# Issues

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| # | Description | Assigned To | Status |
| *1* | A subset of the information gathered with this use case and referenced use cases goes to the PODS screen in MMIS. The information on the PODS screen is used by a monthly automated process to match against the federal OIG, LEIE and SAM database looking for people who have been disqualified from providing services. This screening is a federal requirement and CMS audits confirm that ongoing checks are being performed. The result of the monthly screening is a digital report of all possible matches. The specialists perform a verification to confirm the matches and then takes action. |  | Closed |
| *2* | Form DHS-4022C-ENG has a section of conditions that the PCPO supervising professional must "acknowledge and certify". This information will be added as an assurance statement. (This issue is noted in UC091 assurance statements so it will not be lost). |  | Closed |
| *3* | Uniqueness of Persons  Individual owners/authorized persons must have a unique SSN in MMIS (PODS does not allow same SSN regardless of span). Credentialing contacts are not sent to MMIS. Since there is no legal basis for collecting the SSN for the credentialing contact, the SSN cannot be collected prior to roles.  This creates a suboptimal flow, where the first name, middle name, last name are entered, and then one or more roles are entered. Finally the SSN is entered. Not until the SSN is entered will the system be able to stop the user because it is a duplicate.  Not an issues for businesses, since FEIN is always required. |  | Closed |
| *4* | Disclosure questions  The questions on DHS-5259 that ask if the individual has been convicted of criminal offence, etc. are referred to as "disclosure questions".  On DHS-5259, the three disclosure questions are asked once for "any person having an ownership or control interest" and a second time for "any managing employee or agent".  Within MPSE the decision was made to ask the disclosure question to all roles other than "Credentialing Contact".  A decision was also made to ask the second two disclosure questions to organizations. |  | Closed |
| *6* | Form DHS-5259 contains the following section:    Angie researched and determined that MPSE does not require such a section because it is covered by declaring indirect owners. |  | Closed |
| *7* | User terminology “Person” and “Business” so as not to duplicate the terms used for the profile type. |  | Closed |

# Description

This use case describes managing the owners and authorized persons of a provider profile.

# Primary actor(s)

1. User

# Main flow: Add owner/authorized person

## Precondition(s)

1. Entry/updating of facility locations is complete

## Steps

1. User invokes option to manage the owners/authorized persons of a provider profile
2. System lists the required but missing roles – see use case rules 188, 189, 190, 191, 192, 193 (derived from “Ownership Information.xls”)
3. System displays a list of previously entered owners/authorized persons of the provider profile
4. User invokes option to add an owner/authorized person to the provider profile
5. User select the role type ("Person" or "Business")
6. User enters owner/authorized person information common to all roles – see Ownership Table.xls
   1. Person: first name, middle name, last name
   2. Business: legal name, FEIN, NPI, UMPI, two exclusion disclosure questions and corresponding exclusion disclosure reasons, “Business” address via UC012
7. User enters one or more roles for the owner/authorized person – see UC131
8. User enters owner/authorized person information specific to their role(s) – see Ownership Table.xls
   1. Person: phone number, fax number, email address, social security number, date of birth, NPI, UMPI, three exclusion disclosure questions and corresponding exclusion disclosure reasons, “Residence” address via UC012
9. If applicable, user enters background studies – see UC132
10. If applicable, user enters training – see UC138
11. If applicable, user enters residential home care properties – see UC135
12. User enters relationships – see UC136
13. System validates that owner/authorized person record has the appropriate fields (see Ownership Table.xls for the list of required/disallowed data based upon the roles) and the fields are properly formatted (use case rules 35, 55, 37, 5, 81, 101, 102, 186, 187, 4)
14. Steps 2 – 13 are repeated for each owner/authorized person
15. User indicates they are finished managing owner/authorized person
16. System validates all required owners/authorized person roles are present (see use case rules 188, 189, 190, 191, 192, 193) and there are no duplicate owner/authorized persons (see use case rule 174)
17. Use case ends

Flow notes:

* The owner/authorized person roles use case (UC131) indicates that the additional information must be cleared if the “triggering” role(s) are deleted.

## Alternate flow: Confirm no owner role without end date

This flow occurs after step 16 if the following conditions are true:

* the entity type of the provider profile is other than “Non-Profit” or “Sole Proprietorship”
* the provider profile has no owner/authorized persons with a role that:
* has a role name of “Owner”
* and does not have a termination date.

1. System displays question confirming that the disclosing entity has no person(s) or business(es) with 5% or more direct or indirect ownership, or mortgage or security interest(referred to as the no 5% owners question)
2. User confirms there are no 5% owners and enters an electronic signature (type in name) and date
3. Continue with step 16 of the main flow

Note: User must either confirm no 5% owners or add a role with a role name of “Owner”.

## Alternate flow: Previously no owner role without end date

This flow occurs after step 16 of the main flow when the user has previously confirmed that there were no 5% owners then added a 5% owner

1. System determines that the provider profile has an owner/authorized person with a role that has a role name of “Owner” without an termination date
2. System clears the answer to the no 5% owner question, the electronic signature and date
3. Continue with step 17 of the main flow

## Alternate flow: Update owner/authorized person

This flow begins after step 4 of the main flow.

1. User selects an owner/authorized person and invokes update option
2. Continue with step 5 of the main flow

Flow notes:

* The only field that cannot be updated is the role type. If the role type is incorrect, the record must be deleted and re-added correctly.
* In MMIS or not in MMIS is not relevant to owners/authorized persons, therefore one update flow for both.

## Alternate flow: Delete owner/authorized person not "in MMIS"

This flow begins after step 2 of the main flow.

1. User select an owner/authorized person that is not in MMIS and invokes delete option
2. System warns user
3. User chooses to continue
4. System deletes the owner/authorized person record and
   1. Owner/authorized person roles
   2. Background studies
   3. Training
   4. Residential home care properties
   5. Relationships that reference the deleted owner/authorized person
5. Continue with step 14 of the main flow

## Exception flow: Cannot delete owner/authorized person that is "in MMIS"

When an owner/authorized person is in MMIS, then the owner/authorized person cannot be deleted.

# Change control

| Version | Date Revised | Revised By | Revisions |
| --- | --- | --- | --- |
| 1 |  | David Marsh | Initial draft |