In June 2016, the Minnesota Department of Human Services (DHS) conducted a site visit to Lac qui Parle County to evaluate its Home and Community Based Service (HCBS) programs for the Lead Agency Review. This review examines how HCBS waivers are being used to meet the needs of community members, monitors compliance with federal and state requirements, and promotes collaboration between lead agencies and DHS.

The review process identified areas of non-compliance, which has required this lead agency to implement changes for remediation. The lead agency’s response must address all corrective actions identified in the report, and may address the recommendations outlined in the report. Reports can be found on the DHS HCBS lead agency review website.

For accessible formats of this publication or assistance with additional equal access to human services, write to dhs.leadagencyreviewteam@state.mn.us, call 800-327-3529, or use your preferred relay service.
Corrective actions are issued when it is determined that a pattern of noncompliance exists regarding one or more HCBS program requirements. A corrective action plan must be developed and submitted to DHS, outlining how the lead agency will bring all items into full compliance. The following are areas in which Lac qui Parle County will be required to take corrective action.

**Non-Compliance Area of Concern:**

**Ensure that each person receiving HCBS waiver services has a current support plan that is signed, and dated by the person and their case manager.** Minnesota statute requires that all support plans must be completed on at least an annual basis. Overall 8% of support plans did not meet this requirement. Three of 10 CADI cases did not have a current support plan that was signed by the person and his/her case manager. Support plans are the basis for service delivery and without a support plan people have not acknowledged agreement with the plan.

**AGENCY RESPONSE:**

**Corrective Action Compliance Strategy**

To assure the support plan is current.

The person and case manager signed the current Support Plan.

Staff will follow the Mnchoices Reassessment Rollout Guidance Document. Which starts the reassessment process approximately 90-100 days in advance of the Service Agreement End Date. The Rollout Guidance Document will be reviewed with assessors and case managers at the Mnchoices Interdisciplinary Team (IDT). Assessors and case managers will work in partnership to assure the support plan is completed within timelines and that the support plan has the necessary signatures. To assure compliance, all files are monitored upon opening and closing of the case by the supervisor. Files are also reviewed randomly for compliance by the supervisor.

**Timeline for Completion of Action Plan**

Implementation is August 5, 2016, completion date is November 5, 2016.

**Non-Compliance Area of Concern:**

**Ensure that each person open to a waiver has a support plan in place that includes the required documentation of services to be provided, assessed needs, service details, health or safety issues, outcomes or goals, and an emergency back-up plan.**

Minnesota statute and the federally approved waiver plans require that all support plans contain specific information about the person to ensure that the services a person receives address his/her assessed needs and ensure his/her health, welfare, and safety. Overall, 8% of support plans did not contain this required information. Three of 10 CADI cases did not have a current support plan to document these six required components (services to be provided, assessed needs, service details, health or safety issues, outcomes or goals, and an emergency back-up plan). The support plan is the only document a person receives that details their needs and services.

**AGENCY RESPONSE:**

**Corrective Action Compliance Strategy**

MN Statute 256B.0915 and MN Statute 256B.092 regarding the details that must be included in the Support Plan will be reviewed with assessors and case managers at the Mnchoices IDT.

- A person’s outcomes and goals are documented in the support plan.
- A person’s needs are documented in the support plan.
- A person’s health and safety concerns are documented in their support plan.
- The services a person is receiving are documented in the support plan.
- Service details are included in the support plan (frequency, type, cost, & name).
- An emergency back-up plan has been completed within the last year.

This information will be incorporated into the support plan annually; Case managers will monitor and update if modification is needed. To assure compliance, all files are monitored upon opening and closing of the case by the supervisor. Files are also reviewed randomly for compliance by the supervisor.

**Timeline for Completion of Action Plan**

Implementation is August 5, 2016, completion date is November 5, 2016.