

Community Services Contract (Provider Agreement)

I.

Name of Legal Entity (Contractor) Dallas Horizon Home Health Agency LLC	
Doing Business As (d/b/a) Name, if applicable	
Physical Address of Legal Entity (Street, City, State, ZIP Code) 2775 Villa Creek Dr. #123 Dallas, TX 75234	
Taxpayer ID. No. (EIN or SSN) 90-0936567	National Provider Identifier (NPI) or Atypical Provider Identifier (API) 1962742791
Contract Begin Date May 1, 2016	Contract End Date October 31, 2018
Contract Type Primary Home Care/Family Care/Community Attendant Services (PHC/FC/CAS)	
Contract No. 001027557	
Service Area(s) (Region, Catchment Area or Waiver Contract Area) Region 3	
Service Codes 17, 17C, 17D	
Component Code (HCS, TxHmL, CDS-HCS and CDS-TxHmL only) n/a	

II.

The Department of Aging and Disability Services (Department) and the legal entity (Contractor) named in Section I (Department and Contractor, collectively, the "parties," each a "party) hereby enter into this contract (provider agreement) ("the contract") for the provision of services under the contract type specified in Section I for the considerations set forth herein. The contract begin date specified in Section I is not valid until this contract is signed by both parties.

The Department represents the Health and Human Services Commission (HHSC), the Texas Medicaid agency, for any Medicaid services provided under this contract. The Department, as the representative for HHSC, administers community services programs under Title XIX, including Section 1915(c); Title XX of the Social Security Act; and Title 2, Chapter 32, Texas Human Resources Code.

III.

The Contractor agrees:

In General

- A. To comply with all applicable federal and Texas state statutes and rules, including the following:
 - 1. Title 42, Code of Federal Regulations (CFR), Chapter IV;
 - 2. Title 45, CFR, Part 96;
 - 3. Title 40, Texas Administrative Code (TAC), Part 1;
 - 4. Texas Human Resources Code, Title 2, Chapter 32;
 - 5. Texas Human Resources Code, Title 6, Chapter 102;
 - 6. Texas Health and Safety Code, Title 4, Chapters 250 and 253; and
 - 7. Title 1, TAC, Part 15, Chapter 355.
- B. To comply with the following documents promulgated by the Department:
 - 1. applicable provider manuals or handbooks;
 - 2. applicable billing guidelines; and
 - 3. applicable provider communications, including provider letters, information letters and policy clarifications.
- C. To comply with applicable federal and Texas laws and rules regarding confidentiality of information regarding an individual. This provision shall not be construed as limiting the Department's access to an individual's records or other information relating to the individual.

Electronic Visit Verification (EVV)

- A. To ensure:
 - 1. the EVV system is used to verify the provision of services governed under 40 TAC, Chapter 68;
 - 2. only authorized persons access the Contractor's EVV account;
 - 3. all data elements required by the Department are uploaded or entered into the EVV system completely and accurately and in a timely manner;
 - 4. that each time services governed by 40 TAC Chapter 68 are delivered to an individual, the Contractor's attendant uses the EVV system to verify when and where service delivery begins and when and where service delivery is completed in a manner prescribed by the Department;
 - 5. service delivery documentation is immediately available for review by the Department when requested; and
 - 6. equipment ("Equipment") provided to Contractor by the Department or by a third party, if applicable, is returned in good condition.
- B. That if the Contractor determines an electronic record in the EVV system needs to be adjusted, the Contractor will make the adjustment in the EVV system using codes or other identifiers ("codes") prescribed by the Department that identify reasons for the adjustment. The required codes are designated by the Department as either preferred or non-preferred. Each time the Contractor adjusts an electronic record in the EVV system, the Contractor must enter the applicable codes.
- C. That a preferred code represents a situation where the Contractor provided and documented the services as required by the Department. The Department will perform quarterly assessments of the Contractor's compliance with EVV requirements. Preferred codes will be used when determining the Contractor's compliance score. The Department will track the Contractor's use of preferred codes and if the Department, in its sole determination, identifies misuse of preferred codes, the Department may require the Contractor to use a Department-approved alternative service delivery verification method and the Contractor's compliance score may be negatively affected.

- D. To notify the Department in writing:
1. if the Contractor files for bankruptcy within 14 calendar days after filing;
 2. if a controlling person, as that term is defined in 40 TAC §49.102, is convicted of an offense listed in 40 TAC §49.206 within three business days after the contractor or controlling person becomes aware of the conviction;
 3. if the Contractor or a controlling person is excluded from participation in Medicare, Medicaid or any federal or state health care program in accordance with §§1128, 1128A, 1136, 1156, or 1842(j)(2) of the Social Security Act, within three business days after the Contractor or controlling person becomes aware of the exclusion; and
 4. if the Contractor is notified by HHSC that its enrollment application has been denied or abated within three business days after the notification date.

Claims

- A. To accept the Department's reimbursement rates as payment in full for the services specified in this contract to the persons for whom a payment is received, and to make no additional charge to the individual, any member of his or her family or to any other source for any supplementation for such services, unless specifically allowed by Department rules.
- B. To submit claims for payment in accordance with Department and HHSC Claims Administrator billing guidelines applicable to the services under the contract.
- C. That except as may be specifically authorized by the Department in writing, if Contractor is required to use a Department-approved EVV system, Contractor must ensure that claims for services are supported by service delivery records that have been verified by the Contractor and fully documented in a Department-approved EVV system before being submitted for payment.
- D. That the Department may make proper adjustments to the Contractor's payments from month to month to compensate for prior overpayments, underpayments or payments not made in accordance with the requirements of this contract. The Contractor further agrees the Department may withhold Contractor's payments, in whole or in part, because of differences from whatever cause until such differences are resolved.
- E. That the Contractor is responsible for payment of any valid audit exceptions found by the Department, HHSC, HHS or the Texas Attorney General's Medicaid Fraud Control Unit (AG-MFCU).
- F. That in accordance with §403.0551, Texas Government Code, and unless otherwise prohibited by any other law, any payments due to the Contractor under this contract will be first applied toward any debt or back taxes the Contractor owes the state of Texas. Payments will be so applied until such debts and back taxes are paid in full.

Provisions governing staff and subcontractors

- A. To require any subcontractor to execute documents that binds the subcontractor to comply with the provisions of this contract. Subcontractor means an individual or entity to which the Contractor has contracted with or delegated some of its management functions or responsibilities of providing all or a part of the services required of the Contractor under this contract.
- B. That it is responsible for the behavior of its staff and subcontractors to ensure a violence-free contractual relationship. The Contractor understands that any remarks, gestures or actions toward Department employees, volunteers or clients that carry an implied threat of any kind, even if intended to be in jest, will be taken seriously and may lead to corrective action, up to and including terminating this contractor.
- C. To comply with the requirements of the Immigration Reform and Control Act of 1986 regarding employment verification and retention of verification forms for an individual hired on or after November 6, 1986, who will perform any labor or services under this contract.
- D. That representatives of the Department, HHSC, AG-MFCU and HHS may conduct interviews of Contractor personnel, subcontractors and their personnel, witnesses, and clients without a Contractor's representative present unless the person interviewed voluntarily requests that the representative be present. The Contractor must not coerce its personnel, subcontractors and their personnel, witnesses, or clients to accept representation by the Contractor, and the Contractor agrees that no retaliation will occur to a person who denies the Contractor's offer of representation. Nothing in the contract limits a person's right to counsel of his or her choice. Requests for interviews are to be complied with in the form and the manner requested. The Contractor must ensure by contract or other means that its personnel and subcontractors cooperate fully in any investigation conducted by representatives of the Department, HHSC, AG-MFCU and HHS.
- E. That if it is a Home and Community Support Services agency (HCSSA), the Contractor will hire Personal Assistance Services and Community Support Services providers chosen by the client or the client's legally authorized representative, if requested, and provided the individual who will provide the services:
1. meets minimum qualifications for the service;
 2. is willing to be employed as an attendant by the Contractor; and
 3. is willing, and determined competent by the Contractor, to deliver the service(s) according to the client's individual service plan.

Recordkeeping

- A. To maintain its accounting records in accordance with generally accepted accounting principles (GAAP). GAAP are established by the Financial Accounting Standards Board (FASB).

Fraud Prevention

- A. To screen its employees and contractors to determine if they have been excluded from Medicare, Medicaid or any federal or state health care program. The Contractor agrees to search monthly the HHS-Office of Inspector General (OIG) and HHSC-OIG List of Excluded Individuals/Entities (LEIE) websites to capture exclusions and reinstatements that have occurred since the last search and to immediately report to HHSC-OIG any exclusion information the Contractor discovers. Exclusionary searches for prospective employees and contractors shall be performed prior to employment or contracting.
- B. That no Medicaid payments can be made for any items or services directed or prescribed by a physician or other authorized person who is excluded from Medicare, Medicaid or any federal or state health care program when the individual or entity furnishing the items or services either knew or should have known of the exclusion. This prohibition applies even when the Medicaid payment itself is made to another contractor, practitioner or supplier who is not excluded.
- C. That this contract is subject to all state and federal laws and regulations relating to fraud and abuse in health care and the Medicaid program. As required by 42 CFR §431.107, the Contractor agrees to keep any and all records necessary to disclose the extent of services the Contractor furnishes to individuals in the Medicaid program and any information relating to payments claimed by the Contractor for furnishing Medicaid services. On request, the Contractor also agrees to furnish the Department, HHSC, AG-MFCU or HHS any information maintained under 42 CFR §431.107(b). The Contractor will furnish copies of this information free of charge.

Sanctions

- A. That the Department may apply, at its discretion, sanctions if the Contractor fails to comply with any provision of the contract, including:
 - 1. recouping overpayments;
 - 2. suspending the Contractor's payments; and
 - 3. initiating termination of the contract.
- B. That payments to the Contractor under this contract may be withheld during the pendency of a hearing on the termination of this contract until a final decision is issued and all appeals are exhausted. The Department shall pay the withheld payments and resume contract payments if the final decision is favorable to the Contractor.
- C. That in accordance with 42 CFR §455.23, the Department shall suspend all Medicaid payments to the Contractor upon notification by HHSC-OIG that a credible allegation of fraud under the Medicaid program is pending against the Contractor, unless the Department has good cause not to suspend the payments or to suspend the payments only in part.

Handling Sensitive Personal Information and Breach Notification

- A. As part of its contract with the Department, Contractor may receive or create sensitive personal information, as section 521.002 of the Business and Commerce Code defines that phrase. Contractor must use appropriate safeguards to protect this sensitive personal information. These safeguards must include maintaining the sensitive personal information in a form that is unusable, unreadable, or indecipherable to unauthorized persons. Contractor may consult the "Guidance to Render Unsecured Protected Health Information Unusable, Unreadable, or Indecipherable to Unauthorized Individuals" issued by the U.S. Department of Health and Human Services to determine ways to meet this standard.
- B. Contractor must notify the Department of any confirmed or suspected unauthorized acquisition, access, use or disclosure of sensitive personal information related to this contract, including any breach of system security, as section 521.053 of the Business and Commerce Code defines that phrase. Contractor must submit a written report to the Department as soon as possible but no later than 10 business days after discovering the unauthorized acquisition, access, use or disclosure. The written report must identify each individual whose sensitive personal information has been or is reasonably believed to have been compromised.
- C. Contractor must either disclose the unauthorized acquisition, access, use or disclosure to each individual whose sensitive personal information has been or is reasonably believed to have been compromised or pay the expenses associated with the Department doing the disclosure if:
 - 1. Contractor experiences a breach of system security involving information owned by the Department for which disclosure or notification is required under section 521.053 of the Business and Commerce Code; or
 - 2. Contractor experiences a breach of unsecured protected health information, as 45 CFR §164.402 defines that phrase, and the Department becomes responsible for doing the notification required by 45 CFR §164.404.

The Department may, at its discretion, waive Contractor's payment of expenses associated with the Department doing the disclosure.

Miscellaneous Requirements

- A. To comply with Texas Health and Safety Code, §85.113 and §85.115 concerning workplace and confidentiality guidelines for persons with AIDS or HIV.
- B. To comply with applicable provisions of the Clean Air Act (42 USC §7401-7671q) and the Federal Water Pollution Control Act (33 USC, §1251-1387), if funding for the contract exceeds \$100,000.
- C. That in accordance with §2155.4441, Texas Government Code, the Contractor shall, in performing any service under this contract, purchase products and materials produced in Texas when they are available at a comparable price and in a comparable period of time to products and materials produced outside of Texas.

- E. That nothing in this contract or any conduct by a representative of the Department relating to this contract shall be construed as a waiver of the state's sovereign immunity to suit.
- F. That neither party to this contract waives its right to enforce a right under this contract by failing to enforce or delaying the enforcement of any other right under this contract.
- G. That the Contractor is an independent contractor and not an employee of the Department for any purpose. The Contractor and the Department agree that:
 - 1. the Department will not withhold or pay on behalf of the Contractor any sums for income tax, unemployment insurance, Social Security or any other withholding, or make available to the Contractor any of the benefits, including workers' compensation insurance coverage and health and retirement benefits, afforded to Department employees; and
 - 2. the Contractor must indemnify the Department from any liability, including attorneys' fees and legal expenses, incurred by the Department with respect to claims that the Department should have been withholding or making payments on behalf of the Contractor or providing benefits to the Contractor's employees.
- H. That nothing in this contract is intended to create a joint venture, a partnership or a principal-agent relationship.
- I. That the Contractor assigns to the Department all claims for overcharges associated with this contract arising under the anti-trust laws of the United States, 15 U.S.C. §§ 1-38, or the anti-trust laws of the state of Texas, Tex. Bus. & Com. Code, §§ 15.01-.40.
- J. That the Department has authority to monitor and conduct fiscal and program compliance reviews of the Contractor and its subcontractor (s) to the extent of services provided under the terms of this contract. The Contractor will grant on-site access at reasonable times to all records relating to services provided and payments received under the terms of this contract to state and federal auditing agencies and personnel and representatives of the Department, HHSC and HHS when it is deemed necessary by such agencies for purposes of inspection, monitoring, auditing or evaluating Contractor's performance under this contract and compliance with applicable state and federal laws, rules and regulations; the applicable Department provider handbook or manual; and this contract.

That for Title XX programs, the Department shall, by Form 2029, Information Worksheet, Purchase of Service Contract, set the rate or maximum amount of funds or both available to be paid to Contractor by the Department. Form 2029 is incorporated into and made a part of this contract and is effective for the time period stated on the form. Form 2029 may be amended by the Department as necessary to comply with state and federal laws and regulations or renewed by the Department by a new Form 2029 and incorporated into and made part of this contract.

- K. That in compliance with §2262.003, Texas Government Code:
 - 1. the state auditor may conduct an audit or investigation of any entity receiving funds from the state directly under the contract or indirectly through a subcontract under the contract;
 - 2. acceptance of funds directly under the contract or indirectly through a subcontract under the contract acts as acceptance of the authority of the state auditor, under the direction of the legislative audit committee, to conduct an audit or investigation in connection with those funds; and
 - 3. under the direction of the legislative audit committee, an entity that is the subject of an audit or investigation by the state auditor must provide the state auditor with access to any information the state auditor considers relevant to the investigation or audit.
- L. That this contract shall continue subject to the availability of appropriated funds or until the federal or state governments or both cease to participate in the program.
- M. That any breach or violation of any of the provisions of this contract or state or federal regulations shall make this entire contract, at the Department's option, subject to termination.
- N. That if the Department does not renew the Contractor's contract due to the Contractor's noncompliance with applicable federal or Texas statutes or rules, the Contractor cannot enter into another contract for a Community Services program until the application denial period established by the Department expires.
- O. That the venue for any lawsuit between the Department and the Contractor shall be Travis County, Texas.
- P. That this contract may be terminated by:
 - 1. mutual agreement of the Department and the Contractor;
 - 2. either party to this contract by giving 60 calendar days written notice to the other;
 - 3. the Department for reasons set forth in federal or state laws or rules, the terms of this contract, or the applicable Contractor manual, handbook, or program standards
 - 4. the Department if a certification made by the Contractor in this contract is inaccurate or becomes inaccurate; or
 - 5. the Department for good cause.

Incorporation by Reference

The following documents are incorporated into this contract and are on file with the Department.

Form 3254-C, Contractor Certifications

Form 3681, Community Services Contract Application

Form 4732, Nongovernmental Contractor Certification (not applicable to governmental entities)

Form 5871/5871-S, Disclosure of Ownership and Control Statement, whichever is applicable to this contract

If marked, the following documents are incorporated into this contract and are on file with the Department.

- HHS Data Use Agreement
- HHS Information Security and Privacy Initial Inquiry
- Form 2031, Governing Authority Resolution – Business Organization
- Form 2192, Certification Regarding Licensure Requirements
- Form 3681-A, Community Services Contract Application, Addendum A
- Form 3681-B, Community Services Contract Application, Addendum B
- Form 3681-C, Community Services Contract Application, Addendum C
- Form 3681-D, Community Services Contract Application, Addendum D
- Form 3691, Service Area Designation
- Form 3691-A, Service Area Designation (TxHmL, HCS, CDS and TAS)
- Form 4732-A, Nongovernmental Contractor Certification (Part II)
- Form 5872, Certification of Pre-Application Orientation
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For the faithful performance of the terms of this contract, the parties hereto in their capacities stated, affix their signatures and bind themselves.

Department of Aging and Disability Services

Dallas Horizon Home Health Agency LLC

Elisa J. Garza
Signature

4/8/16
Date

Victor Ugwa ^{about}
Signature – Contractor Representative 2/25/16
Date

Elisa J. Garza
Name
Assistant Commissioner for Access and Intake
Title

Victor Ugwa
Name of Contractor Representative (print or type)
Administrator/CFO
Title of Contractor Representative (print or type)

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