Provider Entity Disclosure of Ownership, Controlling Interest and Management Statement

Frequently Asked Questions

Q1. What is the purpose of the Provider Entity form?
A1. Centers for Medicare and Medicaid (CMS) is responsible for ensuring that all individuals and entities that receive of government funds have not been excluded (directly or indirectly) from the Medicaid, Medicare, Title XX or waiver programs. This form supports the collection of information necessary to make such determinations.

Q2. Can I submit a state-specific Disclosure form?
A2. Yes; however, Optum prefers that you complete the form provided by Optum as it has been approved by the state Medicaid agencies for our use.

Q3. What happens if the Entity Provider form is not completed as requested?
A3. Failure to submit the requested information may result in a refusal of participation in the Medicaid or CHIP managed care network or denial of a claim.

Q4. If the business is organized as a non-profit organization or government/public entity, at a minimum, what information is required in Sections I-VII on the Entity Provider form?
A4. At a minimum, the questions related to managing employees and board of directors in Section VII must be answered as “yes” and the information for the managing employees and members of the board must be included on the Entity Provider form.

Q5. If the business is organized as a corporation, at a minimum, what information is required in Sections I-VII on the Entity Provider form?
A5. At a minimum, Sections I and VII must be answered as “yes” and the owner/s must be listed in Section I and the information for the managing employees and board of directors must be listed in Section VII on the Entity Provider form.

Q6. If a board of directors serves in a volunteer capacity for an entity, do they need to be listed in Section VII on the Entity Provider form?
A6. Yes, the board of directors and required information must be included on the Entity Provider form.

Q7. If the business entity is organized as an LLC, PLLC, PC or a partnership, at a minimum, what information is required in Sections I-VII on the Entity Provider form?
A7. At a minimum, Sections I and VII must be answered as “yes” and the owner/s must be listed in Section I and the information for the managing employees must be listed in Section VII on the Entity Provider form.

Q8. Who may sign the Entity Provider form?
A8. An authorized agent may sign the Entity Provider form. Electronic signatures are acceptable; however, signature stamps are not acceptable. Information for the authorized agent must be listed in Section VII as a managing employee, agent or member of the board of directors.

Q9. Is the 9-digit Social Security Number (SSN) required?
The 9-digit SSN will be used for the purposes of complying with regulatory requirements to conduct:

- exclusion, sanction, criminal and other background checks
- audits and investigation for the Department of Health and Human Services, Office of Inspector General

Optum adheres to all applicable federal and state laws including HIPAA privacy and security rules. Social security numbers are handled by a limited number of staff in compliance with these rules.

Q10. May I include an attachment if I have additional information to share?
A10. Yes. You can submit an attachment or an addendum to the Entity Provider form if needed. Attachments will be accepted in the form of a Word document, Excel spreadsheet, and PDF document.

Q12. If I received the Entity Provider Form via email, fax or mail, I should I return the form?
A12. You should return the form via:

Fax: 1-877-847-6398 (preferred method)
Email: bns_disclosure@optum.com
Mail: Optum
  Attn: BNS – Disclosure Summary Unit
  2000 West Loop South, Ste. #900 Houston, Texas 77027

If you have any questions, please send an email to bns_disclosure@optum.com or call Network Management at (877) 614-0484.