

# What is the Federally Required Disclosure Form (FRDF) for Entities?

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As required by 42 CFR § 455.104 Disclosure by Medicaid providers and fiscal agents: Information on ownership and control.

- a) who must provide disclosures. The Medicaid agency must obtain disclosures from disclosing entities, fiscal agents, and managed care entities.
- b) what disclosures must be provided. The Medicaid agency must require that disclosing entities, fiscal agents, and managed care entities provide the following disclosures:
  - (1)
    - (i) The name and address of any person (individual or corporation) with an ownership or control interest in the disclosing entity, fiscal agent, or managed care entity. The address for corporate entities must include as applicable primary business address, every business location, and P.O. Box address.
    - (ii) Date of birth and Social Security Number (in the case of an individual).
    - (iii) Other tax identification number (in the case of a corporation) with an ownership or control interest in the disclosing entity (or fiscal agent or managed care entity) or in any subcontractor in which the disclosing entity (or fiscal agent or managed care entity) has a 5 percent or more interest.
  - (2) Whether the person (individual or corporation) with an ownership or control interest in the disclosing entity (or fiscal agent or managed care entity) is related to another person with ownership or control interest in the disclosing entity as a spouse, parent, child, or sibling; or whether the person (individual or corporation) with an ownership or control interest in any subcontractor in which the disclosing entity (or fiscal agent or managed care entity) has a 5 percent or more interest is related to another person with ownership or control interest in the disclosing entity as a spouse, parent, child, or sibling.
  - (3) The name of any other disclosing entity (or fiscal agent or managed care entity) in which an owner of the disclosing entity (or fiscal agent or managed care entity) has an ownership or control interest.
  - (4) The name, address, date of birth, and Social Security Number of any managing employee of the disclosing entity (or fiscal agent or managed care entity).

## How do I submit the FRDF?

**Upload** a completed/signed FRDF to the attachments panel on the POSC for enrollments initiated on the POSC.

<b>Fax:</b>	<b>Mail:</b>
(617) 988-8974	Provider Enrollment and Credentialing
	PO Box 278
	Quincy, MA 02171-0278

- **Tip:** All fields must be completed. Nothing should be left unanswered. If the section does not apply, check the box above the name field for the section.
- **Tip:** Each service location must have a separate FRDF, even if they are listed on one application as it is expected that each location will have a different Managing Employee.
- **Tip:** If addition space is needed, you must make a copy the appropriate page and attach each such copy to the signed form. All entries must be submitted using this form.

## How to complete the FRDF

### Review FRDF: Page 1

Enter the contact information for the person completing the form. We will contact this person with any questions.

CONTACT INFORMATION FOR INDIVIDUAL COMPLETING THIS FORM		
Name		
Tel.		Email

### Review FRDF: Page 3, Section 1

Enter the disclosing entity DBA name and address, FEIN and NPI.

SECTION 1: Disclosing Entity Service Location / "Doing Business As" (SL/DBA) Name		
Enter the SL/DBA name, address, and all other information requested below applicable to this service location (SL) where services will be provided or are currently provided to MassHealth members.		
Disclosing Entity SL/DBA Name		
Address (Street, Building or Suite)		
City, State, & Zip Code		
NPI	PID/SL (for existing MassHealth providers)	FEIN

### Review FRDF: Page 3, Section 2

Indicate which ownership or control interest describes your entity.

SECTION 2: Ownership or Control Interest in Disclosing Entity
List any individual or corporation with an ownership or control interest in the disclosing entity. Instructions for determining ownership or control percentages can be found at 42 CFR § 455.102 and 130 CMR 450.221(B). <b>Individuals must provide their home address. Corporations must list, as applicable, their primary business address, all business locations, corporate addresses, and PO box addresses.</b>
Which of the Ownership or Control Interest describes you? (Select one.): <input type="checkbox"/> Ownership interest <input type="checkbox"/> Control interest <input type="checkbox"/> Both.

For individuals, you must enter the name, answer if the individual is on the board of directions, their DOB, home address, SSN % ownership (if applicable) and NPI (if applicable).

For corporations you must enter the name, primary address, FEIN, % ownership (if applicable) and NPI (if applicable).

Name of Individual or Corporation		Board of directors (if individual) <input type="checkbox"/> Yes <input type="checkbox"/> No	Date of Birth (if individual) (MM/DD/YYYY)
Address (Home Address if Individual; Primary Business Address if Corporation)		City, State & Zip Code (9 digit)	
SSN (if individual)	FEIN (if corporation)	% of Ownership	NPI ( <input type="checkbox"/> check the box if None)

**Review FRDF: Page 3, Section 2**

If the individual above is related as noted, you must list the individual and indicate their relationship.

**For Individuals Only:** If the individual listed above is related as a parent, child, sibling, or spouse to another person with an ownership or control interest in the disclosing entity, complete the following: Name of other person with ownership or control interest and relationship to the individual listed above (check one)

1. _____	<input type="checkbox"/> parent	<input type="checkbox"/> child	<input type="checkbox"/> sibling	<input type="checkbox"/> spouse
2. _____	<input type="checkbox"/> parent	<input type="checkbox"/> child	<input type="checkbox"/> sibling	<input type="checkbox"/> spouse
3. _____	<input type="checkbox"/> parent	<input type="checkbox"/> child	<input type="checkbox"/> sibling	<input type="checkbox"/> spouse

If a corporation was listed above, you must list all other business locations, corporate addresses and PO Boxes.

**For Corporations Only:** Use the space below to report the address of all other business locations, corporate addresses, and P.O. box addresses.

1. _____
2. _____
3. _____

There is another section to enter ownership or control interest information.

Which of the Ownership or Control Interest describes you (select one):  Ownership interest,  Control interest,  Both.

Name of Individual or Corporation		Board of directors (if individual) <input type="checkbox"/> Yes <input type="checkbox"/> No	Date of Birth (if individual) (MM/DD/YYYY)
Address (Home Address if Individual; Primary Business Address if Corporation)		City, State & Zip Code (9 digit)	
SSN (if individual)	FEIN (if corporation)	% of Ownership	NPI ( <input type="checkbox"/> check the box if None)

**For Individuals Only:** If the individual listed above is related as a parent, child, sibling, or spouse to another person with an ownership or control interest in the disclosing entity, complete the following: Name of other person with ownership or control interest and relationship to the individual listed above (check one)

1. _____	<input type="checkbox"/> parent	<input type="checkbox"/> child	<input type="checkbox"/> sibling	<input type="checkbox"/> spouse
2. _____	<input type="checkbox"/> parent	<input type="checkbox"/> child	<input type="checkbox"/> sibling	<input type="checkbox"/> spouse
3. _____	<input type="checkbox"/> parent	<input type="checkbox"/> child	<input type="checkbox"/> sibling	<input type="checkbox"/> spouse

**For Corporations Only:** Use the space below to report the address of all other business locations, corporate addresses, and P.O. box addresses.

1. _____
2. _____
3. _____

If additional space is needed, you must make a copy this page and include with the submitted form.

If additional space is needed, make a copy of this page and attach it to the signed form. NUMBER \_\_\_\_\_ OF \_\_\_\_\_  
All entries must be submitted using this form. Please refer to all attached pages when completing and signing this form.

Review the FRDF: Page 4, Section 3

Enter ownership information as requested in other disclosing entities. If none, check the box above the name field.

**SECTION 3: Ownership in Other Disclosing Entities (ODE)**

Complete if any individual or corporation identified in Section 2 has an ownership or control interest in other disclosing entities.

NONE (if NONE, continue to Section 4)

Name (from Section 2)	Title	ODE Name
ODE Address		City, State, & Zip Code (9 digit)
Name (from Section 2)	Title	ODE Name
ODE Address		City, State, & Zip Code (9 digit)

Review the FRDF: Page 4, Section 4

Enter ownership information in subcontractors. If none, check the box above the name field.

**SECTION 4: Ownership in Subcontractors**

List any individual or corporation with an ownership or control interest in any subcontractor in which the disclosing entity has an ownership or control interest. If none, check "None" below.

NONE (if NONE, continue to Section 5)

Name of Individual or Corporation	TIN of Individual or Corporation (TIN)
Owner's Address	City, State, & Zip Code (9 digit)
Subcontractor Name	Subcontractor Tax Identification Number (TIN)
Subcontractor Primary/Home Address	City, State, & Zip Code (9 digit)
Name of individual or corporation	TIN of individual or corporation (TIN)
Owner's Address	City, State, & Zip Code (9 digit)
Subcontractor Name	Subcontractor Tax Identification Number (TIN)
Subcontractor Primary/Home Address	City, State, & Zip Code (9 digit)

Review the FRDF: Page 4, Section 5

Enter familial relationship in subcontractors. If none, check the box above the name field.

**SECTION 5: Familial Relationship in Subcontractors**

Complete if anyone identified in Section 2 is related to a person identified in Section 4 as a parent, child, sibling, or spouse.  
If none, check "None" below.

NONE (if NONE, continue to Section 6)

Name of individual with ownership or control interest identified in Section 2

Name of individual with ownership or control interest identified in Section 4 and familial relationship to individual identified in Section 2

Name of individual with ownership or control interest identified in Section 2

Name of individual with ownership or control interest identified in Section 4 and familial relationship to individual identified in Section 2

Review the FRDF: Page 4

If additional space is needed, you must make a copy this page and include with the submitted form.

If additional space is needed, make a copy of this page and attach it to the signed form. NUMBER  OF   
All entries must be submitted using this form. Please refer to all attached pages when completing and signing this form.

Review the FRDF: Page 5, Section 6

Enter the agents and managing employees. It is expected that an organization will have at least one agent or managing employee per service location.

## SECTION 6: Agents and Managing Employees

Completion of all fields is required by 42 CFR § 455.104. Make copies if additional space is needed. All entries must be submitted using this form.

<input type="checkbox"/> Agent <input type="checkbox"/> Managing employee <input type="checkbox"/> Both	
Name	Title
Home Address	City, State, & Zip Code (9 digit)
SSN	Date of Birth (MM/DD/YYYY)
<input type="checkbox"/> Agent <input type="checkbox"/> Managing employee <input type="checkbox"/> Both	
Name	Title
Home Address	City, State, & Zip Code (9 digit)
SSN	Date of Birth (MM/DD/YYYY)
<input type="checkbox"/> Agent <input type="checkbox"/> Managing employee <input type="checkbox"/> Both	
Name	Title
Home Address	City, State, & Zip Code (9 digit)
SSN	Date of Birth (MM/DD/YYYY)
<input type="checkbox"/> Agent <input type="checkbox"/> Managing employee <input type="checkbox"/> Both	
Name	Title
Home Address	City, State, & Zip Code (9 digit)
SSN	Date of Birth (MM/DD/YYYY)
<input type="checkbox"/> Agent <input type="checkbox"/> Managing employee <input type="checkbox"/> Both	
Name	Title
Home Address	City, State, & Zip Code (9 digit)
SSN	Date of Birth (MM/DD/YYYY)
<input type="checkbox"/> Agent <input type="checkbox"/> Managing employee <input type="checkbox"/> Both	
Name	Title
Home Address	City, State, & Zip Code (9 digit)
SSN	Date of Birth (MM/DD/YYYY)

If additional space is needed, you must make a copy this page and include with the submitted form.

If additional space is needed, make a copy of this page and attach it to the signed form. NUMBER  OF   
All entries must be submitted using this form. Please refer to all attached pages when completing and signing this form.

Review the FRDF: Page 6, Section 7

Answer each question with regard to disclosure of criminal convictions and relationships to excluded individuals.

Each question must be answered yes or no.

## **SECTION 7: Disclosures of Criminal Convictions and Relationships to Excluded Individuals and Entities**

For additional information, see 42 CFR §§ 455.106 and 455.436, 42 CFR §§ 1001.1001 and 1002.3, and 130 CMR 450.212.

Respond to the following questions on behalf of:

1. the disclosing entity;
2. all individuals and corporations identified in Sections 2 and 6 of this form;
3. any person who formerly held an ownership or control interest in the entity but no longer holds an ownership or control interest because of a transfer of the interest to an immediate family member or a member of the person's household in anticipation of or following a conviction, imposition of a civil money penalty or assessment under Section 1128A of the Social Security Act, or imposition of an exclusion.

**NOTE:** All questions must be answered. If "Yes" is answered to any of the questions in Section 7 below, a detailed explanation is required in Section 8 of this form, including the name, Social Security Number (SSN)/Tax Identification Number (TIN), and address of the individual/entity; nature, date, and forum of the action; and any case or record number.

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1. Have any of the individuals/entities ever been convicted of a criminal offense related to any program under Medicare, Medicaid, or Title XX services?

Yes  No

2. Have any of the individuals/entities been convicted of a criminal offense as described in sections 1128(a) and 1128(b) (1), (2), or (3) of the Social Security Act?

Yes  No

3. Have any of the individuals/entities been excluded from participation in any federal or state health program (including, but not limited to, Medicare or Medicaid)?

Yes  No

4. Have any of the individuals/entities had civil money penalties or assessments imposed under section 1128A of the Social Security Act?

Yes  No

5. Is there currently pending any proceeding(s) that could result in a conviction, sanction, or other action reportable in questions 1 – 4, above?

Yes  No

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**NOTE:** All questions must be answered. If "Yes" is answered to any of the questions in Section 7 above, a detailed explanation is required in Section 8 of this form, including the name, Social Security Number/Tax Identification Number (SSN/TIN), and address of the individual/entity; nature, date, and forum of the action; and any case or record number.

