

Pennsylvania Provider Reimbursement and Operations Management Information System electronic (PROMISE™) Medicaid Management Information System (MMIS) is a HIPAA compliant database.

## Provider Disclosure Statement Definitions

The definitions below are designed to clarify certain questions on the following Ownership and Control Disclosure Forms. The full text of the regulations governing the disclosure of information by providers and fiscal agents can be found in [42 CFR Part 455 Subpart B](#).

**Agent** means any person who has been delegated the authority to obligate or act on behalf of a provider.

**Disclosing entity** means a Medicaid provider (other than an individual practitioner or a group of practitioners), or a fiscal agent.

**Other Disclosing entity** means any entity that does not participate in Medicaid, but is required to disclose certain ownership and control information because of participation in any of the programs established under title V, XVIII, or XX of the Act. This includes:

- a. Any hospital, skilled nursing facility, home health agency, independent clinical laboratory, renal disease facility, rural health clinic, or health maintenance organization that participates in Medicare (title XVIII);
- b. Any Medicare intermediary or carrier; and
- c. Any entity (other than an individual practitioner or group of practitioners) that furnishes, or arranges for the furnishing of, health-related services for which it claims payment under any plan or program established under title V or title XX of the Act.

**Fiscal agent** means a contractor that processes or pays vendor claims on behalf of the Medicaid agency.

**Group of practitioners** means two or more health care practitioners who practice their profession at a common location (whether or not the share common facilities, common supporting staff, or common equipment).

**Indirect ownership interest** means an ownership interest in an entity that has an ownership interest in the disclosing entity.

Note: The amount of indirect ownership interest is determined by multiplying the percentages of ownership in each entity. For example:

If you own 10 percent of the stock in Corporation A, which owns 80 percent of the stock of the disclosing entity, you would have an 8 percent indirect ownership interest in the disclosing entity.

If you own 20 percent of the stock in Corporation A, which owns 50 percent of the stock in Corporation B which owns 80 percent of the stock of the disclosing entity, you would have an 8 percent indirect ownership interest in the disclosing entity.

**Managing employee** means a general manager, business manager, administrator, director, or other individual who exercises operational or managerial control over, or who directly or indirectly conducts the day-to-day operation of an institution, organization or agency.

**Ownership interest** means the possession of equity in the capital, the stock, or the profits of the disclosing entity.

**Person with an ownership or control interest** means a person or corporation that:

- a. Has an ownership interest totaling 5 percent or more in a disclosing entity.
- b. Has an indirect ownership interest equal to 5 percent or more in a disclosing entity.
- c. Has a combination of direct and indirect ownership interests equal to 5 percent or more in a disclosing entity.
- d. Owns an interest of 5 percent or more in any mortgage, deed of trust, note, or other obligation secured by the disclosing entity if that interest equals at least 5 percent of the value of the property or assets of the disclosing entity.

Note: The percentage of ownership of a mortgage, deed of trust, note, or other obligation is determined by multiplying the percentage of interest owned in the obligation by the percentage of the disclosing entity's assets used to secure the obligation. For example:

If you own 10 percent of a note secured by 60 percent of the disclosing entity's assets, you would have a 6 percent interest in the disclosing entity's assets.

- e. Is an officer or director of a disclosing entity that is organized as a corporation; or,
- f. Is a partner in the disclosing entity that is organized as a partnership.

**Significant business transaction** means any business transaction or series of transactions that, during any one fiscal year, exceed the lesser of \$25,000 and 5 percent of a provider's total operating expenses.

**Subcontractor** means:

- a. An individual, agency, or organization to which a disclosing entity has contracted or delegated some of its management functions or responsibilities of providing medical care to its patients; or
- b. An individual, agency, or organization with which a fiscal agent has entered into a contract, agreement, purchase order, or lease (or leases of real property) to obtain space, supplies, equipment, or services provided under the Medicaid agreement.

**Supplier** means an individual, agency, or organization from which a provider purchases goods and services used in carrying out its responsibilities under Medicaid (e.g., a commercial laundry, a manufacturer or hospital beds, or a pharmaceutical firm).

**Wholly owned supplier** means a supplier whose total ownership interest is held by a provider or by a person, persons, or other entity with an ownership or control interest in a provider.

**Submit the completed form via mail, fax or e-mail to:**

Office of Medical Assistance Programs		
DHS Provider Enrollment PO Box 8045 Harrisburg, PA 17105-8045	Fax: (717) 265-8284	Email: <a href="mailto:RA-pwProvCHOW@pa.gov">RA-pwProvCHOW@pa.gov</a>





**Section II: (cont.)**

b. Is the individual listed above the spouse, parent, child or sibling of any other individuals with at least 5% direct or indirect ownership or a control interest in any subcontractor of the disclosing entity?

**Yes (Provide details below)**

**No**

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

\*Attach separate sheet, if necessary\*

3. Does the individual listed above have an ownership or control interest in other Medicare or Medicaid providers, fiscal agents, managed care entities, or any "other disclosing entities"?

**Yes (Provide details below)**

**No**

Name: \_\_\_\_\_

Address: \_\_\_\_\_ Suite/Apt: \_\_\_\_\_

\_\_\_\_\_  
(City)

\_\_\_\_\_  
(State)

\_\_\_\_\_  
(Zip Code)

\_\_\_\_\_  
(+4)

\*Attach separate sheet, if necessary\*

4. Has the individual listed above been convicted of a criminal offense related to that person's involvement in Medicare, Medicaid, Title XX, Title XXI (CHIP), or a state health care program?

**Yes (Provide details below)**

**No**

5. Description of Offense: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\*Attach separate sheet, if necessary\*

**\*\*COPY SECTION II A TO ADD ADDITIONAL INDIVIDUALS\*\***

**Section II: (cont.)**

**CORPORATE ENTITIES WITH AN OWNERSHIP OR CONTROL INTEREST IN THE DISCLOSING ENTITY**

- B.** Please enter the full name, tax identification number, and primary business address of corporate entities that have at least 5% direct or indirect ownership interest in the disclosing entity.

Name: \_\_\_\_\_

Federal Tax ID: \_\_\_\_\_

Address: \_\_\_\_\_ Suite/Apt: \_\_\_\_\_

\_\_\_\_\_  
(City)

\_\_\_\_\_  
(State)

\_\_\_\_\_  
(Zip Code)

\_\_\_\_\_  
(+4)

1. Please enter the percentage and ownership type that the corporate entity listed above has in the disclosing entity.

**Direct:** \_\_\_\_\_ %  
(Percent of Ownership)

**Indirect:** \_\_\_\_\_ %  
(Percent of Ownership)

\_\_\_\_\_  
(Name of Entity Owned)

2. Please enter any additional business locations and PO Boxes for the corporate entity listed above.

Address: \_\_\_\_\_ Suite/Apt: \_\_\_\_\_

\_\_\_\_\_  
(City)

\_\_\_\_\_  
(State)

\_\_\_\_\_  
(Zip Code)

\_\_\_\_\_  
(+4)

\*Attach separate sheet, if necessary\*

3. Does the corporate entity listed above have an ownership or control interest in other Medicare or Medicaid providers, fiscal agents, managed care entities, or any "other disclosing entities"?

**Yes (Provide details below)**       **No**

Name: \_\_\_\_\_

Address: \_\_\_\_\_ Suite/Apt: \_\_\_\_\_

\_\_\_\_\_  
(City)

\_\_\_\_\_  
(State)

\_\_\_\_\_  
(Zip Code)

\_\_\_\_\_  
(+4)

\*Attach separate sheet, if necessary\*

**\*\*COPY SECTION II B TO ADD ADDITIONAL CORPORATE ENTITIES\*\***

**Section II: (cont.)**

**OWNERSHIP OR CONTROL INTEREST IN SUBCONTRACTORS**

C. Please enter the full name, date of birth, and address of each person with an ownership or control interest in any subcontractor in which the disclosing entity has a direct or indirect ownership interest of 5% or more.

Name: \_\_\_\_\_  
(First Name) (Middle Name) (Last Name)

Social Security Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Address: \_\_\_\_\_ Suite/Apt: \_\_\_\_\_  
\_\_\_\_\_  
(City) (State) (Zip Code) (+4)

1. a. Name of Subcontractor: \_\_\_\_\_

Federal Tax ID of Subcontractor: \_\_\_\_\_

b. Please enter the percentage and ownership type that the disclosing entity has in the subcontractor.

**Direct:** \_\_\_\_\_%  **Indirect:** \_\_\_\_\_% \_\_\_\_\_  
(Percent of Ownership) (Percent of Ownership) (Name of Entity Owned)

c. Please enter the percentage and ownership type that the individual listed above has in the subcontractor.

**Direct:** \_\_\_\_\_%  **Indirect:** \_\_\_\_\_% \_\_\_\_\_  
(Percent of Ownership) (Percent of Ownership) (Name of Entity Owned)

d. Is the individual listed above the spouse, parent, child, or sibling of any other individuals with at least 5% direct or indirect ownership or control interest in the disclosing entity?

**Yes (Provide details below)**  **No**

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

e. Is the individual listed above the spouse, parent, child or sibling of any other individuals with at least 5% direct or indirect ownership or a control interest in any subcontractor of the disclosing entity?

**Yes (Provide details below)**  **No**

Name: \_\_\_\_\_ Relationship: \_\_\_\_\_

**Section II: (cont.)**

f. Has the individual listed above been convicted of a criminal offense related to that person's involvement in Medicare, Medicaid, Title XX, Title XXI (CHIP), or a state health care program?

**Yes (Provide details below)**                       **No**

g. Description of Offense: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Attach separate sheet, if necessary\*

**\*\*COPY SECTION II C TO ADD ADDITIONAL INDIVIDUALS\*\***

**D.** Please enter the full name, tax identification number, and primary business address of any corporate entity with an ownership or control interest in any subcontractor which the disclosing entity has a direct or indirect ownership interest of 5% or more.

Name: \_\_\_\_\_

Federal Tax ID: \_\_\_\_\_

Address: \_\_\_\_\_ Suite/Apt: \_\_\_\_\_

\_\_\_\_\_  
(City)    (State)    (Zip Code)    (+4)

1. a. Please enter the percentage and ownership type that the disclosing entity has in the subcontractor.

**Direct:** \_\_\_\_\_%                       **Indirect:** \_\_\_\_\_%                      \_\_\_\_\_  
(Percent of Ownership)                      (Percent of Ownership)                      (Name of Entity Owned)

b. Please enter the percentage and ownership type that the corporate entity listed above has in the subcontractor.

**Direct:** \_\_\_\_\_%                       **Indirect:** \_\_\_\_\_%                      \_\_\_\_\_  
(Percent of Ownership)                      (Percent of Ownership)                      (Name of Entity Owned)

**\*\*COPY SECTION II D TO ADD ADDITIONAL CORPORATE ENTITIES\*\***





**Section III: Non-Profit Organization Disclosure (Not Organized as a Corporation)**

**\*If the disclosing entity is a non-profit organized as a corporation, please complete Section II\***

- A. Please enter the full name, address, social security number, and date of birth of any person who is a director (board member) or officer of the disclosing entity.

Name: \_\_\_\_\_  
(First Name) (Middle Name) (Last Name)

Social Security Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Address: \_\_\_\_\_ Suite/Apt: \_\_\_\_\_  
\_\_\_\_\_  
(City) (State) (Zip Code) (+4)

1. What position is held by the individual listed above?

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> <b>President</b>      | <input type="checkbox"/> <b>Chairman</b>      | <input type="checkbox"/> <b>Member</b> |
| <input type="checkbox"/> <b>Vice President</b> | <input type="checkbox"/> <b>Vice Chairman</b> |  |
| <input type="checkbox"/> <b>Secretary</b>      | <input type="checkbox"/> <b>Director</b>      |  |
| <input type="checkbox"/> <b>Treasurer</b>      | <input type="checkbox"/> <b>Officer</b>       |  |

2. Has the individual listed above been convicted of a criminal offense related to that person's involvement in Medicare, Medicaid, Title XX, Title XX (CHIP), or a state health care program?

3.  **Yes (Provide details below)**     **No**

Description of Offense: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Attach separate sheet, if necessary\*

**\*\*COPY SECTION III TO ADD ADDITIONAL INDIVIDUALS\*\***