



**STATE OF CONNECTICUT**  
**DEPARTMENT OF SOCIAL SERVICES**  
**Medical Care Administration**  
**Provider Enrollment Agreement**

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(Name of Applicant)

(hereinafter the "Provider") wishes to participate in the Connecticut Medical Assistance Program. For purposes of this Provider Enrollment Agreement (hereinafter the "Agreement"), the term "Connecticut Medical Assistance Program" means any and all of the health benefit programs administered by the State of Connecticut Department of Social Services (hereinafter "DSS"). The Provider represents and agrees as follows:

**General Provider Requirements**

1. To comply continually with all enrollment requirements established under rules adopted by DSS or any successor agency, as they may be amended from time to time.
2. To abide by and comply with all federal and state statutes, regulations, and policies pertaining to Provider's participation in the Connecticut Medical Assistance Program, as they may be amended from time to time.
3. To continually adhere to professional standards governing medical care and services and to continually meet state and federal licensure, accreditation, certification or other regulatory requirements, including all applicable provisions of the Connecticut General Statutes and any rule, regulation or DSS policy promulgated pursuant thereto and certification in the Medicare program, if applicable.
4. To furnish all information requested by DSS specified in the Provider Enrollment Agreement and the Application Form, and, further, to notify DSS or its designated agent, in writing, of all material and/or substantial changes in information contained on the Application Form.  
  
To furnish material and/or substantial changes in information including changes in the status of Medicare, Medicaid, or other Connecticut Medical Assistance program eligibility, provider's license, certification, or permit to provide services in/for the State of Connecticut, and any change in the status of ownership of the Provider, if applicable.
5. To provide services and/or supplies covered by Connecticut's Medical Assistance Program to eligible clients pursuant to all applicable federal and state statutes, regulations, and policies.
6. To maintain a specific record for each client eligible for the Connecticut Medical Assistance Program benefits, including but not limited to name; address; birth date; Social Security Number; DSS identification number; pertinent diagnostic information including x-rays; current treatment plan; treatment notes; documentation of dates of services and services provided; and all other information required by state and federal law.
7. To maintain all records for a minimum of five years or for the minimum amount of time required by federal or state law governing record retention, whichever period is greater. In the event of a dispute concerning goods and services provided to a client, or in the event of a dispute concerning reimbursement, documentation shall be maintained until the dispute is completely resolved or for five years, whichever is greater.

The Provider acknowledges that failure to maintain all required documentation may result in the disallowance and recovery by DSS of any amounts paid to the Provider for which the required documentation is not maintained and provided to DSS upon request.

8. To maintain, in accordance with the Health Insurance Portability and Accountability Act of 1996, 42 U.S.C. §§ 1320d to 1320d-8, inclusive, and regulations promulgated thereto, as they may be amended from time to time, the confidentiality of a client's record, including, but not limited to:
  - a. client's name, address, and Social Security number;
  - b. medical services provided;
  - c. medical data, including diagnosis and past medical history;
  - d. any information received for verifying income eligibility; and
  - e. any information received in connection with the identification of legally liable third party resources.

Disclosure of clients' personal, financial, and medical information may be made under the following circumstances:

- f. to other providers in connection with their treatment of the client;
- g. to DSS or its authorized agent in connection with the determination of initial or continuing eligibility, or for the verification or audit of submitted claims;
- h. in connection with an investigation, prosecution, or civil, criminal, or administrative proceeding related to the provision of or billing for services covered by the Connecticut Medical Assistance Program;
- i. as required to obtain reimbursement from other payer sources;
- j. as otherwise required by state or federal law; and
- k. with the client's written consent to other persons or entities designated by the client or legal guardian, or, in the event that the client is a minor, from the client's parents or legal guardian.

Upon request, disclosure of all records relating to services provided and payments claimed must be made to the Secretary of Health and Human Services; to DSS; and/or to the State Medicaid fraud control unit, in accordance with applicable state and federal law.

In the event that the Provider authorizes a third party to act on the Provider's behalf, the Provider shall submit written verification of such authorization to DSS.

9. To maintain a written contract with all subcontractors which fulfills the requirements that are appropriate to the service or activity delegated under the subcontract, and, in accordance with 42 C.F.R. § 455.105 and § 431.115 et seq., to provide upon request of the Secretary of Health and Human Services and/or DSS, full and complete information about the ownership of any subcontractor or any significant business transaction.

No subcontract, however, terminates the legal responsibility of the Provider to DSS to assure that all activities under the contract are carried out. Provider shall furnish to DSS upon request copies of all subcontracts in which monies covered by this Agreement are to be used. Further, all such subcontracts shall include a provision that the subcontractor will comply with all pertinent requirements of this Agreement.

10. To abide by the DSS' Medical Assistance Program Provider Manual(s), as amended from time to time, as well as all bulletins, policy transmittals, notices, and amendments that shall be communicated to the Provider, which shall be binding upon receipt unless otherwise noted. Receipt of amendments, bulletins and notices by Provider shall be presumed when the amendments, bulletins, and notices are mailed or emailed to the Provider's current address or email address that is on file with DSS or its fiscal agent, or posted to the Connecticut Medical Assistance Program web site.

11. To make timely efforts to determine clients' eligibility, including verification of third-party payor resources, and to pursue insurance, Medicare and any other third party payor prior to submitting claims to the Connecticut Medical Assistance Program for payment.

Provider further acknowledges the Connecticut Medical Assistance Program as payor of last resort. Provider agrees to exhaust clients' medical insurance resources prior to submitting claims for reimbursement and to assist in identifying other possible sources of third party liability, which may have a legal obligation to pay all or part of the medical cost of injury or disability.

12. To comply with the advance directives requirements set forth specified in 42 C.F.R. Part 489, Subpart I, and 42 C.F.R. § 417.436(d), if applicable.

### **Billing/Payment Rates**

13. To submit timely billing in a form and manner approved by DSS, as outlined in the Provider manual, after first ascertaining whether any other insurance resources may be liable for any or all of the cost of the services rendered and seeking reimbursement from such resource(s).
14. To comply with the prohibition against reassignment of provider claims set forth in 42 C.F.R. § 447.10.
15. To submit only those claims for goods and services that are covered by the Connecticut Medical Assistance Program and that are documented by Provider as being:
  - a. for medically necessary goods and services;
  - b. for medically necessary goods and services actually provided to the person in whose name the claim is being made;
  - c. for compensation that Provider is legally entitled to receive; and
  - d. in compliance with DSS requirements regarding timely filing.

16. To accept payment as determined by DSS or its fiscal agent in accordance with federal and state statutes and regulations and policies as payment in full for all services, goods, and products covered by Connecticut Medical Assistance Program and provided to program clients. The Provider agrees not to bill program clients for services that are incidental to covered services, including but not limited to, copying medical records and completing school and camp forms and other forms relating to clients' participation in sports and other activities. The Provider further agrees not to bill clients or any other party for any additional or make-up charge for services covered by the Connecticut Medical Assistance Program, excluding any cost sharing, as defined in section 17b-290(6) of the Connecticut General, and as permitted by law, even when the Program does not pay for those covered services for technical reasons, such as a claim not timely filed or a client being managed-care eligible, or a billed amount exceeding the program allowed amount. The provider may charge an eligible Connecticut Medical Assistance Program client, or any financially responsible relative or representative of that individual, for goods or services that are not covered under the Connecticut Medical Assistance Program, only when the client knowingly elects to receive the goods or services and enters into an agreement in writing for such goods or services prior to receiving them.

The Provider shall refund to the payor any payment made by or on behalf of a client determined to be eligible for the Connecticut Medical Assistance Program to the extent that eligibility under the program overlaps the period for which payment was made and to the extent that the goods and services are covered by Connecticut Medical Assistance Program benefits.

17. To timely submit all financial information required under federal and state law.
18. To refund promptly (within 30 days of receipt) to DSS or its fiscal agent any duplicate or erroneous payment received, including any duplication or erroneous payment received for prior years or pursuant to prior provider agreements.
19. To make repayments to DSS or its fiscal agent, or arrange to have future payments from the DSS program(s) withheld, within 30 days of receipt of notice from DSS or its fiscal agent that an investigation or audit has determined that an overpayment to Provider has been made. This

obligation includes repayment of an overpayment received for prior years or pursuant to prior provider agreements. The Provider is liable for any costs incurred by DSS in recouping any overpayment.

20. To promptly make full reimbursement to DSS or its fiscal agent of any federal disallowance incurred by DSS when such disallowance relates to payments previously made to Provider under the Connecticut Medical Assistance Program, including payments made for prior years or pursuant to prior provider agreements.
21. To maintain fiscal, medical and programmatic records which fully disclose services and goods rendered and/or delivered to eligible clients. These records and information, including, but not limited to, records and information regarding payments claimed by the Provider for furnishing goods and services, will be made available to authorized representatives upon request, in accordance with all state and federal statutes and regulations.
22. To cooperate fully and make available upon demand by federal and state officials and their agents all records and information that such officials have determined to be necessary to assure the appropriateness of DSS payments made to Provider, to ensure the proper administration of the Connecticut Medical Assistance Program and to assure Provider's compliance with all applicable statutes and regulations and policies. Such records and information are specified in federal and state statutes and regulations and the Provider Manual and shall include, without necessarily being limited to, the following:
  - a. medical records;
  - b. original prescriptions for and records of all treatments, drugs and services for which vendor payments have been made, or are to be made under the Connecticut Medical Assistance Program, including the authority for and the date of administration of such treatment, drugs, or services;
  - c. any original documentation determined by DSS or its representative to be necessary to fully disclose and document the medical necessity of and extent of goods or services provided to clients receiving assistance under the provisions of the Connecticut Medical Assistance Program;
  - d. any other original documentation in each client's record which will enable the DSS or its agent to verify that each charge is due and proper;
  - e. financial records maintained in accordance with generally accepted accounting principles, unless another form is specified by DSS; and
  - f. all other records as may be found necessary by DSS or its agent in determining Provider's compliance with any federal or state law, rule, regulation, or policy.
23. That any payment, or part thereof, for Connecticut Medical Assistance Program goods or services, which represent an excess over the appropriate payment, or any payment owed to DSS because of a violation due to abuse or fraud, shall be immediately paid to DSS. Any sum not so repaid may be recovered by DSS in accordance with the provisions below or in an action by DSS brought against the Provider.
24. To pay any applicable application fee, as required under federal law.

#### **Audits and Recoupment**

25. That in addition to the above provisions regarding billing and payment, Provider agrees that:
  - a. amounts paid to Provider by DSS shall be subject to review and adjustment upon audit or due to other acquired information or as may otherwise be required by law;
  - b. whenever DSS makes a determination, which results in the Provider being indebted to the DSS for past overpayments, DSS may recoup said overpayments as soon as possible from the DSS's current and future payments to the Provider. DSS's authority to recoup overpayments includes

recoupment of overpayments made for prior years or pursuant to prior provider agreements. A recomputation based upon such adjustments shall be made retroactive to the applicable period;

- c. in a recoupment situation, DSS may determine a recoupment schedule of amounts to be recouped from Provider's payments after consideration of the following factors:
  - (1) the amount of the indebtedness;
  - (2) the objective of completion of total recoupment of past overpayments as soon as possible;
  - (3) the cash flow of the Provider; and
  - (4) any other factors brought to the attention of DSS by the Provider relative to Provider's ability to function during and after recoupment;
- d. whenever Provider has received past overpayments, the DSS may recoup the amount of such overpayments from the current and future payments to Provider regardless of any intervening change in ownership;
- e. if Provider owes money to DSS, including money owed for prior years or pursuant to prior provider agreements, DSS or its fiscal agent may offset against such indebtedness any liability to another provider which is owned or controlled by the same person or persons who owned or controlled the first provider at the time the indebtedness to DSS was incurred. In the case of the same person or persons owning or controlling two or more providers but separately incorporating them, whether the person or persons own or control such corporations shall be an issue of fact. Where common ownership or control is found, this subsection shall apply notwithstanding the form of business organizations utilized by such persons e.g. separate corporations, limited partnerships, etc.; and
- f. DSS's decision to exercise, or decision not to exercise, its right of recoupment shall be in addition to, and not in lieu of, any other means or right of recovery the DSS may have.

### **Fraud and Abuse; Penalties**

26. To cease any conduct that DSS or its representative deems to be abusive of the Connecticut Medical Assistance Program and to promptly correct any deficiencies in Provider's operations upon request by DSS or its fiscal agent.
27. To comply with state and federal law, including, but not limited to, sections 1128, 1128A, 1128B, and 1909 of the Social Security Act (hereinafter the "Act") (42 U.S.C. §§ 1320a-7, 1320a-7a, 1320a-7b, 1396h) and Connecticut General Statutes sections 17b-301a to 17b-301p, inclusive, which provide state and federal penalties for violations connected with the Connecticut Medical Assistance Program.

Provider acknowledges and understands that the prohibitions set forth in state and federal law include, but are not limited to, the following:

  - a. false statements, claims, misrepresentation, concealment, failure to disclose and conversion of benefits;
  - b. any giving or seeking of kickbacks, rebates, or similar remuneration;
  - c. charging or receiving reimbursement in excess of that provided by the State; and
  - d. false statements or misrepresentation in order to qualify as a provider.
28. That termination from participation in the Connecticut Medical Assistance Program will result if the Provider is terminated on or after January 1, 2011 under Title XVIII of the Act (Medicare) or any other state's Title XIX (Medicaid ) program or Title XXI (CHIP); is convicted of a criminal offense related to that person's involvement with Medicare, Medicaid or Title XXI programs in the last ten years; or if the Provider fails to submit timely and accurate information and cooperate with any screening methods required by law.

29. That suspension may result if the Provider is sanctioned by DSS for having engaged in fraudulent or abusive program practices or conduct, as set forth in state or federal law.
30. That, in accordance with federal law, DSS must temporarily suspend all Medicaid payments to a Provider after it determines there is a credible allegation of fraud for which an investigation is pending, unless DSS has good cause to not suspend payments or to suspend only in part.
31. To comply with the provisions of section 1902(a)(68) of the Act ( 42 U.S.C. § 1396a(a)(68)) and sections 17b-262-770 to 17b-262-773, inclusive, of the Regulations of Connecticut State Agencies, as they may be amended from time to time.

### **Nondiscrimination**

32. To abstain from discrimination or permitting discrimination against any person or group of persons on the basis of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, sexual orientation, mental retardation, mental or physical disability, including, but not limited to, blindness or payor source, in accordance with the laws of the United States or the State of Connecticut.

Provider further agrees to comply with:

- a. Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000d, and all requirements imposed by or pursuant to the regulations of the Department of Health and Human Services (45 C.F.R. Part 80), to the end that, in accordance with Title VI of that Act and the regulations, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives Federal Financial Assistance from the Department of Health and Human Services;
- b. Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. § 794 et seq., (hereafter the "Rehabilitation Act") as amended, and all requirements imposed by or pursuant to the regulations of the Department of Health and Human Services (45 C.F.R. Part 84), to the end that, in accordance with Section 504 of the Rehabilitation Act and the regulations, no otherwise qualified handicapped individual in the United States shall, solely by reason of his handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity for which the Applicant receives Federal Financial Assistance from the Department of Health and Human Services;
- c. Title IX of the Educational Amendments of 1972, 20 U.S.C. § 1681, et seq., as amended, and all requirements imposed by or pursuant to the regulations of the Department of Health and Human Services (45 C.F.R. Part 86), to the end that, in accordance with Title IX and the regulations, no person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any educational program or activity for which the Applicant receives Federal Financial Assistance from the Department of Health and Human Services; and
- d. the civil rights requirements set forth in 45 C.F.R. Parts 80, 84, and 90.

### **Termination**

33. That this Agreement may be voluntarily terminated as follows:
  - a. by DSS or its fiscal agent upon 30 days written notice;
  - b. by DSS or its fiscal agent upon notice for Provider's breach of any provision of this Agreement as determined by DSS; or
  - c. by Provider, upon 30 days written notice, subject to any requirements set forth in federal and state law. Compliance with any such requirements is a condition precedent to termination.

### **Disclosure Requirements**

34. To comply with all requirements, set forth in 42 C.F.R. §§ 455.100 to 455.106, inclusive, as they may be amended from time to time. These requirements include, but are not limited to, the full disclosure of the following information upon request:
- a. the name, address, social security number and date of birth of any provider or any individual or managing employee (or tax identification number in the case of a corporation) with an ownership or control interest in the disclosing entity or in any subcontractor in which the disclosing entity has direct or indirect ownership of 5% or more;
  - b. whether any such person is related to another as spouse parent, child, or sibling;
  - c. the name of any other disclosing entity in which such a person also has an ownership or control interest;
  - d. the ownership of any subcontractor with whom Provider has had business transactions totaling more than \$25,000.00 during the 12-month period ending on the date of the request;
  - e. any significant business transactions between Provider and any subcontractor during the 5-year period ending on the date of the request;
  - f. the name of any person having an ownership or control interest in Provider, or as an agent or managing employee of Provider, who has been convicted of a civil or criminal offense related to that person's involvement in any program under Medicare, Medicaid, Title XX, or other Connecticut Medical Assistance Programs since the inception of these programs; and
  - g. any other information requested in the Provider Enrollment application.

Provider further agrees to furnish, without a specific request by DSS, the information referenced above at the time of Provider's certification survey, as applicable, and also, without a specific request, disclose the identity of any person with ownership or control interest who has been convicted of a civil or criminal offense related to that person's involvement in any program under Medicare, Medicaid, or other Connecticut Medical Assistance Programs prior to entering into or renewing this Agreement in accordance with 42 C.F.R. Part 455.

35. That the following penalties, as set forth in 42 C.F.R. §§455.104 to 455.106, inclusive, are applicable to Providers failing to make that section's required disclosures:
- a. DSS will not approve an Agreement and must terminate an existing Agreement if the Provider fails to disclose ownership or control information;
  - b. DSS may refuse to enter into or renew an Agreement with a Provider if any person with ownership or interest control, or who is an agent or a managing employee of the provider, has been convicted of a criminal offense related to that person's involvement in any program established under Medicare, Medicaid, or the Title XX Services Program;
  - c. DSS may refuse to enter into or terminate an Agreement if it determines that a Provider did not fully and accurately make the required disclosures concerning such convictions.

### **Miscellaneous**

36. That the Agreement, upon execution, supersedes and replaces any Agreement previously executed by the Provider. This Agreement does not impair Provider's obligation to repay to DSS any money owed to DSS pursuant to prior Agreements or the ability of DSS to recoup such amounts from payments made pursuant to this Agreement.
37. The Provider acknowledges that there is no right to renew this Agreement.
38. The Provider will examine publicly available data, including but not limited to the U.S. Department of Health and Human Services Office of Inspector General (hereinafter "OIG"), or any successor agency's, List of Excluded Individuals/Entities Report and the OIG Web site, to determine whether any potential or current employees, contractors or

suppliers have been suspended or excluded or terminated from any healthcare program and shall comply with, and give effect to, any such suspension, exclusion, or termination or accordance with the requirements of state and federal law. The Provider shall search the HHS-OIG Web site on a monthly basis, or at such intervals as specified by the OIG or DSS, to capture sanctions that have occurred since the Provider's last search. The Provider shall also routinely search the Administrative Actions List on the DSS website. The Provider shall immediately report to the OIG and to DSS any sanction information discovered in its search and report what action has been taken to ensure compliance with state and federal law. The Provider shall be subject to civil monetary penalties if it employs or enters into contracts with excluded individuals or entities.

39. If the provider uses electronic signatures, the provider certifies that the provider's policies meet the DSS requirements for acceptance, issuance, and use of electronic signatures.

The effective date of this Agreement and the period of time during which this Agreement shall be in effect, unless terminated by either party prior to the stated ending date, shall be written on the letter DSS sends to the Provider, through its Fiscal Agent Contractor, approving the Provider for participation in the Connecticut Medical Assistance Program. This approval letter shall be incorporated into and made part of this Agreement. If the Provider fails to complete an application for re-enrollment by the time the current Agreement has expired, DSS may stop making payments to the Provider, although DSS will retroactively make payments for services provided under the Connecticut Medical Assistance Program for up to six months from the date the re-enrollment was due.

**THE UNDERSIGNED, BEING THE PROVIDER OR HAVING THE SPECIFIC AUTHORITY TO BIND THE PROVIDER TO THE TERMS OF THIS AGREEMENT, AND HAVING READ THIS AGREEMENT AND UNDERSTANDING IT IN ITS ENTIRETY, DOES HEREBY AGREE, BOTH INDIVIDUALLY AND ON BEHALF OF THE PROVIDER AS A BUSINESS ENTITY, TO ABIDE BY AND COMPLY WITH ALL OF THE STIPULATIONS, CONDITIONS, AND TERMS SET FORTH HEREIN.**

**THE UNDERSIGNED ACKNOWLEDGES THAT THE COMMISSION OF ANY MEDICAID RELATED OFFENSE AS SET OUT IN 42 U.S.C. § 1320a-7b MAY BE PUNISHABLE BY A FINE OF UP TO \$25,000 OR IMPRISONMENT OF UP TO FIVE YEARS OR BOTH.**

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Provider Entity Name (doing business as)

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Name of Provider or Authorized Representative (type/print name)

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Signature of Provider or Authorized Representative

**STATE OF CONNECTICUT**  
**DEPARTMENT OF SOCIAL SERVICES**  
**Division of Health Services**  
**Addendum to Provider Enrollment Agreement for**  
**Connecticut Home Care Program for Elders Providers**

The Provider wishes to participate in the Connecticut Medical Assistance Program as a Connecticut Home Care Program for Elders (CHCPE) provider. The Connecticut Medical Assistance Program is administered by the State of Connecticut Department of Social Services ("DSS"). Except as otherwise specifically provided in this Addendum to Provider Enrollment Agreement (the "Addendum"), all provisions of the Provider Enrollment Agreement (the "Agreement") shall remain in full force and effect. This Addendum is deemed incorporated by reference into the Agreement as if fully set forth therein and DSS may enforce this Addendum pursuant to all applicable authority, including, but not limited to, all authority specified in the Agreement. In addition to all representations and agreements made in the Agreement, the Provider also represents and agrees as follows:

1. The Provider shall comply with all applicable DSS standards and the service authorizations entered by the applicable care manager selected by DSS to manage care provided by the Provider for a client (the "Care Manager").
2. The Provider shall provide sufficient supervision of its employees and contractors to ensure the quality of care delivered and compliance with DSS and the Care Manager's care standards. The Provider shall maintain evidence of such supervision in each client's file and shall describe the supervision in periodic reports submitted to the Care Manager.
3. For services provided in the client's home, the client shall be present in the home at the time the service is provided, except for chore, highly skilled chore, and minor home modification services that DSS or the Care Manager allows Provider to perform when the client is not present. Companions and homemakers may leave the client's home to perform errands for the client or to accompany the client on errands or to appointments.
4. The Provider shall comply with all applicable requirements for reporting client abuse and neglect, including, but not limited to, sections 17a-101, 17a-103, 17b-407, 17b-451 and 46a-11b of the Connecticut General Statutes, as amended from time to time. The Provider shall submit a written report of any client abuse or neglect incident to the State's Protective Services for the Elderly (PSE) unit and shall inform the Care Manager when any such report has been filed.
5. If DSS determines that a client is eligible for Medicaid retroactively to a date before DSS actually approves the client's eligibility, the Provider shall submit claims to DSS as specified in the service authorization for services provided to the client from the effective date of the client's eligibility until receiving notice that DSS approved the client's eligibility (the "Gap Period"). After submitting such claims, the Provider shall promptly reimburse the client or other payer for any payments made to the Provider for services provided during the Gap Period.

**Specific Requirements for Home-Delivered Meals**

6. "Home-delivered meals," or "meals on wheels," means the preparation and delivery of one or two meals per day for persons who are unable to prepare or obtain nourishing meals on their own. Providers of home-delivered meals shall comply with all applicable health and nutritional standards and shall deliver meals directly to the client or the client's authorized caregiver.
7. Providers of home-delivered meals shall comply with all applicable statutes and regulations, including, but not limited to, sections 17b-423-5, 19-13-B42 and 19-13-B48 of the Regulations of Connecticut State Agencies, as amended from time to time, and any other CHCPE nutrition standards established

by DSS or the Care Manager. A Registered Dietitian shall formally review and verify all menus of providers of home-delivered meals for compliance with such nutrition standards.

8. Before close of business each day, providers of home-delivered meals shall send the Care Manager a log of clients to whom meals could not be delivered.

#### **Care Planning and Referral Process; Service Authorizations**

9. The Care Manager is responsible for developing a written individualized plan that describes the type, amount, frequency and duration of services to be provided to the client in consultation with the client, the client's family or the client's authorized representative (the "Plan of Care"). The Provider shall cooperate with the Care Manager in its development of the Plan of Care. DSS is not required to purchase and the Care Manager is not required to authorize any specific service(s) or dollar amount of service(s) from the Provider.
10. The Care Manager, not the Provider, is responsible for communicating with a client regarding the Plan of Care, including proposed changes to such Plan of Care. The Provider shall not discuss details regarding the Plan of Care with a client including, but not limited to, Provider's desire to change or terminate services, without the Care Manager's prior written approval.
11. The Provider shall obtain prior approval from the Care Manager before implementing any proposed change to the Plan of Care. The Provider shall not provide any additional or different services to a client other than those specified in the Plan of Care and the service authorization without the Care Manager's prior written approval.
12. The Care Manager shall enter service authorizations in the website portal as necessary to implement each client's Plan of Care. The Provider shall comply with the Care Manager's service authorizations, including requirements regarding the frequency and duration of services. The Provider shall notify the Care Manager of the exact start date of services before receiving the service authorization. By accepting the service authorization and initiating service, the Provider agrees to follow all provisions in the service authorization and the Plan of Care. The Care Manager may, in its sole and absolute discretion, discontinue services with the Provider and start services with a new provider at any time.
13. If the Care Manager verbally or informally authorizes the Provider to perform certain services not included in a current service authorization, the Provider may perform such services for a maximum of ten (10) business days without a formal service authorization. The Provider may continue performing the services after such time period only if the Care Manager enters a service authorization into the website portal describing the service type(s), units, frequency, funding source and the duration of each type of service.
14. The Provider shall retain in the client's file all service authorizations and modifications entered by the Care Manager in the website portal.

#### **Scheduling Changes; Modifications to Service Authorizations**

15. Providers of adult day care services shall notify the Care Manager of scheduling changes for any reason as soon as they are known, including, but not limited to, changes due to inclement weather or the unavailability of the Provider's staff.
16. When the Provider cannot provide a service as specified in the service authorization for any reason, including, but not limited to, hospitalization of the client, unavailability or absence of the Provider's staff, and unavailability of the client (a "service interruption"), the Provider shall notify the Care Manager as soon as possible prior to the scheduled service. The Provider shall document such service interruption and the Provider's notification to the Care Manager in the same manner as provided in section 17 of this Addendum.
17. The Care Manager shall notify the Provider of any service interruptions that are known to the Care Manager. The Provider shall document any such notifications in the client's file including: the name of the Care Manager's staff person who contacted the Provider, the date of the contact, and the

effective date of the service interruption. The Care Manager shall notify the Provider if service is resumed and if there is any change to the original service authorization. The Provider shall document any such notifications in the same manner provided above in this section for service interruptions.

18. Except for Emergency Response Systems or modifications to the client's home that need to be completed before a client returns from a hospital or institution, the Provider shall not bill and DSS shall not pay the Provider for any services provided while a client is hospitalized or institutionalized unless the Provider obtains the Care Manager's prior written approval to provide such services, as documented in a modified service authorization entered into the website portal.
19. When the Care Manager discontinues the Provider's provision of services to a client for any reason, it shall notify Provider immediately and confirm such discontinuation not more than ten (10) business days after the verbal or informal notification by entering a discontinuation of the service in the website portal.
20. If a Provider wishes to discontinue providing services to a client, Provider shall notify the Care Manager in writing not less than fourteen (14) days before the proposed date of discontinuation.
21. If the Provider requests additional service time or a change to the type of skilled nursing visit from the services specified in the service authorization entered in the website portal, the Provider shall obtain the Care Manager's consent before implementing the change. Depending on the service being changed, the Provider shall comply with the following additional procedures as applicable:
  - a. If the Provider requests additional time for home health aide, homemaker, companion or chore services, the Provider shall obtain the Care Manager's approval before performing the additional service.
  - b. If a skilled nursing visit extends beyond one (1) hour, the Provider shall report the exact amount of time required for a visit to the Care Manager at the time of the visit or as soon as possible thereafter, but not later than two (2) business days after the visit.
  - c. If a medication administration visit becomes a skilled nursing visit because there is a change in the client's condition and the client's prescribing practitioner must be notified, the Provider shall request the change from the Care Manager at the time of the visit or as soon as possible thereafter, but not later than two (2) business days after the visit.
  - d. If a skilled nursing visit for a subsequent client becomes a skilled nursing visit for a primary client, the Provider shall report the change to the Care Manager at the time of the visit or as soon as possible thereafter, but not later than two (2) business days after the visit.
  - e. If a skilled nursing visit is performed by a Licensed Practical Nurse (LPN) and a prior authorization is in place, the Provider shall contact the Care Manager before the end of each calendar month in which the service is performed to disclose the number of visits performed by an LPN to enable the Care Manager to correct the prior authorization.
  - f. If a weekly skilled nursing visit includes a pre-pour of a week's medication and the nurse is unable to pour a complete week's medication, both the skilled nursing visit and the visit to complete the medication pre-pour shall be deemed medication administration visits. If such a change occurs, the Provider shall request a new or modified service authorization from the Care Manager that reflects such change.
  - g. If a Provider determines that a client needs nursing or home health aide services that require prior authorization, the Provider shall contact the Care Manager as soon as possible to obtain prior authorization before providing the service. In an emergency, the Provider may begin providing services before obtaining prior authorization, but shall obtain authorization not more than two (2) business days after beginning the service.

### **Provider's Documentation of Services**

22. The Provider shall maintain a separate file for each client. Such file shall contain, at a minimum: timesheets signed by the client and by Provider's employee(s), client signature approval, the Care Manager's service authorizations from the website portal, sixty (60) day reports, written notes and any other documentation specific to the client's Plan of Care, and any other materials required by the Provider's licensure, certification, or internal protocols.
23. The Provider shall maintain the following documentation for each service as specified below, including the complete date information (month, day and year) on all documents:
  - a. Skilled Nursing, Professional Therapies, and Professional Counseling: Client signature (one time only) on file. Professional notes signed by the responsible professional in the Provider's records documenting each visit.
  - b. Home Health Aide, Homemaker, Companion, and Chore Services: Daily time sheets signed by the client and the Provider's employee for each visit and the details of each day's activities; or a combined time sheet and activity sheet signed by the client and the Provider's employee. The Provider shall document the exact time of the visit (in and out) on each sheet.
  - c. Adult Day Care: Attendance log noting half day or full day session, approved and signed by the Director of the adult day care center each day.
  - d. Home-Delivered Meals and Transportation: Daily Provider logs with the client's name and the date the service was provided.
  - e. Emergency Response System: Signature of client on installation agreement. Emergency Response System providers shall prorate their first month's invoice for monitoring service when installation occurs after the fifteenth (15<sup>th</sup>) day of the month.
24. If a client cannot sign the client's full name or refuses to do so, the Provider may use one of the following substitute signatures:
  - a. an "X" made by the client or signature of authorized representative;
  - b. initials made by the client;
  - c. the signature of a "live-in" relative;
  - d. the signature of a responsible friend or neighbor; or
  - e. the words written by the caregiver (the Provider's employee): "client unable to sign."
25. The Provider may use electronic timekeeping as an alternative to hard copy timesheets, provided that the electronic timekeeping system meets all requirements established by DSS and the Care Manager. Records and documents produced by such system shall demonstrate that the services provided by the caregiver have been provided in the manner and time frame prescribed in the Plan of Care and service authorizations. Such records shall be retrievable by client name or number for complete and historic clinical and billing information. While the Provider may also use an electronic recordkeeping system for the Provider's internal daily operation, the Provider shall comply with all requirements regarding the retention of original or source documentation.
26. The Provider shall submit the following reports to the Care Manager:
  - a. A verbal status report to the Care Manager on each client who receives services from the Provider not more than ten (10) business days after the start of service;
  - b. Periodic verbal status reports to the Care Manager describing any change in a client's condition, including the client's admission to a hospital, nursing home, or travel out of area;
  - c. A written client services progress report on the results of authorized services every two (2) months until the service is terminated, including the amount and type of services supplied to the

client. This requirement does not apply to Emergency Response Systems or Home-Delivered Meals.

**THE UNDERSIGNED, BEING THE PROVIDER OR HAVING THE SPECIFIC AUTHORITY TO BIND THE PROVIDER TO THE TERMS OF THIS ADDENDUM TO PROVIDER ENROLLMENT AGREEMENT, AND HAVING READ THIS ADDENDUM AND UNDERSTANDING IT IN ITS ENTIRETY, DOES HEREBY AGREE, BOTH INDIVIDUALLY AND ON BEHALF OF THE PROVIDER AS A BUSINESS ENTITY, TO ABIDE BY AND COMPLY WITH ALL OF THE STIPULATIONS, CONDITIONS, AND TERMS SET FORTH HEREIN.**

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Provider Entity Name (doing business as)

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Name of Provider or Authorized Representative (type/print name)

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Signature of Provider or Authorized Representative