

**Policies and Procedures: WVU Physicians of Charleston**  
**Sanction Screening**

*Section:*           **Compliance**  
*Chapter:*          **Administration**  
*Policy:*           **Sanction Screening; Preclusion on Doing Business With Excluded  
Individuals/Entities**

**I.     PURPOSE**

To establish a policy which will ensure that WVU Physicians of Charleston (WVUPC) does not employ or contract to do business with individuals or entities who are currently excluded by the Office of Inspector General (OIG) and/or the General Service Administration (GSA) from participation in Federal health care programs.

**II.    ACCOUNTABILITY**

Under the direction of the Board of Directors, WVUPC's Chief Operating Officer, Departmental Chairs, Human Resources Department and Director of Corporate Compliance & Regulatory Affairs shall take all such steps as are necessary and appropriate in order to ensure compliance with and implementation of this policy.

**III.   APPLICABILITY**

This policy applies to all WVUPC employees and to all individuals/entities entering into contracts to do business with WVUPC.

**IV.    POLICY**

In accordance with Federal law, WVUPC will not employ or enter into contracts to do business with any individual or entity that is currently excluded by the Office of Inspector General (OIG) and/or the General Service Administration (GSA) from participation in Federal health care programs.

**V.     PROCEDURE**

1.     The WVUPC employment application will require an attestation by the candidate seeking employment, stating whether or not such candidate has ever been convicted of a crime or has ever excluded/sanctioned by any federal or state healthcare agency.

2. Prior to the hiring of any candidate for employment by WVUPC, the WVUPC Human Resources Department must be notified of the pending hire and must ascertain whether or not the candidate is listed on either the OIG or GSA exclusionary rosters. The listings to be utilized by the Human Resources Department for such pre-hire searches are accessible by Internet at:

(For OIG) <http://exclusions.oig.hhs.gov/>.

(For GSA) <http://epls.arnet.gov/>

3. If an employment candidate is found to be listed on either of the above-referenced exclusionary rosters, the Director of Corporate Compliance & Regulatory Affairs shall be notified by the Department of Human Resources, shall undertake a thorough review of the matter, and shall communicate all relevant findings and legal ramifications of the matter to the WVUPC Board of Directors. The WVUPC Board of Directors shall, following receipt of the report of the Director of Corporate Compliance & Regulatory Affairs, have final authority on the hiring decision(s) in such circumstances.
4. Any third-party contracts, business arrangements and/or purchasing agreements entered into by or on behalf of WVUPC shall specify that the contract or agreement is conditioned upon the third-party's eligibility to participate in the federal health care programs. The clinical departments of WVUPC shall notify its Director of Corporate Compliance & Regulatory Affairs ("Compliance Officer") of the corporation or his/her designee of their department's intention to enter into any third-party contracts or business arrangements, including but not limited to temporary employment arrangements, with any third party individual or business entity so that the necessary exclusionary roster searches may be completed.
5. Prior to execution of any third-party contract, business arrangement or purchasing agreement on behalf of the corporation, including but not limited to temporary employment arrangements, WVUPC's Compliance Officer or his/her designee shall be notified and shall take reasonable steps to ensure that such third-party individual or entity does not appear on either the OIG or GSA listing of excluded parties, utilizing the Internet search sites referenced in paragraph no. 2 of this Policy. If such search indicates that the third-party is on either the OIG or GSA list of excluded individuals and entities, the Compliance Officer shall undertake a thorough review of the matter, and shall communicate all relevant findings and legal ramifications of the matter to the WVUPC Board of Directors. The WVUPC Board of Directors shall, following receipt of the report from the Compliance Officer, have final authority on the matter.
6. To protect WVUPC against the possibility that an individual or entity may have been excluded from program participation subsequent to their employment, during the duration of a business contract, or after the granting of clinical privileges, the relevant federal health care program exclusionary data bases

searches shall also be performed semi-annually by or at the direction of the Compliance Officer. If it is determined that a current employee, or third-party with whom WVUPC has entered a current business contract or arrangement, is on the federal exclusionary rosters, the Compliance Officer shall undertake a substantive review of the matter, and shall report all relevant findings, including legal ramifications of the continued employment or business relationship, to the WVUPC Board of Directors. The WVUPC Board of Directors shall have final authority on the matter.

**VI. Amendment or Termination of this Policy**

This policy may be amended or terminated at any time.

**VII. References**

- 42 C.F.R. §1001.1901
- <http://oig/hhs.gov/fraud/docs/alertsandbulletins/effectuated.htm>.