

Case File Compliance Worksheet

Findings from the case file review indicate that some case files do not contain all required documentation. Therefore, your agency is required to promptly bring all cases into full compliance by obtaining or correcting the documentation identified on the attached Case File Compliance Worksheet.

The Case File Compliance Worksheet provides the detail about the compliance items you will need to correct. All corrections must be made within 60 days of your Lead Agency Review site visit. Please note that the Case File Compliance Worksheet contains private information that is protected by state and federal law. More information about the compliance items can be found on the document *List of Items Reviewed*.

Instructions

- Shaded (grey) boxes stating *Compliant* or *Not Applicable* are items that were found to be compliant and do not require any action on your part.
- Each blank box represents an area of non-compliance. Write-in the date that each item was resolved in the corresponding box.
- White boxes stating *Future Requirement* are items that were found to be missing and will be required in the future. These items do not currently require any action on your part.
- When entering the date in the appropriate blank box, please use MM/DD/YY date format.
- If a person listed in the compliance worksheet has been closed to the waiver program, remediation is not required. However, for our records, please list the reason for the closing in the blank box (e.g., death or transferred to new county).
- If the date of correction for an item that you enter in a blank box was before the Lead Agency Review site visit on _____, please email the supporting documentation (e.g., case notes indicating a visit, signature page for a care plan) with the completed Case File Compliance Worksheet to the DHS Lead Agency Review Team.
- All compliance items must be addressed within 60 days of the last day of your Lead Agency Review site visit. **This worksheet is due on:** _____.
- A supervisor, manager, or director must certify that full compliance has been achieved by signing in the space below.
- To verify compliance, DHS may request additional documentation at any time, which the lead agency will be obligated to provide.
- **When all compliance items have been addressed, return this signed paged *and* the completed Case File Compliance Worksheet to the HCBS Lead Agency Review Team at dhs.leadagencyreviewteam@state.mn.us.**

With my signature, I am certifying that all of the information in the attached document (Case File Compliance Worksheet) has been reviewed, is accurate, and all compliance issues have been addressed.

Signature: _____ **Date:** _____

Printed Name: _____ **Title:** _____