a variance under paragraph (a), the adult foster care license holder must not have had a licensing action conditional license issued under section 245A.06, or any other licensing sanction issued under section 245A.07 during the prior 24 months based on failure to provide adequate supervision, health care services, or resident safety in the adult foster care home.
 - (c) A license holder requesting a variance under this subdivision to utilize technology as a component of a plan for alternative overnight supervision may request the commissioner's review in the absence of a county recommendation. Upon receipt of such a request from a license holder, the commissioner shall review the variance request with the county.
 - Sec. 4. Minnesota Statutes 2010, section 245A.11, subdivision 7a, is amended to read:
 - Subd. 7a. Alternate overnight supervision technology; adult foster care license. (a) The commissioner may grant an applicant or license holder an adult foster care license for a residence that does not have a caregiver in the residence during normal sleeping hours as required under Minnesota Rules, part 9555.5105, subpart 37, item B, but uses monitoring technology to alert the license holder when an incident occurs that may jeopardize the health, safety, or rights of a foster care recipient. The applicant or license

HF1979 SECOND ENGROSSMENT H1979-2 REVISOR RT holder must comply with all other requirements under Minnesota Rules, parts 9555.5105 5.1 to 9555.6265, and the requirements under this subdivision. The license printed by the 5.2 commissioner must state in bold and large font: 5.3 (1) that the facility is under electronic monitoring; and 5.4 (2) the telephone number of the county's common entry point for making reports of 5.5 suspected maltreatment of vulnerable adults under section 626.557, subdivision 9. 5.6 (b) Applications for a license under this section must be submitted directly to 5.7 the Department of Human Services licensing division. The licensing division must 5.8 immediately notify the host county and lead county contract agency and the host county 5.9 licensing agency. The licensing division must collaborate with the county licensing 5.10 agency in the review of the application and the licensing of the program. 5.11 (c) Before a license is issued by the commissioner, and for the duration of the 5.12 license, the applicant or license holder must establish, maintain, and document the 5.13 implementation of written policies and procedures addressing the requirements in 5.14 paragraphs (d) through (f). 5.15 (d) The applicant or license holder must have policies and procedures that: 5.16 (1) establish characteristics of target populations that will be admitted into the home, 5.17 and characteristics of populations that will not be accepted into the home; 5.18 (2) explain the discharge process when a foster care recipient requires overnight 5.19 supervision or other services that cannot be provided by the license holder due to the 5.20 limited hours that the license holder is on site; 5.21 (3) describe the types of events to which the program will respond with a physical 5.22

- presence when those events occur in the home during time when staff are not on site, and how the license holder's response plan meets the requirements in paragraph (e), clause
- (4) establish a process for documenting a review of the implementation and effectiveness of the response protocol for the response required under paragraph (e), clause (1) or (2). The documentation must include:
 - (i) a description of the triggering incident;

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(1) or (2);

- (ii) the date and time of the triggering incident;
- (iii) the time of the response or responses under paragraph (e), clause (1) or (2); 5.31
- (iv) whether the response met the resident's needs; 5.32
- (v) whether the existing policies and response protocols were followed; and 5.33
- (vi) whether the existing policies and protocols are adequate or need modification. 5.34

When no physical presence response is completed for a three-month period, the license holder's written policies and procedures must require a physical presence response

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drill to be conducted for which the effectiveness of the response protocol under paragraph (e), clause (1) or (2), will be reviewed and documented as required under this clause; and

- (5) establish that emergency and nonemergency phone numbers are posted in a prominent location in a common area of the home where they can be easily observed by a person responding to an incident who is not otherwise affiliated with the home.
- (e) The license holder must document and include in the license application which response alternative under clause (1) or (2) is in place for responding to situations that present a serious risk to the health, safety, or rights of people receiving foster care services in the home:
- (1) response alternative (1) requires only the technology to provide an electronic notification or alert to the license holder that an event is underway that requires a response. Under this alternative, no more than ten minutes will pass before the license holder will be physically present on site to respond to the situation; or
- (2) response alternative (2) requires the electronic notification and alert system under alternative (1), but more than ten minutes may pass before the license holder is present on site to respond to the situation. Under alternative (2), all of the following conditions are met:
- (i) the license holder has a written description of the interactive technological applications that will assist the license holder in communicating with and assessing the needs related to the care, health, and safety of the foster care recipients. This interactive technology must permit the license holder to remotely assess the well being of the foster care recipient without requiring the initiation of the foster care recipient. Requiring the foster care recipient to initiate a telephone call does not meet this requirement;
- (ii) the license holder documents how the remote license holder is qualified and capable of meeting the needs of the foster care recipients and assessing foster care recipients' needs under item (i) during the absence of the license holder on site;
- (iii) the license holder maintains written procedures to dispatch emergency response personnel to the site in the event of an identified emergency; and
- (iv) each foster care recipient's individualized plan of care, individual service plan under section 256B.092, subdivision 1b, if required, or individual resident placement agreement under Minnesota Rules, part 9555.5105, subpart 19, if required, identifies the maximum response time, which may be greater than ten minutes, for the license holder to be on site for that foster care recipient.
- (f) All Each foster care recipient's placement agreement, individual service agreements, and plans applicable to the foster care recipient agreement, and plan must clearly state that the adult foster care license category is a program without the

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presence of a caregiver in the residence during normal sleeping hours; the protocols in place for responding to situations that present a serious risk to the health, safety, or rights of foster care recipients under paragraph (e), clause (1) or (2); and a signed informed consent from each foster care recipient or the person's legal representative documenting the person's or legal representative's agreement with placement in the program. If electronic monitoring technology is used in the home, the informed consent form must also explain the following:

- (1) how any electronic monitoring is incorporated into the alternative supervision system;
- (2) the backup system for any electronic monitoring in times of electrical outages or other equipment malfunctions;
 - (3) how the license holder is caregivers are trained on the use of the technology;
 - (4) the event types and license holder response times established under paragraph (e);
- (5) how the license holder protects the foster care recipient's privacy related to electronic monitoring and related to any electronically recorded data generated by the monitoring system. A foster care recipient may not be removed from a program under this subdivision for failure to consent to electronic monitoring. The consent form must explain where and how the electronically recorded data is stored, with whom it will be shared, and how long it is retained; and
 - (6) the risks and benefits of the alternative overnight supervision system.

The written explanations under clauses (1) to (6) may be accomplished through cross-references to other policies and procedures as long as they are explained to the person giving consent, and the person giving consent is offered a copy.

- (g) Nothing in this section requires the applicant or license holder to develop or maintain separate or duplicative policies, procedures, documentation, consent forms, or individual plans that may be required for other licensing standards, if the requirements of this section are incorporated into those documents.
- (h) The commissioner may grant variances to the requirements of this section according to section 245A.04, subdivision 9.
- (i) For the purposes of paragraphs (d) through (h), "license holder" has the meaning under section 245A.2, subdivision 9, and additionally includes all staff, volunteers, and contractors affiliated with the license holder.
- (j) For the purposes of paragraph (e), the terms "assess" and "assessing" mean to remotely determine what action the license holder needs to take to protect the well-being of the foster care recipient.

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| 8.1 | (k) The commissioner shall evaluate license applications using the requirements | |
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| 8.2 | in paragraphs (d) to (f). The commissioner shall provide detailed application forms, | |
| 8.3 | including a checklist of criteria needed for approval. | |
| 8.4 | (l) To be eligible for a license under paragraph (a), the adult foster care license holder | |
| 8.5 | must not have had a conditional license issued under section 245A.06 or any licensing | |
| 8.6 | sanction under section 245A.07 during the prior 24 months based on failure to provide | |
| 8.7 | adequate supervision, health care services, or resident safety in the adult foster care home. | |
| 8.8 | (m) The commissioner shall review an application for an alternative overnight | |
| 8.9 | supervision license within 60 days of receipt of the application. When the commissioner | |
| 8.10 | receives an application that is incomplete because the applicant failed to submit required | |
| 8.11 | documents or that is substantially deficient because the documents submitted do not meet | |
| 8.12 | licensing requirements, the commissioner shall provide the applicant written notice | |
| 8.13 | that the application is incomplete or substantially deficient. In the written notice to the | |
| 8.14 | applicant, the commissioner shall identify documents that are missing or deficient and | |
| 8.15 | give the applicant 45 days to resubmit a second application that is substantially complete. | |
| 8.16 | An applicant's failure to submit a substantially complete application after receiving | |
| 8.17 | notice from the commissioner is a basis for license denial under section 245A.05. The | |
| 8.18 | commissioner shall complete subsequent review within 30 days. | |
| 8.19 | (n) Once the application is considered complete under paragraph (m), the | |
| 8.20 | commissioner will approve or deny an application for an alternative overnight supervision | |
| 8.21 | license within 60 days. | |
| 8.22 | (o) For the purposes of this subdivision, "supervision" means: | |
| 8.23 | (1) oversight by a caregiver as specified in the individual resident's place agreement | |
| 8.24 | and awareness of the resident's needs and activities; and | |
| 8.25 | (2) the presence of a caregiver in a residence during normal sleeping hours, unless a | |
| 8.26 | determination has been made and documented in the individual's support plan that the | |
| 8.27 | individual does not require the presence of a caregiver during normal sleeping hours. | |
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| 8.28 | Sec. 5. Minnesota Statutes 2010, section 245B.06, subdivision 2, is amended to read: | |
| 8.29 | Subd. 2. Risk management plan. (a) The license holder must develop, document | |
| 8.30 | in writing, and implement a risk management plan that meets the requirements of this | |
| 8.31 | subdivision. License holders licensed under this chapter are exempt from sections | |
| 8.32 | 245A.65, subdivision 2, and 626.557, subdivision 14, if the requirements of this | |
| 8.33 | subdivision are met. | |
| 8.34 | (b) The risk management plan must identify areas in which the consumer is | |
| 8.35 | vulnerable, based on an assessment, at a minimum, of the following areas: | |

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| (1) an adult consumer's susceptibility to physical, emotional, and sexual abuse as |
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| defined in section 626.5572, subdivision 2, and financial exploitation as defined in section |
| 626.5572, subdivision 9; a minor consumer's susceptibility to sexual and physical abuse as |
| defined in section 626.556, subdivision 2; and a consumer's susceptibility to self-abuse, |
| regardless of age; |
| (2) the consumer's ability to manage mental and physical health needs, considering |
| the consumer's: |
| physical (i) mental health diagnosis and disabilities or sensory impairments and |
| the ability to seek and use assistance, assistive technology, adaptive aids, or equipment; |
| allergies; sensory impairments |
| (ii) recognize and avoid allergens and manage allergic reactions; |
| (iii) manage seizures; |
| (iv) meet diet and nutritional needs, including eating without assistance and |
| swallowing without choking; need for |
| (v) self-administer and manage medications or treatment orders; and ability to |
| (vi) obtain routine medical treatment; and |
| (vii) recognize, respond appropriately to, and report changes in physical and mental |
| well-being; |
| (3) the consumer's safety needs skills in environments where the license holder |
| serves the consumer, considering the consumer's ability to: |
| (i) take reasonable safety precautions to prevent falls, burns, or avoid hazards; |
| (ii) identify and use community survival skills to prevent becoming lost or seeking |
| help when lost; |
| (iii) follow street safety rules; |
| (iv) use public transportation; |
| (v) drive or ride in a vehicle; |
| (vi) identify and follow water survival skills sufficient to avoid drowning or near |
| drowning; ability to |
| (vii) seek assistance with or provide medical care self-administer basic first aid; |
| and access to |
| (viii) recognize and handle or avoid toxic substances or dangerous items; |
| (4) environmental issues the consumer's ability to recognize and respond |
| appropriately to unsafe or hazardous situations or conditions in the physical and social |
| environment, considering the program's location in a particular consumer's ability to: |
| (i) access and participate in the neighborhood or community resources where the |
| program is located; the type of |

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| 10.1 | (ii) maneuver around areas in the building where services are provided or on the |
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| 10.2 | grounds and terrain surrounding the building; and the consumer's ability to |
| 10.3 | (iii) respond to weather-related conditions, including dressing appropriately for |
| 10.4 | the weather or seeking shelter; |
| 10.5 | (iv) open locked doors, to safely evacuate a room or building in an emergency; and |
| 10.6 | (v) remain alone in any environment; and |
| 10.7 | (5) the consumer's behavior, including when the license holder knows that the |
| 10.8 | consumer has committed a violent crime or the consumer engages in behaviors that may |
| 10.9 | increase the likelihood of physical aggression between consumers or sexual activity |
| 10.10 | between consumers involving force or coercion, as defined under section 245B.02, |
| 10.11 | subdivision 10, clauses (6) and (7), between consumers, or towards others. Under this |
| 10.12 | clause, a license holder knows of a consumer's history of criminal misconduct or physical |
| 10.13 | aggression if it receives such information from a law enforcement authority, through |
| 10.14 | a medical record prepared by a health care provider, or the license holder's ongoing |
| 10.15 | assessments of the consumer. |
| 10.16 | (c) When assessing a consumer's vulnerability, the license holder must consider only |
| 10.17 | the consumer's skills and abilities, independent of staffing patterns, supervision plans, the |
| 10.18 | environment, or other situational elements. <u>License holders jointly providing services</u> |
| 10.19 | to a consumer shall coordinate and use the resulting assessment of risk areas for the |
| 10.20 | development of each license holder's risk management or the shared risk management plan. |
| 10.21 | (d) License holders jointly providing services to a consumer shall coordinate and use |
| 10.22 | the resulting assessment of risk areas for the development of each license holder's risk |
| 10.23 | management or the shared risk management plan. The license holder's license holder |
| 10.24 | must develop a plan must include that identifies the specific actions a staff person will |
| 10.25 | take and measures that will be taken to protect the consumer and minimize risks for the |
| 10.26 | identified vulnerability areas within the scope of the licensed services. The plan must |
| 10.27 | identify referrals made when the consumer is vulnerable to risks outside the scope or |
| 10.28 | control of the licensed services. |
| 10.29 | (e) The specific actions must include the proactive measures being taken to reduce |
| 10.30 | or minimize the risk, training being provided to the consumer to develop skills or abilities |
| 10.31 | to avoid or respond to the risk as independently as possible, or a detailed description of |
| 10.32 | actions a staff person will take when intervention is needed. |
| 10.33 | (e) (f) The specific actions must be developed according to the requirements |
| 10.34 | of subdivision 1, paragraph (a). When the assessment indicates that the consumer is |
| 10.35 | vulnerable but does not need specific risk reduction measures, the risk management |

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plan shall document this determination and why, at a minimum, proactive measures or consumer training are not needed.

(g) Prior to or upon initiating services, a license holder must develop an initial risk management plan that is, at a minimum, verbally approved by the consumer or consumer's legal representative and case manager. The license holder must document the date the license holder receives the consumer's or consumer's legal representative's and case manager's verbal approval of the initial plan.

(f) As part of the meeting held (h) Within 45 days of initiating service, as required under section 245B.06, subdivision 4, the license holder must review the initial risk management plan for accuracy and revise the plan if necessary. The license holder must give the consumer or consumer's legal representative and case manager an opportunity to participate in this plan review. If the license holder revises the plan, or if the consumer or consumer's legal representative and case manager have not previously signed and dated the plan, the license holder must obtain dated signatures to document the plan's approval.

- (g) (i) After plan approval, the license holder must review the plan at least annually and update the plan based on the individual consumer's needs and changes to the environment. The license holder must give the consumer or consumer's legal representative and case manager an opportunity to participate in the ongoing plan development. The license holder shall obtain dated signatures from the consumer or consumer's legal representative and case manager to document completion of the annual review and approval of plan changes.
- Sec. 6. Minnesota Statutes 2010, section 245B.07, subdivision 1, is amended to read:

 Subdivision 1. **Consumer data file.** The license holder must maintain the following information for each consumer:
- (1) identifying information that includes date of birth, medications, legal representative, history, medical, and other individual-specific information, and names and telephone numbers of contacts;
- (2) consumer health information, including individual medication administration and monitoring information;
- (3) the consumer's individual service plan. When a consumer's case manager does not provide a current individual service plan, the license holder shall make a written request to the case manager to provide a copy of the individual service plan and inform the consumer or the consumer's legal representative of the right to an individual service plan and the right to appeal under section 256.045. In the event the case manager fails to provide an individual service plan after a written request from the license holder, the

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license holder shall not be sanctioned or penalized financially for not having a current

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| 12.2 | individual service plan in the consumer's data file; |
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| 12.3 | (4) copies of assessments, analyses, summaries, and recommendations; |
| 12.4 | (5) progress review reports; |
| 12.5 | (6) incidents involving the consumer; |
| 12.6 | (7) reports required under section 245B.05, subdivision 7; |
| 12.7 | (8) discharge summary, when applicable; |
| 12.8 | (9) record of other license holders serving the consumer that includes a contact |
| 12.9 | person and telephone numbers, services being provided, services that require coordination |
| 12.10 | between two license holders, and name of staff responsible for coordination; |
| 12.11 | (10) information about verbal aggression directed at the consumer by another |
| 12.12 | consumer; and |
| 12.13 | (11) information about self-abuse. |
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| 12.14 | Sec. 7. Minnesota Statutes 2010, section 245C.04, subdivision 6, is amended to read: |
| 12.15 | Subd. 6. Unlicensed home and community-based waiver providers of service to |
| 12.16 | seniors and individuals with disabilities. (a) Providers required to initiate background |
| 12.17 | studies under section 256B.4912 must initiate a study before the individual begins in a |
| 12.18 | position allowing direct contact with persons served by the provider. |
| 12.19 | (b) The commissioner shall conduct Except as provided in paragraph (c), the |
| 12.20 | providers must initiate a background study annually of an individual required to be studied |
| 12.21 | under section 245C.03, subdivision 6. |
| 12.22 | (c) After an initial background study under this subdivision is initiated on an |
| 12.23 | <u>individual by a provider of both services licensed by the commissioner and the unlicensed</u> |
| 12.24 | services under this subdivision, a repeat annual background study is not required if: |
| 12.25 | (1) the provider maintains compliance with the requirements of section 245C.07, |
| 12.26 | paragraph (a), regarding one individual with one address and telephone number as the |
| 12.27 | person to receive sensitive background study information for the multiple programs that |
| 12.28 | depend on the same background study, and that the individual who is designated to receive |
| 12.29 | the sensitive background information is capable of determining, upon the request of the |
| 12.30 | commissioner, whether a background study subject is providing direct contact services |
| 12.31 | in one or more of the provider's programs or services and, if so, at which location or |
| 12.32 | locations; and |
| 12.33 | (2) the individual who is the subject of the background study provides direct |
| 12.34 | contact services under the provider's licensed program for at least 40 hours per year so |
| 12.35 | the individual will be recognized by a probation officer or corrections agent to prompt |

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| a report to the commissioner regarding criminal convictions as required under section | |
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| 245C.05, subdivision 7. | |
| Sec. 8. Minnesota Statutes 2010, section 245C.05, subdivision 7, is amended to read | |
| Subd. 7. Probation officer and corrections agent. (a) A probation officer or | |
| corrections agent shall notify the commissioner of an individual's conviction if the | |
| individual is: | |
| (1) has been affiliated with a program or facility regulated by the Department of | |
| Human Services or Department of Health, a facility serving children or youth licensed | |
| the Department of Corrections, or any type of home care agency or provider of personal | |
| care assistance services within the preceding year; and | |
| (2) <u>has been convicted of a crime constituting a disqualification under section</u> | |
| 245C.14. | |
| (b) For the purpose of this subdivision, "conviction" has the meaning given it | |
| in section 609.02, subdivision 5. | |
| (c) The commissioner, in consultation with the commissioner of corrections, sha | |
| develop forms and information necessary to implement this subdivision and shall provi | |
| the forms and information to the commissioner of corrections for distribution to local | |
| probation officers and corrections agents. | |
| (d) The commissioner shall inform individuals subject to a background study that | |
| criminal convictions for disqualifying crimes will be reported to the commissioner by | |
| corrections system. | |
| (e) A probation officer, corrections agent, or corrections agency is not civilly or | |
| criminally liable for disclosing or failing to disclose the information required by this | |
| subdivision. | |
| (f) Upon receipt of disqualifying information, the commissioner shall provide the | |
| notice required under section 245C.17, as appropriate, to agencies on record as having | |
| initiated a background study or making a request for documentation of the background | |
| study status of the individual. | |
| (g) This subdivision does not apply to family child care programs. | |

Sec. 9. Minnesota Statutes 2010, section 256B.092, subdivision 1b, is amended to read:

(1) include the results of the assessment information on the person's need for service,

Subd. 1b. **Individual service plan.** (a) The individual service plan must:

including identification of service needs that will be or that are met by the person's

relatives, friends, and others, as well as community services used by the general public;

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- that impact the delivery of services.
- (b) Service planning formats developed for interagency planning such as transition, vocational, and individual family service plans may be substituted for service planning formats developed by county agencies.
- (c) Approved, written, and signed changes to a consumer's services that meet the criteria in this subdivision shall be an addendum to that consumer's individual service plan.
- 14.25 Sec. 10. Minnesota Statutes 2011 Supplement, section 256B.097, subdivision 3, is amended to read: 14.26
 - Subd. 3. State Quality Council. (a) There is hereby created a State Quality Council which must define regional quality councils, and carry out a community-based, person-directed quality review component, and a comprehensive system for effective incident reporting, investigation, analysis, and follow-up.
 - (b) By August 1, 2011, the commissioner of human services shall appoint the members of the initial State Quality Council. Members shall include representatives from the following groups:
 - (1) disability service recipients and their family members;

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| (2) during the first two years o | of the State Quality Co | ouncil, there must b | e at least three |
| members from the Region 10 stakel | holders. As regional o | quality councils are | formed under |
| subdivision 4, each regional quality | council shall appoin | t one member; | |
| (3) disability service provider | ·s; | | |
| (4) disability advocacy groups | s; and | | |
| (5) county human services ag | encies and staff from | the Department of | Human |
| Services and Ombudsman for Ment | al Health and Develo | pmental Disabilitie | S. |
| (c) Members of the council w | ho do not receive a sa | alary or wages from | an employer |
| for time spent on council duties may | y receive a per diem p | payment when perfo | orming council |
| duties and functions. | | | |
| (d) The State Quality Council | l shall: | | |
| (1) assist the Department of H | Human Services in fu | Ifilling federally ma | andated |
| obligations by monitoring disability | y service quality and | quality assurance a | and |
| improvement practices in Minnesot | ta; and | | |
| (2) establish state quality impr | rovement priorities w | ith methods for ach | nieving results |
| and provide an annual report to the | legislative committee | es with jurisdiction | over policy |
| and funding of disability services or | n the outcomes, impro | ovement priorities, | and activities |
| undertaken by the commission during | ng the previous state | fiscal year . ; | |
| (3) identify issues pertaining t | to financial and perso | nal risk that impede | Minnesotans |
| with disabilities from optimizing ch | noice of community-b | ased services; and | |
| (4) recommend to the chairs of | of the legislative com | mittees with jurisdi | ction over |
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- human services and civil law by January 15, 2013, statutory and rule changes related to the findings under clause (3) that promote individualized service and housing choices balanced with appropriate individualized protection.
 - (e) The State Quality Council, in partnership with the commissioner, shall:
- (1) approve and direct implementation of the community-based, person-directed system established in this section;
- (2) recommend an appropriate method of funding this system, and determine the feasibility of the use of Medicaid, licensing fees, as well as other possible funding options;
- (3) approve measurable outcomes in the areas of health and safety, consumer evaluation, education and training, providers, and systems;
- (4) establish variable licensure periods not to exceed three years based on outcomes achieved; and
- (5) in cooperation with the Quality Assurance Commission, design a transition plan for licensed providers from Region 10 into the alternative licensing system by July 1, 2013. 15.35

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- (f) The State Quality Council shall notify the commissioner of human services that a facility, program, or service has been reviewed by quality assurance team members under subdivision 4, paragraph (b), clause (13), and qualifies for a license.
- (g) The State Quality Council, in partnership with the commissioner, shall establish an ongoing review process for the system. The review shall take into account the comprehensive nature of the system which is designed to evaluate the broad spectrum of licensed and unlicensed entities that provide services to persons with disabilities. The review shall address efficiencies and effectiveness of the system.
- (h) The State Quality Council may recommend to the commissioner certain variances from the standards governing licensure of programs for persons with disabilities in order to improve the quality of services so long as the recommended variances do not adversely affect the health or safety of persons being served or compromise the qualifications of staff to provide services.
- (i) The safety standards, rights, or procedural protections referenced under subdivision 2, paragraph (c), shall not be varied. The State Quality Council may make recommendations to the commissioner or to the legislature in the report required under paragraph (c) regarding alternatives or modifications to the safety standards, rights, or procedural protections referenced under subdivision 2, paragraph (c).
- (j) The State Quality Council may hire staff to perform the duties assigned in this subdivision.
 - Sec. 11. Minnesota Statutes 2011 Supplement, section 256B.49, subdivision 23, is amended to read:
 - Subd. 23. **Community-living settings.** "Community-living settings" means a single-family home or apartment where the service recipient or their family owns or rents, as demonstrated by a lease agreement, and maintains control over the individual unit-as demonstrated by the lease agreement, or has a plan for transition of a lease from a service provider to the individual. Within two years of signing the initial lease, the service provider shall transfer the lease to the individual. In the event the landlord denies the transfer, the commissioner may approve an exception within sufficient time to ensure the continued occupancy by the individual. Community-living settings are subject to the following:
 - (1) individuals are not required to receive services;
 - (2) individuals are not required to have a disability or specific diagnosis to live in the community-living setting;
 - (3) individuals may hire service providers of their choice;
 - (4) individuals may choose whether to share their household and with whom;

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(5) the home or apartment must include living, sleeping, bathing, and cooking areas;

| 17.2 | (6) individuals must have lockable access and egress; |
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| 17.3 | (7) individuals must be free to receive visitors and leave the settings at times and for |
| 17.4 | durations of their own choosing; |
| 17.5 | (8) leases must not reserve the right to assign units or change unit assignments; and |
| 17.6 | (9) access to the greater community must be easily facilitated based on the |
| 17.7 | individual's needs and preferences. |
| | |
| 17.8 | Sec. 12. [256B.492] ADULT FOSTER CARE VOLUNTARY CLOSURE. |
| 17.9 | Subdivision 1. Commissioner's duties; report. The commissioner of human |
| 17.10 | services shall ask providers of adult foster care services to present proposals for the |
| 17.11 | conversion of services provided for persons with developmental disabilities in settings |
| 17.12 | licensed under Minnesota Rules, parts 9555.5105 to 9555.6265, to services to other |
| 17.13 | community settings in conjunction with the cessation of operations and closure of |
| 17.14 | identified facilities. |
| 17.15 | Subd. 2. Inventory of foster care capacity. The commissioner of human services |
| 17.16 | shall submit to the legislature by February 15, 2013, a report that includes: |
| 17.17 | (1) an inventory of the assessed needs of all individuals with disabilities receiving |
| 17.18 | foster care services under section 256B.092; |
| 17.19 | (2) an inventory of total licensed foster care capacity for adults and children |
| 17.20 | available in Minnesota as of January 1, 2013; and |
| 17.21 | (3) a comparison of the needs of individuals receiving services in foster care settings |
| 17.22 | and nonfoster care settings. |
| 17.23 | The report will also contain recommendations on developing a profile of individuals |
| 17.24 | requiring foster care services and the projected level of foster care capacity needed |
| 17.25 | to serve that population. |
| 17.26 | Subd. 3. Applications for planned closure of adult foster care facilities. (a) If |
| 17.27 | the report required in subdivision 2 determines the existing supply of foster care capacity |
| 17.28 | is higher than needed to meet the needs of individuals requiring that level of care, the |
| 17.29 | commissioner shall, within the limits of available appropriations, announce and implement |
| 17.30 | a program for closure of adult foster care homes. Names and identifying information |
| 17.31 | provided in response to the announcement shall remain private unless approved, according |
| 17.32 | to the timelines established in the plan. |
| 17.33 | (b) To be considered for approval, an application must include: |
| 17.34 | (1) a description of the proposed closure plan, which must include identification of |
| 17.25 | the hame or hames to receive a planned closure rate adjustment: |

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| (2) the proposed timetable for any proposed closure, including the proposed dates |
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| for announcement to residents, commencement of closure, and completion of closure; |
| (3) the proposed relocation plan jointly developed by the county of financial |
| responsibility and the provider for current residents of any facility designated for closure; |
| <u>and</u> |
| (4) documentation in a format approved by the commissioner that all the adult foster |
| care homes receiving a planned closure rate adjustment under the plan have accepted joint |
| and several liability for recovery of overpayments under section 256B.0641, subdivision |
| 2, for the facilities designated for closure under the plan. |
| Subd. 4. Criteria for review of application. (a) In reviewing and approving |
| closure proposals that the commissioner shall consider, the commissioner shall give first |
| priority to proposals that: |
| (1) result in the closing of a facility; |
| (2) demonstrate savings of medical assistance expenditures; and |
| (3) demonstrate that alternative placements will be developed based on individual |
| resident needs and applicable federal and state rules. |
| (b) The commissioner shall select proposals that best meet the criteria established |
| in this subdivision within the appropriations made available for planned closure of adult |
| foster care facilities. The commissioner shall notify providers of the selections made and |
| approved by the commissioner. |
| (c) For each proposal approved by the commissioner, a contract must be established |
| between the commissioner, the county of financial responsibility, and the participating |
| provider. |
| Subd. 5. Adjustment to rates. (a) For purposes of this section, the commissioner |
| shall establish an enhanced payment rate under section 256B.0913 to facilitate an orderly |
| transition for persons with developmental disabilities from adult foster care to other |
| community-based settings. |
| (b) The maximum length the commissioner may establish an enhanced rate is six |
| months. |
| (c) The commissioner shall analyze the fiscal impact of the closure of each facility |
| on medical assistance expenditures. Any savings is allocated to the medical assistance |
| program. |
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| Sec. 13. Minnesota Statutes 2010, section 256D.44, subdivision 5, is amended to read: |
| Subd. 5. Special needs. In addition to the state standards of assistance established in |
| subdivisions 1 to 4, payments are allowed for the following special needs of recipients of |

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Minnesota supplemental aid who are not residents of a nursing home, a regional treatment center, or a group residential housing facility.

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- (a) The county agency shall pay a monthly allowance for medically prescribed diets if the cost of those additional dietary needs cannot be met through some other maintenance benefit. The need for special diets or dietary items must be prescribed by a licensed physician. Costs for special diets shall be determined as percentages of the allotment for a one-person household under the thrifty food plan as defined by the United States Department of Agriculture. The types of diets and the percentages of the thrifty food plan that are covered are as follows:
 - (1) high protein diet, at least 80 grams daily, 25 percent of thrifty food plan;
- (2) controlled protein diet, 40 to 60 grams and requires special products, 100 percent of thrifty food plan;
- (3) controlled protein diet, less than 40 grams and requires special products, 125 percent of thrifty food plan;
 - (4) low cholesterol diet, 25 percent of thrifty food plan;
 - (5) high residue diet, 20 percent of thrifty food plan;
 - (6) pregnancy and lactation diet, 35 percent of thrifty food plan;
- (7) gluten-free diet, 25 percent of thrifty food plan;
 - (8) lactose-free diet, 25 percent of thrifty food plan;
 - (9) antidumping diet, 15 percent of thrifty food plan;
- (10) hypoglycemic diet, 15 percent of thrifty food plan; or 19.21
- (11) ketogenic diet, 25 percent of thrifty food plan. 19.22
 - (b) Payment for nonrecurring special needs must be allowed for necessary home repairs or necessary repairs or replacement of household furniture and appliances using the payment standard of the AFDC program in effect on July 16, 1996, for these expenses, as long as other funding sources are not available.
 - (c) A fee for guardian or conservator service is allowed at a reasonable rate negotiated by the county or approved by the court. This rate shall not exceed five percent of the assistance unit's gross monthly income up to a maximum of \$100 per month. If the guardian or conservator is a member of the county agency staff, no fee is allowed.
 - (d) The county agency shall continue to pay a monthly allowance of \$68 for restaurant meals for a person who was receiving a restaurant meal allowance on June 1, 1990, and who eats two or more meals in a restaurant daily. The allowance must continue until the person has not received Minnesota supplemental aid for one full calendar month or until the person's living arrangement changes and the person no longer meets the criteria for the restaurant meal allowance, whichever occurs first.

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(e) A fee of ten percent of the recipient's gross income or \$25, whichever is less, is allowed for representative payee services provided by an agency that meets the requirements under SSI regulations to charge a fee for representative payee services. This special need is available to all recipients of Minnesota supplemental aid regardless of their living arrangement.

- (f)(1) Notwithstanding the language in this subdivision, an amount equal to the maximum allotment authorized by the federal Food Stamp Program for a single individual which is in effect on the first day of July of each year will be added to the standards of assistance established in subdivisions 1 to 4 for adults under the age of 65 who qualify as shelter needy and are: (i) relocating from an institution, or an adult mental health residential treatment program under section 256B.0622; (ii) eligible for the self-directed supports option as defined under section 256B.0657, subdivision 2; or (iii) home and community-based waiver recipients living in their own home or rented or leased apartment which is not owned, operated, or controlled by a provider of service not related by blood or marriage, unless allowed under paragraph (g).
- (2) Notwithstanding subdivision 3, paragraph (c), an individual eligible for the shelter needy benefit under this paragraph is considered a household of one. An eligible individual who receives this benefit prior to age 65 may continue to receive the benefit after the age of 65.
- (3) "Shelter needy" means that the assistance unit incurs monthly shelter costs that exceed 40 percent of the assistance unit's gross income before the application of this special needs standard. "Gross income" for the purposes of this section is the applicant's or recipient's income as defined in section 256D.35, subdivision 10, or the standard specified in subdivision 3, paragraph (a) or (b), whichever is greater. A recipient of a federal or state housing subsidy, that limits shelter costs to a percentage of gross income, shall not be considered shelter needy for purposes of this paragraph.
- (g) Notwithstanding this subdivision, to access housing and services as provided in paragraph (f), the recipient may choose housing that may be owned, operated, or controlled by the recipient's service provider. In a multifamily building of four or more units, the maximum number of apartments that may be used by recipients of this program shall be 50 percent of the units in a building. This paragraph expires on June 30, 2012. the service provider shall implement a plan with the recipient to transition the lease to the recipient's name. Within two years of signing the initial lease, the service provider shall transfer the lease entered into under this subdivision to the recipient. In the event the landlord denies this transfer, the commissioner may approve an exception within sufficient time to ensure the continued occupancy by the recipient.

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Sec. 14. **INNOVATION TASK FORCE.**

- (a) The commissioner of human services shall appoint members to the Innovation

 Task Force to review and make recommendations on provider or lead agency initiated

 pilot projects in home and community-based services for people with disabilities that

 otherwise would be limited by state-imposed regulatory or funding restrictions.
- (b) The task force membership shall include: two providers of disability services; one person receiving disability services or a family member; one advocate for people with disabilities; one representative from the Disability Law Center; one metropolitan area county representative; one greater Minnesota county representative; one representative from the National Alliance on Mental Illness-Minnesota; and three representatives from the Department of Human Services, one from the mental health division, one from the disability services division, and one from the licensing division. Members of the task force shall serve three-year terms and shall not be reimbursed for task force work or meetings.
- (c) On January 1 and July 1 of each year, the commissioner shall issue a request for proposals in the State Register for service providers or lead agencies to develop and implement new models for residential services that support people with disabilities. The task force shall review and recommend to the commissioner projects for implementation twice per year.
- (d) Each proposed pilot project must:
- 21.20 (1) spend no more in state and federal funding than is spent in total funding for the affected service recipients;
- 21.22 (2) be two years in duration;
 - (3) have the informed consent of all affected recipients or their guardians;
- 21.24 (4) be based on recipients' individual needs and designed for specific quality
 21.25 outcomes; and
 - (5) be evaluated by the task force after two years with recommendations to the commissioner to either discontinue the pilot project or continue the pilot project with no time limitation.
 - (e) The commissioner shall review the task force's recommendations for start-up or continuation of pilot projects and may approve new and continued pilot projects twice per year.
 - (f) If a pilot project is discontinued, the affected recipients may return to services provided prior to the pilot project and shall have funding for services restored to prepilot project levels.

(g) Providers or lead agencies whose pilot projects are not continued shall not be

| 22.2 | penalized due to a pilot project's performance but remain accountable to state and federal |
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| 22.3 | Medicaid, vulnerable adult, and maltreatment of minors laws. |
| 22.4 | Sec. 15. HOME AND COMMUNITY-BASED SETTINGS FOR PEOPLE WITH |
| 22.4 | DISABILITIES. |
| 22.6 | (a) Individuals receiving services under a home and community-based waiver may |
| 22.7 | receive services in the following settings: |
| 22.7 | (1) an individual's own home or family home; |
| 22.8 | (2) a licensed adult foster care setting of up to five people; and |
| 22.9 | (3) community living settings as defined in Minnesota Statutes, section 256B.49, |
| 22.10 | subdivision 23, regardless of the number of people living in the setting receiving services |
| 22.11 | under the home and community-based waiver. |
| 22.12 | (b) The settings in paragraph (a) must not: |
| 22.13 | (1) be located in a building that is a publicly or privately operated facility that |
| 22.14 | provides institutional treatment or custodial care; |
| 22.13 | (2) be located in a building on the grounds of or adjacent to a public institution; |
| 22.10 | (3) be a housing complex designed expressly around an individual's diagnosis or |
| 22.17 | disability unless state or federal funding for housing requires it; |
| 22.18 | (4) be segregated based on a disability, either physically or because of setting |
| 22.19 | characteristics, from the larger community; and |
| 22.20 | (5) have the qualities of an institution, unless specifically required in the individual's |
| 22.21 | plan developed with the lead agency case manager and legal guardian. The qualities of an |
| 22.23 | institution include, but are not limited to: |
| 22.23 | (i) regimented meal and sleep times; |
| 22.24 | (ii) limitations on visitors; and |
| 22.26 | (iii) lack of privacy. |
| 22.27 | The commissioner shall submit an amendment to the waiver plan no later than |
| 22.27 | December 31, 2012. |
| 22.20 | December 31, 2012. |
| 22.29 | Sec. 16. <u>INDEPENDENT LIVING SERVICES BILLING.</u> |
| 22.30 | The commissioner shall allow for daily rate and 15-minute increment billing for |
| 22.31 | independent living services under the brain injury (BI) and CADI waivers. If necessary to |
| 22.32 | comply with this requirement, the commissioner shall submit a waiver amendment to the |
| 22.33 | state plan no later than December 31, 2012. |

Sec. 16. 22