

ENROLLMENT AND ORIENTATION POLICY

Mains'l offers FMS services to eligible individuals. Equal consideration is given to all people. However, state statutes or program rules may define acceptance criteria or eligibility for services.

To become enrolled with Mains'l FMS in a participant/self-directed service option, all required paperwork and authorizations must be received before services may begin.

ENROLLMENT PROCEDURES

When contacted to be the FMS, a Mains'l manager will communicate with the managing party on how they would like to receive and review the enrollment materials, including a handbook specific to the service option they will be enrolling in. The enrollment paperwork and Managing Party Handbook can be delivered in person, mailed, faxed, or emailed based on the managing party's preference. The information can then be reviewed at a face to face meeting, over the phone, or the managing party can choose to review the information on their own and follow up with the Mains'l manager if they have any questions.

The purpose of the enrollment paperwork is to:

- Provide information to guide the managing party through enrollment with Mains'l in a self-directed service.
- Indicate to Mains'l that you have chosen us as your Financial Management Service.
- Provide Mains'l with the information we need to establish you as a client.

The purpose of the Managing Party Handbook is to:

- Provide information to assist the managing party in managing their employees and/or service providers in their role as an employer in the Fiscal Employer Agent program model.
- Provide the managing party with information for using and managing the services.
- Organize the information received from Mains'l in regards to services.

It is the responsibility of the managing party to review the entire handbook and ask for clarification with the Mains'l manager on any questions they have. When requested, information will be provided in an alternative format. Translation and Interpreter services are available upon request. Additional orientation/technical assistance can be provided to the managing party upon request as needed.

The handbook will contain:

- General information about Mains'l and the services chosen, including descriptions.
- Data Privacy Practices including HIPPA
- Enrollment, Renewal, Suspension, and Termination Policies and Procedures

- Complaint and Appeal Policy and Procedure
- Rights of the Individual Receiving Services Policy and Procedure
- Preventing Waste, Abuse, and Fraud of Medicaid and other Insurances
- Responding to and Reporting Maltreatment Policy and Procedure
- Information about hiring and managing employees
- Workplace posters provided by the state and federal governments
- Work Related Injuries and Workers' Compensation Policy and Procedure
- Payroll Policy and Procedures
- Mains'l Portal User Guide with instructions on how to enter and approve timesheets and access forms
- Expense Payment and Reimbursement Policy and Procedure
- Mileage Reimbursement Policy and Procedure
- Reporting for Participant Directed Services Policy and Procedure
- Sample spending summary with instructions on how to read it

When Mains'l is contacted to provide FMS services, the following information is required to be complete and on file before services begin:

- Enrollment paperwork completed by the managing party.
- An approved spending plan that identifies the specific goods and services.
- Service Agreement or Service Authorization giving Mains'l the ability to provide and bill for the service(s).
- Any other forms required for Mains'l to have on file by program rules or state statutes.

Upon receiving the enrollment forms back from the managing party, the Mains'l manager will complete the paperwork tracking sheet. Any incomplete or inaccurate information will be sent back to the managing party for correction. The tracking sheet will be updated by the Mains'l manager as needed.

An individual identification number is issued by Accounts Receivable for each individual for internal tracking of revenue and expenses. The participant's identification number will be given to the managing party and any employees working with the person. Depending on which service is purchased, additional processes may apply.

Internal Controls: The paperwork tracking sheet is updated on an ongoing basis by the Mains'l manager. The senior manager reviews the tracking sheet quarterly.

Enrollment Procedures specific to the Fiscal Employer Agent Program: It is common for individuals acting as employer to receive correspondence from the State and Federal governments. All such correspondence must be forwarded to the Fiscal Employer Agent.

The F/EA enrollment paperwork contains State and Federal form explanations and Instructions to assist the managing party in completing the required documentation. When Mains'l is

contacted to provide Fiscal Employer Agent (F/EA) services, the following documents are required in addition to the standard enrollment forms:

- FEIN Holder Information Form
- Employment Relationship Disclosure Form
- Form SS-4 Application for Employer Identification Number
- Form 2678 Employer/Payer Appointment of Agent
- Form 8821 Tax Information Authorization
- Form ABR Minnesota Application for Business Registration
- Form REV184 Power of Attorney
- Unemployment Account Authorization

Upon receiving the enrollment forms back from the managing party, the Mains'l manager completes the F/EA enrollment paperwork section of the F/EA tracking sheet. Any incomplete or inaccurate information will be sent back to the managing party for correction. All State and Federal forms will be given to the F/EA accountant for processing. All forms must be accurately completed by the managing party and received by Mains'l before service begins.

Upon receiving the state and federal forms to set up the employer with Mains'l as the Fiscal Employer Agent, the F/EA Accountant will complete the State and Federal Forms portion of the F/EA tracking sheet and record the status of each item. Any incomplete or inaccurate information will be sent back to the managing party for correction. The completed forms will be reviewed for accuracy by the Mains'l manager and forwarded to the F/EA accountant to be filed and maintained. Each form will be completed per the State and Federal guidelines for household employer using a Fiscal Employer Agent. Copies of each form will be retained in the file of the individual receiving services.

Mains'l has brokered a Workers Compensation policy for all employers that Mains'l provides FMS services to for coverage related to work place injuries.

Internal Controls: The F/EA tracking sheet is updated on an ongoing basis. Both the accountant and Mains'l manager review and update the tracking sheet on a regular basis. The senior manager reviews the tracking sheet quarterly.

Educating participants regarding their responsibilities is a key factor in their ability to be a successful employer and maintaining integrity in the program. State and federal labor, tax, and employment requirements change frequently and are complex matters. Mains'l has a vested interest in ensuring that participants are appropriately informed of what their roles and responsibilities are as a Household Employer. Mains'l excels at providing participants with notifications and updates. From information posted when they login to the Mains'l website portal to approved timesheets, to email notifications, to mass mailings, to tutorials and online trainings, to informational sessions at local offices, Mains'l uses an array of venues to communicate with participants to ensure they receive information regarding their role and responsibilities as an employer.

SUSPENSION OF SERVICES POLICY

In the event that services must be suspended, Mains'l will work with the managing party and case manager or care coordinator to secure reinstatement as quickly as possible. If reinstatement is not an option, we will work to transition the individual receiving services to an alternative service or provider.

Common reasons for suspension are:

- Not completing the necessary paperwork in the required time frames to remain eligible for Medicaid or other funding source.
- The funds available have been used before the end of the plan year.
- Non-payment of a Medicaid spend down, waiver obligation, or private pay bill.
- Not following a federal, state, county, or program rule or regulation.
- Disregard of Mains'l policies or procedures.

SUSPENSION OF SERVICES PROCEDURES

- When it is determined that services will be suspended, the Mains'l manager will contact the case manager and managing party in writing stating the reason for the suspension of services and date the suspension begins.
- The manager will provide information on what needs to occur for services to resume.
- Mains'l sends a letter to each employee stating that they cannot provide services for the individual. The employee will be given a date they can resume working, or be informed that the Mains'l manager will contact them when they can resume working.
- The managing party should not ask an employee to work during a suspension of services. Employees will not be paid during a suspension of services.
- The managing party is responsible for contacting their goods and services vendors if there will not be funds available to pay them.
- Any bills sent to Mains'l during a suspension of services will not be paid until services are reinstated and only if there are funds available to pay the vendor.
- If, at any time, it is decided that termination of service is necessary the procedure for termination is then followed.

TERMINATION OF SERVICES POLICY AND PROCEDURES

An individual may end services with Mains'l at any time. Some reasons an individual might choose to end services are:

- The services are no longer in the best interest of the individual receiving services
- Person wishes to change to a different provider
- Individual receiving services no longer qualifies for the service or is no longer eligible under program rules

Mains'l may also choose to end services. Individuals who are eligible for services will not have services ended without review by the individual's team and not without due process. When Mains'l chooses to end services, the managing party and case manager will receive a thirty (30) day written notice from Mains'l. Mains'l will work with all stakeholders to ensure a smooth transition to another service or provider.

Some reasons Mains'l might choose to end services are:

- The services are no longer in the best interest of the individual receiving services
- Suspected waste, fraud, or abuse of Medicaid or other insurance has occurred
- Individual receiving services no longer qualifies for the service or is no longer eligible under program rules
- Managing Party refuses to follow program rules and regulations or Mains'l policies and procedures

When it is determined that services will be ending, a date for termination is identified in writing by the Mains'l manager, managing party, or case manager/managed care coordinator depending on the circumstances of the termination. The Mains'l manager will provide written notice to employees.

In Participant Directed Services, Mains'l expects that the managing party or case manager/managed care coordinator will contact each vendor to inform them to no longer send invoices to Mains'l for payment as of the termination date. If invoices are sent to Mains'l for services after the termination date, the invoice will not be paid.

The Mains'l manager completes a Starting or Stopping Services form and distributes this within the agency as the form directs. The Mains'l manager moves the individual participant file to the terminated individual folder to be saved for seven (7) years.

RENEWAL OF SERVICES POLICY

Mains'l will provide renewal paperwork 30 days prior to the expiration of the previous year's plan. The renewal process is determined by the county of financial responsibility or managed care organization.

It is the responsibility of the managing party to provide Mains'l with the information required to complete a budget prior to the renewal date.

Services may be suspended if Mains'l is not provided with the information required to complete a budget, if a service authorization is not received by the first date of the new plan year, or if renewal paperwork is not returned to Mains'l.

RENEWAL OF SERVICES PROCEDURES

Thirty (30) days prior to the expiration of the previous year's plan, the Mains'l manager or assistant will prepare the renewal paperwork to send to the managing party. Renewal paperwork will be sent via mail unless it is requested to be provided by an alternate method. The date sent and requested return date will be recorded on a paperwork tracking sheet.

The following documents are required to be sent to and completed by the managing party prior to the expiration of the previous year's plan:

- FMS Agreement
- Consent to Exchange Information
- Managing Party Responsibilities Acknowledgement
- Holiday Pay Practices
- Notice of Privacy Practices Acknowledgement of Receipt
- Documentation of Workers' Compensation (when applicable)

Upon receiving the renewal paperwork back from the managing party, the Mains'l manager updates the paperwork tracking sheet with the date received and any notes regarding the status of missing or incomplete forms. Any incomplete or inaccurate information will be sent back to the managing party for correction. The tracking sheet will be updated by the Mains'l manager as needed.

The following information is required to be received from the county or managed care organization:

- Community Support Plan approved by the county of financial responsibility or the managed care organization.
- Service Agreement or Service Authorization from the county or managed care organization giving Mains'l the ability to provide and bill for the service(s).

NON-DISCRIMINATION IN ELIGIBILITY FOR SERVICES POLICY

It is the policy of Mains'l to provide service to all persons without regard to race, color, national origin, handicap or age. All services are available without distinction to all program participants regardless of race, color, national origin, handicap or age. All persons and organizations, who either refer persons for services or recommend our services, are advised to do so without regard to the person's race, color, national origin, handicap or age.

For all participant directed programs, the individual receiving services must be approved for the program by the county or managed care organization.

Certain behavioral or criminal histories may pose too great a risk as determined by the agency's commercial general liability insurance carrier. History of arson, assault, and sexual offenses, for example, require special consideration and may not be admissible depending on how significant or recent the incident. Persons with such profiles require clearance for admission from the agency's executive leadership.

The person designated to coordinate compliance with Section 504 of the Rehabilitation Act of 1973 (nondiscrimination against the handicapped) is Stacy Roe who can be reached at 763-416-9146.

CUSTOMER SERVICE AND COMMUNICATION POLICY

Mains'l has a strong commitment to and belief in partnering with stakeholders. It is one of our core values to collaborate with participants, their families, managing parties, service workers, case managers, support planners, and other professionals and community members to create and sustain the best supports possible. It is our goal to establish a relationship of trust and open communication with all the people involved with our programs thus ensuring those we support receive the optimal level of service.

It is the responsibility of all Mains'l employees to uphold this commitment to clear communication through respectful, timely and thorough responses to all stakeholders. It is the policy of Mains'l to return phone calls, acknowledge written correspondence, and to respond to faxes, emails and other electronic requests promptly. All employees will receive copies of the written policy and procedure on communications during initial agency orientation. Employees will be responsible for communicating with stakeholders in ways that reflect the spirit and intent of the communication policies and procedures.

CUSTOMER SERVICE AND COMMUNICATION PROCEDURES

The following procedures have been identified to ensure the integrity and responsiveness of employee and stakeholder communication.

- Every attempt will be made to return phone calls the same day they are received, or at the latest the next business day.
- The cover page of received faxes will be reviewed by the administrative staff as they are received and directed to the appropriate personnel. If the named recipient is unavailable, the administrative staff will redirect the fax to someone who is in the office that is able to respond within the requested timeframe.
- Faxes sent to the field (no administrative staff available to review) will be responded to no later than the next business day.
- Email is delivered directly to the recipient and is not screened. Each recipient is responsible for checking email no less than every twenty-four (24) hours Monday through Friday, unless they have informed stakeholders that they will be unavailable for a period of time. Emails will be responded to the next business day after the twenty-four (24) hour read/receipt period.
- Written correspondence will be distributed by the reception staff Monday through Friday, and will be responded to by the intended recipient or their designee the next business day, unless otherwise noted by the sender on the exterior of the envelope in which the material was received.

Internal Controls: The Internal Controls for this policy are as follows:

- Mains'l tracks all complaints in a complaint log. If it is noted that a specific stakeholder or employee experiences more than three communication complaints in one month, the PDS manager will be notified and a corrective plan will be pursued with all parties.
- Mains'l will review the communications section on the annual satisfaction surveys and tailor annual revisions to the Communication Policy and Procedure based upon the feedback we receive.
- The effectiveness of individual employee communication will be addressed annually during the employee review process.
- The PDS manager will periodically engage stakeholders in an informal dialogue about the style, frequency, and effectiveness of communication with assigned Mains'l personnel.
- If a stakeholder communicates a preferred mode of communication, the request will be noted in the participant file and communicated to all employees assigned to the individual.

RIGHTS OF THE PERSON RECEIVING SERVICES POLICY

Mains'l ensures the exercise and protection of the rights related to the services being provided. These rights are as follows:

Service-Related Rights

- The right to refuse or terminate services and be informed of the consequences of refusing or terminating services;
- The right to know, in advance, limits to the services available from the FFMS as established in the FMS Agreement;
- The right to know conditions and terms governing the provision of services, including those related to enrollment and termination;
- The right to know what the charges are for services, regardless of who will be paying for the services, and be notified upon request of changes in those charges;
- The right to know, in advance, whether services are covered by insurance, government funding, or other sources, and be told of any charges the participant or other private party may have to pay; and
- The right to receive services from individuals who are competent and trained, who have professional certification or licensure, as required, and who meet additional qualifications identified in the individual service plan.

Protection-Related Rights

- The right to have personal, financial, services, and medical information kept private, and be advised of policies and procedures regarding disclosure of such information;
- The right to access records and recorded information;
- The right to be free from maltreatment;
- The right to be treated with courtesy and respect for the person's individuality, mode of communication, and culture, and receive respectful treatment of the participant's property;
- The right to voice grievances, know the contact persons responsible for addressing problems and how to contact those persons;
- The right to any procedures for grievance or complaint resolution;
- The right to know the name and address of the state, county, or advocacy agency to contact for additional information or assistance;
- The right to assert these rights personally, or have them asserted by the participant's family or legal representative, without retaliation;
- The right to associate with other persons of the participant's choice;
- The right to personal privacy; and
- The right to engage in chosen activities.

These rights are established for the benefit of participants receiving services. Mains'l may not require a person to surrender these rights as a condition of receiving services. A guardian or conservator or, when there is no guardian or conservator, a designated person, may seek to enforce these rights.

Mains'l provides the participant or the managing party with a copy of the participant's rights upon enrollment. Reasonable accommodations shall be made by Mains'l to provide this information in other formats as needed to facilitate understanding of the rights by the participant and the participant's legal representative, if any.

RIGHTS OF THE PERSON RECEIVING SERVICES PROCEDURES

A copy of this policy and procedure is provided upon enrollment in the Participant Handbook.

COMPLAINT AND APPEAL POLICY

Mains'l believes all persons have the right to make choices, express opinions, and affect change in their life. We recognize the rights of and value the opinions of the individuals who choose our services, welcoming and encouraging their input. Therefore, every individual who receives service is encouraged to voice complaints and to recommend changes in Mains'l policies or services to any agency personnel or others of their choice without restraint, interference, coercion, discrimination, or reprisal.

Agency personnel must assist individuals to understand and follow the agency's complaint and appeal procedure, as well as support the individual's right to register a grievance with outside agencies. Assistance will be given to contact outside agencies when this is needed. We encourage and assist persons who use our services to understand and exercise their rights as participants and citizens.

COMPLAINT AND APPEAL PROCEDURES

In the event that an individual applying for or receiving service from Mains'l wishes to initiate a complaint the following procedure is available:

1. The individual/managing party will first contact the Mains'l manager to voice their complaint. Every attempt should be made by the manager and the individual/managing party to resolve the complaint through discussion.

Haley Tschida	800-441-6525, ext 135	hmtschida@mainsl.com
Stephanie Swift	800-441-6525, ext 179	smswift@mainsl.com
Katie Wolf	800-441-6525, ext 164	kmwolf@mainsl.com
Joe Ramy	800-441-6525, ext 139	jeramy@mainsl.com
Carolyn Conard	800-441-6525, ext 163	cnconard@mainsl.com

2. If the complaint is not resolved to the person's satisfaction, an individual may contact the director of participant directed services

Jason Bergquist	800-441-6525 ext 113	jmbergquist@mainsl.com
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3. If the complaint is not resolved to the satisfaction of the individual/managing party the individual/managing party will submit the complaint in writing to Stacy Roe, vice president of services. The vice president of services will respond in writing, within five (5) working days of receiving the complaint.

Stacy Roe	Email: sroe@mainsl.com
Mailing Address: 7000 78 th Ave N, Brooklyn Park MN 55445	

3. If this written response is unsatisfactory, the individual/legal representative will state this in writing to Terri Williams, president. She will respond within five (5) working days of receiving the complaint.

Terri Williams	Email: tcwilliams@mainsl.com
Mailing Address: 7000 78 th Ave N, Brooklyn Park MN 55445	

DATA PRIVACY AND PRIVACY OF PROTECTED HEALTH INFORMATION/HIPAA POLICY

Mains'l respects and protects the data we receive and retain to promote service recipient rights. Access, release and duplication of private information is in accordance with federal and state statutes.

DATA PRIVACY AND PRIVACY OF PROTECTED HEALTH INFORMATION/HIPAA PROCEDURE

Private data includes all information on persons that Mains'l has gathered for the purpose of offering supports.

Notice of Privacy Rights

1. On the day services begin, and annually thereafter, the manager gives the Notice of Privacy Practices for Persons Receiving Service document to the person/legal representative and has the person/legal representative sign the Notice of Privacy Practices Acknowledgment of Receipt.
2. The manager files this in the legal/consent section of the person's Support Plan.

Sharing Information: Mains'l employees are allowed to share information with only the following persons or entities without a release:

- Person receiving services
- The person's legal representative
- Mains'l employees and consultants on a need-to-know basis:
- Representatives of responsible federal, state, and local agencies; i.e. case managers, licensors, state or federal investigators.
- Representatives of responsible contracting agencies such as managed care organizations

A person receiving services or their legal representative has a right to access and review the individual record and may request copies of pages in their record.

Besides the person receiving services and their legal representative, the people identified above do not automatically have access to private data about a person receiving services or about other staff or agency employees. Need-to-know basis means that the person must have a specific work reason requiring access to the information. Private data about a person is available only to those employees whose work assignments reasonably require access to the data; or who are authorized by law to have access to the data.

Any written or verbal exchanges about a person's private information by staff with other staff or any other persons will be done in such a way as to preserve confidentiality, protect data privacy, and respect the dignity of the person whose private data is being shared. As a general rule, if a person is unsure about sharing information regarding a person, they should contact their supervisor or reference this policy and procedure.

Sharing Information with Other Parties

Information regarding a person receiving service from Mains'l may be released to outside persons/agencies only after the person or their legal representative authorizes the release by signing the Consent to Exchange Information.

Obtaining Informed Consent and Authorization for Release of Information

Upon starting services and annually after that, the Mains'l manager or their designee will obtain informed consent and authorization to release information. There may be other times when a representative of Mains'l provides informed consent and requests authorization for release of information. The following procedures are to be followed at any time information is requested:

1. At the time informed consent is being obtained, the manager informs the person or the legal representative individual about the following:
 - a. why the data is being collected;
 - b. how Mains'l intends to use the information;
 - c. whether the individual may refuse or is legally required to furnish the information;
 - d. what known consequences may result from either providing or refusing to disclose the information, and with whom the collecting agency is authorized by law to share the data;
 - e. what the person can do if they believe the information is incorrect or incomplete;
 - f. how the person can see and get copies of the data collected about them; and any other rights that the individual may have regarding the specific type of information collected.
2. The manager maintains all informed consent documents in the person's individual record.

The following will be observed when completing the Consent to Exchange Information:

- a. The form is initially completed at the time services begin. It is updated annually thereafter (automatic one-year expiration). If additional information is to be released during the period of the authorization that is in addition to or other than that initially included, an additional or revised form will be completed.
- b. The type of information to be released, to whom, and for what purpose must be specified on the form in order for the authorization to be valid.
- c. If the person receiving service is under 18 but has been given the legal right of an adult (emancipated adult) they must sign the form. If they are not, the legal guardian must sign the form.
- d. Informed consent must be obtained to validate the authorization to release information. The senior manager or manager must review with the person or their legal representative what information is being requested and/or released, by whom, and the purpose for which it will be used. It is advisable to have the person who is authorizing the release then repeat what has been explained to assure their understanding and ability to give informed consent.

Requesting Information from Other Licensed Caregivers or Primary Health Care Providers

Mains'l may need to request information about the person from other licensed providers. When this is needed, the manager will:

1. Complete a Release of Information form. The manager will carefully list all the consults, reports or assessments needed, giving specific dates whenever possible. Also, the manager will identify the purpose for the request.
2. Clearly identify the recipient of information. If information is to be sent to the program's health care consultant or other staff at the program, include Attention: (name of person to receive the information), and the name and address of the program.

Release of Written Documents to Persons Receiving Service or Legal Representative

The following process is used when a person receiving supports or their legal representative wishes to obtain copies of written records:

1. A written request from the person or legal representative, which specifies the information requested, shall be given to the senior manager.
2. The senior manager makes the requested material available within three (3) working days after the request.
3. The senior manager is available to discuss the content and meaning of the data with the individual receiving service and/or the legal representative if this is requested.
4. The person is informed that the agency is not required to release additional data within six (6) months of the first release of information.
5. The person making the request signs a statement verifying the requested data was received and, if desired, discussed.
6. If a person wishes to contest the accuracy of the information, they must notify the senior manager in writing. The senior manager and director review the information and respond in writing to the person within thirty (30) days of the request for clarification.
7. The person may submit additional written information to be placed in their data file at any time.

Release of photographs or video to other parties: Photographs or video of people supported by Mains'l are displayed or released to outside persons/agencies only if the person receiving service or their legal representative has authorized the release by signing an Authorization for Release of Photographs.

The following is observed when completing the release of photographs form:

1. The general nature of the photo/s to be used, to whom, and for what purpose is specified on the form in order for the authorization to be valid. The authorization remains valid until the person requests in writing their desire to have the photo removed from future reproduction.
2. Informed consent is obtained to validate authorization. The manager reviews with the person/legal representative what photograph/video is being requested/ released, by whom, and for what purpose it will be used.

References

Minnesota Government Data Practices Act section [13.46](#)

California Statute Title 17

HIPAA Standards of Privacy of Individually Identifiable Health Information [45 C.F.R. section](#)

[164](#)

Consent to Exchange Information

Release of Information

Authorization for Release of Photographs

Notice of Privacy Practices for Person Receiving Service

Notice of Privacy Practices Acknowledgment of Receipt

PREVENTING FRAUD, ABUSE, AND WASTE OF MEDICAID AND OTHER INSURANCES POLICY

Most of the services Mains'l provides are funded by Medicaid. You play a vital role in protecting the integrity of the Medicaid Program. To reduce waste, abuse, and fraud you need to know what to watch for and when to report if you suspect that waste, abuse, or fraud is occurring.

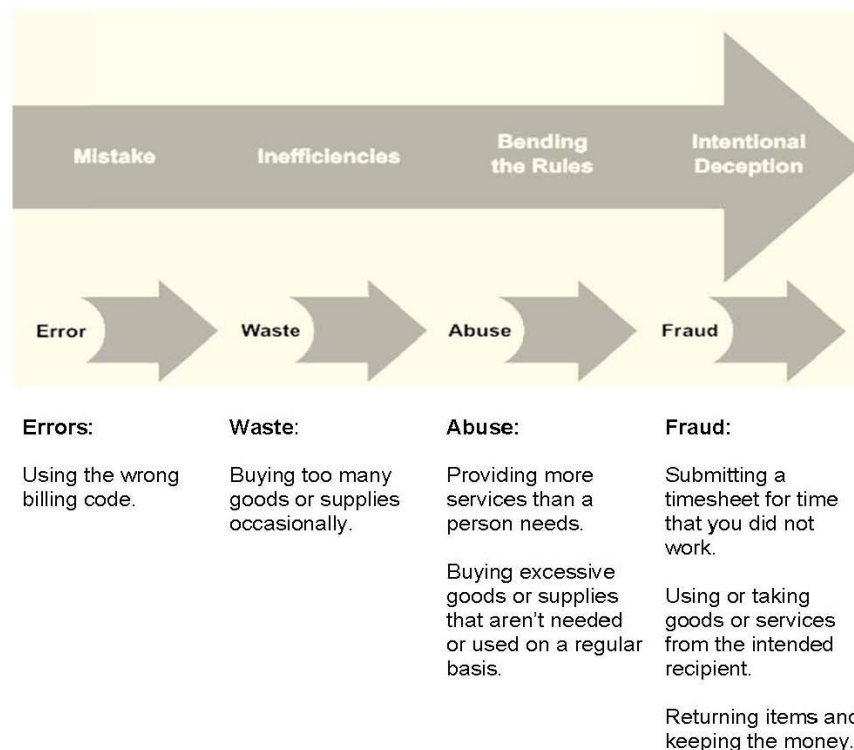
Although the terms Medicaid and Medicare fraud and abuse have slightly different meanings, depending on individual state law, they generally mean the same thing: any violations of the state and federal requirements related to the delivery of services to Medicaid or Medicare recipients.

Waste is a broad term that refers to care that is not effective or that is not delivered efficiently.

Abuse is when a provider does not follow good medical practices, resulting in unnecessary costs, improper payment, or services that are not medically necessary.

Fraud is when Medicaid or other insurance is billed for services or supplies a client never received. It is when a person knowingly cheats or is dishonest. The dishonesty results in a benefit such as payment or coverage that the person would not have been entitled to otherwise.

Examples of Fraud, Abuse and Waste include but are not limited to:



Multiple state and federal laws make it illegal for a person to bill Medicaid, Medicare or other insurance providers for goods or services that he or she knows are false.

Any person, who submits a claim to Mains'l that he or she knows, or should know, is false will be held responsible and his or her action may be punishable by law.

Suspected fraud, abuse, and violations of this policy must be immediately reported. Any report of fraud or abuse, received by Mains'l will be investigated. Suspected waste should also be reported to reduce or prevent waste from continuing.

Failure of an employee to report suspected fraud, abuse or a violation of this policy will result in employee discipline, up to and including termination.

PREVENTING FRAUD, ABUSE, AND WASTE OF MEDICAID AND OTHER INSURANCES PROCEDURES

Any suspicions of fraud, abuse, and waste should be directly reported to our Public Funds Compliance Officer, the Vice President of Administration.

The Public Funds Compliance Officer will conduct an internal investigation. In the event that our Public Funds Compliance Officer, the Vice President of Administration is suspected or alleged to be involved in fraud, the Director of Human Resources will complete the investigation. The investigation will include at least the following:

- Whether fraud, abuse, or waste occurred
- Whether written policies and procedures were adequate
- Whether written policies and procedures were followed
- Whether there is a need for additional staff training
- Whether there is a need for external reporting

If it is determined after a thorough investigation that any employee has committed fraud, their employment will be terminated immediately.

If it is determined that a vendor, person receiving services, or other business partner has committed fraud, Mains'l reserves the right to end the relationship.

While Mains'l prefers that reports of suspected fraud and abuse are made internally, you have the right to report suspicions of Medicaid abuse or fraud to a state agency.

In Minnesota: Department of Human Services Provider Fraud: 800-657-3750 Recipient Fraud: 800-627-9977 <http://mn.gov/dhs/general-public/licensing/report-fraud/index.jsp>

Mains'l will not discharge, discipline, threaten, or discriminate against, or penalize an employee, who in good faith reports or participates in an investigation of fraud, abuse, or waste internally or externally. However, failure to report suspicions of fraud, abuse, and waste will result in disciplinary action, up to and including termination.

RESPONDING TO AND REPORTING MALTREATMENT

This document explains your legal responsibilities as a mandated reporter to respond to and report suspected maltreatment. It is important that you read the entire document and ask the Mains'l manager if you have any questions about the requirements placed upon you by the State of Minnesota in regards to reporting maltreatment.

It is the **policy** of Mains'l to protect individuals who receive services from maltreatment in accordance with Minnesota Statutes (laws):

Minnesota has multiple laws about the maltreatment of vulnerable adults and minors:

1. Minnesota Statute 245A.65 Maltreatment of Vulnerable Adults;
2. Minnesota Statute 245A.66: Maltreatment of Minors;
3. Minnesota Statute 626.556: Mandatory Reporting of Maltreatment of Minors;
4. Minnesota Statute 626.557 Mandatory Reporting of maltreatment of Vulnerable Adults.

To view Minnesota statutes please go to <https://www.revisor.leg.state.mn.us/statutes>.

If you suspect maltreatment of a vulnerable adult or a child respond immediately!

- ✓ Immediately call 911 if you observe or are aware of a physical or sexual assault in progress;
- ✓ Immediately contact the Minnesota Adult Abuse Reporting Center (for adults) or the local child welfare agency (for children) if you suspect maltreatment;
- ✓ We also ask but cannot require that you immediately leave a voicemail or send an email to the assigned Mains'l manager who will contact the case manager and legal guardian (if there is one). The Mains'l manager does not release identifying information about the mandated reporter unless given permission by the mandated reporter. Only information about the suspected maltreatment or injury is reported.

For Adults: Call 1-844-880-1574 or

Go to: <http://mn.gov/dhs/reportadultabuse/> to report

For Children: Contact law enforcement or locate the local child welfare agency phone number by going to:

<http://mn.gov/dhs/people-we-serve/children-and-families/services/child-protection/contact-us/index.jsp>



Suspected maltreatment must be reported.
You do not need to have proof that maltreatment has occurred.

Here is information to learn the Who, What, Why, and How of responding to and reporting maltreatment.

Who is considered a vulnerable individual? In general, any person who needs assistance to adequately care for him or herself, and is therefore at a greater risk of maltreatment is considered a vulnerable individual. Based on Minnesota laws, any person receiving services from Mains'l is considered either a vulnerable adult or child.

The definition of a child for maltreatment reporting is:

- An individual from 0 years old to 17 years old and
- A person in foster care who is 18 years old to 21 years old only if that person is:
 - Completing secondary education or a program leading to an equivalent credential;
 - Enrolled in an institution that provides post-secondary or vocational education;
 - Participating in a program or activity designed to promote or remove barriers to employment;
 - Employed for at least 80 hours per month; or
 - Incapable of doing any of the activities described in clauses 1-4 due to a medical condition.

Who is considered a caregiver? A person who has responsibility for any of the care of a vulnerable individual is considered a caregiver. Caregivers may or may not be paid for their caregiver responsibilities. Caregivers can include family, friends, hired employees, contracted service providers, and volunteers.

What is maltreatment?

- For vulnerable adults, maltreatment is defined as abuse, neglect, or financial exploitation.
- For children, maltreatment is defined as physical abuse, sexual abuse, and neglect.

Definitions of each type of maltreatment are provided below in the definitions section. For complete definitions, please see the Minnesota Statutes.

For children, if you know or have reason to believe a child is being or has been neglected; or physically or sexually abused within the **past three years**, you must immediately make a report to the child protection unit of the local social service agency.

Who is required to report maltreatment? Many people are required to report, including you. A complete list of who is required to report can be found in the Responding to and Reporting Maltreatment policy and procedure and in the statutes listed above. Some professionals who are mandated reporters include:

- Care of vulnerable adults or minor children; including relatives and other paid and unpaid caregivers
- Healing arts
- Social services
- Hospitals, medical clinics, and nursing homes
 - Psychological or psychiatric treatment
 - Child care and education
 - Law enforcement and corrections
 - Vocational rehabilitation
 - Medical examiner or coroner

**IF YOU SEE
SOMETHING... SAY
SOMETHING!**

What is required to be reported? Suspected maltreatment and any injury that cannot be explained must be reported. Definitions of maltreatment are listed in this document.

Who do I report to? For the suspected maltreatment of an adult, report to the Minnesota Adult Abuse Reporting Center (MAARC). For suspected maltreatment of a child, report to law enforcement or the local child welfare agency.

What is the Minnesota Adult Abuse Reporting Center? The Minnesota Adult Abuse Reporting Center was established on 7/1/15 to replace the county based Common Entry Point system. MAARC is the central location for receiving reports of adult maltreatment.

What are local child welfare agencies? Each county in the state has a local child protection/welfare agency responsible for taking reports and investigating. The number for your local child welfare agencies can be found online and is included in orientation materials.

How much time does a mandated reporter have to make a report? No longer than 24 hours from the time initial knowledge that the incident occurred has been received.

Any person making a good faith report in a timely manner is protected from any civil or criminal liability that might otherwise result from their actions.

What happens if I do not report suspected maltreatment? There are many things that can happen if you do not report including:

- the continuation of maltreatment to the vulnerable individual
- you being removed from your caregiver responsibilities
- you may be found guilty of a misdemeanor and liable for damages caused by the failure
- you may not clear a background study required for many jobs

If you are asked to not report something, you can explain to the person that you are required by law to report.

Also, any person who intentionally makes a false report may be found liable in a civil suit for any actual damages suffered by the reported facility, person or persons and any punitive damages up to \$10,000.00 and attorney's fees.

What is therapeutic conduct? Some of the definitions reference therapeutic conduct. It refers to services and caregiver responsibilities that are provided in good faith and in the interests of the vulnerable individual.

What is considered an accident? This is a sudden, unforeseen, and unexpected occurrence or event which is not likely to occur, and which could not have been prevented by exercise of due care. It is also considered an accident if the occurrence or event happens when an employee or the person providing services is in compliance with the laws and rules relevant to the occurrence or event.

What is considered serious harm? An injury that requires medical treatment that cannot be immediately provided by the present caregiver may be considered serious harm. The act of going to the doctor when no medical treatment is received is not considered serious harm.

How do I know how to protect the person receiving services? Before you perform any caregiver responsibilities, you should review the Health and Safety Plan or Individual Abuse Prevention Plan that was written specifically for the person receiving services. The managing party develops the Health and Safety Plan or Individual Abuse Prevention Plan to address the vulnerable individual's susceptibility to abuse, neglect, and financial exploitation, as well as other vulnerabilities before services are provided.

The individual receiving service must participate in the development of the plan to the fullest extent possible. The managing party reviews and, if necessary, revises the plan at least annually. If after reading the plan you have questions, ask the managing party or the individual receiving services.

MALTREATMENT DEFINITIONS FOR ADULTS

See MN Statutes for complete definitions and additional

Abuse: Abuse can be physical, emotional, verbal, or sexual.

- An act against a vulnerable individual that is a violation of, an attempt to violate, or aiding and abetting a violation of:
 - Assault
 - The use of drugs to injure or facilitate crime
 - The solicitation, inducement, and promotion of prostitution
 - Criminal sexual conduct
- Conduct which is not an accident or therapeutic, which produces or could reasonably be expected to produce physical pain, injury, or emotional distress, including, but not limited to the following:
 - Hitting, slapping, kicking, pinching, biting, or corporal punishment

- Use of repeated or malicious oral, written, or gestured language or the treatment of a vulnerable individual which would be considered by a reasonable person to be disparaging, derogatory, humiliating, harassing or threatening
- Use of any aversive or deprivation procedure, unreasonable confinement, or involuntary seclusion, including the forced separation of the vulnerable individual from other persons against their will
- Sexual contact or penetration between a person providing services and a vulnerable individual. NOTE: It is not considered abuse when a vulnerable adult, who is not impaired in judgment or capacity by mental or emotional dysfunction or undue influence, engages in consensual sexual contact with a person providing services, when a consensual sexual relationship exists
- Forcing, compelling, coercing or enticing a vulnerable individual against his or her will to perform services for the advantage of another

Neglect: Occurs when an individual's health and safety needs are not being met. This includes:

- Failure to supply a vulnerable individual with care or services, including but not limited to food, clothing, shelter, health care, or supervision, which is reasonable and necessary to obtain or maintain the person's physical or mental health or safety, and is not the result of an accident or therapeutic conduct.
- Absence or likelihood of absence of care or services, including but not limited to, food, clothing, shelter, health care, or supervision necessary to maintain the physical and mental health of the vulnerable individual which a reasonable person would deem essential to obtain or maintain the person's health, safety, or comfort.

Financial Exploitation/Abuse: Occurs when a person misuses funds, assets, or property of a vulnerable individual. This includes but is not limited to:

- Failure to use the vulnerable individual's financial resources to provide food, clothing, shelter, health care, therapeutic conduct or supervision for the vulnerable individual, and the failure results in or is likely to result in detriment to the vulnerable individual;
- Willfully using, withholding, or disposing of funds or property of a vulnerable individual without legal authority;
- Obtaining performance of services by a third person for the wrongful profit or advantage of the actor or another to the detriment of the vulnerable individual;
- Acquiring possession of, control of, or an interest in, funds or property of a vulnerable individual through the use of undue influence, harassment, duress, deception, or fraud;
- Forcing, compelling, coercing, or enticing a vulnerable adult against his or her will to perform services for the profit or advantage of another.

MALTREATMENT DEFINITIONS FOR CHILDREN

Physical Abuse: Any physical injury, mental injury, or threatened injury, inflicted by a person responsible for the child's care on a child other than by accidental means, or any physical or mental injury that cannot reasonably be explained by the child's history of injuries, or any aversive or deprivation procedures, or regulated interventions, that have not been authorized under section 121A.67 or 245.825.

Abuse does not include:

- Reasonable and moderate physical discipline of a child administered by a parent or guardian which does not result in injury. Unintentional injury resulting from physical discipline is physical abuse.
- The use of reasonable force by a teacher, principal, or school employee as allowed in section 121A.582.

Actions which are not reasonable and moderate (NOT allowed) include, but are not limited to any of the following that are done in anger or without regard to the safety of the child:

- Throwing, kicking, burning, biting, or cutting a child
- Striking a child with a closed fist
- Shaking a child under age three
- Striking or other actions which result in any non-accidental injury to a child under 18 months of age
- Unreasonable interference with a child's breathing
- Threatening a child with a weapon
- Striking a child under age one on the face or head;
- Purposely giving a child poison, alcohol, or dangerous, harmful, or controlled substances which were not prescribed for the child by a practitioner, in order to control or punish the child; or other substances that substantially affect the child's behavior, motor coordination, or judgment, or that results in sickness or internal injury, or subjects the child to medical procedures that would be unnecessary if the child were not exposed to the substances
- Unreasonable physical confinement or restraint, including but not limited to tying, caging, or chaining; or
- In a school facility or school zone, an act by a person responsible for the child's care that is a violation under section 121A.58. Which states corporal punishment is not allowed including:
 - Hitting or spanking a person with or without an object; or

- Unreasonable physical force that causes bodily harm or substantial emotional harm

Sexual Abuse: Is when a person who has a significant relationship to the child or is in a position of authority controls or forces a child into any act considered by law to be criminal sexual conduct. Sexual abuse also includes any act which involves a minor which constitutes a violation of prostitution offenses. Sexual abuse also includes threatened sexual abuse. Sexual contact includes fondling, touching intimate parts and sexual intercourse.

Neglect: Occurs when a child's health and safety needs are not being met. This includes:

- Failure by a person responsible for a child's care to supply a child with necessary food, clothing, shelter, health, medical or other care required for the child's physical or mental health when reasonably able to do so
- Failure to protect a child from conditions or actions that seriously endanger the child's physical or mental health when reasonably able to do so, including growth delay, which may be referred to as failure to thrive, that has been diagnosed by a physician and is due to parental neglect
- Failure to provide for necessary supervision or child care arrangements appropriate for a child considering factors as the child's age, mental ability, physical condition, length of absence, or environment, when the child is unable to care for the child's own basic needs or safety, or the basic needs or safety of another child in their care
- Failure to ensure that the child is educated
- This does not include a parent's refusal to provide the parent's child with sympathomimetic medication
- Nothing in this section shall be construed to mean that a child is neglected solely because the child's parents, guardian, or other persons responsible for the child's care in good faith selects and depends upon spiritual means or prayer for treatment or care of the disease or remedial care of the child in lieu of medical care; except that a parent, guardian, or caretaker, or a person mandated to report pursuant to subdivision 3, has a duty to report if a lack of medical care may cause serious danger to the child's health. This section does not impose upon persons, not otherwise legally responsible for providing a child with necessary food, clothing, shelter, education, or medical care, a duty to provide that care
- Prenatal exposure to a controlled substance
- "Medical neglect" as defined in section 260C.007, subdivision 6, clause (5);
- Chronic and severe use of alcohol or a controlled substance by a parent or person responsible for the care of the child that adversely affects the child's basic needs and safety
- Emotional harm from a pattern of behavior which contributes to impaired emotional functioning of the child which may be demonstrated by a substantial and observable

effect in the child's behavior, emotional response, or cognition that is not within the normal range for the child's age and stage of development, with due regard to the child's culture.

Remember.... If you suspect maltreatment of a vulnerable adult or a child respond immediately!

- Immediately call 911 if you observe or are aware of a physical or sexual assault in progress;
- Immediately contact the Minnesota Adult Abuse Reporting Center for maltreatment of a vulnerable adult at 1-844-880-1574 or go to: <http://mn.gov/dhs/reportadultabuse/> to report
- Immediately contact the local child welfare agency for maltreatment of a child. The numbers can be found <http://mn.gov/dhs/people-we-serve/children-and-families/services/child-protection/contact-us/index.jsp>
- We also ask that you immediately contact the Mains'l administrative personnel at 612-598-5700

<i>Thank you for helping to protect people from harm.</i>

SPENDDOWN/WAIVER OBLIGATION INFORMATION

Mains'l has been notified that you have a spenddown/waiver obligation as part of your Medical Assistance (MA) waiver.

What is a spenddown?

Minnesota and federal laws allow people whose income is higher than the MA income standards to still qualify for MA. To qualify, a person with income over the MA income standard must "spenddown" their income to the MA income standard by deducting incurred medical expenses from their income.

How is my spenddown amount determined?

The spenddown amount is based on your personal financial situation and on the federal poverty guidelines. If you have questions about how your spenddown is determined, contact your case manager or county financial worker. Mains'l does not play a role in determining the amount of your spenddown.

Who do I pay my spenddown to?

Your spenddown is paid to one or more of your providers (such as Mains'l or a clinic) each month. It may not be the same every month and you might pay part of your spenddown to one provider and part to another provider. As a provider bills the state for services provided, the state pays the provider for services and deducts the amount of the spenddown from the payment. This is how the provider knows to bill you for a spenddown.

Example: You have a monthly spenddown of \$200. Mains'l bills the state for \$1,000 of CDCS services that you used in June. The state pays Mains'l \$800 and notifies Mains'l that you have a \$200 spenddown. Mains'l then sends you an invoice to collect the \$200 from you. Within 30 days you pay \$200 to Mains'l.

You may also choose to make one provider your "Designated Provider" for your spenddown. This means you will always pay your spenddown to the same provider every month. You may choose to make Mains'l your Designated Provider. Contact your case manager or financial worker for the paperwork to make Mains'l your designated provider.

What happens if I don't pay my spenddown?

If you do not pay your spenddown within 30 days of the invoice date, your services will be suspended. Services can resume if payment is made or you contact Mains'l to arrange a payment plan. Payment plans must take into account any past due amount as well as new spenddown amounts that will become due to remain current on the balance.

VENDOR ENROLLMENT POLICY

All new vendors will receive a Vendor Enrollment packet which will include:

- IRS Form W-9
- Vendor direct deposit authorization
- Mains'l Vendor Enrollment and Payment Policy

Mains'l will obtain an IRS Form W-9 for all outside vendors that any payments will be issued to. As a best practice, Mains'l will pay vendors directly for services they are providing rather than reimbursing the individual receiving services or the managing party.

Mains'l will work to ensure that anyone providing services is classified correctly as either an employee or independent contractor based on IRS guidance. An individual person providing direct care services will not be paid as a vendor and will be treated as an employee of the individual receiving services. An independent nurse will be considered an independent contractor based on DHS policy for home care nursing services.

Vendors who are individuals and who do not have an EIN number will be given *IRS Publication 1779: Independent Contractor or Employee*. The Mains'l manager will work with the individual to determine the status based on this guidance. When worker status is questioned, IRS Form SS-8 will be used to obtain a ruling from the IRS. When the status is in question, Mains'l will not begin to make payments until this status is resolved.

Vendors will also receive a Vendor Direct Deposit Authorization Form. Vendors may choose to have their payments made by electronic funds transfer (EFT) if they desire. Vendors may also choose to receive payments by check.

VENDOR ENROLLMENT PROCEDURES

Form W-9 is to be completed by each vendor. The information provided on Form W-9 is used to set up the vendor, process payment, and process IRS Form 1099-Misc at year end.

The accounts payable manager verifies the vendor is not on the OIG exclusion list online via <https://exclusions.oig.hhs.gov>. The accounts payable manager scans and saves the online verification from the OIG Exclusion List.

The W-9 is then scanned and saved in the vendor file. If the vendor has chosen direct deposit payments, the Direct Deposit Authorization is also scanned and saved in the vendor file.

Vendor information is entered into Provider Pro, including Name, address, EIN or Social Security Number, Direct Deposit Information and email address (for receiving direct deposit notices).

VENDOR ENROLLMENT AND PAYMENT POLICY

All new vendors will receive a Vendor Enrollment packet which will include:

- IRS Form W-9
- Vendor direct deposit authorization
- Mains' Vendor Enrollment and Payment Policy

Mains' will obtain an IRS Form W-9 for all outside vendors that any payments will be issued to. As a best practice, Mains' will pay vendors directly for services they are providing rather than reimbursing the individual receiving services or the managing party.

Mains' will work to ensure that anyone providing services is classified correctly as either an employee or independent contractor based on IRS guidance. An individual person providing direct care services will not be paid as a vendor and will be treated as an employee of the individual receiving services. An independent nurse will be considered an independent contractor based on DHS policy for home care nursing services.

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Vendors will also receive a Vendor Direct Deposit Authorization Form. Vendors may choose to have their payments made by electronic funds transfer (EFT) if they desire. Vendors may also choose to receive payments by check.

The individual receiving services and/or managing party determine the goods and services they anticipate using in the upcoming year. These services are described and budgeted for in each participant's Community Support Plan. The individual receiving services or their managing party may hire vendors to provide services. Mains' will pay vendors directly for these services on their behalf. Mains' will only pay vendors when:

- The service and the rate charged is included in the participant's Community Support Plan (CSP) that has been approved by the county or managed care organization.
- Mains' has received the Service Agreement from the county or managed care organization authorizing the services.
- The Vendor has submitted form W-9 to be enrolled as a vendor.
- Vendor direct deposit form is received (optional)
- Mains' has determined that the vendor is not on the state or federal OIG Exclusion list for those not authorized to receive Medicaid payments.
- There are funds remaining in the participant's budget for the service.

If any vendor invoices are received that do not meet these requirements, Mains' is unable to pay those invoices. The participant or managing party is responsible for paying any vendors they have hired that Mains' is unable to pay.

Vendors earning \$600 or more within the year will receive a 1099 by January 31st of the next year per IRS requirements (i.e. earnings in 2017 will be reported on a 1099 form by January 31, 2018).

VENDOR PAYMENT PROCEDURES

Vendors should submit invoices for all services. Invoices must include the following:

- **Exact cost** of the merchandise or service purchased
- **Date** of purchase or date(s) of service. If multiple dates, all must be listed
- **Itemized list or description of the service or item** that details the specific merchandise or services purchased
- **Name of the vendor**

Invoices that meet all requirements for payment will be paid based on the following schedule:

- Invoices submitted by Tuesday at 5pm that total \$500 or less, are paid out the same week on Friday.
- Invoices submitted by Tuesday at 5pm that total more than \$500 are paid out three weeks later on Friday.

If an invoice is submitted that cannot be paid, Mains'l will notify the participant or managing party. It is the participant or managing party's responsibility to work with their county or managed care case manager to revise their plan or pay the vendor themselves.

EXPENSE PAYMENT AND REIMBURSEMENT POLICY

The individual receiving services and/or managing party determine, during their planning process, expenses they anticipate in that planning year. Each expense must be included in the Community Support Plan and approved by the county or managed care organization before Mains'l will process payment. Mains'l must also be in receipt of the county or managed care issued service agreement prior to reimbursement or payment of expenses.

An expense reimbursement form will be provided to the managing party, by Mains'l, when expense reimbursement is a part of the approved plan. A receipt for each item is required to be submitted for auditing purposes.

Once the dollars allocated in the budget for expenses have been used, no additional expenses can be reimbursed until the managing party revises the plan. Mains'l cannot reimburse or pay expenses until the revised plan has been approved and the accompanying service agreement is received from the county or managed care organization.

Mains'l will obtain an IRS Form W-9 for all vendors that an expense check will be issued to. Expense for services must be paid directly to the vendor providing the service and cannot be reimbursed to the individual receiving services/managing party. It is considered a service when a person is performing a job. Examples are lawn care, home modifications, and house cleaning.

Vendors earning \$600 or more within the year will receive a 1099 by January 31st of the next year per IRS requirements (i.e. earnings in 2017 will be reported on a 1099 form by January 31, 2018). Vendors who do not have an EIN number will be given IRS publication 1779 Independent Contractor or Employee. The vendor must read and sign off on the publication before receiving payment. When worker status is questioned, IRS Form SS-8 will be used.

EXPENSE PAYMENT AND REIMBURSEMENT PROCEDURES

Detail of expenses can be recorded on an expense reimbursement form or on the receipts themselves. Each purchase must have an accompanying receipt. That includes the following information:

- **Exact cost** of the merchandise or service purchased
- **Date** of purchase or date of service. If multiple dates, all must be listed
- **Itemized list or description of the service or item** that details the specific merchandise or services purchased
- **Name of the vendor, merchant or person the item was purchased from**

The following will not be accepted as a receipt:

- Bills that do not say paid or paid in full
- Purchase orders with a promise to pay
- Cost proposals

- Estimates
- Receipts outside the person's authorized plan year
- Receipts more than a year old
- Credit card statements

Failure to provide a receipt for each purchase will result in the reimbursement request being returned to the managing party. Once a receipt is provided, the expense reimbursement can be resubmitted.

The managing party will verify that all purchases are consistent with the approved plan and are within the remaining allocation for each expense area. The managing party will send the expense reimbursement form and/or receipts, at the end of each calendar month, to the assigned Mains'l manager. If sending receipts that are not full size sheets of paper please make sure that all receipts are taped to a regular size 8 ½ x 11 sheet of paper.

The Mains'l manager will verify that the requested reimbursement is within the remaining allocation and that all items are approved in the plan. The Mains'l manager will give the reimbursement to the payables department, who will process the reimbursement within the following guidelines:

- Expense reimbursements submitted by Tuesday at 5pm that total \$500 or less, are paid out the same week on Friday.
- Expense reimbursements submitted by Tuesday at 5pm that total more than \$500 are paid out three weeks later on Friday.

If the dollars allocated for expense reimbursement have been exhausted, the reimbursement log will be returned with a notification that the managing party will need to work with their county or managed care case manager to revise their plan. Mains'l cannot reimburse expenses until the revised plan has been approved and the accompanying service agreement is received.

Monthly Spending Summaries will be generated by the Mains'l manager summarizing all paid expenses. The managing party will receive a copy of the spending summary for verification on a monthly basis. The case manager will receive a copy of the spending summary on a quarterly basis or more frequently if requested. The county may request to see items purchased at any time.

Returning items purchased through the waiver for profit may be considered fraud. Items returned must be credited back to the client's waiver budget. Items purchased through Medical Assistance may not be sold for profit.

Internal Control: On a quarterly basis, the senior manager or their designee will audit a random sampling of 10% of the files of individuals receiving services and cross referencing expenses paid against approved plans.

HIRING, ENROLLING, ORIENTATION AND TRAINING FOR EMPLOYEES POLICY

New employees who will be working in a participant directed program are required to complete the employee enrollment paperwork before beginning employment. Any training requirements and timelines for completion are determined by the managing party. The managing party is responsible for assuring employees follow through with and successfully complete all required orientation and training.

All employees working in participant directed services must successfully pass a background study through the Minnesota Department of Human Services (with the exception of CSG). The senior manager is responsible for submitting and tracking the background study with the MN Department of Human Services.

ORIENTATION AND TRAINING FOR EMPLOYEES PROCEDURE

The following procedures have been established to ensure a successful orientation and training process for new participant directed employees:

- The person identifies the new employee through an interview process
- Contact the Mains'l PDS manager to obtain the required employee enrollment paperwork
- Schedule a meeting with the new employee to complete the new employee paperwork.
- Assist the new employee to ensure the paperwork is thoroughly reviewed and filled out completely and correctly
- Answer any questions they have about their employment with you
- Submit the completed paperwork to Mains'l
 - The new employee enrollment paperwork can be brought in, mailed, or faxed to the Mains'l corporate office.
 - If paperwork is faxed, the original I-9 form must be mailed separately.
- Confirm Mains'l has received the paperwork if you are unsure
- Wait to hear from Mains'l regarding the date the employee can begin working and the determination of the background study
 - Please note that the employee will receive notification in writing from DHS regarding the results of their background study
- After receiving notification from Mains'l that the employee paperwork has been processed and the background study has cleared, arrange with the employee to start working

Forms included in the employee hiring packet will include:

- New Employee Information form
- Employment Relationship Disclosure Form
- Employer/Employee Job Agreement
- Background Study submission form
- Individual Support Worker Application (and Privacy Notice)
- Individual Provider Agreement

- I-9 Form (including instructions for both employee and employer and sample)
- Income Tax Exclusion Form
- IRS Form W-4
- MN Form W-4
- Direct Deposit Authorization
- Employee Responsibilities Acknowledgement

If services are provided by a person before completing the new employee paperwork and receiving notice from the Mains'l PDS manager that the person is approved to work, any work performed will be considered unauthorized and will not be paid by Mains'l. Failure to submit the employee paperwork correctly or completely will result in delay of the start date and payroll.

The Mains'l manager or assigned person is responsible to:

- Review each new employee paperwork packet within 1 business day of receipt
- Identify if there is any inaccurate or incomplete paperwork
- If paperwork is inaccurate or incomplete, it is returned to the employee to fix
- When complete and accurate employee paperwork is received the manager gives the paperwork to the F/EA accountant to process.
- All employees are reported in compliance with State and Federal New Hire Reporting Requirements. The staff accountant is responsible for reporting all new hires when Mains'l is the Fiscal Employer Agent
- After the paperwork has been processed, the payroll department will provide the employee number and portal login information to the PDS manager
- The Mains'l PDS manager communicates the employee number and portal login information directly to the employee
- The Mains'l manager communicates the date the employee can begin working to the managing party

Employees receive information in the hiring packet that includes information on:

- The CDCS & CSG program
- The role of Mains'l as F/EA
- The role of the participant as a Household Employer
- Applicable program rules and laws regarding their scope of work in the CDCS & CSG Program

Their packet also contains information on:

- How to report their time worked using the Mains'l Portal
- Responding to and reporting suspected maltreatment
- Preventing fraud, abuse and waste
- Controlling infection and communicable disease

- Data privacy

Additionally, their packet contains:

- Information on Paid Time Off
- Membership information provided by SEIU Health Care Minnesota, in compliance with collective bargaining agreement, that applies to all CDCS and CSG employees

Once the employee is hired, the managing party is responsible for providing onsite orientation and training. Additional training requirements are determined by the individual receiving services/managing party upon initiation of services and updated annually. The provider of that training is identified in the person's Community Support Plan. It is the responsibility of the managing party to modify the required training as circumstances change. Additional training may be required by the managing party at any time. If training is required for an employee, verification of the completed training must be submitted to the Mains'l manager and placed in the employee's personnel file. The managing party is responsible for assuring the required training is complete.

Employees cannot sign up for or enroll in any Mains'l training without authorization from the managing party and having arrangements made with the Mains'l manager. The employee should only sign up for training after obtaining approval from the managing party and when it is a part of the participant's plan. A description of the training courses offered through Mains'l can be requested from the Mains'l PDS manager.

The cost for an employee's training time can be paid out of the annual budget for some types of services. The cost of the training, when applicable, can be paid out of the annual budget of the individual receiving services for some types of services. Please clarify what is covered with the Mains'l manager before an employee registers for training. If the cost is not budgeted, payment must be made at the time the employee attends the training by check or cashier's check.

If an employee chooses to attend trainings without the consent of the managing party, all costs related to the training are the responsibility of the employee and their time spent taking the training will not be paid for.

EMPLOYEE SELECTION POLICY

The individual receiving services or managing party is expected to locate, interview and hire their own direct support staff. It is also expected that the individual receiving services and/or their managing party have received adequate screening from the Lead Agency to be enrolled in a consumer directed service option and are operating within all laws, directives and regulations. Mains'l provides guidance to participant employers on their role as an employer in enrollment paperwork.

Employees are employed directly by the individual receiving services or managing party and are not employees of Mains'l. Mains'l purchases a separate Worker's Compensation policy to cover employers that we provide FMS services to. Employees are not eligible for any Mains'l benefits including medical insurance.

While the participant employer chooses the employees, employees must meet the requirements of the program. Each employee must be able to;

1. Complete their employee enrollment paperwork,
2. Successfully pass a background study,
3. Successfully enroll with DHS as a direct support worker
4. Demonstrate they are eligible to work in the United States,
5. Submit accurate documentation required to process payroll and bill for services.

The Mains'l manager will contact the managing party immediately when there is evidence that a potential employee does not meet program requirements.

EMPLOYEE SELECTION PROCEDURE

The managing party will screen and interview candidates for employment. When a managing party wishes to hire an employee, they will contact their Mains'l manager with the potential employee's information. Mains'l will distribute the new employee enrollment paperwork upon request by mail or email to the managing party or the potential employee.

The potential employee will complete the employee enrollment paperwork. The completed paperwork will be submitted to the Mains'l manager to be reviewed. After review, the Mains'l manager will forward the paperwork to the F/EA specialist for processing.

Refer to additional employee related policies and procedures for information on the hiring process.

HIRING AND MANAGING EMPLOYEES GUIDE FOR EMPLOYERS (HR 101)

This HR 101 guide offers some important information to assist you in being an employer. This is meant to be a guide or resource only, and does not apply to every situation you may encounter.

There are a lot of rules and best practices to know about when you are responsible for managing employees. We are here to help! We provide you access to information to help you follow rules and regulations related to the treatment of your employees. If you have specific questions, please check the resources provided in this guide, Mains'l's online policy and procedure manual in the Mains'l portal, contact your Support Planner, or contact your Mains'l manager.

Resources: There are four main resources for the expectations, rules and regulations related to being an employer in a participant directed program. They are:

1. The requirements of the program as established by the State. <http://mn.gov/dhs/>
2. The Department of Labor, specifically Equal Opportunity Employer, Affirmative Action, and the Fair Labor Standards Act (FLSA) <http://www.dol.gov/compliance/laws/comp-flsa.htm>
3. The Internal Revenue Service (IRS) <http://www.irs.gov/>
4. The Managing Party Handbook provided by Mains'l and the online portal. www.mainsl.com

Recruiting Employees: Finding employees is a responsibility that you assume in all models of participant directed services. Below are some ways to consider recruiting employees:

- Talk to friends, family members, neighbors who already know you or the person receiving the supports. Building on established relationships can make it easier on everybody!
- Visit your local schools, community centers or other community organizations. Talk to counselors and staff or see if you can put up an ad.
- Run an ad in the local paper or place an ad online.
- Contact your Mains'l manager or your support planner; they may be aware of someone that is seeking work in the field.

Tips on Interviewing and Hiring

- Tell the potential employee what you expect of them; explain the hours you want to them to work, what sort of tasks you expect them to perform, etc.
- Ask applicants about their experiences working with people who need assistance? Did they work with children and/or adults? Have with they worked with people who have special needs?
- Try to gain an understanding of the person's attitudes, personality, values; do they fit with the job requirements? What you are looking for in an employee?

- Do they have flexible schedules, or do they need to have a set routine? Does that work for you?
- Do they have reliable transportation?
- Give them various examples of experiences they may have working in your home. Ask them how they would deal with certain scenarios.
- Ask open ended questions. Avoid questions employees can answer “yes” or “no” to.

Potential Interview Questions

- *Training...*
 - Have you been certified in First Aid and/or CPR?
 - What kind of training have you had to meet the needs of this job?
- *Work history and experiences...*
 - How long were you in your most recent position? Why did you leave?
 - What do you know about...? (Name of a specific disability or diagnosis?)
 - Where have you worked before? What were your duties?
- *Work style/methods...*
 - Describe a meaningful experience you’ve had at work?
 - How do you handle someone who is angry, stubborn or fearful?
 - What types of activities have you done with clients in the past?
- *Specific tasks...*
 - Have you had experience cooking for other people?
 - Would you be able to transfer someone from a wheelchair into a car, on a bed, or into a chair?
- *Comfort Zones...*
 - Is there anything in the job description that you are uncomfortable doing?
 - How do you feel about assisting a person with personal hygiene?
 - Do you mind being around someone who smokes? Being around animals?
- *Other possible questions...*
 - What kind of time commitment are you willing to make?
 - What do you enjoy/find challenging about this field?
 - Can you give me two work related personal references?
 - Do you keep in touch with any families you once worked for?

Illegal and Inappropriate Interview Questions: Under Title VII of the Civil Rights Act, it is illegal to ask questions regarding a candidate’s race, color, age, sex, sexual orientation, religion and national origin. Any direct or indirect attempt to solicit information regarding these categories is illegal.

The American with Disabilities Act prohibits discrimination against individuals with disabilities. This means it is illegal to refer directly to an individual’s disability with regards to potential job tasks.

Under the Employment Act, it is illegal to discriminate on the basis of a person's age. This means that it is illegal to solicit information regarding a candidate's age during an interview.

It is also inappropriate and illegal to ask questions regarding marital status, organizational affiliation, status of personal health, economic status, number of children they have, means of childcare, citizenship status, and workers' compensation history.

The following are examples of inappropriate or illegal questions in each category:

<u>Race or color</u> <ul style="list-style-type: none"> ◆ What nationality are you? ◆ Where did you get your accent? ◆ Where does your last name come from? 	<u>Economic Status</u> <ul style="list-style-type: none"> ◆ Are there problems with your credit rating? ◆ Have you ever had trouble with collection agencies? ◆ Do you have a mortgage?
<u>Religious Affiliation</u> <ul style="list-style-type: none"> ◆ Are you involved with any religious groups? ◆ Where do you go to church? ◆ Would your religion prevent you from working weekends? 	<u>Personal Health Status</u> <ul style="list-style-type: none"> ◆ Are you healthy? ◆ How many days were you absent from work last year? ◆ Have you ever been hospitalized? <p>Do you have HIV?</p>
<u>Disability</u> <ul style="list-style-type: none"> ◆ Would you consider yourself disabled? ◆ Could you perform this job from your wheelchair? 	<u>Age</u> <ul style="list-style-type: none"> ◆ What is your date of birth? ◆ What year did you graduate from high school? ◆ How old are you?
<u>Marital/Family Status</u> <ul style="list-style-type: none"> ◆ Are you pregnant? ◆ Do you have children? ◆ Are you married? ◆ What arrangements have you made for children? ◆ Would your family mind if you traveled or worked weekends? 	<u>Other</u> <ul style="list-style-type: none"> ◆ Are you a U.S. citizen? ◆ Have you ever filed Workers' Compensation? ◆ Were you admitted under an Affirmative Action Program?
<u>Sex and sexual orientation</u> <ul style="list-style-type: none"> ◆ Are you heterosexual? ◆ Do you consider yourself homosexual? 	

Work Week/Overtime: The work week is from Sunday at 12:01a.m. to Saturday at 11:59 p.m. Any hours worked over 40 hours in this time frame are considered overtime and are required by the Fair Labor Standards Act (FLSA) to be paid at time and half. The only exception is that according to DHS, paid parents of minors and paid spouses are not allowed to work over 40 hours per week and are not eligible for overtime. Be sure that you and your employees review and follow the payroll policy and procedure provided by Mains'l to ensure your employees are paid properly and that expectations are clear. For more information on overtime laws please visit <http://www.dli.mn.gov/LS/Overtime.asp>

Managing Hours and Schedules: Managing employee hours and schedules is an important responsibility of the managing party. Most employees need to have advance notice of the days and times they will be required to work. We provide an optional scheduling document for you to complete with each New Employee Paperwork Packet. We recommend keeping open and clear communication with your employees about schedule changes and expectations related to taking time off. You cannot promise a certain number of hours to an employee. Employees can only be paid in participant directed programs for the actual days and times that they did the work. If the person receiving services has a change in needs, it can result in a change in the hours available for the employee to work. It is important that employees know this.

If more hours are used than the amount budgeted, there may not be enough money to pay for staff at the end of your budget plan year. This means your staff cannot work until the new plan year starts. If you authorize more hours of work than you have funding to pay for, you will be expected to re-pay Mains'l for the costs. In some cases, the county or managed care organization determines that mismanagement of the budget funds can result in a managing party being removed from their responsibilities and or the person receiving services no longer having the option to be in a participant directed program.

Health Insurance: The Affordable Care Act requires that employers of a certain size offer health insurance coverage to their employees. Depending on the option you chose for services, you may or may not be responsible for offering and paying for health insurance for your employees. For more information on health insurance requirements please contact Mains'l to discuss your situation.

Workers Compensation: Minnesota law requires employers to carry workers compensation insurance on their employees. There are only a few circumstances in which you would not be required to carry workers compensation coverage. More information related to Workers Compensation requirements and expectations is found in the Workers Compensation Policy and Procedure.

Child Labor Law: You can hire employees as young as 14. However, the managing party and the employee must agree to follow applicable Child Labor Laws for employees between the ages of 14-17. If paperwork comes back for an employee under 18 years old, we will send more information for you and the employee to review and sign off on. For more information on Child Labor Laws please visit <http://www.dli.mn.gov/LS/ChildLabor.asp>

Tips on Training: When providing training to your employees, make sure you, and/or the person actually receiving the supports, are involved in training as much as possible. On-the-job training is always most effective. It is a best practice to document the type of training that you provide your employees and the amount of time that the training took. If you require employee training in your plan, send Mains'l a copy of completed training to keep in the

employee's file.

Tips on Disciplining/Removing Employee: If you have issues or concerns with your employee, discuss it with them immediately, and communicate your expectations to them. Document what you discuss and the outcome/expectations in which you agree. Mains'l can provide you with resources on how we handle issues and concerns with employees that you can choose to use.

You decide if/when you do not want an employee to work with you any longer. Please contact your Mains'l manager as soon as possible if you are planning to dismiss an employee to complete the process.

PAYROLL IN PARTICIPANT DIRECTED SERVICES POLICY

Mains'l pays employees in participant directed programs within all state and federal laws and the rules and regulations of the services we offer. The Human Resources Department is responsible for ensuring all state and federal laws related to payroll are communicated to Mains'l employees.

Violations of this policy may result in disciplinary action, up to and including termination of employment. Mains'l does not tolerate or allow any form of retaliation against a person who reports suspected violations of this policy, or who cooperates in the investigation of such reports. Retaliation is unacceptable, and any form of retaliation in violation of this policy will result in disciplinary action, up to and including termination.

PAYROLL IN PARTICIPANT DIRECTED SERVICES PROCEDURES

All employees who work in a participant directed program are classified as non-exempt from the Fair Labor Standards Act. This means participant directed employees are paid for each hour worked based on hours reported on a timesheet.

Pay Periods: Each pay period is made up of two (2) weeks for a total of fourteen (14) days. Each week starts on Sunday at 12:01 a.m. and ends the following Saturday at 12:00 a.m.

Paydays: Employees are paid every other Friday by an electronic direct deposit to a bank, credit union, or pay card of your choice. Employees may choose to be paid by check mailed to their home. If a regularly scheduled payday falls on a holiday that the Federal Reserve is closed, employees will receive their pay before the regularly scheduled payday as coordinated by the payroll department. Advances of payroll are not made for any reason.

Mains'l is not responsible for any delays in mail service or electronic deposits in your bank account. Errors in electronic deposits resulting in funds not being deposited will be re-issued after verification has been received from the bank that the funds have been returned to Mains'l.

Review your pay advice: Before pay day, a document called a pay advice is mailed or e-mailed to each employee who reported work time for that pay period. Each payroll advice includes year to date earnings, amounts withheld for taxes, garnishments, and other deductions or reimbursements.

You indicate to Mains'l how you want to receive your pay advice on the Payroll Direct Deposit Authorization Form. Please review your pay advice each time you receive one to ensure that you are paid properly and that no improper deductions are made.

- Check that the hours are correct
- Check that deductions seem accurate
- If you see something that does not look right, contact payroll immediately

Ask if you have a question or concern about your pay: Mains'l makes every effort to ensure employees are paid correctly. Occasionally mistakes happen. When mistakes occur Mains'l will promptly make any corrections necessary to provide you with the pay you were entitled. If

you believe a mistake has occurred or if you have any questions, please use the following procedure:

- If you have questions about your pay (over or under payment) or any deduction from your pay, immediately contact your employer or the Mains'l manager. If the Mains'l manager is unavailable, you may contact the Payroll Department at (763-416-9125) or to your PDS manager.
- Mains'l will assess your report by reviewing appropriate time and payroll records.
 - If you have been paid incorrectly, or if Mains'l determines that a deduction was improperly made, Mains'l will reimburse you as promptly as possible; which will be no later than one pay period from the time you report the suspected problem.
 - If you have been overpaid, you are required to return all funds to Mains'l immediately upon discovery of the error. Mains'l will then reissue to you the corrected amount.

Understand payroll deductions: Your income tax withholding is determined when you fill out a W-4 upon being hired. You claim the number of exemptions you want, and that amount is used to determine how much should be deducted from each check for the Federal and State governments.

State, Federal, Social Security and Medicare taxes are deducted automatically per State and Federal regulations. No other deductions are made unless required or allowed by law or prior authorization. Your gross pay is your wage multiplied by the hours you worked. Your net pay (the amount of money you receive) is your gross pay minus your payroll deductions. At any time, you can fill out a new W-4 to change your deductions. The form is located in the portal under resources and forms.

Understand and prevent timesheet fraud: It is a violation of policy and state and federal laws for any person to:

- Falsify or lie on a timesheet
- Alter another employee's timesheet
- Instruct an employee to incorrectly or falsely report hours worked or alter another employee's timesheet

If anyone instructs you to falsify or lie on a timesheet or instructs someone else to falsify or lie on a timesheet you must report the situation immediately to the Director of Human Resources. Timesheet fraud will not be tolerated.

Certain edits may be made to an employee's timesheet by Mains'l that does not constitute a violation of this policy or state and federal laws. Allowable edits are limited to:

- Correcting the Department or Participant Number when it is certain that you have the wrong number
- Correcting the pay code when it is certain you have the wrong pay code

Any employee who fails to report or inaccurately reports hours worked will be subject to disciplinary action, up to and including termination.

Keep your information up to date: Inform the payroll department as soon as possible of any changes to:

- Bank account information
- Your address
- Your phone number(s)
- Your e-mail that pay advices are sent to

Notification of changes to your direct deposit information must be submitted to the payroll department on a Payroll Direct Deposit Authorization Form no later than one week before payday. If an employee fails to request a change one week before payroll, the payroll deposits will be made to the account on file. If no account is on file a paper check will be issued.

Holidays: As part of a collective bargaining agreement, employees are entitled to holiday pay of their regular rate plus one half for specific holidays. These holidays are: New Year's Day, Martin Luther King Jr Day, Memorial Day, Labor Day and Thanksgiving Day. All employees who work on these days will automatically receive pay at their holiday rate. Participants may choose to pay employees a holiday pay date for additional holidays. Holiday pay for additional holidays must be included in the approved plan for the participant..

Recording Your Work:

It is your responsibility to submit an accurate and complete record of each time you have worked. We offer three ways to do so using the online time tracking at:

<http://dataplus.solanapro.com>

Mains'l expects employees to enter time as it is worked. When it is not possible to enter your time at the start and end of each shift, you're responsibly to enter your time soon as possible.

Many of the services that Mains'l provides are billed in 15 minute units. So, our timesheet system requires time to be entered in 15 minute units. Start and end times must be rounded to the nearest fifteen (15) minutes using the 7 minute rule. It is important to start and end your shifts on time.

Clock time	Round to
:00 - :07	:00
:08 - :22	:15
:23 - :37	:30
:38 - :52	:45
:53 - :60	:00

Reviewing and approving timesheets: You are responsible for making sure the information you enter on your timesheet is accurate and entered on time. A user guide is provided to teach you how enter timesheets. You can also request an in person demonstration at the Mains'l corporate office. A payroll calendar is provided for each employee to ensure you know important dates. The payroll calendar provides:

- The dates included in each pay period

- The dates and time your timesheet must be accurately completed by to ensure you are paid on time.
- The pay dates

Your managing party is responsible for reviewing and approving your timesheet before it is sent to payroll. You will be paid on time if your timesheet is entered accurately, on time, and it is approved.

Fixing timesheet errors: We understand that mistakes can happen. However, it is critical that if there is an error on your timesheet, it gets fixed right away. Your timesheet is used to pay you and is also used to bill for the services you provided. If your timesheet is submitted with errors, it can cause billing and payroll errors.

You may not be paid on time if one of the following errors is made:

- You do not provide the required information to create your timesheet
- The information you provide is not complete, is not accurate, or overlaps with another employees' time
- You do not enter your time worked by the timesheet due date and time
- Your managing party does not approve your timesheet by the payroll processing deadline

If you make an error, it is your responsibility to correct any information that is not accurate. Once your timesheet is entered accurately and approved, it will be processed on the next timesheet due date and paid with the next pay date.

If your managing party makes an error, it is his or her responsibility to work with the Mains'l manager and payroll department to issue your pay correctly. If there is a system error, Mains'l will work to correct the error as soon as possible.

Unapproved work time: Participant directed employees are expected to only perform work as instructed by their managing party. It is your responsibility to ensure you work within the timeframe of your shift and/or assigned hours per week. You should not work any time that is not scheduled or requested of you unless you are given permission by your managing party before doing the work. Unapproved work can result in disciplinary action.

Unapproved work time includes:

- Starting work before your scheduled time
- Stopping work after your scheduled time
- Overtime that is not pre-approved by your managing party
- Working more than your allotted or assigned hours
- Doing work that is not based on the service needs of the person receiving services
- Working when you have been instructed not to by the managing party or by Mains'l

Overtime: No overtime may be worked without prior approval from the managing party. Non-exempt employees are paid overtime at the rate of one and one-half times their regular rate of

pay for hours worked in excess of 40 hours per work week. Based on the Department of Human Services regulations, parents of minors and paid spouses cannot be paid time and one half and cannot work overtime (more than 40 hours per week).

Overtime pay is based on actual hours worked. PTO, Sick, or any leave of absence is not considered hours worked for purposes of calculating overtime. Overtime is not paid more than once for the same hours worked. Overtime is calculated to the nearest fifteen (15) minutes.

Internal Controls:

- The human resources department is responsible for researching and staying current on all federal and state rules and regulations regarding fair pay, timekeeping, and payroll including Fair Labor Standards and the Department of Labor.
- The payroll department is responsible for researching and staying current on all federal and state taxes and IRS rules and regulations related to fair pay, timekeeping, and payroll.
- The senior manager is responsible for researching and staying current on all program rules and regulations related to fair pay, timekeeping, and payroll.

PAID TIME OFF (PTO) POLICY AND PROCEDURE FOR PARTICIPANT DIRECTED SERVICES

Paid time off (PTO) is available to all employees working in CDCS and CSG based on the collective bargaining agreement established between SEIU (the union) and the State of Minnesota.

How Do I Earn PTO? All CDCS and CSG employees shall accrue one (1) hour of PTO for every forty (40) hours worked.

How much is earned?

- A person working 40 each week for a full year would earn 52 hours of PTO for the year.
- A person working 20 each week for a full year would earn 26 hours of PTO for the year.

How Can I Request Supervisor Approval of PTO? You can request PTO by notifying the managing party of the individual you support. You should work with managing party to determine the best time off based on the needs of everyone involved. We recommend that PTO is requested with as much advance notice as possible.

How Is PTO Recorded and Approved?

When submitting your timesheet, PTO time must be recorded in the timesheet system. Use the pay type of "NonWorked Time" and the task of "PTO" for each PTO shift. PTO time should be entered by the timesheet deadline each pay period just as you would for regular time. Your managing party will approve the PTO as they would for time you work. More detailed instructions for recording PTO are included in the Time Tracking User Guide

Are There Any Limitations On Use?

- In order to use PTO, an employee must have worked at least six hundred (600) hours in eligible programs after July 1, 2015 or worked for 6 months.
- Employees may carry over up to eighty (80) hours of PTO each state fiscal year. (A year begins on July 1 and ends June 30).
- PTO hours do not count toward any overtime calculations. Only hours actually worked over forty (40) apply toward overtime payments.

What Happens If I Leave Mains'l? Employees who have accrued PTO will be paid for their accrued hours up to eighty (80) hours. If an employee has not reached 600 hours worked no PTO is paid out. Accrued PTO is only paid when earned in the CDCS and CSG programs.

Waiving PTO

An employee may choose to waive their right to earn PTO. An employee choosing to waive PTO should complete a PTO waiver form to make this choice in writing to Mains'l. An employee who chooses to waive earning PTO is not able to choose to earn PTO again until the next service plan year of the person they support.

MILEAGE REIMBURSEMENT POLICY

The individual receiving services/managing party determines during their planning process under what circumstances mileage reimbursement will be allowable.

Mileage reimbursement cannot be paid through Mains'l Services for transportation to any type of medical or dental appointment when the funding source is medical assistance. These expenses can be directly reimbursed through medical assistance.

Only those employees who can operate a moving vehicle legally i.e., current driver's license and automobile insurance will be eligible for reimbursement. The transportation must be provided in the employee's own vehicle for reimbursement to be claimed.

The reimbursement rate cannot exceed the State of Minnesota maximum allowable mileage rate.

Guidelines for use, number of miles, and the reimbursement rate will be included in the Community Support Plan or Individual Service Plan and approved by the county or managed care organization.

Mains'l Service must be in receipt of the county or managed care issued service agreement before reimbursement of mileage expenses will be paid.

Once the dollars allocated for mileage reimbursement have been used, no additional mileage expense can be reimbursed until the managing party pursues an adjustment to the Community Support Plan or Individual Service Plan allocating additional dollars to mileage. Mains'l Services cannot reimburse additional mileage until the revised plan has been approved by the county or managed care organization and the accompanying service agreement received.

MILEAGE REIMBURSEMENT PROCEDURE

Mileage will be recorded on a mileage log. The log must include the date, start and stop odometer reading, where the employee is providing transportation for the participant from and to and total miles driven, per trip. One log is completed per month.

The employee will forward the completed mileage log at the end of each calendar month to the managing party for approval. The managing party will indicate approval by signing the mileage log. The mileage log will then be sent to the assigned CDO manager per the reimbursement calendar timelines. If a mileage log is being done through email, the employee will copy the managing party on the email. The managing party will review the mileage log and communicate with the CDO manager if there are any issues.

The managing party is responsible for verifying the information on the mileage log is consistent with the Community Support Plan or Individual Support Plan and that the number of miles driven is appropriate and within the remaining allocation for mileage.

The CDO manager will verify the reimbursement amount is within the mileage allocation and will forward the mileage log onto the payroll department who will process the reimbursement along with the employee's payroll.

If the dollars allocated for mileage reimbursement have been exhausted, the reimbursement log will be returned to the employee with notification that the managing party will need to work with the county or managed care entity to adjust the plan to add resources to the mileage allocation.

Once the Community Support Plan has been revised and the accompanying service agreement has been received by Mains'l Services, the managing party will be able to resubmit the request for mileage reimbursement.

References:

Employee Mileage Reimbursement Form

BUDGET MANAGEMENT AND REPORTING FOR PARTICIPANT DIRECTED SERVICES POLICY

The FSE and FMS system is customized with automatic internal controls so that payments and billing can only occur when they are aligned with the participants approved plan and the business rules established in our contract regarding how the entry of timesheets, invoices, and reimbursements is allowed and not allowed by the program to increase accuracy and reduce fraud. Additionally the senior manager performs processes on a continual basis to ensure internal controls regarding all FSE functions are appropriate and enforced.

Mains'l generates and distributes financial reports summarizing all financial transactions, conducted on behalf of each individual receiving service, and forwards that report to each managing party and the county of financial responsibility or managed care organization per each participant directed program's guidelines.

BUDGET MANAGEMENT AND REPORTING FOR PARTICIPANT DIRECTED SERVICES PROCEDURES

Once a budget is received, the budget line items and dollar allocations for each item are entered into the FSE system by the PDS manager and totals are verified against the service authorization. The FSE system only allows for payroll, goods and services of specified amounts to be processed for payment and billing and does not allow amounts to exceed the budgeted dollars unless DHS would allow a person to exceed an allocation. The amounts can be entered in multiple ways. For some programs we enter by general categories/modifiers such as personal assistance, treatment and training, environmental modifications, and self-direction support activities. For other programs we enter amounts per specific budget line items such as staffing, incontinence supplies, and grab bars. The system is set up based on the requirements in the contract or of the program and can vary to meet DHS needs as requested.

The billing module of the FSE system bills and tracks contracted services for participants and integrates with the payroll module to pay employees, thus providing the ultimate level of integration. Billing begins with the collection of hours and units of service. From one point of data entry, hours of service, per diems and units of service can be billed to the appropriate funding source. All service hours and units can then transfer to payroll for processing. Bills can be submitted to Mains'l electronically or via hard copy.

For each individual receiving a participant directed service, Mains'l creates a spending summary, each month, which at a minimum contains the following information:

- Name of the individual receiving services
- Individuals participant number
- Contract period
- Total dollars to be managed
- Dollars allocated and approved for each spending category
- Expenses posted for that calendar month, per spending category
- Expenses posted year to date, per spending category
- Dollars remaining in each spending category

- Each individual vendor paid within the month is identified by name and dollar amount paid
- Each employee paid within the month are listed with hours worked and rate of pay information

The Mains'l manager reviews each report prior to distribution and reconciles any errors with the appropriate accounting staff. Statements are created and sent to the managing party and case manager by the 15th of each month. Statements are created and sent to the assigned case manager each quarter (or more frequently if requested).

Those individuals spending 15% or more above their approved budget for staffing will be notified of the need to adjust spending. It will be the responsibility of the managing party to adjust the plan and budget and also to notify employees of the change in work schedule. Should the spending continue to run 15% or over the approved budget amount, Mains'l will notify the managing party, county or MSHO case manager, and employees via certified mail or email with a read response of the need to discontinue services prior to the contract dollars being exceeded.

Overtime use will also result in notification of need to adjust spending. The overtime details are captured in the utilization reports and will be provided to the county or MSHO case manager and the managing party.

It is the responsibility of the managing party to cover any costs incurred past the authorized allocation.

Variance reports will be provided to the county or MSHO case managers as requested for both individuals spending over anticipated, as well as those spending less than 50% year to date of anticipated need. Mains'l provides the state, county or managed care organization, as requested, a report that summarizes the number of clients being served and the program option that is being used.



MINNESOTA PARTICIPANT DIRECTED SERVICES

FMS POLICIES AND PROCEDURES



Spending Summary for Month Ending: 7/31/2009

County or Managed Care Organization: Hennepin

Sam Doe
Consumer Number: 00089
Department Number: 503 CDCS

Case Manager: Sam Jones
Support Planner: Not Applicable
1500-A Gov. Ctr, 300 S. 6th St.
Minneapolis, MN 55487
763-596-3648

Managing Party:
Jane Doe
1100 - 32nd Avenue South
Minneapolis, MN 55406
763-456-7891

CDO Manager: Haley Tschida
Phone: 763-416-9135
Fax: 763-416-9193
Email: hmtschida@mainsl.com

Plan Dates: 6/1/2009 - 5/31/2010
Revision Date:

Plan Year (YTD) Overview

Total Amount Budgeted:	\$62,117.00	Total Remaining YTD:	\$49,991.63
Projected Spending YTD:	\$ 10,352.83	Actual Spending YTD:	\$12,125.37

% Over or Underspent on ☒ Budget Items: -17.12% ~YTD means how much has been spent since the start of the plan.

	Hours Budgeted	Hours Used	Hours Remaining	% Over/ Underspent	\$ Amount Over/ Underspent
Caregiver Break Staffing	1040.00	163.00	877.00	0.06%	\$103.33
CDCS Staffing	2860.00	529.00	2331.00	11.00%	-\$628.08

Budget Item Detail

Mains'l Category	Budget Items Approved in Plan	\$ Amount Approved	\$ Amount Billed this month	\$ Amount Billed Since Beginning of Plan	\$ Amount Remaining
T2028U1A2	<input checked="" type="checkbox"/> Caregiver Break Staffing	\$10,400.00	\$800.00	\$1,630.00	\$8,770.00
T2028U1A1	<input checked="" type="checkbox"/> CDCS Staffing	\$34,320.00	\$4,080.00	\$6,348.00	\$27,972.00
T2028U1A3	<input checked="" type="checkbox"/> Housekeeping Services	\$2,400.00	\$0.00	\$120.00	\$2,280.00
T2028U1B1	<input checked="" type="checkbox"/> Camp Friendship	\$3,042.00	\$0.00	\$1,520.00	\$1,522.00
T2028U2A1	<input checked="" type="checkbox"/> Worker's Compensation Policy	\$600.00	\$0.00	\$600.00	\$0.00
T2028U4A1	<input checked="" type="checkbox"/> Monthly Emergency Cell Phone	\$240.00	\$40.00	\$40.00	\$200.00
T2028U4A2	<input checked="" type="checkbox"/> Lawn Care Services	\$2,000.00	\$251.12	\$251.12	\$1,748.88
T2028U4B1	<input checked="" type="checkbox"/> Employment Taxes	\$5,590.00	\$610.00	\$997.25	\$4,592.75
T2028U4B2	<input checked="" type="checkbox"/> FSE Monthly Fee	\$600.00	\$50.00	\$100.00	\$500.00
Totals:		\$62,117.00	\$6,146.12	\$12,125.37	\$49,991.63

Payroll Detail for 5/1/2009 to 5/31/2009

Employee	Budget Item	Pay Rate	Hours	Amount
2281 Adams, Amy	CDCS Staffing	\$12.00	160.00	\$1,920.00
2438 Smith, Jon	Caregiver Break	\$10.00	80.00	\$800.00
2281 Adams, Amy	Employment Taxes	\$0.00	0.00	\$240.00
2438 Smith, Jon	Employment Taxes	\$0.00	0.00	\$370.00
2281 Adams, Amy	FEA Hourly Fee	\$0.00	0.00	\$160.00
2438 Smith, Jon	FEA Hourly Fee	\$0.00	0.00	\$260.00

Vendor Payments for 5/1/2009 to 5/31/2009

Date	Amount	Description	Budget Item
7/15/09	\$251.12	True Green Chem Lawn	Lawn Care Services
7/25/09	\$40.00	6/09 & 7/09	Monthly Emergency Cell Phone