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Proposed Permanent Rules Governing Registration of Rehabilitation Providers 5220.0100 DEFINITIONS.

[For text of subparts 1 to 22, see Minnesota Rules]

Subp. 23. **Qualified rehabilitation consultant.** "Qualified rehabilitation consultant" means a person who is professionally trained and experienced and who is registered by the commissioner according to part 5220.1510 to provide a rehabilitation consultation and to develop and implement an appropriate plan of rehabilitation services for an employee entitled to rehabilitation benefits under Minnesota Statutes, section 176.102.

Subp. 23a. Qualified rehabilitation consultant intern. "Qualified rehabilitation consultant intern" means a person who is in training and registered by the commissioner according to part 5220.1410 to provide a rehabilitation consultation and to develop and implement an appropriate plan of rehabilitation services for an employee entitled to rehabilitation services under Minnesota Statutes, section 176.102, under the direct supervision of a qualified rehabilitation consultant intern supervisor.

- Subp. 23b. Qualified rehabilitation consultant intern supervisor. "Qualified rehabilitation consultant intern supervisor" means a person who provides direct supervision, guidance, and work experience to a qualified rehabilitation consultant intern for the successful completion of the internship according to part 5220.1410.
- Subp. 24. **Qualified rehabilitation consultant firm.** "Qualified rehabilitation consultant firm" means a public or private business, whether organized as a sole proprietorship, partnership, association, corporation, or other form, which is <u>registered by the commissioner according to part 5220.1610 and held out to the public as a business entity engaged in rehabilitation consultation and services.</u>

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2.1	Subp. 25. Registered Rehabilitation vendor. "Registered Rehabilitation vendor"
2.2	means a public or private entity registered by the commissioner according to part 5220.1710
2.3	and existing wholly or in part for the provision of rehabilitation services in accord with an
2.4	approved rehabilitation plan.
2.5	[For text of subparts 26 and 27, see Minnesota Rules]
2.6	Subp. 28. Rehabilitation provider. "Rehabilitation provider" means the following
2.7	four categories of rehabilitation professionals:
2.8	[For text of items A to C, see Minnesota Rules]
2.9	D. registered rehabilitation vendors.
2.10	[For text of subparts 29 to 40, see Minnesota Rules]
2.11	5220.0105 INCORPORATION BY REFERENCE.
2.12	The following documents are incorporated by reference only to the extent specifically
2.13	referenced in chapter 5220. The documents in items A and B are not subject to frequent
2.14	change, although new editions may occasionally be published. The documents in item C
2.15	are revised annually. All documents are available through the Minitex interlibrary loan
2.16	system. The Dictionary of Occupational Titles, fourth edition, 1991, United States
2.17	Department of Labor is incorporated by reference only to the extent specifically referenced
2.18	in chapter 5220. It is not subject to frequent change and is available online at
2.19	occupationalinfo.org.
2.20	A. The Dictionary of Occupational Titles, fourth edition, 1991, United States
2.21	Department of Labor, is available for purchase through the Superintendent of Documents,
2.22	United States Government Printing Office, Washington, DC 20402.

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B. The Guide to Job Analysis, March 1982, is published by and available for purchase through the Materials Development Center, Stout Vocational Rehabilitation Institute, University of Wisconsin-Stout, Menomonie, WI 54751.

C. The Commission on Accreditation of Rehabilitation Facilities (CARF) Directory of Accredited Organizations Serving People With Disabilities and its Standards Manual for Organizations Serving People With Disabilities, 1992, are available for purchase at 101 North Wilmot Road, Suite 500, Tueson, Arizona 85711.

5220.0107 SERVICE AND FILING OF REHABILITATION DOCUMENTS; COUNTING DAYS.

[For text of subpart 1, see Minnesota Rules]

Subp. 2. Filing with state. A document is filed upon its receipt by the division by 4:30 p.m. on an open state business day. Documents received after 4:30 p.m. are considered filed on the next open state business day. A party is authorized to file a document with the division by facsimile if the document is 15 pages or less in length. A party may file a document by electronic transmission only as authorized by the division. The filed facsimile or authorized electronically transmitted information has the same force and effect as the original. Where the quality or authenticity of a document filed by facsimile or electronic transmission is at issue, the division may require the original document to be filed. When the quality or authenticity of a document filed by facsimile or electronic transmission is not at issue, the party shall not also file the original document.

[For text of subpart 3, see Minnesota Rules]

5220.0410 REHABILITATION PLAN.

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Subpart 1. **Purpose.** The purpose of the rehabilitation plan is to communicate to all interested parties the vocational goal, the rehabilitation services, and the projected amounts of time and money that will be needed to achieve the vocational goal.

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Authoritative references for describing a vocational history and a vocational goal in the plan and for analyzing jobs are An authoritative reference describing standardized occupational name and duties to support job placement activities is the Dictionary of Occupational Titles and the Guide to Job Analysis. These documents are is incorporated by reference in part 5220.0105.

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Subp. 2. **Requirements.** If a rehabilitation consultation results in a determination that an employee is a qualified employee for rehabilitation services, the assigned qualified rehabilitation consultant shall, in consultation with the parties, develop, record, and file a rehabilitation plan on the form prescribed by the commissioner containing substantially the following:

[For text of item A, see Minnesota Rules]

B. the employee's occupation at time of injury; the Dictionary of Occupational Titles, which is incorporated by reference in part 5220.0105, code for that occupation; and the vocational goal of the rehabilitation plan shall be listed;

[For text of items C to F, see Minnesota Rules]

[For text of subparts 3 to 8, see Minnesota Rules]

Subp. 9. **Administration of plan.** All rehabilitation services shall be provided to an employee pursuant to Minnesota Statutes, section 176.102, as stated in the rehabilitation plan and any subsequent amendments, and shall be administered exclusively by a person or business entity registered and approved by the commissioner as a qualified rehabilitation consultant or a qualified rehabilitation consultant firm.

The assigned qualified rehabilitation consultant shall monitor registered rehabilitation vendor compliance with the rehabilitation plan.

Job development and job placement services shall be provided either by rehabilitation providers registered by the commissioner or by a facility accredited by the National

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Commission on Accreditation of Rehabilitation Facilities (CARF), Tueson, Arizona. The CARF Directory of Accredited Organizations Serving People with Disabilities and its Standards Manual for Organizations Serving People with Disabilities are incorporated by reference in part 5220.0105. The insurer may select the vendor of job development or job placement services. CARF International is an independent, nonprofit accreditor of health and human services to develop and maintain current, field-driven standards that improve the value and responsiveness of the programs and services delivered to people in need of life enhancement services. Information is available at https://carf.org.

[For text of subparts 10 and 11, see Minnesota Rules]

5220.0450 PLAN PROGRESS REPORT.

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[For text of subparts 1 to 3, see Minnesota Rules]

Subp. 4. **Commissioner's actions.** Based on the information contained in the current plan progress report and in other reports available to the commissioner, the commissioner may perform a more thorough review of the rehabilitation effort. The purpose of the commissioner's review is to determine if the plan is adequate to carry out the objectives of rehabilitation under Minnesota Statutes, section 176.102, subdivision 1, paragraph (b). The commissioner's review may include, but is not limited to the following:

A. requesting additional information from the assigned qualified rehabilitation consultant, the qualified rehabilitation consultant firm, and the registered rehabilitation vendor;

[For text of items B and C, see Minnesota Rules]

5220.0510 PLAN AMENDMENT AND CLOSURE.

[For text of subparts 1 to 2d, see Minnesota Rules]

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5.1	Subp. 3. Requirements. The rehabilitation plan amendment shall be filed on the form
5.2	prescribed by the commissioner. The prescribed form shall contain substantially the
5.3	following:
5.4	[For text of items A to C, see Minnesota Rules]
5.5	D. if the amendment adds rehabilitation services, an itemization of each additional
5.6	rehabilitation service to be provided including any registered rehabilitation vendor names,
5.7	dates of initiation and completion, and estimated costs of each service;
5.8	[For text of items E to H, see Minnesota Rules]
5.9	[For text of subparts 3a to 8, see Minnesota Rules]
5.10	5220.0850 ON-THE-JOB TRAINING.
5.11	[For text of subpart 1, see Minnesota Rules]
5.12	Subp. 2. Plan submission. A proposed on-the-job training plan shall be filed on a
5.13	form prescribed by the commissioner and must contain the following:
5.14	[For text of items A and B, see Minnesota Rules]
5.15	C. the title of the job for which the employee is being trained and its Dictionary
5.16	of Occupational Titles code number;
5.17	[For text of items D to N, see Minnesota Rules]
5.18	[For text of subparts 3 to 5, see Minnesota Rules]
5.19	5220.1250 ROLES OF REGISTERED REHABILITATION PROVIDERS.
5.20	An entity may be approved to provide rehabilitation services either as a registered
5.21	rehabilitation vendor or as a qualified rehabilitation consultant firm. An individual may be
5.22	approved to provide rehabilitation services as a qualified rehabilitation consultant intern or,

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in cases of completion of internship and registration renewal, as a qualified rehabilitation consultant.

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A qualified rehabilitation consultant and a qualified rehabilitation consultant intern are approved for the purpose of developing, administering, and implementing a rehabilitation plan, including the provision of rehabilitation services, in accordance with Minnesota Statutes, chapter 176 and the rules adopted to administer it.

A qualified rehabilitation consultant firm is approved for the purpose of employing qualified rehabilitation consultants, qualified rehabilitation consultant interns, and other professional staff as provided in part 5220.1600 5220.1610.

A registered rehabilitation vendor is approved for the purpose of providing the workers' compensation rehabilitation services of job development and job placement, vocational testing, job seeking skills, labor market survey, postplacement follow-up, and transferrable skills analysis under an approved rehabilitation plan.

The roles of vendor and consultant are distinct and, therefore, a registered rehabilitation vendor or its employee may not be, or function as, a qualified rehabilitation consultant firm, a qualified rehabilitation consultant, or a qualified rehabilitation consultant intern. Nor may a qualified rehabilitation consultant firm, qualified rehabilitation consultant, or qualified rehabilitation consultant intern be or function as a registered rehabilitation vendor or as the agent of a vendor.

The distinction of roles between registered rehabilitation vendor and qualified rehabilitation consultant means the following: A registered rehabilitation vendor and its employees may provide job development and job placement services under an approved rehabilitation plan for any qualified employee; a qualified rehabilitation consultant firm and its employees may provide job development and job placement services only in cases for which a qualified rehabilitation consultant or qualified rehabilitation consultant intern employed by that firm is the assigned qualified rehabilitation consultant.

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There shall be no ownership or financial relationships of any kind between any registered rehabilitation vendor and qualified rehabilitation consultant firm, qualified rehabilitation consultant, or qualified rehabilitation consultant intern.

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The commissioner shall review the professional activities and services of rehabilitation providers to determine whether the activities and services are reasonable and comply with the standards of performance and professional conduct contained in Minnesota Statutes, chapter 176, parts 5220.1800, 5220.1801, 5220.0100 to 5220.1900, and orders issued under those statutes or rules.

5220.1410 QUALIFIED REHABILITATION CONSULTANT INTERNS AND SUPERVISORS: REQUIREMENTS AND PROCEDURES FOR REGISTRATION.

- Subpart 1. Requirements and application to become a qualified rehabilitation consultant intern. For registration as a qualified rehabilitation consultant intern, the applicant must meet the following requirements.
- A. A qualified rehabilitation consultant intern must be employed by a qualified rehabilitation consultant firm.
- B. The applicant must file with the commissioner in the format prescribed by the commissioner a complete application for qualified rehabilitation consultant intern registration that includes:
- (1) the applicant's name, phone number, home address, designated mailing address if different from the home address, and email address;
- (2) the applicant's Social Security number or individual taxpayer identification number and Minnesota business identification number, as applicable, as required by Minnesota Statutes, section 270C.72, subdivision 4;

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9.1	(3) the name of the qualified rehabilitation consultant firm that will employ
9.2	the applicant and the name, phone number, and email address of the applicant's qualified
9.3	rehabilitation consultant intern supervisor;
9.4	(4) the projected date by which the applicant will obtain one of the
9.5	certifications listed in subpart 3, item J;
9.6	(5) a list of languages other than English that the applicant wants to be
9.7	identified as proficient in for providing rehabilitation services;
9.8	(6) an agreement to notify the department within two weeks of any change
9.9	in rehabilitation firm employment status;
9.10	(7) affirmation that the applicant has Minnesota residency or residency within
9.11	100 miles by road from the Minnesota border; and
9.12	(8) the \$140 application fee.
9.13	C. The application must include a plan of supervision that contains a declaration
9.14	signed by the supervisor that the supervisor will comply with all of the requirements in
9.15	subpart 4.
9.16	D. The applicant must attest that all information in the application is true.
9.17	Subp. 2. Approval or denial of qualified rehabilitation consultant intern
9.18	registration.
9.19	A. Within 60 days after receiving a complete application for qualified rehabilitation
9.20	consultant intern registration, the commissioner must approve or deny the application and
9.21	notify the applicant whether the application is approved or denied.
9.22	B. If the application is approved, the commissioner shall assign a registration
9.23	number to the qualified rehabilitation consultant intern.
9.24	C. The following constitute grounds for denial of the application:

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10.1	(1) the applicant failed to comply with the requirements in subpart 1;
10.2	(2) the applicant failed to comply with Minnesota Statutes, chapter 176, parts
10.3	5220.0100 to 5220.1900, including the requirement regarding standards of performance
10.4	and professional conduct for professional activities and services of rehabilitation providers
10.5	in part 5220.1250, or any orders issued under those statutes or rules; or
10.6	(3) the applicant has outstanding fines or penalties with the department.
10.7	D. An applicant may appeal the commissioner's order denying an application for
10.8	qualified rehabilitation consultant intern registration.
10.9	E. To appeal the commissioner's order, the applicant must file a written request
10.10	for hearing with the commissioner within 30 days of service of the order denying the
10.11	application.
10.12	F. The request for hearing must be referred to the rehabilitation review panel
10.13	according to Minnesota Statutes, section 176.102, subdivision 3.
10.13	 according to Minnesota Statutes, section 176.102, subdivision 3. G. Qualified rehabilitation consultant intern registration expires 36 consecutive
10.14	G. Qualified rehabilitation consultant intern registration expires 36 consecutive
10.14 10.15	G. Qualified rehabilitation consultant intern registration expires 36 consecutive months from the date that it is approved. If a person's qualified rehabilitation consultant
10.14 10.15 10.16	G. Qualified rehabilitation consultant intern registration expires 36 consecutive months from the date that it is approved. If a person's qualified rehabilitation consultant intern registration expires before the person completes all of the requirements in subpart 3
10.14 10.15 10.16 10.17	G. Qualified rehabilitation consultant intern registration expires 36 consecutive months from the date that it is approved. If a person's qualified rehabilitation consultant intern registration expires before the person completes all of the requirements in subpart 3 and files an application for initial registration as a qualified rehabilitation consultant, the
10.14 10.15 10.16 10.17 10.18	G. Qualified rehabilitation consultant intern registration expires 36 consecutive months from the date that it is approved. If a person's qualified rehabilitation consultant intern registration expires before the person completes all of the requirements in subpart 3 and files an application for initial registration as a qualified rehabilitation consultant, the person must reapply for qualified rehabilitation consultant intern registration and restart the
10.14 10.15 10.16 10.17 10.18 10.19	G. Qualified rehabilitation consultant intern registration expires 36 consecutive months from the date that it is approved. If a person's qualified rehabilitation consultant intern registration expires before the person completes all of the requirements in subpart 3 and files an application for initial registration as a qualified rehabilitation consultant, the person must reapply for qualified rehabilitation consultant intern registration and restart the internship from the beginning. The person must not provide rehabilitation services to injured
10.14 10.15 10.16 10.17 10.18 10.19 10.20	G. Qualified rehabilitation consultant intern registration expires 36 consecutive months from the date that it is approved. If a person's qualified rehabilitation consultant intern registration expires before the person completes all of the requirements in subpart 3 and files an application for initial registration as a qualified rehabilitation consultant, the person must reapply for qualified rehabilitation consultant intern registration and restart the internship from the beginning. The person must not provide rehabilitation services to injured workers if the registration expires before submission of a complete renewal application or

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subpart 3, item J.

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11.1	Subp. 3. Requirements during the internship. During the internship, a qualified
11.2	rehabilitation consultant intern must:
11.3	A. comply with the provisions of Minnesota Statutes, chapter 176, and parts
11.4	5220.0100 to 5220.1900, and any orders issued under these statutes or rules;
11.5	B. complete an introductory orientation training session sponsored by the
11.6	department within 12 months of approval of qualified rehabilitation consultant intern
11.7	registration;
11.8	C. complete all of the department's rehabilitation provider update sessions;
11.9	D. notify the commissioner within two weeks of a change in home address,
11.10	designated mailing address if different from the home address, or employment with the
11.11	intern's registered rehabilitation firm;
11.12	E. notify the department when their supervisor changes and ensure that the new
11.13	supervisor provides an updated plan of supervision as required under subpart 1, item C;
11.14	F. ensure that all documents bearing the name of the intern designate the intern
11.15	as a "qualified rehabilitation consultant intern" and include the intern's registration number;
11.16	G. work as the assigned qualified rehabilitation consultant intern on 12 or more
11.17	rehabilitation plans under Minnesota Statutes, section 176.102;
11.18	H. be the rehabilitation consultant of record for at least one of each of the following
11.19	complete reports:
11.20	(1) rehabilitation consultation report that explains the basis for the eligibility
11.21	determination;
11.22	(2) rehabilitation plan with an initial evaluation narrative report that includes
11.23	medical status, vocational history, educational history, social history, relevant economic
11.24	factors, transferable skills, employment barriers, and recommendations;

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12.1	(3) plan progress report or rehabilitation plan amendment with a narrative
12.2	report that identifies barriers to the employee's successful completion of the rehabilitation
12.3	plan and the measures the intern planned to overcome each of the identified barriers; and
12.4	(4) notice of rehabilitation plan closure with a narrative summary report that
12.5	includes all rehabilitation plan services provided;
12.6	I. prepare at least one of each of the following complete reports or, if necessary
12.7	due to inability to complete a required report under an assigned rehabilitation plan, contact
12.8	the department to confirm that the intern can complete the report outside of the intern's
12.9	assigned files:
12.10	(1) a narrative report that shows the intern's understanding of vocational
12.11	testing;
12.12	(2) a narrative report that shows the intern's understanding of a transferable
12.13	skills analysis; and
12.14	(3) a labor market survey that shows the intern's understanding of the injured
12.15	employee's qualifications, work restrictions, and labor market conditions; and
12.16	J. obtain one of the following certifications by the completion of the internship:
12.17	(1) Certified Rehabilitation Counselor (CRC) from the Commission on
12.18	Rehabilitation Counselor Certification; or
12.19	(2) Certified Disability Management Specialist (CDMS) from the Certification
12.20	of Disability Management Specialist.
12.21	Subp. 4. Requirements for supervisors of qualified rehabilitation consultant
12.22	interns. A qualified rehabilitation consultant intern supervisor agrees to be responsible for
12.23	all of the intern's rehabilitation work. During the internship, the supervisor must:

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13.1	A. review the rehabilitation statutes and rules with the intern before the intern
13.2	meets with an injured employee for the first time and throughout the internship as needed
13.3	to ensure the intern's compliance with the statutes and rules;
13.4	B. not bill for supervisory duties;
13.5	C. monitor the intern's progress toward completing the internship;
13.6	D. attend all administrative conferences and hearings with the intern and ensure
13.7	that the intern reviews the rehabilitation file and is prepared to respond to questions relevant
13.8	to the subject of the conference, including questions about the rehabilitation plan, payment
13.9	for rehabilitation services, and the reasonableness and necessity of rehabilitation services;
13.10	E. review all written work that substantively applies to the scope of a rehabilitation
13.11	plan for any file assigned to the QRC intern;
13.12	F. if the intern leaves employment with the firm and will not provide additional
13.13	rehabilitation services, coordinate the transfer of the intern's files so that injured employees
13.14	continue to receive rehabilitation services in accordance with part 5220.0710; and
13.15	G. currently be a registered QRC with at least three years of QRC work experience,
13.16	excluding time as a QRC intern.
13.17	5220.1510 QUALIFIED REHABILITATION CONSULTANTS: REQUIREMENTS
13.18	AND PROCEDURES FOR REGISTRATION.
13.19	Subpart 1. Completion of qualified rehabilitation consultant internship and
13.20	requirements to become a qualified rehabilitation consultant. For initial registration as
13.21	a qualified rehabilitation consultant, the applicant must meet the following requirements:
13.22	A. A qualified rehabilitation consultant must be employed by a qualified
13.23	rehabilitation consultant firm or the consultant's own qualified rehabilitation consultant firm
13.24	which must be registered as a qualified rehabilitation consultant firm with the department.

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14.1	B. At the time the applicant files the initial application for qualified rehabilitation
14.2	consultant registration:
14.3	(1) the applicant must be registered as a qualified rehabilitation consultant
14.4	intern;
14.5	(2) the applicant must have been registered as a qualified rehabilitation
14.6	consultant intern for at least 12 months; and
14.7	(3) within 36 months after the date the applicant most recently became
14.8	registered as a qualified rehabilitation consultant intern, the applicant must have completed
14.9	the requirements specified in part 5220.1410, subpart 3.
14.10	<u>C.</u> The applicant must file a complete initial application for qualified rehabilitation
14.11	consultant registration with the commissioner in the format prescribed that includes:
14.12	(1) the applicant's name, phone number, home address, designated mailing
14.13	address if different from the home address, and email address;
14.14	(2) the applicant's Social Security number or individual taxpayer identification
14.15	number and Minnesota business identification number, as applicable, as required by
14.16	Minnesota Statutes, section 270C.72, subdivision 4;
14.17	(3) the name of the qualified rehabilitation consultant firm where the applicant
14.18	is employed;
14.19	(4) the date the applicant completed the department's orientation session;
14.20	(5) each date the applicant completed one of the department's rehabilitation
14.21	provider update sessions;
14.22	(6) a list of languages other than English that the applicant wants to be
14.23	identified as being proficient in for providing rehabilitation services;

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15.1	(7) documentation from the applicant's qualified rehabilitation consultant
15.2	intern supervisor certifying that the applicant complied with each of the requirements in
15.3	part 5220.1410, subpart 3, items F to I;
15.4	(8) proof that the applicant has obtained one of the certifications listed in part
15.5	5220.1410, subpart 3, item J;
15.6	(9) affirmation that the applicant has Minnesota residency or residency within
15.7	100 miles by road from the Minnesota border; and
15.8	(10) the registration fee of \$140.
15.9	D. The applicant must attest that all information in the application is true.
15.10	Subp. 2. Approval or denial of initial application.
15.11	A. Within 60 days after receiving a complete initial application for qualified
15.12	rehabilitation consultant registration, the commissioner must approve or deny the application
15.13	and notify the applicant whether the application is approved or denied.
15.14	B. If the application is approved, the commissioner shall assign a registration
15.15	number to the qualified rehabilitation consultant.
15.16	C. The following constitute grounds for denial of the application:
15.17	(1) the applicant failed to comply with the requirements in subpart 1;
15.18	(2) the applicant failed to comply with Minnesota Statutes, chapter 176, and
15.19	parts 5220.0100 to 5220.1900, including the requirement regarding standards of performance
15.20	and professional conduct for professional activities and services of rehabilitation providers
15.21	in part 5220.1250, or any orders issued under those statutes or rules; or
15.22	(3) the applicant has outstanding fines or penalties with the department.

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16.1	D. The qualified rehabilitation consultant registration expires one year from the
16.2	date the application is approved.
16.3	Subp. 3. Renewal of qualified rehabilitation consultant registration. To annually
16.4	renew registration as a qualified rehabilitation consultant, the applicant must meet the
16.5	following requirements:
16.6	A. A qualified rehabilitation consultant must be employed by a qualified
16.7	rehabilitation consultant firm.
16.8	B. The applicant must file with the commissioner in the format prescribed by the
16.9	commissioner a complete renewal application for qualified rehabilitation consultant
16.10	registration that includes:
16.11	(1) the applicant's name, phone number, home address, designated mailing
16.12	address if different from the home address, and email address;
16.13	(2) the applicant's Social Security number or individual taxpayer identification
16.14	number and Minnesota business identification number as applicable, as required by Minnesota
16.15	Statutes, section 270C.72, subdivision 4;
16.16	(3) the name of the qualified rehabilitation consultant firm where the applicant
16.17	is employed;
16.18	(4) affirmation that the applicant has Minnesota residency or residency within
16.19	100 miles by road from the Minnesota border;
16.20	(5) a copy of the applicant's certification as a Certified Rehabilitation
16.21	Counselor (CRC) or a Certified Disability Management Specialist (CDMS); and
16.22	(6) the registration fee of \$140.
16.23	C. A qualified rehabilitation consultant registered with the commissioner before
16.24	July 1, 2005, and continuously registered since that date, may either continue to meet the

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certification requirements in effect at the time of initial registration or meet one of the requirements in item B, subitem (5).

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- D. The applicant must have submitted documentation showing that the applicant completed the department's most recent rehabilitation provider update session.
- E. The applicant must not provide rehabilitation services to injured workers if the applicant's registration expires before submission of a complete renewal application or before the commissioner has approved or denied the application pursuant to subpart 5.
 - F. The applicant must attest that all information in the application is true.
- Subp. 4. Gap in qualified rehabilitation consultant registration. To ensure there is no gap in qualified rehabilitation consultant registration, the applicant must submit the renewal application for qualified rehabilitation consultant registration at least 60 days before expiration of the applicant's current registration. If an applicant's qualified rehabilitation consultant registration expired more than 12 months before the applicant files a renewal application for qualified rehabilitation consultant registration, the applicant must complete the department's orientation session within 12 months before or after the applicant files the renewal application.

Subp. 5. Approval or denial of renewal application.

- A. Within 60 days after receiving a complete renewal application for qualified rehabilitation consultant registration, the commissioner must approve or deny the application and notify the applicant whether the application is approved or denied.
 - B. The following constitute grounds for denial of the application:
 - (1) the applicant failed to comply with the requirements in subpart 3;
- (2) the applicant failed to comply with the provisions of Minnesota Statutes, chapter 176, and parts 5220.0100 to 5220.1900, including the requirement regarding standards

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of performance and professional conduct for professional activities and services of rehabilitation providers in part 5220.1250, or any orders issued under those statutes or rules; or

(3) the applicant has outstanding fines or penalties with the department.

C. If the commissioner denies a renewal application under item B, subitem (2), and the denial is final because the qualified rehabilitation consultant did not file a timely request for hearing or a hearing was timely requested and all appeals have been exhausted, another renewal application may be filed only if the requirements of subitem (1) or (2) are met.

- (1) The former qualified rehabilitation consultant may file another renewal application if the applicant has entered into a stipulated agreement with the commissioner regarding the violations of statute, rule, or order that were cited as the basis for denial of the renewal application and the stipulation allows the former qualified rehabilitation consultant to reapply after a specified period of time.
- application if six months have passed since the denial of the previous renewal application became final and the subsequent application is accompanied by a statement and documentation that shows what the applicant has done and will do to ensure that the applicant complies with Minnesota Statutes, chapter 176, and parts 5220.0100 to 5220.1900, and any orders issued under those statutes or rules.
- 18.21 The commissioner must approve or deny the new renewal application according to items
- 18.22 A and B and, if applicable, after determining whether the applicant's statement and
- documentation in subitem (2) demonstrates that the applicant is not likely to violate
- Minnesota Statutes, chapter 176, and parts 5220.0100 to 5220.1900, or any orders issued

18.25 <u>under those statutes or rules.</u>

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19.1	D. The registration expires one year from the date the applicant's current
19.2	registration was set to expire, unless the applicant was not registered as a qualified
19.3	rehabilitation consultant on the date that the commissioner received the application, in which
19.4	case the registration expires one year after the application is approved.
19.5	Subp. 6. Appeal process for denials.
19.6	A. An applicant may appeal the commissioner's order denying an initial application
19.7	for qualified rehabilitation consultant registration or a renewal application for qualified
19.8	rehabilitation consultant registration.
19.9	B. To appeal the commissioner's order, the applicant must file a written request
19.10	for hearing with the commissioner within 30 days of service of the order denying the
19.11	application.
19.12	C. The request for hearing must be referred to the rehabilitation review panel
19.13	according to Minnesota Statutes, section 176.102, subdivision 3.
19.14	D. The filing of a timely request for hearing on an order denying a renewal
19.15	application must stay the effect of the denial until final disposition of the appeal.
19.16 19.17	5220.1610 QUALIFIED REHABILITATION CONSULTANT FIRMS: REQUIREMENTS AND PROCEDURES FOR REGISTRATION.
19.18	Subpart 1. Requirements for qualified rehabilitation consultant firms. At all times
19.19	while registered with the commissioner, a qualified rehabilitation consultant firm must meet
19.20	the requirements in items A to I.
19.21	A. The firm must be owned by:
19.22	(1) an individual who is a qualified rehabilitation consultant; or
19.23	(2) an entity registered with and in good standing with the secretary of state.

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20.1	B. If the firm is owned by an entity other than an individual, the management staff
20.2	must include at least one full-time employee who is a qualified rehabilitation consultant.
20.3	An employer or insurer must be registered as a qualified rehabilitation consultant firm in
20.4	order to provide rehabilitation services. A qualified rehabilitation consultant or qualified
20.5	rehabilitation consultant intern employed by an employer or insurer must only provide
20.6	rehabilitation services for the claims being handled by the entity by which the qualified
20.7	rehabilitation consultant or qualified rehabilitation consultant intern is employed.
20.8	C. The firm must maintain workers' compensation insurance if required by
20.9	Minnesota Statutes, chapter 176.
20.10	D. The firm must maintain at least one office in Minnesota or within 100 miles
20.11	by road from the Minnesota border. If a firm does not maintain at least one office in
20.12	Minnesota or within 100 miles by road from the Minnesota border on the effective date of
20.13	this part, the firm must comply with this part within 90 days of receiving written notice of
20.14	the requirement from the department.
20.15	E. The firm must not provide rehabilitation services unless the qualified
20.16	rehabilitation consultant or qualified rehabilitation consultant intern assigned to the injured
20.17	employee's case file is an employee of the firm.
20.18	F. The firm must ensure that each employee who provides rehabilitation services
20.19	to injured employees attends all department rehabilitation provider update sessions.
20.20	G. If the firm hires a new, nonregistered employee who will provide rehabilitation
20.21	services to injured employees, that employee must, within 12 months of employment,
20.22	complete the department's orientation session.
20.23	H. The firm must retain each of the firm's injured worker case files for at least

five years after the date of file closure.

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I. If there is a change to the information previously provided to the department on the firm's registration application, including any change in employees who provide rehabilitation services to injured workers, the firm must report the change to the department.

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Subp. 2. Staffing requirements. At all times while registered with the commissioner, a qualified rehabilitation consultant firm must meet the following staffing requirements.

A. At least 60 percent of qualified rehabilitation consultant firm employees providing rehabilitation services to qualified employees shall be qualified rehabilitation consultants or qualified rehabilitation consultant interns. Employees who are not qualified rehabilitation consultant or qualified rehabilitation consultant interns, under the direct supervision of the assigned qualified rehabilitation consultant or qualified rehabilitation consultant intern, may provide the services of job seeking skills training, job development, job placement, vocational testing, labor market survey, postplacement follow-up, and transferrable skills analysis.

B. Any firm employing four or fewer full-time qualified rehabilitation consultants or qualified rehabilitation consultant interns may employ up to two employees who are not qualified rehabilitation consultants or qualified rehabilitation interns who may, under the direct supervision of the assigned qualified rehabilitation consultant or qualified rehabilitation consultant intern, provide the services of job seeking skills training, job development, job placement, vocational testing, transferrable skills analysis, postplacement follow-up, and labor market survey. However, as restricted by part 5220.1250, employees who are not qualified rehabilitation consultants or qualified rehabilitation consultant interns may provide these prescribed services only in cases for which a qualified rehabilitation consultant or qualified rehabilitation consultant intern employed by the same firm is the assigned qualified rehabilitation consultant.

Subp. 3. Qualified rehabilitation consultant firm registration. For registration as a qualified rehabilitation consultant firm, the applicant must meet the following requirements.

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22.1	A. The applicant must file a complete application for qualified rehabilitation
22.2	consultant firm registration in the format prescribed by the commissioner that includes:
22.3	(1) the applicant's name and Minnesota business identification number, as
22.4	required by Minnesota Statutes, section 270C.72, subdivision 4;
22.5	(2) every business address where the applicant will provide rehabilitation
22.6	services;
22.7	(3) if the firm is owned by an individual, that individual's phone number,
22.8	email address, home address, Social Security number, and any state and federal employer
22.9	identification numbers;
22.10	(4) if the firm is not owned by an individual:
22.11	(a) the name and address of the firm's agent registered with the secretary
22.12	of state;
22.13	(b) a different name and address for legal service on the firm, if the firm
22.14	chooses to accept legal service from the department at an address different from the registered
22.15	address; and
22.16	(c) the name, address, email, and telephone number of the full-time
22.17	member of the management staff who is a qualified rehabilitation consultant;
22.18	(5) the name and job title of each employee, indicating whether the employee
22.19	will provide rehabilitation services to injured employees, and their job title;
22.20	(6) for each employee who has provided or will provide rehabilitation services
22.21	to injured employees, the most recent date the employee completed the department's
22.22	rehabilitation provider update session;
22.23	(7) proof of workers' compensation insurance or an explanation of why no
22.24	workers' compensation insurance is required;

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23.1	(8) affirmation that one of the offices where the applicant will provide
23.2	rehabilitation services is located in Minnesota or within 100 miles by road from the Minnesota
23.3	border; and
23.4	(9) the registration fee of \$280.
23.5	B. If the application is for renewal of qualified rehabilitation consultant firm
23.6	registration and the applicant does not want a gap in registration, the applicant must submit
23.7	the renewal application at least 60 days before expiration of the applicant's current
23.8	registration.
23.9	C. The applicant must not provide rehabilitation services to injured workers if the
23.10	applicant's registration expires before submission of a complete renewal application or
23.11	before the commissioner has approved or denied the application.
23.12	D. The applicant must attest that all information in the application is true and that
23.13	the applicant meets or will meet all the requirements of subpart 1.
23.14	E. The qualified rehabilitation consultant firm registration must be renewed
23.15	annually, according to subpart 4, item C.
23.16	Subp. 4. Approval or denial of application.
23.17	A. Within 60 days after receiving a complete application for qualified rehabilitation
23.18	consultant firm registration, the commissioner must approve or deny the application and
23.19	notify the applicant whether the application is approved or denied. The following constitute
23.20	grounds for denial of the application:
23.21	(1) the applicant failed to comply with the requirements of subpart 2;
23.22	(2) the applicant failed to comply with Minnesota Statutes, chapter 176, and
23.23	parts 5220.0100 to 5220.1900, including the requirement regarding standards of performance

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24.1	and professional conduct for professional activities and services of rehabilitation providers
24.2	in part 5220.1250, or any orders issued under those statutes or rules; or
24.3	(3) the applicant has outstanding fines or penalties with the department.
24.4	B. If the commissioner approves the application, the commissioner shall assign
24.5	a registration number to the qualified rehabilitation consultant firm.
24.6	C. The registration expires one year from the date the applicant's current
24.7	registration was set to expire, unless the applicant was not registered as a qualified
24.8	rehabilitation consultant firm on the date that the commissioner received the application,
24.9	in which case the registration expires one year after the application is approved.
24.10	Subp. 5. Appeal process for denials.
24.11	A. An applicant may appeal the commissioner's order denying an application for
24.12	qualified rehabilitation consultant firm registration.
24.13	B. To appeal the commissioner's order, the applicant must file a written request
24.14	for hearing with the commissioner within 30 days of service of the order denying the
24.15	application.
24.16	C. The request for hearing must be referred to the rehabilitation review panel
24.17	according to Minnesota Statutes, section 176.102, subdivision 3.
24.18	D. The filing of a timely request for hearing on an order denying an application
24.19	must stay the effect of the denial until final disposition of the appeal.
24.20	Subp. 6. Retention and transfer of rehabilitation plans. If the registration of a
24.21	qualified rehabilitation consultant firm expires, the qualified rehabilitation consultant who
24.22	owns the firm or is a member of the firm's management staff must ensure that the firm's
24.23	active rehabilitation plans are transferred to a qualified rehabilitation consultant or a qualified
24.24	rehabilitation consultant firm as required by part 5220.1802, subpart 4a.

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5220.1710 REHABILITATION.	ATION VENDORS: REQUIRE	EMENTS AND PR	ROCEDURES
Subpart 1. Requirem	ents for rehabilitation vendor	s. At all times wh	nile registered
with the commissioner, a re	ehabilitation vendor must meet	the requirements i	in items A to
<u>K.</u>			
A. The rehabilita	tion vendor must be owned by:		
(1) an indivi	dual; or		
(2) an entity	registered with and in good stand	ling with the Minn	esota secretary
of state.			
B. The rehabilita	tion vendor must maintain work	xers' compensation	n insurance if
required by Minnesota Stat	tutes, chapter 176.		
<u>C.</u> The rehabilita	tion vendor must maintain at le	ast one office whe	ere services to
injured employees are provi	ded in Minnesota or within 100 r	niles by road from	the Minnesota
border. If a vendor does no	t maintain at least one office in	Minnesota or with	hin 100 miles
by road from the Minnesota	a border on the effective date of t	his part, the vendo	r must comply
with this part within 90 day	ys of receiving written notice of	the requirement t	from the
department.			
D. The rehabilita	tion vendor must cooperate in a	any request for inf	ormation or
investigation by the depart	ment.		
E. The rehabilitation	tion vendor may only provide re	ehabilitation servi	ces to injured
employees under an approv	ved rehabilitation plan.		
F. The rehabilitat	ion vendor must promptly com	municate with the	assigned
qualified rehabilitation con	sultant or qualified rehabilitation	on consultant inter	n regarding all

rehabilitation services that the rehabilitation vendor provides to injured employees.

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26.1	G. Each employee of the rehabilitation vendor who provides rehabilitation services
26.2	to injured employees must attend all department rehabilitation provider update sessions.
26.3	H. If the rehabilitation vendor hires a new employee who will provide rehabilitation
26.4	services to injured employees, that employee must, within 12 months of employment,
26.5	complete the department's orientation session.
26.6	<u>I.</u> If the rehabilitation vendor is no longer providing services to injured employees
26.7	the rehabilitation vendor must provide any active or closed case file to the qualified
26.8	rehabilitation consultant firm that last employed the qualified rehabilitation consultant or
26.9	qualified rehabilitation consultant intern assigned to the file.
26.10	J. Within two weeks of the change, the rehabilitation vendor must report to the
26.11	department any change in any of the information provided to the department on the
26.12	rehabilitation vendor's registration application, including any change in employees who
26.13	provide rehabilitation services to injured employees.
26.14	K. The rehabilitation vendor must not employ or otherwise engage the services
26.15	of a qualified rehabilitation consultant.
26.16	Subp. 2. Rehabilitation vendor registration. For registration as a rehabilitation
26.17	vendor, the applicant must meet the following requirements.
26.18	A. The applicant must file a complete application for rehabilitation vendor
26.19	registration in the format prescribed by the commissioner that includes:
26.20	(1) the applicant's name and every business address where the applicant wil
26.21	provide rehabilitation services to injured employees;
26.22	(2) the applicant's taxpayer identification number and Minnesota business
26.23	identification number, as required by Minnesota Statutes, section 270C.72, subdivision 4;

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27.1	(3) if the rehabilitation vendor is owned by an individual, that individual's
27.2	phone number, email address, home address, Social Security number, and any state and
27.3	federal employer identification numbers;
27.4	(4) if the rehabilitation vendor is not owned by an individual:
27.5	(a) the name, address, phone number, and email address of the
27.6	rehabilitation vendor's agent registered with the secretary of state;
27.7	(b) a different name and address for legal service on the rehabilitation
27.8	vendor, if the rehabilitation vendor chooses to accept legal service from the department at
27.9	an address different from the registered address;
27.10	(5) the name and job title of each current employee of the rehabilitation vendor
27.11	and an indication of whether each employee will provide rehabilitation services to injured
27.12	employees;
27.13	(6) for each employee who has provided or will provide rehabilitation services
27.14	to injured employees, the most recent date the employee completed the department's
27.15	rehabilitation provider update session;
27.16	(7) the name of each manager of the rehabilitation vendor;
27.17	(8) proof of workers' compensation insurance or an explanation of why no
27.18	workers' compensation insurance is required;
27.19	(9) affirmation that one of the offices where the applicant will provide
27.20	rehabilitation services to injured employees is located in Minnesota or within 100 miles by
27.21	road from the Minnesota border; and
27.22	(10) the registration fee of \$280.

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28.1	B. If the application is for renewal of rehabilitation vendor registration and the
28.2	applicant wants no gap in registration, the applicant must submit the renewal application at
28.3	least 60 days before expiration of the applicant's current registration.
28.4	C. The applicant must not provide rehabilitation services to injured workers if the
28.5	applicant's registration expires before submission of a complete renewal application or
28.6	before the commissioner has approved or denied the application.
28.7	D. The applicant must attest that all information in the application is true and that
28.8	the applicant meets or will meet all the requirements of subpart 1.
28.9	E. The rehabilitation vendor registration must be renewed annually, in accordance
28.10	with subpart 3, item C.
28.11	Subp. 3. Approval or denial of application.
28.12	A. Within 60 days after receiving a complete application for rehabilitation vendor
28.13	registration, the commissioner must approve or deny the application and notify the applicant
28.14	whether the application is approved or denied. The following constitute grounds for denial
28.15	of the application:
28.16	(1) the applicant failed to comply with the requirements of subpart 2;
28.17	(2) the applicant failed to comply with the provisions of Minnesota Statutes,
28.18	chapter 176, and parts 5220.0100 to 5220.1900, or any orders issued under those statutes
28.19	or rules; or
28.20	(3) the applicant has outstanding fines or penalties with the department.
28.21	B. If the commissioner approves the application, the commissioner shall assign
28.22	a registration number to the rehabilitation vendor.
28.23	C. The registration expires one year from the date the applicantly exprent
	C. The registration expires one year from the date the applicant's current

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29.1	vendor on the	he date that the commis	ssioner received the app	olication, in which ca	se the
29.2	registration	expires one year after t	he application is appro	oved.	
29.3	Subp. 4	4. Appeal process for	denials.		
29.4	<u>A.</u>	An applicant may app	eal the commissioner's	order denying an app	olication for
29.5	rehabilitatio	on vendor registration.			
29.6	<u>B.</u>	To appeal the commission	sioner's order, the appl	icant must file a writt	en request
29.7	for hearing	with the commissioner	within 30 days of serv	ice of the order denyi	ng the
29.8	application.	<u>.</u>			
29.9	<u>C.</u>	The request for hearing	g will be referred to th	e rehabilitation reviev	v panel
29.10	according to	o Minnesota Statutes, se	ection 176.102, subdiv	ision 3.	
29.11	<u>D.</u>	The filing of a timely	request for hearing on	an order denying an a	application
29.12	must stay th	ne effect of the denial un	ntil final disposition of	the appeal.	
29.13	<u>5220.1750</u>	VOCATIONAL REH	IABILITATION UNI	<u>T.</u>	
29.14	The vo	cational rehabilitation u	nit of the department as	nd its employees are e	xempt from
29.15	payment of	the fees in parts 5220.1	410, 5220.1510, and 5	220.1610.	
29.16	5220.1801	PROFESSIONAL CO	ONDUCT.		

Subpart 1. Prompt provision of service and assessment of progress. The assigned

qualified rehabilitation consultant and any registered rehabilitation vendor providing

to assist a qualified employee to return to suitable gainful employment. The qualified

rehabilitation consultant shall periodically assess progress toward plan objectives.

rehabilitation services under a plan shall provide prompt and necessary rehabilitation services

29.22 [For text of subparts 2 to 7, see Minnesota Rules]

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Subp. 8. Separate roles and functi	ions	Š.
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A. The roles and functions of a claims agent and a rehabilitation provider are separate. A qualified rehabilitation consultant, qualified rehabilitation consultant intern, registered rehabilitation vendor, or an agent of a rehabilitation provider, shall engage only in those activities designated in Minnesota Statutes, section 176.102, and rules adopted thereunder.

B. A qualified rehabilitation consultant, qualified rehabilitation consultant intern, or registered rehabilitation vendor shall not act as an advocate for or advise any party about a claims or entitlement issue. Except as permitted by item C, qualified rehabilitation consultants, qualified rehabilitation consultant interns, and registered rehabilitation vendors shall at no time in any capacity engage in any of the following activities regarding any claim for workers' compensation benefits pursuant to Minnesota Statutes, chapter 176:

[For text of subitems (1) to (8), see Minnesota Rules]

[For text of item C, see Minnesota Rules]

[For text of subparts 9 to 11, see Minnesota Rules]

5220.1802 COMMUNICATIONS.

[For text of subparts 1 to 3, see Minnesota Rules]

Subp. 4. Registered Rehabilitation vendor reporting. At least each 30 days, the registered rehabilitation vendor shall submit all required progress records, required rehabilitation reports and cost information on an employee's case directly to the assigned qualified rehabilitation consultant with copies to the employee, the insurer, and their attorneys, and also to the employer upon the employer's request.

[For text of subparts 4a to 12, see Minnesota Rules]

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31.1	5220.1900 REHABILITATION SERVICE FEES AND COSTS.
31.2	[For text of subparts 1 to 1d, see Minnesota Rules]
31.3	Subp. 1e. Job development and placement services. Whether provided by registered
31.4	rehabilitation vendors or qualified rehabilitation consultant firms, job development and job
31.5	placement services, when billed on an hourly basis, shall be billed at an hourly rate not to
31.6	exceed \$82.58 per hour as adjusted under subpart 1b.
31.7	[For text of subparts 1f to 6b, see Minnesota Rules]
31.8	Subp. 7. Case activities that require approval or are not billable. The services and
31.9	activities described in items A and B either require approval or are not billable by the
31.10	rehabilitation provider.
31.11	[For text of item A, see Minnesota Rules]
31.12	B. Rehabilitation providers shall not bill for the following services, activities, or
31.13	charges:
31.14	[For text of subitems (1) to (3), see Minnesota Rules]
31.15	(4) time spent reviewing the file by an assigned qualified rehabilitation
31.16	consultant or registered rehabilitation vendor when a case has been transferred from another
31.17	qualified rehabilitation consultant or registered rehabilitation vendor within the same
31.18	rehabilitation firm;
31.19	[For text of subitem (5), see Minnesota Rules]
31.20	(6) charges beyond the hourly fee for testimony at a hearing or administrative
31.21	conference when the qualified rehabilitation consultant or registered rehabilitation vendor
31.22	has provided rehabilitation services under the plan.

[For text of subparts 8 and 9, see Minnesota Rules]

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32.1 **REPEALER.** Minnesota Rules, parts 5220.1400; 5220.1500; 5220.1600; and 5220.1700,

32.2 <u>are repealed.</u>

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Office of the Revisor of Statutes Administrative Rules



TITLE: Proposed Permanent Rules Governing Registration of Rehabilitation Providers

AGENCY: Department of Labor and Industry

REVISOR ID: R-4752

MINNESOTA RULES: Chapter 5220

INCORPORATIONS BY REFERENCE:

Part 5220.0105: The Dictionary of Occupational Titles, fourth edition, 1991, United States Department of Labor is incorporated by reference only to the extent specifically referenced in chapter 5220. It is not subject to frequent change and is available online at occupationalinfo.org.

The attached rules are approved for publication in the State Register

Sheree Speer Chief Deputy Revisor