

**State of Alaska, Department of Health and Social Services  
Division of Behavioral Health  
Grants & Contracts Support Team  
P.O. Box 110650, Juneau, AK 99811-0650**

**LEVEL II PRE-ADMISSION SCREENING AND RESIDENT REVIEW PROVIDER  
AGREEMENT**

\_\_\_\_\_, (Provider) enters into a Provider Agreement with the State of Alaska, Department of Health & Social Services (DHSS) for the purpose of providing Level II evaluations on individuals with a diagnosis or indicators of mental illness that are pending admission into a Medicaid/Medicare certified nursing facility for the State of Alaska's Pre-Admission Screening and Resident Review (PASRR) program. By entering into this Provider Agreement, the Provider agrees to the following, including all applicable provisions of the following Appendices:

**APPENDICES:**

- A. 7 AAC 81, Grant Services for Individuals, Revised 6/23/06
- B. 42 CFR 483.100-.138
- C. DBH Grant Program Standards
- D. Privacy and Security Procedures for Providers
- E. Resolution for Alaska Native Entities

**ATTACHMENTS**

- 1. Level II PASRR Assessment Form
- 2. Nursing Facility Screening Billing Form
- 3. Travel Reimbursement Request Form
- 4. Federal Assurances & Certifications

**I. PROVIDER ELIGIBILITY**

The Provider agrees to the provisions of 7 AAC 81, Grant Services for Individuals (Appendix A), as well as all other applicable state and federal law; and declares and represents that it meets the eligibility requirements for a Service Provider for this Agreement. With the signed Agreement, the Provider must submit the following documentation:

- A. Proof of a Federal Tax ID Number;
- B. A current State of Alaska Business License;
- C. Alaska Native entities<sup>1</sup> entering into a Provider Agreement with DHSS must provide a waiver of immunity from suit for claims arising out of activities of the Provider related to this Agreement using Appendix E.;
- D. Certificates of Insurance per Section IX (B) of this Provider Agreement;

<sup>1</sup> "Alaska Native entity" means an Alaska Native organization that the Secretary of the Interior acknowledges to exist as an Indian tribe through the Federally Recognized Indian Tribe List Act of 1994, 25 U.S.C. 479a.

- E. Proof of any other mandatory education/training/relationship/location/agency P&P, etc. that is necessary for eligibility as an evaluator for the provider agency. Necessary credentials for service personnel include copies of valid and current certifications or licenses;

Personnel requirement (42 CFR 483.134(c)) requires that the evaluation function must be performed by a person or entity other than the State mental health authority. In designating an independent person or entity to perform Mental Illness (MI) evaluations, the State must not use a Nursing Facility (NF) or an entity that has a direct or indirect affiliation or relationship with a NF.

Evaluations will be performed by a mental health clinician who is an approved provider through this provider agreement and is independent of DBH.

Provider agencies will be responsible in making sure that each clinician/evaluator conducting the assessment has a minimum of a master's level education or higher in their field of study and four years of direct experience working with individuals with Serious Mental Illness (SMI) as demonstrated in their resume, license, diploma, certification or other submitted documents.

By submission for the signed Agreement, the Provider further agrees that they will comply with the following:

- A. The provisions of Appendix D, Privacy & Security Procedures.
- B. During the effective period of this Agreement, the provider agency agrees to keep current any and all licenses, certifications and credentials required of the provider agency to qualify for providing services to DHSS clients through this Agreement and keep current the necessary documentation on file with DHSS to demonstrate compliance.
- C. In addition, each approved provider agency will ensure that all personnel records and licenses are available upon request.

## II. DESCRIPTION OF SERVICES

Providers should refer to Appendix B for additional information for the provision of services applicable to this Provider Agreement.

The Level II Pre-Admission Screening and Resident Review (PASRR) is a State program, required by Federal law, provides screening to determine whether placement in a skilled nursing facility is appropriate when the individual has a serious mental illness.

The Pre-Admission Screening and Resident Review (PASRR) program is facilitated by the Division of Senior and Disabilities Services (DSDS), as required by 42 CFR 483. As part of this program the Division of Behavioral Health (DBH), the State mental health authority, is responsible for making sure a Level II evaluation is performed on each individual pending admission to a Medicaid/Medicare certified nursing facility that has a diagnosis or indicators of mental illness. The evaluation is used to confirm the diagnosis, and results in recommendations as to whether nursing facility placement is appropriate and whether specialized services are needed.

Level II PASRR assessment process includes;

1. Upon receipt of a referral from SDS, DBH will assign the Level II evaluation to a contracted community provider of mental health services.
2. The contracted community provider:
  - a. contacts the NF to schedule an appointment;
  - b. prepares a Level II PASRR evaluation report on the form provided by DBH, including recommendations for appropriate placement and for specialized services when indicated; and
  - c. sends the completed Level II PASRR evaluation to DBH.

Approved agencies providing services to this population must acknowledge and accept the DBH request for a Level II PASRR assessment. Providers must use the assessment and billing invoice form provided by DBH. Completed evaluations and billing forms must be returned to DBH within 7 calendar days after receiving the referral using a secured HIPPA compliant method (Section VI).

DBH will not be responsible for any expenses incurred prior to the authorized service authorization period. Under this Agreement the provider agency will conduct a Level II PASRR assessment by:

- A. Using the Level II PASRR form
- B. Conducting a face to face interview; or
- C. Conducting the assessment via telehealth;
- D. Completing a Level II PASRR evaluation and billing invoice form; and
- E. Submitting the completed evaluation and billing forms to DBH using a secured method.

### III. CLIENT ELIGIBILITY

42 CFR 483 requires that all applicants for admission, and residents of, a Medicare/Medicaid-certified NF that are diagnosed with or have indicators of a serious mental illness be referred to the Division of Behavioral Health, as the State mental health authority for a Level II evaluation.

Nursing home applicants will first receive a Level I screening performed by their attending physician or hospital discharge staff who will also complete and submit a Level I screening form to the nursing facility. If a diagnosis of mental illness is found the individual will be referred to DBH to receive a Level II evaluation.

Level II PASRR determination (42 CFR 483.130) is made by the State mental health authority as to whether NF level of services and specialized services are needed that must be based on an evaluation of data concerning the individual. The results of the Level II PASRR evaluation will ensure that individuals with a serious mental illness are placed appropriately and receive all necessary services while in residence.

#### IV. BILLING

Only DBH may authorize a Level II PASRR assessment under this Agreement. DBH will review and adjudicate each Level II PASRR assessment. In full consideration of the provider's performance under this Agreement, DHSS shall pay the provider \$492.00 per Level II PASRR assessment for services rendered. Only those costs for services that have been identified within this Provider Agreement will be paid and/or reimbursed.

Billing for services must be submitted within 30 days of the date in which services were rendered by submitting the Nursing Facility Screening Billing Form (Attachment # 2). Except when good cause for delay is shown, DHSS will not pay for services unless the Provider submits a claim within 30 days of the date the service was provided. The provider must submit in writing a request for an extension to complete service delivery. The provider will be notified in writing if their request for an extension has been approved.

In rare instances when travel is required and approved by DBH, reimbursement for Travel Costs include the following restrictions:

1. Providers will only be reimbursed for airfare, parking, taxi, hotel, rental car expenses and travel time (See Item 5 below).
2. For air travel the provider must purchase the best fare for the most direct route that meets the business needs of this agreement. The expenses may not include first-class seating or travel on a carrier other than a United States carrier unless no other form of air travel is available; and
3. Reimbursement for travel expenses will be paid based on the actual costs, not including gratuities, of moderately-priced transportation and accommodations.
4. Billing for all travel costs incurred will also require copies of the traveler's airline ticket receipt(s) and boarding pass(es), itemized commercial lodging facility receipt(s), and rental car agreement(s), taxi receipts and receipts for any other travel costs approved by the DHSS project coordinator.
5. In-State travel time, for all providers, will be reimbursed at \$50.00 per hour, not to exceed \$200.00 per day for travel further than 25 miles from base lodging or place of employment, whichever is less.

Providers must submit the Travel Reimbursement Request (Attachment #3), including all receipts, in order to be reimbursed for all travel related expenses.

DHSS is the payer of last resort; therefore, determination of payment by a primary payer source (private insurance, Medicaid, etc.) constitutes good cause for delay. If applicable to the services provided under this agreement, the Provider will have a Medicaid Provider Number and will make reasonable effort to bill all eligible services to Medicaid or any other available sources of payment before seeking payment through this provider agreement. Clients seen through DHSS funded services will not be charged any sliding-scale fee, deductible, co-pay or administrative fee for covered services.

Clients with a primary payer source such as private insurance or Medicaid are eligible to be enrolled in the services described in this agreement if they meet the client eligibility requirements. The Provider must bill the primary source first, and submit an Explanation of Benefits noting denial of payment for services if payment is being sought from DHSS for clients with a primary payer source.

If DHSS pays for a service, and a primary payment source subsequently submits payment for the same service, the Provider shall credit back to DHSS any other-source payments received by the provider.

Claims for which DHSS issues payment are considered certified as true and accurate, unless written notice of an error is sent by the Provider to DHSS within 30 days after the receipt of electronically transferred funds or endorsement of the issued payment warrant.

Providers must submit claims on the forms provided in this agreement. Refer to Section VI of this document for explicit instructions about the submission of confidential or other sensitive information. Providers will be responsible for using appropriate safeguards to maintain and ensure the confidentiality, privacy, and security of information transmitted to DHSS until such information is received by DHSS.

## V. SUBCONTRACTS

Subcontracts are not allowed under the terms of this Provider Agreement.

## VI. CONFIDENTIALITY AND SECURITY OF CLIENT INFORMATION

The Provider will ensure compliance with the Health Insurance Portability & Accountability Act of 1996 (HIPAA), the Health Information Technology for Economical and Clinical Health Act of 2009 (HITECH), and 45 C.F.R. 160 and 164, if applicable, and other federal and state requirements for the privacy and security of protected health information the Provider receives, maintains, or transmits, whether in electronic or paper format. Client information is confidential and cannot be released without the HIPAA-compliant written authorization of the client and DHSS, except as permitted by other state or federal law.

By entering into this Agreement, the Provider acknowledges and agrees to comply with the Privacy and Security Procedures for Providers as set forth in Appendix D to this Agreement.

### **Confidential Reporting Instructions**

Before transmitting personally identifiable client information reported under the terms of this Agreement, the Provider must call or email the DHSS Program Contact. To protect confidentiality, the Provider must first establish the mechanism for a secure electronic file transfer. Or, the Provider may fax the information to the Program Coordinator, after clearly identifying it as confidential on the cover page of the fax transmission. Alternatively, the Provider may submit hard copy information in a sealed envelope, stamped "confidential" placed inside another envelope. This information must be sent by certified, registered or express mail, or by courier service, with a requested return receipt to verify that it was received by the appropriate individual or office.

DHSS has also adopted a platform called Direct Secure Messaging (DSM), which meets HIPAA requirements for data encryption. Do not, under any circumstances, send Electronically Protected Health Information (EPHI) or other sensitive data in email. In order to transfer these files in a HIPAA-compliant manner through email, the provider must use DSM. Additionally, DSM must be

used only for the transfer of EPHI or other sensitive data, and not for other communications. Please review the FAQs about DSM at this link: [DHSS DSM Home Page](#) and information concerning the Alaska Personal Information Protection Act at [Department of Law Alaska Personal information Protection Act](#)

## VII. REPORTING AND EVALUATION

The Provider agrees to comply with 7 AAC 81.120, Confidentiality and 7 AAC 81.150, Reports, and other applicable state or federal law regarding the submission of information, including the provisions of Section VI of this Agreement. The Provider agrees to submit any reporting information required under this Agreement and to make available information deemed necessary by DHSS to evaluate the efficacy of service delivery or compliance with applicable state or federal statutes or regulations.

The Provider agrees to provide state officials and their representatives access to facilities, systems, books and records, for the purpose of monitoring compliance with this Agreement and evaluating services provided under this Agreement.

On-site Quality Assurance Reviews may be conducted by DHSS staff to ensure compliance with service protocols. The Provider will ensure that DHSS staff has access to program files for the purposes of follow-up, quality assurance monitoring and fiscal administration of the program.

## VIII. RECORD RETENTION

The Provider will retain financial, administrative, and confidential client records in accordance with 7 AAC 81.180 and with Appendix A to this Agreement. Upon request, the Provider agrees to provide copies of the Provider's records created under this Agreement to the Department of Health and Social Services, under the health oversight agency exception of HIPAA. The Provider will seek approval and instruction from DHSS before destroying those records in a manner approved by DHSS. In the event a Provider organization or business closes or ceases to exist as a Provider, the Provider must notify DHSS in a manner in compliance with 7 AAC 81.185 and Appendix A to this Agreement.

## IX ADMINISTRATIVE POLICIES

- A. The Provider must have established written administrative policies and apply these policies consistently in the administration of the Provider Agreement without regard to the source of the money used for the purposes to which the policies relate. These policies include: employee salaries, and overtime, employee leave, employee relocation costs, use of consultants and consultant fees, training, criminal background checks, if necessary for the protection of vulnerable or dependent recipients of services, and conflicts of interest, as well as the following:
1. Compliance with OSHA regulations requiring protection of employees from blood borne pathogens and that the Alaska Department of Labor must be contacted directly with any questions;
  2. Compliance with AS 47.05.300-390 and 7 AAC 10.900-990. Compliance includes ensuring that each individual associated with the provider in a manner described under 7

- AAC 10.900(b) has a valid criminal history check from the Department of Health and Social Services, Division of Health Care Services, Background Check Program (“BCP”) before employment or other service unless a provisional valid criminal history check has been granted under 7 AAC 10.920 or a variance has been granted under 7 AAC 10.935. For specific information about how to apply for and receive a valid criminal history check please visit [Alaska Background Check Program](#) or call (907) 334-4475 or (888) 362-4228 (intra-state toll free);
3. Compliance with AS 47.17, Child Protection, and AS 47.24.010, Reports of Harm, including notification to employees of their responsibilities under those sections to report harm to children and vulnerable adults;
  4. If providing residential and/or critical care services to clients of DHSS, the Provider shall have an emergency response and recovery plan, providing for safe evacuation, housing and continuing services in the event of flood, fire, earthquake, severe weather, prolonged loss of utilities, or other emergency that presents a threat to the health, life or safety of clients in their care.
- B. Without limiting the provider’s indemnification, it is agreed that the Provider shall purchase at its own expense and maintain in force at all times during the performance of services under this agreement the following policies of insurance. Where specific limits are shown, it is understood that they shall be the minimum acceptable limits. If the Provider’s policy contains higher limits, the state shall be entitled to coverage to the extent of such higher limits. Certificates of Insurance must be furnished to DHSS with the signed Provider Agreement prior to beginning work and must provide for a notice of cancellation, non-renewal, or material change of conditions in accordance with policy provisions. Failure to furnish satisfactory evidence of insurance or lapse of the policy is a material breach of this agreement and shall be grounds for termination of the Provider’s services. All insurance policies shall comply with and be issued by insurers licensed to transact the business of insurance under AS 21.
1. Worker’s Compensation Insurance: The Provider shall provide and maintain, for all employees engaged in work under this agreement, coverage as required by AS 23.30.045, and; where applicable, any other statutory obligations including but not limited to Federal U.S.L. & H. and Jones Act requirements. The policy must waive subrogation against the State.
  2. Commercial General Liability Insurance: Covering all business premises and operations used by the Provider in the performance of services under this Agreement with minimum coverage limits of \$300,000 combined single limit per claim.
  3. Commercial General Automobile Liability Insurance: Covering all vehicles used by the Provider in the performance of services under this Agreement with minimum coverage limits of \$300,000 combined single limit per claim.
  4. Professional Liability Insurance: Covering all errors, omissions, or negligent acts in the performance of professional services under this Agreement. This insurance is required for all Providers of clinical or residential services, or for any other Provider for whom a mistake in judgment, information, or procedures may affect the welfare of clients served under the Provider Agreement. Limits required per the following schedule:

Agreement Amount	Minimum Required Limits
Under \$100,000	\$300,000 per Claim / Annual Aggregate
\$100,000 - \$499,999	\$500,000 per Claim / Annual Aggregate

\$500,000 - \$999,999  
\$1,000,000 or over

\$1,000,000 per Claim / Annual Aggregate  
Refer to State of Alaska Risk Management

## X EQUAL EMPLOYMENT OPPORTUNITY

The Provider shall adhere to Alaska State Statutes regarding equal employment opportunities for all persons without regard to race, religion, color, national origin, age, physical or mental disability, gender or any other condition or status described in AS 18.80.220(a)(1) and 7 AAC 81.100. Notice to this effect must be conspicuously posted and made available to employees or applicants for employment at each location that services are provided under this Provider Agreement; and sent to each labor union with which the provider has a collective bargaining agreement. The Provider must include the requirements for equal opportunity employment for contracts and subcontracts paid in whole or in part with funds earned through this Agreement. Further, the Provider shall comply with federal and state statutes and regulations relating to the prevention of discriminatory employment practices.

## XI CIVIL RIGHTS

The Provider shall comply with the requirements of 7 AAC 81.110 and all other applicable state or federal laws preventing discrimination, including the following federal statutes:

- A. The Civil Rights Act of 1964, (42 U.S.C. 2000d);
- B. Drug Free Workplace Act of 1988, (41 U.S.C. 701-707);
- C. Americans with Disabilities Act of 1990, 41 U.S.C.12101-12213).

The Provider will establish procedures for processing complaints alleging discrimination on the basis of race, religion, national origin, age, gender, physical or mental disability or other status or condition described in AS 18.80.220(a)(1) and 7 AAC 81.110(b).

In compliance with 7 AAC 81.110(c), the Provider may not exclude an eligible individual from receiving services, but with concurrence from DHSS, may offer alternative services to an individual if the health or safety of staff or other individuals may be endangered by inclusion of that individual.

## XII ACCOUNTING AND AUDIT REQUIREMENTS

The Provider shall maintain the financial records and accounts for the Provider Agreement using generally accepted accounting principles.

DHSS may conduct an audit of a provider's operations at any time the department determines that an audit is needed. The auditor may be a representative of DHSS; or a representative of the federal or municipal government, if the Agreement is provided in part by the federal or municipal government; or an independent certified public accountant. The Provider will afford an auditor representing DHSS or other agency funding the agreement, reasonable access to the Provider's books, documents, papers, and records if requested. Audits must be conducted in accordance with the requirements of 7



AAC 81.160; including the requirement for a Provider to refund money paid on a questioned cost or other audit exception, if they fail to furnish DHSS with a response that adequately justifies a discovery of questioned costs or other audit exceptions.

### XIII LIMITATION OF APPROPRIATIONS

DHSS is funded with State funds, which are awarded on an annual basis. During each state fiscal year, DHSS may authorize payment of costs under a Provider Agreement only to the extent of money allocated to that fiscal year. Because there is a fixed amount of funding on an annual basis, it may at times be necessary for DHSS to prioritize the client population served under this agreement. Limitations may include but are not limited to a moratorium on types of services, or a moratorium by geographic region served, or a restriction of services to clients with defined needs. The decision to limit billable services shall be based solely on available funding.

### XIV INDEMNIFICATION AND HOLD HARMLESS OBLIGATION

The Provider shall indemnify, hold harmless, and defend DHSS from and against any claim of, or liability for error, omission, or negligent or intentional act of the Provider under this Agreement. The Provider shall not be required to indemnify DHSS for a claim of, or liability for, the independent negligence of DHSS. If there is a claim of, or liability for, the joint negligent error or omission of the Provider and the independent negligence of DHSS, the indemnification and hold harmless obligation shall be apportioned on a comparative fault basis.

“Provider” and “DHSS,” as used within this section and Section IX (B), include the employees, agents, or Providers who are directly responsible, respectively, to each. The term “independent negligence” is negligence other than in DHSS’s selection, administration, monitoring, or controlling of the Provider and in approving or accepting the Provider’s work.

### XV AMENDMENT

The Provider acknowledges that state and federal laws relating to information privacy and security, protection against discriminatory practices, and other provisions included in this agreement may be evolving and that further amendment to this Agreement may be necessary to insure compliance with applicable law. Upon receipt of notification from DHSS that change in law affecting this Agreement has occurred, the Provider will promptly agree to enter into negotiations with DHSS to amend this Agreement to ensure compliance with those changes.

### XVI TERMINATION OF AGREEMENT AND APPEALS

The Provider agrees to notify DHSS immediately if it is no longer eligible to provide services based on applicable Provider eligibility requirements set out in Section I of this Agreement. Notification of non-eligibility will result in automatic termination of this Agreement. Failure to comply with the terms of this Agreement and/or standards outlined in the Agreement and its appendices may result in non-payment and automatic termination of the Agreement by DHSS.

A Provider may appeal the decision to terminate a Provider Agreement under 7 AAC 81.200. All appeals will be conducted in accordance with Section 7AAC 81.200-210 of the Alaska Administrative Code.

Except as noted above, DHSS may terminate this Agreement with 30 days' notice. A Provider may also terminate the Agreement with 30 days' notice, but must provide assistance in making arrangements for safe and orderly transfer of clients and information to other Providers, as directed by DHSS.

This Agreement remains in force until the Provider or DHSS terminates the Agreement or a material term of the Agreement is changed.

I certify that I am authorized to negotiate, execute and administer this agreement on behalf of the Provider agency named in this agreement, and hereby consent to the terms and conditions of this agreement, and its appendices and attachments.

PROVIDER

DEPT. OF HEALTH & SOCIAL SERVICES

\_\_\_\_\_  
Signature of Authorized Provider Representative & Date

\_\_\_\_\_  
Signature of DHSS Representative & Date

\_\_\_\_\_  
Printed Name Provider Representative & Title

Amy Burke - DHSS Grants, Contracts & Facilities Chief  
\_\_\_\_\_  
Printed Name – DHSS Representative and Title

**Provider Contact & Mailing Address**

**DHSS Contacts & Mailing Addresses**

**PROGRAM CONTACT**  
Eric H. Talbert, HPM II  
Division of Behavioral Health  
3601 C. Street, Suite #878  
Anchorage Alaska 99503  
Phone: 907-269-3626, Fax 907-269-8166  
Email: [eric.talbert@alaska.gov](mailto:eric.talbert@alaska.gov)  
DSM: [eric.talbert@hss.soa.directak.net](mailto:eric.talbert@hss.soa.directak.net)

\_\_\_\_\_  
Provider Phone Number/ Fax Number

**ADMINISTRATIVE CONTACT**  
**Val Cummins, Grants Administrator**  
Grants & Contracts Support Team  
PO Box 110650  
Juneau, AK 99811-0650  
Ph. 907-465-3026, Fax 907- 465-8678  
Questions on the PA: [val.cummins@alaska.gov](mailto:val.cummins@alaska.gov)

\_\_\_\_\_  
Provider Email Address

\_\_\_\_\_  
Provider's Federal Tax ID Number  
(EIN only, do not list SSN)

\_\_\_\_\_  
Provider's IRIS Vendor Number

Providers must identify the business entity type under which they are legally eligible to provide service and intending to enter into this Provider Agreement.

Check Entity Type:

- Private For-profit Business, licensed to do business in the State of Alaska
- Non-Profit Organization Incorporated in the State of Alaska, or tax exempt under 26 U.S.C. 501(c)(3)
- Alaska Native Entity, as defined in 7 AAC 78.950(1) All applicants under this provision must submit with their signed Agreement, a Waiver of Sovereign Immunity, using the form provided as Appendix E to this Provider Agreement.
- Political Subdivision of the State (City, Borough or REAA)

**Please email the completed Provider Agreement and supporting eligibility documentation to the following email address: [HSS.FMS.Grants.Provider.Agreements@alaska.gov](mailto:HSS.FMS.Grants.Provider.Agreements@alaska.gov).**