



Bulletin

NUMBER

#15-25-10

DATE

July 17, 2015

OF INTEREST TO

County Directors
Social Services Supervisors
and Staff

Public Health Supervisors
and Staff

Tribal Health Directors

Managed Care
Organizations

Long Term Care
Consultation (LTCC)
Administrative Contacts

ACTION/DUE DATE

Please read information
and use new DHS Form
6037 to communicate with
other lead agencies as
instructed.

EXPIRATION DATE

July 17, 2017

HCBS Waiver, AC and ECS Case Management Form for Transfer/Communication

TOPIC

Announce the availability of the Home and Community Based Services (HCBS) Waiver, Alternative Care (AC) and Essential Community Supports (ECS) Case Management Transfer and Communication Form 6037.

PURPOSE

Assists health plan, county, and tribal care coordinators and case managers to share information and provide continuity in services for participants.

CONTACT

Submit questions through [PolicyQuest](#).

SIGNED

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Assistant Commissioner - Continuing Care for Older
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Assistant Commissioner – Community Supports
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TERMINOLOGY NOTICE

The terminology used to describe people we serve has changed over time. The Minnesota Department of Human Services (DHS) supports the use of "People First" language.

I. Background

People who receive home and community-based services (HCBS) rely upon those services and supports for their daily well-being and quality of life. Case managers and care coordinators¹ provide oversight and monitoring of the services and the person's overall HCBS plan and provider service delivery. When the case manager (CM) changes because the person's lead agency changes, communication between the previous and new CMs is important to provide continuity in services for the participant.

Lead agencies, including counties, and tribes and managed care organizations under contract with the Minnesota Department of Human Services (DHS), determine eligibility for and provide administration and management of the Alternative Care (AC), Brain Injury [Brain Injury-Neurobehavioral Hospital (BI-NB) and Brain Injury-Nursing Facility (BI-NF)], Community Alternative Care (CAC), Community Access for Disability Inclusion (CADI), Developmental Disability (DD), and Essential Community Supports (ECS) and the Elderly Waiver (EW) programs. Case management is a required service under these programs.

A person may have a change in their lead agency for any number of reasons: enrollment into a health plan, or a change in their county of residence, for examples. A change in lead agency does not affect a person's eligibility for participation in their HCBS program, but does frequently affect the provision of case management, and, in some cases, their service delivery plan.

If a person moves or another event occurs that transfers lead agency responsibility for the administration and management of the person's HCBS program, the responsibility for the provision of case management also transfers. It is critical to have timely, effective, and efficient communication in order to maintain continuity of services and avoid unnecessary disruptions, as well as to ensure continuity in the case manager role. Any disruption of services may negatively impact the person.

If a person on a disability waiver enrolls in a managed care organization, the person will have both a waiver case manager and a health plan care coordinator. Both play a role in helping the person access needed services. Communication and coordination between the two are critical in order to effectively support the person.

¹ "Case manager" as used in this publication always includes health plan care coordinators.

DHS developed a new Home and Community Based Services (HCBS) Waiver, Alternative Care (AC), and Essential Community Supports (ECS) Case Management Transfer and Communication Form (DHS-6037) in order to assist with communication between lead agencies during these transition periods, and to clarify policy and lead agency actions when transfers occur.

The [HCBS Waiver, AC, and ECS Case Management Transfer and Communication Form \(DHS-6037\)](#) can be found on eDocs.

II. Use of new form and instructions

Effective immediately, lead agencies must use DHS-6037 to communicate with other lead agencies, according to the instructions on the form and the scenarios provided in DHS-6037A (AC and EW) and DHS-6037B (BI, CAC, CADI and DD). **Lead agencies must stop using any existing transfer forms that were developed in the past.**

In the near future, DHS plans to publish an additional set of scenarios that are specific to ECS. DHS will issue an update to this bulletin when those scenarios are available.

A. Scenarios for People on EW or AC

DHS has published instructions for the use of DHS-6037 for people receiving services through Elderly Waiver (EW) or Alternative Care (AC) in the following document:

[HCBS Waiver, AC, and ECS Case Management Transfer and Communication Form: Scenarios for People on AC or EW \(DHS-6037A\)](#).

These instructions provide information on actions to take when a person on AC or EW has one of the following situations:

- Person moves to a different county of residence (COR)
- Person changes to or from a tribal lead agency
- Person enrolls in a new managed care organization (MCO), in Minnesota Senior Health Options (MSHO) or Minnesota Senior Care Plus (MSC+), changes to a different MCO, or disenrolls from an MCO and changes to fee for services (FFS)

B. Scenarios for People on CAC, CADI, BI, or DD

DHS has published instructions for the use of DHS-6037 for people receiving services through Community Alternative Care (CAC), Community Access for Disability Inclusion (CADI), Brain Injury (BI), or Developmental Disabilities (DD) waivers in the following document:

[HCBS Waiver, AC, and ECS Case Management Transfer and Communication Form: Scenarios for People on a Disability Waiver: CAC, CADI, BI, and DD \(DHS-6037B\)](#).

These instructions provide information on actions to take when a person on CAC, CADI, BI, or DD has one of the following situations:

- Person has a change in the county of financial responsibility (CFR)
- Person changes to or from a tribal lead agency
- Person enrolls in a new managed care organization (MCO)
- Person is assessed to change from CAC, CADI, or BI to EW

III. Additional Resources

All DHS Forms can be found [DHS Forms](#) This web site includes a subscription option to receive notification when forms are revised, or when new forms are published.

All DHS bulletins can be found at [DHS Bulletins](#) This web site includes a subscription option.

Minnesota Statutes and Rules can be found at [Minnesota Statutes and Rules](#).

IV. Americans with Disabilities Act (ADA) Advisory

This information is available in accessible formats for people with disabilities by calling (651) 431-2600 (voice) or toll free at (800) 882-6262 or by using your preferred relay service. For other information on disability rights and protections, contact the agency's ADA coordinator.