**Applicability:** UW Medicine

**Policy Title:** Exclusion Screening

**Policy Number:** COMP.007

**Superseded Policies:**
- HMC, 135.4 Staff and Vendor Screening
- NWH, Independent Contractor & Vendor Exclusion Screening
- VMC, Employee, Independent Contractor and Vendor Screening Policy & Procedure
- UWMC, 15-6 Employee Screening
- UWMC, 15-14 Vendor Screening
- UWP, C-015 Employee and Vendor Screening

**Date Established:** October 11, 2017

**Date Effective:** June 17, 2022

**Next Review Date:** June 17, 2025

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**PURPOSE**

This policy establishes the standards by which UW Medicine screens all new employees, temporary employees, volunteers, consultants, governing body members, First Tier, Downstream or Related Entities (FDRs) and vendors for restrictions on their ability to participate in federal and state healthcare programs and contracts.

This policy applies to all UW Medicine departments and operational units that perform exclusion screening.

**POLICY**

UW Medicine does not hire, grant privileges to, contract with or bill for services rendered by individuals, entities and vendors who:

- Are excluded, debarred, suspended or otherwise declared ineligible to participate in federal healthcare programs or contracts;
- Have been convicted of a criminal offense as defined by 42 U.S.C. § 1320a-7(a) but have not been excluded, debarred, suspended or otherwise declared ineligible to participate in federal healthcare programs.

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1 UW Medicine refers to the seven UW Medicine entities: Harborview Medical Center, Valley Medical Center, UW Medical Center, UW Medicine Primary Care, UW Physicians, UW School of Medicine, and Airlift Northwest.

2 42 U.S.C. § 1320a-7(a) - Exclusion of certain individuals and entities from participation in Medicare and State healthcare programs
I. Initial Hiring, Credentialing, and Contracting

A. Prior to hiring or privileging/credentialing an individual or contracting with an entity or vendor, UW Medicine screens the individual or organization against the applicable federal exclusion list(s), including:
   • Department of Health and Human Services Office of Inspector General (OIG) List of Excluded Individuals and Entities (LEIE); and
   • U.S. General Service Administration (GSA) System for Award Management (SAM).

II. Ongoing Screening

A. Subsequent to initial hiring, privileging/credentialing or contracting, exclusion screening is completed against the OIG and GSA exclusion lists: at the following intervals:
   • Individuals are screened monthly.
   • Vendors are screened on a regular basis, and no less than semi-annually as established by the department or operational unit that performs the screening.
   • Vendors determined to be a First Tier, Downstream or Related Entity (FDR) are screened monthly.

III. Notification Responsibilities

A. UW Medicine includes language in its contracts that require vendors to comply with the law to disclose information regarding exclusions from federal healthcare programs.

B. It is the responsibility of each individual, entity or vendor to provide immediate notice to UW Medicine upon being (A) excluded, debarred, suspended or otherwise declared ineligible to participate in federal or state healthcare programs or contracts; (B) convicted of a criminal offense as defined by 42 U.S.C. § 1320a-7(a).

C. UW Medicine will notify health plan partners when sanctions or exclusions are discovered, within timelines indicated in the delegated service agreement.

IV. Exclusions

A. If an individual, entity or vendor has been excluded, debarred, suspended or otherwise declared ineligible to participate in federal healthcare programs or contracts or found to be convicted of a criminal offense as defined by 42 U.S.C. § 1320a-7(a), the appropriate UW Medicine departments are notified for further review and action, as needed. Actions may include the following:
   • Immediate removal of the individual, entity or vendor from direct or indirect responsibility for, or involvement in, any federal or state-funded healthcare program until (a) the issue is resolved and (b) it is determined the individual, entity or vendor is not excluded, debarred, suspended or otherwise ineligible to participate in federal or state healthcare programs;
   • Repayment of claims for services in which the excluded individual, entity or vendor, participated;

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3 For the purpose of this policy, “participated” means ordered, referred, provided or supported the service.
• Suspension of privileges or termination of the individual consistent with the terms and conditions of employment and/or the privileging relationship; and/or
• Termination of the contract with the individual, entity or vendor.

V. Document Retention

Appropriate documentation is maintained for the screening process and findings by the UW Medicine departments and operational units that perform exclusion screening for a period of 10 years per the UW Medicine Records Retention Schedule.

REGULATORY/LEGISLATION/REFERENCES

• Exclusion of certain individuals and entities from participation in Medicare and State health care programs, 42 U.S.C. §1320a–7.

PROCEDURE ADDENDUM(s) REFERENCES/LINKS

• UW Medicine Compliance Glossary.
• UWMC 75-18/HMC, Vendor Screening for Suppliers Including Consultants.
• ALNW, Pre-hire Background Checks.
• VMC, Vendor Credentialing.
• UWNC, Compl014 Vendor Screening.
• UW Medicine Records Retention Schedule

APPROVALS

/s/ Beth DeLair __________________________ 7/5/2022 __________________________
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Date
Associate Vice President for Medical Affairs, UW