

DHS Waiver Audit Review

May 2014

Roseau County was found to have 5 areas of non-compliance that requires a Corrective Action Plan. Those areas are: (1) Back up plans for DD participants (2) HIPPA provided to clients on an annual basis (3) Appeal Rights provided to clients on an annual basis (4) Vocational skills and abilities assessed for all working age participants (5) Face-to-face visits with participants must be conducted.

Roseau County will address all 5 areas of non-compliance.

- 1) Beginning immediately, all DD care plans will include documentation of three elements: 1) the participant's preferred admitting hospital, 2) documented emergency contact in event that primary caregiver cannot be reached in an emergency, and 3) back-up staffing plans will be documented in the case file for events when primary staff are unable to provide services. This requirement will be monitored on an ongoing basis.
- 2) Beginning immediately, all participants will have signed documentation in their case file that they received annual HIPPA and Data Privacy notices. This has been addressed with staff and will be monitored on an ongoing basis.
- 3) Beginning immediately, all participants will have signed documentation in their case file that they have received appeal rights on an annual basis. This agency has provided appeal rights historically but not on an annual basis consistently. Appeal rights documentation will be incorporated into annual reassessment paperwork and discussions.
- 4) Beginning immediately, all working age participants will have case file documentation that vocational skills and abilities have been assessed. Case managers have been instructed to assess all participants regardless of extent of disability. Previously, some clients who were profoundly disabled or homebound were not assessed for vocational skills.
- 5) Beginning immediately, case managers will conduct face-to-face visits with participants at least 2 times per year. Roseau County will pursue recommendation by waiver review team to contact contract agencies to provide case management to participants who reside in counties in other parts of the state.

Submitted By:

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