

# Compliance Policy, Guidelines & Procedures



<b>Division:</b> All HealthCare Partners Entities	<b>Department Policy Owner:</b> Compliance Department
<b>Title:</b> Excluded Individual and Sanctioned Screening Policy	
<b>Effective Date:</b> February 2014	<b>Issue Date:</b> February 2014
	<b>Revision Date:</b> April 2015
<b>Policy Number:</b> HCP-TQ-08	<b>Page:</b> 1 of 5

<b>Purpose</b>	To document Healthcare Partners' efforts in preventing the employment of, contracting with, any individual or entity, or credentialing any healthcare provider that is ineligible to participate in federal and state funded health care programs in compliance with the Social Security Act, applicable state law requirements and federal contracts.
<b>Definitions</b>	<ul style="list-style-type: none"> <li>• <b>Exclusion Lists:</b> <ol style="list-style-type: none"> <li>a. Office of Inspector General (OIG) List of Excluded Individuals/Entities (LEIE) currently available on the website at <a href="https://exclusions.oig.hhs.gov">https://exclusions.oig.hhs.gov</a>;</li> <li>b. System Awards Management (SAM) the Official U.S. Government system that consolidated the capabilities of CCR/FedReg, ORCA, and EPLS at <a href="https://www.sam.gov">https://www.sam.gov</a>; and</li> <li>c. Any applicable state healthcare Exclusion List.</li> </ol> </li> <li>• <b>Exclusion Screening:</b> A process in which all Screened Persons are checked against all available federal and state Exclusion Lists to minimize the risk of hiring, retaining, credentialing, or contracting with individuals or entities identified as debarred or excluded from participation in Medicare, Medicaid, and any other federal and state health care programs identified on any Exclusion Lists.</li> <li>• <b>Ineligible Person:</b> Any individual or entity:             <ol style="list-style-type: none"> <li>a. Currently excluded, suspended, debarred, or otherwise ineligible to participate in federally funded healthcare programs, in federal procurement or non-procurement programs or any state funded program; or</li> <li>b. Who has been convicted of a criminal offense that falls within the ambit of 42 USC § 1320a-7(a) (see References, below) but has not yet been excluded, debarred, suspended, or otherwise declared ineligible.</li> </ol> </li> <li>• <b>Screened Person:</b> All officers, directors, teammates, vendors, credentialed healthcare provider, as well as providers in a contractual arrangement with HealthCare Partners.</li> </ul>
<b>Policy</b>	<ol style="list-style-type: none"> <li>1. HealthCare Partners will <u>not</u>:             <ol style="list-style-type: none"> <li>a. Hire, retain, credential or contract with individuals or entities identified as debarred or excluded from participation in Medicare, Medicaid, and any other federal and state healthcare programs identified on any Exclusion Lists;</li> <li>b. Submit any claims to any federal or state healthcare programs for any services provided, ordered or referred by any Ineligible Person; and</li> </ol> </li> </ol>

# Compliance Policy, Guidelines & Procedures



**Division:** All HealthCare Partners Entities

**Department Policy Owner:** Compliance Department

**Title:** Excluded Individual and Sanctioned Screening Policy

**Effective Date:** February 2014

**Issue Date:** February 2014

**Revision Date:** April 2015

**Policy Number:** HCP-TQ-08

**Page:** 2 of 5

- c. Knowingly retain reimbursement for any federal or state health care program for any services provided, ordered or referred by any Ineligible Person.
2. HealthCare Partners requires that all Screened Persons:
  - a. Are minimally reviewed against the available Federal Exclusion Lists (OIG and SAM) prior to engaging their services as part of the hiring, credentialing or contracting process;
  - b. Disclose if they are an Ineligible Person at the time of the initial hiring, credentialing, or contracting process, or at any point in the future at which they become ineligible; and
  - c. Are reviewed monthly against all active and available Exclusion Lists.
3. HealthCare Partners requires that all Screened Persons notify HealthCare Partners if they have:
  - a. Pending charges against them related to healthcare;
  - b. Been convicted of a criminal offense related to healthcare;
  - c. Received notice that the government proposes to exclude him/her from participation in any federal or state health care program; or
  - d. Been excluded from participation in any federal or state health care program.
4. If HealthCare Partners determines that a Screened Person is an Ineligible Person, the appropriate parties will be notified to take corrective action. (See Procedure A. Notification of Ineligible Person below).
5. Any Screened Person that is identified as a potential Ineligible Person and cannot be confirmed as excluded will complete a *Sanction Screening Questionnaire Attestation* (see Procedure B below).
6. The Compliance Department (Team Quest) will monitor this policy and exclusion process on an on-going basis.
7. Exclusion screening documentation will be maintained by HealthCare Partners for a period of ten (10) years.

# Compliance Policy, Guidelines & Procedures



<b>Division:</b> All HealthCare Partners Entities	<b>Department Policy Owner:</b> Compliance Department
<b>Title:</b> Excluded Individual and Sanctioned Screening Policy	
<b>Effective Date:</b> February 2014	<b>Issue Date:</b> February 2014
	<b>Revision Date:</b> April 2015
<b>Policy Number:</b> HCP-TQ-08	<b>Page:</b> 3 of 5

Responsible Party	Procedures
<b>Team Quest and Others as noted</b>	<ol style="list-style-type: none"> <li>1. Notification of Ineligible Person:               <ol style="list-style-type: none"> <li>a. When HealthCare Partners identifies that a Screened Person is an Ineligible Person, Team Quest will coordinate with the appropriate teams to implement the following corrective action steps:                   <ol style="list-style-type: none"> <li>i. Immediately remove the Ineligible Person from responsibility for, or involvement in any business operation;</li> <li>ii. Terminate employment, contract or credentials by working with the appropriate department;                       <ol style="list-style-type: none"> <li>1. Notifying the Credentialing Department when a healthcare provider has been determined to be an Ineligible Person;</li> <li>2. Notify teammate's supervisor and Human Resources (People Services) of any Ineligible Person in order to terminate the teammate or contracted teammate immediately in accordance with state regulations; and</li> <li>3. Notify Accounts Payable of any Ineligible Person so all payments can be placed on hold and send notification of the immediate discontinue use of Ineligible Person's services.</li> </ol> </li> <li>iii. Provide repayment for amounts collected from federal or state healthcare program(s) for services furnished by an Ineligible Person; and</li> <li>iv. If the Ineligible Person is excluded in state where they are not providing services, refer to procedure C below for corrective action steps.</li> </ol> </li> </ol> </li> </ol>
<b>Team Quest and Possible Ineligible Person</b>	<ol style="list-style-type: none"> <li>1. Sanction Screening Questionnaire Attestation Process:               <ol style="list-style-type: none"> <li>a. Screened Persons whose Exclusion Screening outcome has been reported as a possible Ineligible Person by a name match only, and there is no ability to clear the Screened Person with a unique identifier (e.g. social security number, date of the birth or Tax Identification Number (TIN)), will be required to do the following:                   <ol style="list-style-type: none"> <li>i. Complete the <i>Sanction Screening Questionnaire Attestation form</i> and return the attestation to Team Quest via fax within ten (10) business days to attest whether or not they are excluded.</li> </ol> </li> </ol> </li> </ol>

# Compliance Policy, Guidelines & Procedures



<b>Division:</b> All HealthCare Partners Entities	<b>Department Policy Owner:</b> Compliance Department
<b>Title:</b> Excluded Individual and Sanctioned Screening Policy	
<b>Effective Date:</b> February 2014	<b>Issue Date:</b> February 2014
	<b>Revision Date:</b> April 2015
<b>Policy Number:</b> HCP-TQ-08	<b>Page:</b> 4 of 5

Responsible Party	Procedures
	<ul style="list-style-type: none"> <li>b. Failure to return the attestation form within the required time frame will result in the suspension of employment, payment and credentials.</li> </ul>
<b>Team Quest and Ineligible Person</b>	<ul style="list-style-type: none"> <li>1. Ineligible Person Not Providing Services in the State Where Excluded               <ul style="list-style-type: none"> <li>a. Team Quest will notify the Ineligible Person they are excluded in a state where they are not providing services.                   <ul style="list-style-type: none"> <li>i. The Ineligible Person, in order to continue their employment, contract, or credentials with HealthCare Partners must be reinstated with the excluded state program within 60 days.</li> </ul> </li> </ul> </li> <li>2. Failure to be reinstated within 60 days may terminate the Ineligible Person's employment, contract, or credentials.</li> </ul>

*Teammates are expected to report possible violations of this policy and procedure. You may make your report to your supervisor, to the Compliance Hotline (1-855-236-1448 or [www.healthcarepartners.ethicspoint.com](http://www.healthcarepartners.ethicspoint.com)) or to Team Quest. HealthCare Partners has a Non-Retaliation policy and will not tolerate any form of retaliation against anyone who files a Compliance report in good faith. Reports can be made anonymously or you may request confidentiality. Questions regarding this policy should be directed to Team Quest at [CorporateCompliance@healthcarepartners.com](mailto:CorporateCompliance@healthcarepartners.com).*

## **References Sources:**

42 U.S.C. § 1320a-7(a) – mandates exclusion for conviction of healthcare program- related crimes, conviction relating to patient abuse or neglect, felony conviction relating to healthcare fraud, or felony conviction relating to controlled substances .

42 U.S.C. §§ 1320a-7(b)(1)-(3) – permits exclusion for misdemeanor conviction relating to healthcare fraud, conviction relating to fraud in non-healthcare programs, conviction relation to obstruction of an investigation, or misdemeanor conviction relating to controlled substances.

# Compliance Policy, Guidelines & Procedures



<b>Division:</b> All HealthCare Partners Entities	<b>Department Policy Owner:</b> Compliance Department
<b>Title:</b> Excluded Individual and Sanctioned Screening Policy	
<b>Effective Date:</b> February 2014	<b>Issue Date:</b> February 2014
	<b>Revision Date:</b> April 2015
<b>Policy Number:</b> HCP-TQ-08	<b>Page:</b> 5 of 5

Date	Published	Revised	Reason for Revision	Legal Review by	Compliance Approval by
02-2014	X				T. Burke VP Compliance
04-2015		X	Plan requirements (CA)	B. McCubrey	S. Brackley CCO