02/21/18 REVISOR SGS/EP 18-6117 as introduced

SENATE STATE OF MINNESOTA **NINETIETH SESSION**

S.F. No. 2826

(SENATE AUTHORS: RELPH)

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DATE 03/01/2018 **D-PG** 6234 OFFICIAL STATUS

Introduction and first reading
Referred to Human Services Reform Finance and Policy
Comm report: To pass as amended and re-refer to Health and Human Services Finance and Policy 04/09/2018

A bill for an act

1.2	relating to health; modifying the regulation of home care providers; amending
1.3	Minnesota Statutes 2016, sections 144A.43, subdivisions 11, 27, 30, by adding a
1.4	subdivision; 144A.472, subdivision 5; 144A.473; 144A.474, subdivision 2;
1.5	144A.475, subdivisions 1, 2; 144A.476, subdivision 1; 144A.479, subdivision 7;
1.6	144A.4791, subdivisions 1, 3, 6, 7, 8, 9; 144A.4792, subdivisions 1, 2, 5, 10;
1.7	144A.4793, subdivision 6; 144A.4797, subdivision 3; 144A.4798; 144A.4799,
1.8	subdivision 1; 144A.484, subdivision 1; Minnesota Statutes 2017 Supplement,
1.9	sections 144A.472, subdivision 7; 144A.4796, subdivision 2; 144A.4799,
1.10	subdivision 3; repealing Minnesota Statutes 2016, sections 144A.45, subdivision
1.11	6; 144A.481.
1.12	BE IT ENACTED BY THE LEGISLATURE OF THE STATE OF MINNESOTA:
1.13	Section 1. Minnesota Statutes 2016, section 144A.43, subdivision 11, is amended to read:
1.14	Subd. 11. Medication administration. "Medication administration" means performing
1.15	a set of tasks to ensure a client takes medications, and includes that include the following:
1.16	(1) checking the client's medication record;
1.17	(2) preparing the medication as necessary;
1.18	(3) administering the medication to the client;
1.19	(4) documenting the administration or reason for not administering the medication; and
1.20	(5) reporting to a <u>registered</u> nurse <u>or appropriate licensed health professional</u> any concerns

about the medication, the client, or the client's refusal to take the medication.

Section 1.

Sec. 2. Minnesota Statutes 2016, section 144A.43, is amended by adding a subdivision to 2.1 read: 2.2 Subd. 12a. **Medication reconciliation.** "Medication reconciliation" means the process 23 of identifying the most accurate list of all medications the client is taking, including the 2.4 name, dosage, frequency, and route by comparing the client record to an external list of 2.5 medications obtained from the client, hospital, prescriber, or other provider. 2.6 Sec. 3. Minnesota Statutes 2016, section 144A.43, subdivision 27, is amended to read: 2.7 Subd. 27. Service plan agreement. "Service plan agreement" means the written plan 2.8 agreement between the client or client's representative and the temporary licensee or licensee 2.9 about the services that will be provided to the client. 2.10 Sec. 4. Minnesota Statutes 2016, section 144A.43, subdivision 30, is amended to read: 2.11 Subd. 30. Standby assistance. "Standby assistance" means the presence of another 2.12 person within arm's reach to minimize the risk of injury while performing daily activities 2.13 through physical intervention or cuing to assist a client with an assistive task by providing 2.14 cues, oversight, and minimal physical assistance. 2.15 Sec. 5. Minnesota Statutes 2016, section 144A.472, subdivision 5, is amended to read: 2.16 Subd. 5. Transfers prohibited; Changes in ownership. Any (a) A home care license 2.17 issued by the commissioner may not be transferred to another party. Before acquiring 2.18 ownership of or a controlling interest in a home care provider business, a prospective 2.19 applicant owner must apply for a new temporary license. A change of ownership is a transfer 2.20 of operational control to a different business entity of the home care provider business and 2.21 includes: 2.22 (1) transfer of the business to a different or new corporation; 2.23 (2) in the case of a partnership, the dissolution or termination of the partnership under 2.24 chapter 323A, with the business continuing by a successor partnership or other entity; 2.25 (3) relinquishment of control of the provider to another party, including to a contract 2.26 management firm that is not under the control of the owner of the business' assets; 2.27 (4) transfer of the business by a sole proprietor to another party or entity; or 2.28 (5) in the ease of a privately held corporation, the change in transfer of ownership or 2.29 control of 50 percent or more of the outstanding voting stock controlling interest of a home 2.30

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care provider business not covered by clauses (1) to (4).

(b) An employee who was employed by the previous owner of the home care provider business prior to the effective date of a change in ownership under paragraph (a), and who will be employed by the new owner in the same or a similar capacity, shall be treated as if no change in employer occurred, with respect to orientation, training, tuberculosis testing, background studies, and competency testing and training on the policies identified in subdivision 1, clause (14), and subdivision 2, if applicable.

- (c) Notwithstanding paragraph (b), a new owner of a home care provider business must ensure that employees of the provider receive and complete training and testing on any provisions of policies that differ from those of the previous owner, within 90 days after the date of the change in ownership.
- 3.11 Sec. 6. Minnesota Statutes 2017 Supplement, section 144A.472, subdivision 7, is amended to read:
 - Subd. 7. **Fees; application, change of ownership, and renewal.** (a) An initial applicant seeking temporary home care licensure must submit the following application fee to the commissioner along with a completed application:
 - (1) for a basic home care provider, \$2,100; or

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- (2) for a comprehensive home care provider, \$4,200.
- (b) A home care provider who is filing a change of ownership as required under subdivision 5 must submit the following application fee to the commissioner, along with the documentation required for the change of ownership:
- 3.21 (1) for a basic home care provider, \$2,100; or
- 3.22 (2) for a comprehensive home care provider, \$4,200.
 - (c) For the period ending June 30, 2018, a home care provider who is seeking to renew the provider's license shall pay a fee to the commissioner based on revenues derived from the provision of home care services during the calendar year prior to the year in which the application is submitted, according to the following schedule:

License Renewal Fee

3.28	Provider Annual Revenue	Fee
3.29	greater than \$1,500,000	\$6,625
3.30 3.31	greater than \$1,275,000 and no more than \$1,500,000	\$5,797
3.32 3.33	greater than \$1,100,000 and no more than \$1,275,000	\$4,969
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Sec. 6. 3

4.1 4.2	greater than \$950,000 and no more than \$1,100,000	\$4,141
4.3	greater than \$850,000 and no more than \$950,000	\$3,727
4.4	greater than \$750,000 and no more than \$850,000	\$3,313
4.5	greater than \$650,000 and no more than \$750,000	\$2,898
4.6	greater than \$550,000 and no more than \$650,000	\$2,485
4.7	greater than \$450,000 and no more than \$550,000	\$2,070
4.8	greater than \$350,000 and no more than \$450,000	\$1,656
4.9	greater than \$250,000 and no more than \$350,000	\$1,242
4.10	greater than \$100,000 and no more than \$250,000	\$828
4.11	greater than \$50,000 and no more than \$100,000	\$500
4.12	greater than \$25,000 and no more than \$50,000	\$400
4.13	no more than \$25,000	\$200

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- (d) For the period between July 1, 2018, and June 30, 2020, a home care provider who is seeking to renew the provider's license shall pay a fee to the commissioner in an amount that is ten percent higher than the applicable fee in paragraph (c). A home care provider's fee shall be based on revenues derived from the provision of home care services during the calendar year prior to the year in which the application is submitted.
- (e) Beginning July 1, 2020, a home care provider who is seeking to renew the provider's license shall pay a fee to the commissioner based on revenues derived from the provision of home care services during the calendar year prior to the year in which the application is submitted, according to the following schedule:

License Renewal Fee

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4.24	Provider Annual Revenue	Fee
4.25	greater than \$1,500,000	\$7,651
4.26 4.27	greater than \$1,275,000 and no more than \$1,500,000	\$6,695
4.28 4.29	greater than \$1,100,000 and no more than \$1,275,000	\$5,739
4.30 4.31	greater than \$950,000 and no more than \$1,100,000	\$4,783
4.32	greater than \$850,000 and no more than \$950,000	\$4,304
4.33	greater than \$750,000 and no more than \$850,000	\$3,826
4.34	greater than \$650,000 and no more than \$750,000	\$3,347
4.35	greater than \$550,000 and no more than \$650,000	\$2,870
4.36	greater than \$450,000 and no more than \$550,000	\$2,391
4.37	greater than \$350,000 and no more than \$450,000	\$1,913

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5.1	greater than \$250,000 and no more than \$350,000	\$1,434	
5.2	greater than \$100,000 and no more than \$250,000	\$957	
5.3	greater than \$50,000 and no more than \$100,000	\$577	
5.4	greater than \$25,000 and no more than \$50,000	\$462	
5.5	no more than \$25,000	\$231	

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- (f) If requested, the home care provider shall provide the commissioner information to verify the provider's annual revenues or other information as needed, including copies of documents submitted to the Department of Revenue.
- (g) At each annual renewal, a home care provider may elect to pay the highest renewal fee for its license category, and not provide annual revenue information to the commissioner.
- (h) A temporary license or license applicant, or temporary licensee or licensee that knowingly provides the commissioner incorrect revenue amounts for the purpose of paying a lower license fee, shall be subject to a civil penalty in the amount of double the fee the provider should have paid.
- (i) The fee for failure to comply with the notification requirements of section 144A.473, subdivision 2, paragraph (c), is \$1,000.
- (j) Fees and penalties collected under this section shall be deposited in the state treasury and credited to the state government special revenue fund. All fees are nonrefundable. Fees collected under paragraphs (c), (d), and (e) are nonrefundable even if received before July 1, 2017, for temporary licenses or licenses being issued effective July 1, 2017, or later.
- Sec. 7. Minnesota Statutes 2016, section 144A.473, is amended to read:

144A.473 ISSUANCE OF TEMPORARY LICENSE AND LICENSE RENEWAL.

- Subdivision 1. **Temporary license and renewal of license.** (a) The department shall review each application to determine the applicant's knowledge of and compliance with Minnesota home care regulations. Before granting a temporary license or renewing a license, the commissioner may further evaluate the applicant or licensee by requesting additional information or documentation or by conducting an on-site survey of the applicant to determine compliance with sections 144A.43 to 144A.482.
- (b) Within 14 calendar days after receiving an application for a license, the commissioner shall acknowledge receipt of the application in writing. The acknowledgment must indicate whether the application appears to be complete or whether additional information is required before the application will be considered complete.

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(c) Within 90 days after receiving a complete application, the commissioner shall issue a temporary license, renew the license, or deny the license.

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- (d) The commissioner shall issue a license that contains the home care provider's name, address, license level, expiration date of the license, and unique license number. All licenses, except for temporary licenses issued under subdivision 2, are valid for up to one year from the date of issuance.
- Subd. 2. **Temporary license.** (a) For new license applicants, the commissioner shall issue a temporary license for either the basic or comprehensive home care level. A temporary license is effective for up to one year six months from the date of issuance, except that a temporary license may be extended according to subdivision 3. Temporary licensees must comply with sections 144A.43 to 144A.482.
- (b) During the temporary license year period, the commissioner shall survey the temporary licensee after the commissioner is notified or has evidence that the temporary licensee is providing home care services.
- (c) Within five days of beginning the provision of services, the temporary licensee must notify the commissioner that it is serving clients. The notification to the commissioner may be mailed or e-mailed to the commissioner at the address provided by the commissioner. If the temporary licensee does not provide home care services during the temporary license year period, then the temporary license expires at the end of the year period and the applicant must reapply for a temporary home care license.
- (d) A temporary licensee may request a change in the level of licensure prior to being surveyed and granted a license by notifying the commissioner in writing and providing additional documentation or materials required to update or complete the changed temporary license application. The applicant must pay the difference between the application fees when changing from the basic level to the comprehensive level of licensure. No refund will be made if the provider chooses to change the license application to the basic level.
- (e) If the temporary licensee notifies the commissioner that the licensee has clients within 45 days prior to the temporary license expiration, the commissioner may extend the temporary license for up to 60 days in order to allow the commissioner to complete the on-site survey required under this section and follow-up survey visits.
- Subd. 3. **Temporary licensee survey.** (a) If the temporary licensee is in substantial compliance with the survey, the commissioner shall issue either a basic or comprehensive home care license. If the temporary licensee is not in substantial compliance with the survey, the commissioner shall either: (1) not issue a basic or comprehensive license and there will

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7.1	be no contested hearing right under chapter 14 terminate the temporary license; or (2) extend
7.2	the temporary license for a period not to exceed 90 days and apply conditions, as permitted
7.3	under section 144A.475, subdivision 2, to the extension of a temporary license. If the
7.4	temporary licensee is not in substantial compliance with the survey within the time period
7.5	of the extension, or if the temporary licensee does not satisfy the license conditions, the
7.6	commissioner may deny the license.
7.7	(b) If the temporary licensee whose basic or comprehensive license has been denied or

- extended with conditions disagrees with the conclusions of the commissioner, then the temporary licensee may request a reconsideration by the commissioner or commissioner's designee. The reconsideration request process must be conducted internally by the commissioner or commissioner's designee, and chapter 14 does not apply.
- (c) The temporary licensee requesting reconsideration must make the request in writing and must list and describe the reasons why the temporary licensee disagrees with the decision to deny the basic or comprehensive home care license or the decision to extend the temporary license with conditions.
- (d) The reconsideration request and supporting documentation must be received by the commissioner within 15 calendar days after the date the temporary licensee receives the correction order.
- (e) A temporary licensee whose license is denied, is permitted to continue operating as a home care provider during the period of time when:
- (1) a reconsideration request is in process; 7.21
- (2) an extension of a temporary license is being negotiated; 7.22
- (3) the placement of conditions on a temporary license is being negotiated; or 7.23
- (4) a transfer of home care clients from the temporary licensee to a new home care 7.24 provider is in process. 7.25
- (f) A temporary licensee whose license is denied must comply with the requirements 7.26 7.27 for notification and transfer of clients in section 144A.475, subdivision 5.
- Sec. 8. Minnesota Statutes 2016, section 144A.474, subdivision 2, is amended to read: 7.28
- Subd. 2. Types of home care surveys. (a) "Initial full survey" means the survey of a 7.29 new temporary licensee conducted after the department is notified or has evidence that the 7.30 temporary licensee is providing home care services to determine if the provider is in 7.31

7 Sec. 8.

compliance with home care requirements. Initial full surveys must be completed within 14 eight months after the department's issuance of a temporary basic or comprehensive license.

- (b) "Change in ownership survey" means a full survey of a new licensee due to a change in ownership. Change in ownership surveys must be completed within six months after the department's issuance of a new license due to a change in ownership.
- (c) "Core survey" means periodic inspection of home care providers to determine ongoing compliance with the home care requirements, focusing on the essential health and safety requirements. Core surveys are available to licensed home care providers who have been licensed for three years and surveyed at least once in the past three years with the latest survey having no widespread violations beyond Level 1 as provided in subdivision 11. Providers must also not have had any substantiated licensing complaints, substantiated complaints against the agency under the Vulnerable Adults Act or Maltreatment of Minors Act, or an enforcement action as authorized in section 144A.475 in the past three years.
- (1) The core survey for basic home care providers must review compliance in the following areas:
- 8.16 (i) reporting of maltreatment;

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- 8.17 (ii) orientation to and implementation of the home care bill of rights;
- 8.18 (iii) statement of home care services;
- 8.19 (iv) initial evaluation of clients and initiation of services;
- (v) client review and monitoring;
- (vi) service plan agreement implementation and changes to the service plan agreement;
- 8.22 (vii) client complaint and investigative process;
- (viii) competency of unlicensed personnel; and
- 8.24 (ix) infection control.
- 8.25 (2) For comprehensive home care providers, the core survey must include everything in the basic core survey plus these areas:
- 8.27 (i) delegation to unlicensed personnel;
- 8.28 (ii) assessment, monitoring, and reassessment of clients; and
- 8.29 (iii) medication, treatment, and therapy management.

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(e) (d) "Full survey" means the periodic inspection of home care providers to determine ongoing compliance with the home care requirements that cover the core survey areas and all the legal requirements for home care providers. A full survey is conducted for all temporary licensees and, for licensees that receive licenses due to an approved change in ownership, for providers who do not meet the requirements needed for a core survey, and when a surveyor identifies unacceptable client health or safety risks during a core survey. A full survey must include all the tasks identified as part of the core survey and any additional review deemed necessary by the department, including additional observation, interviewing, or records review of additional clients and staff.

- (d) (e) "Follow-up surveys" means surveys conducted to determine if a home care provider has corrected deficient issues and systems identified during a core survey, full survey, or complaint investigation. Follow-up surveys may be conducted via phone, e-mail, fax, mail, or on-site reviews. Follow-up surveys, other than complaint surveys, shall be concluded with an exit conference and written information provided on the process for requesting a reconsideration of the survey results.
- (e) (f) Upon receiving information alleging that a home care provider has violated or is currently violating a requirement of sections 144A.43 to 144A.482, the commissioner shall investigate the complaint according to sections 144A.51 to 144A.54.
- Sec. 9. Minnesota Statutes 2016, section 144A.475, subdivision 1, is amended to read:
 - Subdivision 1. **Conditions.** (a) The commissioner may refuse to grant a temporary license, refuse to grant a license as a result of a change in ownership, refuse to renew a license, suspend or revoke a license, or impose a conditional license if the home care provider or owner or managerial official of the home care provider:
 - (1) is in violation of, or during the term of the license has violated, any of the requirements in sections 144A.471 to 144A.482;
 - (2) permits, aids, or abets the commission of any illegal act in the provision of home care;
 - (3) performs any act detrimental to the health, safety, and welfare of a client;
- 9.29 (4) obtains the license by fraud or misrepresentation;
 - (5) knowingly made or makes a false statement of a material fact in the application for a license or in any other record or report required by this chapter;

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(6) denies representatives of the department access to any part of the home care provider's books, records, files, or employees;

- (7) interferes with or impedes a representative of the department in contacting the home care provider's clients;
- (8) interferes with or impedes a representative of the department in the enforcement of this chapter or has failed to fully cooperate with an inspection, survey, or investigation by the department;
- (9) destroys or makes unavailable any records or other evidence relating to the home care provider's compliance with this chapter;
- (10) refuses to initiate a background study under section 144.057 or 245A.04;
- 10.11 (11) fails to timely pay any fines assessed by the department;

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- 10.12 (12) violates any local, city, or township ordinance relating to home care services;
- 10.13 (13) has repeated incidents of personnel performing services beyond their competency level; or
- 10.15 (14) has operated beyond the scope of the home care provider's license level.
- 10.16 (b) A violation by a contractor providing the home care services of the home care provider
 10.17 is a violation by the home care provider.
- Sec. 10. Minnesota Statutes 2016, section 144A.475, subdivision 2, is amended to read:
 - Subd. 2. **Terms to suspension or conditional license.** (a) A suspension or conditional license designation may include terms that must be completed or met before a suspension or conditional license designation is lifted. A conditional license designation may include restrictions or conditions that are imposed on the provider. Terms for a suspension or conditional license may include one or more of the following and the scope of each will be determined by the commissioner:
 - (1) requiring a consultant to review, evaluate, and make recommended changes to the home care provider's practices and submit reports to the commissioner at the cost of the home care provider;
 - (2) requiring supervision of the home care provider or staff practices at the cost of the home care provider by an unrelated person who has sufficient knowledge and qualifications to oversee the practices and who will submit reports to the commissioner;

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(3) requiring the home care provider or employees to obtain training at the cost of the home care provider;

(4) requiring the home care provider to submit reports to the commissioner;

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- 11.4 (5) prohibiting the home care provider from taking any new clients for a period of time; 11.5 or
- 11.6 (6) any other action reasonably required to accomplish the purpose of this subdivision 11.7 and section 144A.45, subdivision 2.
 - (b) A home care provider subject to this section may continue operating during the period of time home care clients are being transferred to other providers.
 - Sec. 11. Minnesota Statutes 2016, section 144A.476, subdivision 1, is amended to read:
 - Subdivision 1. **Prior criminal convictions; owner and managerial officials.** (a) Before the commissioner issues a temporary license, issues a license as a result of an approved change in ownership, or renews a license, an owner or managerial official is required to complete a background study under section 144.057. No person may be involved in the management, operation, or control of a home care provider if the person has been disqualified under chapter 245C. If an individual is disqualified under section 144.057 or chapter 245C, the individual may request reconsideration of the disqualification. If the individual requests reconsideration and the commissioner sets aside or rescinds the disqualification, the individual is eligible to be involved in the management, operation, or control of the provider. If an individual has a disqualification under section 245C.15, subdivision 1, and the disqualification is affirmed, the individual's disqualification is barred from a set aside, and the individual must not be involved in the management, operation, or control of the provider.
 - (b) For purposes of this section, owners of a home care provider subject to the background check requirement are those individuals whose ownership interest provides sufficient authority or control to affect or change decisions related to the operation of the home care provider. An owner includes a sole proprietor, a general partner, or any other individual whose individual ownership interest can affect the management and direction of the policies of the home care provider.
 - (c) For the purposes of this section, managerial officials subject to the background check requirement are individuals who provide direct contact as defined in section 245C.02, subdivision 11, or individuals who have the responsibility for the ongoing management or direction of the policies, services, or employees of the home care provider. Data collected

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under this subdivision shall be classified as private data on individuals under section 13.02, subdivision 12.

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- (d) The department shall not issue any license if the applicant or owner or managerial official has been unsuccessful in having a background study disqualification set aside under section 144.057 and chapter 245C; if the owner or managerial official, as an owner or managerial official of another home care provider, was substantially responsible for the other home care provider's failure to substantially comply with sections 144A.43 to 144A.482; or if an owner that has ceased doing business, either individually or as an owner of a home care provider, was issued a correction order for failing to assist clients in violation of this chapter.
- Sec. 12. Minnesota Statutes 2016, section 144A.479, subdivision 7, is amended to read:
- Subd. 7. **Employee records.** The home care provider must maintain current records of each paid employee, regularly scheduled volunteers providing home care services, and of each individual contractor providing home care services. The records must include the following information:
- 12.16 (1) evidence of current professional licensure, registration, or certification, if licensure, registration, or certification is required by this statute or other rules;
 - (2) records of orientation, required annual training and infection control training, and competency evaluations;
- 12.20 (3) current job description, including qualifications, responsibilities, and identification 12.21 of staff providing supervision;
 - (4) documentation of annual performance reviews which identify areas of improvement needed and training needs;
- 12.24 (5) for individuals providing home care services, verification that required any health
 12.25 screenings required by infection control programs established under section 144A.4798
 12.26 have taken place and the dates of those screenings; and
- (6) documentation of the background study as required under section 144.057.
- Each employee record must be retained for at least three years after a paid employee, home care volunteer, or contractor ceases to be employed by or under contract with the home care provider. If a home care provider ceases operation, employee records must be maintained for three years.

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Sec. 13. Minnesota Statutes 2016, section 144A.4791, subdivision 1, is amended to read:

Subdivision 1. **Home care bill of rights; notification to client.** (a) The home care provider shall provide the client or the client's representative a written notice of the rights under section 144A.44 before the <u>initiation of date that</u> services <u>are first provided</u> to that client. The provider shall make all reasonable efforts to provide notice of the rights to the client or the client's representative in a language the client or client's representative can understand.

- (b) In addition to the text of the home care bill of rights in section 144A.44, subdivision 1, the notice shall also contain the following statement describing how to file a complaint with these offices.
- "If you have a complaint about the provider or the person providing your home care services, you may call, write, or visit the Office of Health Facility Complaints, Minnesota Department of Health. You may also contact the Office of Ombudsman for Long-Term Care or the Office of Ombudsman for Mental Health and Developmental Disabilities."
- The statement should include the telephone number, Web site address, e-mail address, mailing address, and street address of the Office of Health Facility Complaints at the Minnesota Department of Health, the Office of the Ombudsman for Long-Term Care, and the Office of the Ombudsman for Mental Health and Developmental Disabilities. The statement should also include the home care provider's name, address, e-mail, telephone number, and name or title of the person at the provider to whom problems or complaints may be directed. It must also include a statement that the home care provider will not retaliate because of a complaint.
- (c) The home care provider shall obtain written acknowledgment of the client's receipt of the home care bill of rights or shall document why an acknowledgment cannot be obtained. The acknowledgment may be obtained from the client or the client's representative.
- 13.26 Acknowledgment of receipt shall be retained in the client's record.
 - Sec. 14. Minnesota Statutes 2016, section 144A.4791, subdivision 3, is amended to read:
 - Subd. 3. **Statement of home care services.** Prior to the <u>initiation of date that</u> services are first provided to the client, a home care provider must provide to the client or the client's representative a written statement which identifies if the provider has a basic or comprehensive home care license, the services the provider is authorized to provide, and which services the provider cannot provide under the scope of the provider's license. The home care provider shall obtain written acknowledgment from the clients that the provider

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has provided the statement or must document why the provider could not obtain the acknowledgment.

Sec. 15. Minnesota Statutes 2016, section 144A.4791, subdivision 6, is amended to read:

- Subd. 6. **Initiation of services.** When a provider initiates provides home care services and to a client before the individualized review or assessment by a licensed health professional or registered nurse as required in subdivisions 7 and 8 has not been is completed, the provider licensed health professional or registered nurse must complete a temporary plan and agreement with the client for services and orient staff assigned to deliver services as identified in the temporary plan.
- Sec. 16. Minnesota Statutes 2016, section 144A.4791, subdivision 7, is amended to read:
- Subd. 7. **Basic individualized client review and monitoring.** (a) When services being provided are basic home care services, an individualized initial review of the client's needs and preferences must be conducted at the client's residence with the client or client's representative. This initial review must be completed within 30 days after the initiation of the date that home care services are first provided.
- (b) Client monitoring and review must be conducted as needed based on changes in the needs of the client and cannot exceed 90 days from the date of the last review. The monitoring and review may be conducted at the client's residence or through the utilization of telecommunication methods based on practice standards that meet the individual client's needs.
- Sec. 17. Minnesota Statutes 2016, section 144A.4791, subdivision 8, is amended to read: 14.21
 - Subd. 8. Comprehensive assessment, monitoring, and reassessment. (a) When the services being provided are comprehensive home care services, an individualized initial assessment must be conducted in person by a registered nurse. When the services are provided by other licensed health professionals, the assessment must be conducted by the appropriate health professional. This initial assessment must be completed within five days after initiation of the date that home care services are first provided.
 - (b) Client monitoring and reassessment must be conducted in the client's home no more than 14 days after initiation of the date that home care services are first provided.
 - (c) Ongoing client monitoring and reassessment must be conducted as needed based on changes in the needs of the client and cannot exceed 90 days from the last date of the assessment. The monitoring and reassessment may be conducted at the client's residence

Sec. 17. 14 or through the utilization of telecommunication methods based on practice standards that meet the individual client's needs.

- Sec. 18. Minnesota Statutes 2016, section 144A.4791, subdivision 9, is amended to read:
- Subd. 9. Service <u>plan agreement</u>, implementation, and revisions to service <u>plan agreement</u>. (a) No later than 14 days after the <u>initiation of date that home care</u> services <u>are</u> first provided, a home care provider shall finalize a current written service plan agreement.
- (b) The service <u>plan agreement</u> and any revisions must include a signature or other authentication by the home care provider and by the client or the client's representative documenting agreement on the services to be provided. The service <u>plan agreement</u> must be revised, if needed, based on client review or reassessment under subdivisions 7 and 8. The provider must provide information to the client about changes to the provider's fee for services and how to contact the Office of the Ombudsman for Long-Term Care.
- (c) The home care provider must implement and provide all services required by the current service plan agreement.
- (d) The service <u>plan agreement</u> and revised service <u>plan agreement</u> must be entered into the client's record, including notice of a change in a client's fees when applicable.
- (e) Staff providing home care services must be informed of the current written service plan agreement.
 - (f) The service plan agreement must include:

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- (1) a description of the home care services to be provided, the fees for services, and the frequency of each service, according to the client's current review or assessment and client preferences;
 - (2) the identification of the staff or categories of staff who will provide the services;
- 15.24 (3) the schedule and methods of monitoring reviews or assessments of the client;
- 15.25 (4) the frequency of sessions of supervision of staff and type of personnel who will supervise staff; and by inclusion of one of the following statements:
 - (i) basic home care providers must include the following statement: "Unlicensed personnel who perform basic home care services will be periodically supervised while performing home care services by staff having the authority, skills, and ability to provide the supervision."; or

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(ii) comprehensive home care providers must include the following statement: "Newly hired personnel will be supervised within 30 days after first providing delegated home care services to a client, and thereafter as needed. The supervision shall be conducted by a registered nurse or other appropriate licensed health professional where delegated services are being provided."; and

(5) a contingency plan that includes:

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- (i) the action to be taken by the home care provider and by the client or client's representative if the scheduled service cannot be provided;
- (ii) information and a method for a client or client's representative to contact the home care provider;
 - (iii) names and contact information of persons the client wishes to have notified in an emergency or if there is a significant adverse change in the client's condition, including identification of and information as to who has authority to sign for the client in an emergency; and
 - (iv) the circumstances in which emergency medical services are not to be summoned consistent with chapters 145B and 145C, and declarations made by the client under those chapters.
 - Sec. 19. Minnesota Statutes 2016, section 144A.4792, subdivision 1, is amended to read:
- Subdivision 1. Medication management services; comprehensive home care license.
 - (a) This subdivision applies only to home care providers with a comprehensive home care license that provide medication management services to clients. Medication management services may not be provided by a home care provider who has a basic home care license.
 - (b) A comprehensive home care provider who provides medication management services must develop, implement, and maintain current written medication management policies and procedures. The policies and procedures must be developed under the supervision and direction of a registered nurse, licensed health professional, or pharmacist consistent with current practice standards and guidelines.
 - (c) The written policies and procedures must address requesting and receiving prescriptions for medications; preparing and giving medications; verifying that prescription drugs are administered as prescribed; documenting medication management activities; controlling and storing medications; monitoring and evaluating medication use; resolving medication errors; communicating with the prescriber, pharmacist, and client and client representative, if any; disposing of unused medications; and educating clients and client

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representatives about medications. When controlled substances are being managed, stored, and secured by the comprehensive home care provider, the policies and procedures must also identify how the provider will ensure security and accountability for the overall management, control, and disposition of those substances in compliance with state and federal regulations and with subdivision 22.

- Sec. 20. Minnesota Statutes 2016, section 144A.4792, subdivision 2, is amended to read:
- Subd. 2. Provision of medication management services. (a) For each client who requests medication management services, the comprehensive home care provider shall, prior to providing medication management services, have a registered nurse, licensed health professional, or authorized prescriber under section 151.37 conduct an assessment to determine what medication management services will be provided and how the services will be provided. This assessment must be conducted face-to-face with the client. The assessment must include an identification and review of all medications the client is known to be taking. The review and identification must include indications for medications, side effects, contraindications, allergic or adverse reactions, and actions to address these issues.
- (b) The assessment must:
- (1) identify interventions needed in management of medications to prevent diversion of 17.17 medication by the client or others who may have access to the medications-; and 17.18
- 17.19 (2) provide instructions to the client or client's representative on interventions to manage the client's medications and prevent diversion of medications. 17.20
- "Diversion of medications" means the misuse, theft, or illegal or improper disposition of 17.21 medications. 17.22
- 17.23 Sec. 21. Minnesota Statutes 2016, section 144A.4792, subdivision 5, is amended to read:
 - Subd. 5. Individualized medication management plan. (a) For each client receiving medication management services, the comprehensive home care provider must prepare and include in the service plan agreement a written statement of the medication management services that will be provided to the client. The provider must develop and maintain a current individualized medication management record for each client based on the client's assessment that must contain the following:
- (1) a statement describing the medication management services that will be provided; 17.30
- (2) a description of storage of medications based on the client's needs and preferences, 17.31 risk of diversion, and consistent with the manufacturer's directions; 17.32

Sec. 21. 17 (3) documentation of specific client instructions relating to the administration of medications;

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- (4) identification of persons responsible for monitoring medication supplies and ensuring that medication refills are ordered on a timely basis;
- (5) identification of medication management tasks that may be delegated to unlicensed personnel;
- (6) procedures for staff notifying a registered nurse or appropriate licensed health professional when a problem arises with medication management services; and
- (7) any client-specific requirements relating to documenting medication administration, verifications that all medications are administered as prescribed, and monitoring of medication use to prevent possible complications or adverse reactions.
- (b) The medication management record must be current and updated when there are any changes.
- 18.14 (c) Medication reconciliation must be completed when a licensed nurse, licensed health 18.15 professional, or authorized prescriber is providing medication management.
- Sec. 22. Minnesota Statutes 2016, section 144A.4792, subdivision 10, is amended to read:
 - Subd. 10. Medication management for clients who will be away from home. (a) A home care provider who is providing medication management services to the client and controls the client's access to the medications must develop and implement policies and procedures for giving accurate and current medications to clients for planned or unplanned times away from home according to the client's individualized medication management plan. The policy and procedures must state that:
 - (1) for planned time away, the medications must be obtained from the pharmacy or set up by the registered a licensed nurse according to appropriate state and federal laws and nursing standards of practice;
 - (2) for unplanned time away, when the pharmacy is not able to provide the medications, a licensed nurse or unlicensed personnel shall give the client or client's representative medications in amounts and dosages needed for the length of the anticipated absence, not to exceed 120 hours seven calendar days;
 - (3) the client or client's representative must be provided written information on medications, including any special instructions for administering or handling the medications, including controlled substances;

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(4) the medications must be placed in a medication container or containers appropriate to the provider's medication system and must be labeled with the client's name and the dates and times that the medications are scheduled; and

- (5) the client or client's representative must be provided in writing the home care provider's name and information on how to contact the home care provider.
- (b) For unplanned time away when the licensed nurse is not available, the registered nurse may delegate this task to unlicensed personnel if:
- (1) the registered nurse has trained the unlicensed staff and determined the unlicensed staff is competent to follow the procedures for giving medications to clients; and
- (2) the registered nurse has developed written procedures for the unlicensed personnel, including any special instructions or procedures regarding controlled substances that are prescribed for the client. The procedures must address:
- (i) the type of container or containers to be used for the medications appropriate to the provider's medication system;
 - (ii) how the container or containers must be labeled;

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- (iii) the written information about the medications to be given to the client or client's representative;
- (iv) how the unlicensed staff must document in the client's record that medications have been given to the client or the client's representative, including documenting the date the medications were given to the client or the client's representative and who received the medications, the person who gave the medications to the client, the number of medications that were given to the client, and other required information;
- (v) how the registered nurse shall be notified that medications have been given to the client or client's representative and whether the registered nurse needs to be contacted before the medications are given to the client or the client's representative; and
- (vi) a review by the registered nurse of the completion of this task to verify that this task was completed accurately by the unlicensed personnel-; and
- (vii) how the unlicensed staff must document in the client's record any unused medications
 that are returned to the provider, including the name of each medication and the doses of
 each returned medication.

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as introduced

Sec. 23. Minnesota Statutes 2016, section 144A.4793, subdivision 6, is amended to read: 20.1 Subd. 6. Treatment and therapy orders or prescriptions. There must be an up-to-date 20.2 written or electronically recorded order or prescription from an authorized prescriber for 20.3 all treatments and therapies. The order must contain the name of the client, a description of 20.4 the treatment or therapy to be provided, and the frequency, duration, and other information 20.5 needed to administer the treatment or therapy. Treatment and therapy orders must be renewed 20.6 at least every 12 months. 20.7 Sec. 24. Minnesota Statutes 2017 Supplement, section 144A.4796, subdivision 2, is 20.8 amended to read: 20.9 Subd. 2. Content. (a) The orientation must contain the following topics: 20.10 (1) an overview of sections 144A.43 to 144A.4798; 20.11 (2) introduction and review of all the provider's policies and procedures related to the 20.12 provision of home care services by the individual staff person; 20.13 (3) handling of emergencies and use of emergency services; 20.14 (4) compliance with and reporting of the maltreatment of minors or vulnerable adults 20.15 under sections 626.556 and 626.557; 20.16 (5) home care bill of rights under section 144A.44; 20.17 (6) handling of clients' complaints, reporting of complaints, and where to report 20.18 complaints including information on the Office of Health Facility Complaints and the 20.19 Common Entry Point; 20.20 (7) consumer advocacy services of the Office of Ombudsman for Long-Term Care, 20.21 Office of Ombudsman for Mental Health and Developmental Disabilities, Managed Care 20.22 Ombudsman at the Department of Human Services, county managed care advocates, or 20.23 other relevant advocacy services; and 20.24 (8) review of the types of home care services the employee will be providing and the 20.25 provider's scope of licensure. 20.26 (b) In addition to the topics listed in paragraph (a), orientation may also contain training 20.27 on providing services to clients with hearing loss. Any training on hearing loss provided 20.28

under this subdivision must be high quality and research-based, may include online training,

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and must include training on one or more of the following topics:

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(1) an explanation of age-related hearing loss and how it manifests itself, its prevalence, and challenges it poses to communication;

(2) health impacts related to untreated age-related hearing loss, such as increased incidence of dementia, falls, hospitalizations, isolation, and depression; or

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- (3) information about strategies and technology that may enhance communication and involvement, including communication strategies, assistive listening devices, hearing aids, visual and tactile alerting devices, communication access in real time, and closed captions.
- Sec. 25. Minnesota Statutes 2016, section 144A.4797, subdivision 3, is amended to read:
 - Subd. 3. Supervision of staff providing delegated nursing or therapy home care tasks must be supervised by an appropriate licensed health professional or a registered nurse periodically where the services are being provided to verify that the work is being performed competently and to identify problems and solutions related to the staff person's ability to perform the tasks. Supervision of staff performing medication or treatment administration shall be provided by a registered nurse or appropriate licensed health professional and must include observation of the staff administering the medication or treatment and the interaction with the client.
 - (b) The direct supervision of staff performing delegated tasks must be provided within 30 days after the <u>date on which the individual begins</u> working for the home care provider <u>and first performs delegated tasks for clients</u> and thereafter as needed based on performance. This requirement also applies to staff who have not performed delegated tasks for one year or longer.
- Sec. 26. Minnesota Statutes 2016, section 144A.4798, is amended to read:

144A.4798 EMPLOYEE HEALTH STATUS DISEASE PREVENTION AND INFECTION CONTROL.

Subdivision 1. **Tuberculosis (TB) prevention and infection control.** (a) A home care provider must establish and maintain a TB prevention and comprehensive tuberculosis infection control program based on according to the most current tuberculosis infection control guidelines issued by the United States Centers for Disease Control and Prevention (CDC), Division of Tuberculosis Elimination, as published in the CDC's Morbidity and Mortality Weekly Report. Components of a TB prevention and control program include screening all staff providing home care services, both paid and unpaid, at the time of hire for active TB disease and latent TB infection, and developing and implementing a written

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of licensure who may be a managerial official, an administrator, a supervising registered

(4) one member representing the Office of Ombudsman for Long-Term Care.

nurse, or an unlicensed personnel performing home care tasks;

(3) one member representing the Minnesota Board of Nursing; and

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Sec. 28. Minnesota Statutes 2017 Supplement, section 144A.4799, subdivision 3, is amended to read:

- Subd. 3. **Duties.** (a) At the commissioner's request, the advisory council shall provide advice regarding regulations of Department of Health licensed home care providers in this chapter, including advice on the following:
- 23.6 (1) community standards for home care practices;
- 23.7 (2) enforcement of licensing standards and whether certain disciplinary actions are appropriate;
- 23.9 (3) ways of distributing information to licensees and consumers of home care;
- 23.10 (4) training standards;

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- 23.11 (5) identifying emerging issues and opportunities in the home care field, including and
 23.12 assisted living;
- 23.13 (6) identifying the use of technology in home and telehealth capabilities;
- (6) (7) allowable home care licensing modifications and exemptions, including a method for an integrated license with an existing license for rural licensed nursing homes to provide limited home care services in an adjacent independent living apartment building owned by the licensed nursing home; and
- 23.18 (7) (8) recommendations for studies using the data in section 62U.04, subdivision 4,
 23.19 including but not limited to studies concerning costs related to dementia and chronic disease
 23.20 among an elderly population over 60 and additional long-term care costs, as described in
 23.21 section 62U.10, subdivision 6.
- (b) The advisory council shall perform other duties as directed by the commissioner.
- 23.23 (c) The advisory council shall annually review the balance of the account in the state government special revenue fund described in section 144A.474, subdivision 11, paragraph (i), and make annual recommendations by January 15 directly to the chairs and ranking minority members of the legislative committees with jurisdiction over health and human services regarding appropriations to the commissioner for the purposes in section 144A.474, subdivision 11, paragraph (i).
- Sec. 29. Minnesota Statutes 2016, section 144A.484, subdivision 1, is amended to read:
- Subdivision 1. **Integrated licensing established.** (a) From January 1, 2014, to June 30, 2015, the commissioner of health shall enforce the home and community-based services

Sec. 29. 23

standards under chapter 245D for those providers who also have a home care license pursuant to this chapter as required under Laws 2013, chapter 108, article 8, section 60, and article 11, section 31. During this period, the commissioner shall provide technical assistance to achieve and maintain compliance with applicable law or rules governing the provision of home and community-based services, including complying with the service recipient rights notice in subdivision 4, clause (4). If during the survey, the commissioner finds that the licensee has failed to achieve compliance with an applicable law or rule under chapter 245D and this failure does not imminently endanger the health, safety, or rights of the persons served by the program, the commissioner may issue a licensing survey report with recommendations for achieving and maintaining compliance.

(b) Beginning July 1, 2015, A home care provider applicant or license holder may apply to the commissioner of health for a home and community-based services designation for the provision of basic support services identified under section 245D.03, subdivision 1, paragraph (b). The designation allows the license holder to provide basic support services that would otherwise require licensure under chapter 245D, under the license holder's home care license governed by sections 144A.43 to 144A.481 144A.4799.

Sec. 30. REVISOR'S INSTRUCTIONS.

- (a) The revisor of statutes shall change the terms "service plan or service agreement" 24.18 and "service agreement or service plan" to "service agreement" in the following sections of 24.19 Minnesota Statutes: sections 144A.442; 144D.045; 144G.03, subdivision 4, paragraph (c); 24.20 and 144G.04.
- (b) The revisor of statutes shall change the term "service plan" to "service agreement" 24.22 and the term "service plans" to "service agreements" in the following sections of Minnesota 24.23
- Statutes: sections 144A.44; 144A.45; 144A.475; 144A.4791; 144A.4792; 144A.4793; 24.24
- 144A.4794; 144D.04; and 144G.03, subdivision 4, paragraph (a). 24.25

Sec. 31. REPEALER. 24.26

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Minnesota Statutes 2016, sections 144A.45, subdivision 6; and 144A.481, are repealed. 24.27

Sec. 31. 24

APPENDIX

Repealed Minnesota Statutes: SF2826-0

144A.45 REGULATION OF HOME CARE SERVICES.

- Subd. 6. Home care providers; tuberculosis prevention and control. (a) A home care provider must establish and maintain a comprehensive tuberculosis infection control program according to the most current tuberculosis infection control guidelines issued by the United States Centers for Disease Control and Prevention (CDC), Division of Tuberculosis Elimination, as published in CDC's Morbidity and Mortality Weekly Report (MMWR). This program must include a tuberculosis infection control plan that covers all paid and unpaid employees, contractors, students, and volunteers. The Department of Health shall provide technical assistance regarding implementation of the guidelines.
 - (b) Written compliance with this subdivision must be maintained by the home care provider.

144A.481 HOME CARE LICENSING IMPLEMENTATION FOR NEW LICENSEES AND TRANSITION PERIOD FOR CURRENT LICENSEES.

Subdivision 1. **Temporary home care licenses and changes of ownership.** (a) Beginning January 1, 2014, all temporary license applicants must apply for either a temporary basic or comprehensive home care license.

- (b) Temporary home care licenses issued beginning January 1, 2014, shall be issued according to sections 144A.43 to 144A.4798, and the fees in section 144A.472. Temporary licensees must comply with the requirements of this chapter.
- (c) No temporary license applications will be accepted nor temporary licenses issued between December 1, 2013, and December 31, 2013.
- (d) Beginning October 1, 2013, changes in ownership applications will require payment of the new fees listed in section 144A.472. Providers who are providing nursing, delegated nursing, or professional health care services, must submit the fee for comprehensive home care providers, and all other providers must submit the fee for basic home care providers as provided in section 144A.472. Change of ownership applicants will be issued a new home care license based on the licensure law in effect on June 30, 2013.
- Subd. 2. Current home care licensees with licenses as of December 31, 2013. (a) Beginning July 1, 2014, department licensed home care providers must apply for either the basic or comprehensive home care license on their regularly scheduled renewal date.
- (b) By June 30, 2015, all home care providers must either have a basic or comprehensive home care license or temporary license.
- Subd. 3. **Renewal application of home care licensure during transition period.** (a) Renewal and change of ownership applications of home care licenses issued beginning July 1, 2014, will be issued according to sections 144A.43 to 144A.4798 and, upon license renewal or issuance of a new license for a change of ownership, providers must comply with sections 144A.43 to 144A.4798. Prior to renewal, providers must comply with the home care licensure law in effect on June 30, 2013.
- (b) The fees charged for licenses renewed between July 1, 2014, and June 30, 2016, shall be the lesser of 200 percent or \$1,000, except where the 200 percent or \$1,000 increase exceeds the actual renewal fee charged, with a maximum renewal fee of \$6,625.
- (c) For fiscal year 2014 only, the fees for providers with revenues greater than \$25,000 and no more than \$100,000 will be \$313 and for providers with revenues no more than \$25,000 the fee will be \$125.