



**Shasta County Health and Human Services Agency  
Managed Care, Compliance and Quality Management**

**Excluded Individuals and Entities**

**1.0 Persons/Programs Affected** *(Check all that apply)*

<input checked="" type="checkbox"/> All Staff	<input type="checkbox"/> All Managers	<input type="checkbox"/> All Supervisors	

\*Each branch to have unique Persons/Programs Affected  
\*All employees include all employees—full-time, part-time and extra-help.

**2.0 Definitions**

**Excluded Individual/Entity**—The *List of Excluded Individuals and Entities* (LEIE) established by the Office of Inspector General (OIG) in 1981, provides information to the health care industry, patients, and the public regarding individuals or entities currently excluded, suspended, debarred, or otherwise, ineligible to participate in the Medicare, Medicaid, or other federal or state funded health care programs. Individuals and entities who have been reinstated are removed from the LEIE. The LEIE contains only exclusion actions taken by the OIG. There are many basis for exclusion, including a conviction related to the Medicare or Medicaid program, a conviction related to patient abuse, or an action taken by the state licensing authority. The LEIE only reports exclusion actions taken by the OIG and is not a clearinghouse for reporting actions taken by other agencies.

**Federal Health Care Programs** – Medicare, Medicaid, and all other plans and programs that provide health benefits funded directly or indirectly by the United States. The exclusion implemented prior to August 4, 1997, includes the following federal health care programs: Medicare (Title XVIII), Medicaid (Title XIX), Maternal and Child Health Services Block Grant (Title V), Block Grants to states for Social Services (Title XX), and State Children’s Health Insurance (Title XXI) programs.

**Medi-Cal Suspended and Ineligible Provider List** – The *Medi-Cal Suspended and Ineligible Provider List* (Suspended List) is maintained by the California Department of Healthcare Services (DHCS). The Suspended List includes individuals suspended from Medi-Cal participation if the individual or entity has: been convicted of a felony; been convicted of a misdemeanor involving fraud or abuse of the Medi-Cal program or any patient; been suspended from federal Medicare or Medicaid programs; lost or surrendered a license or certificate; or breached a contractual agreement with DHCS that explicitly specified inclusion on this list as a consequence.



## Shasta County Health and Human Services Agency Managed Care, Compliance and Quality Management

### Excluded Individuals and Entities

**System for Award Management (SAM)** – SAM is the official U.S. Government system that consolidated the capabilities of the Central Contract Registry (CCR), Federal Agency Registration (FedReg), Online Representations and Certifications Application (ORCA) and Excluded Parties List System (EPLS). SAM includes OIG’s exclusions but also includes debarment actions taken by federal agencies.

#### 3.0 Policy

The purpose of this policy and procedure (P-P) is to communicate the requirements regarding the OIG *LEIE/Suspended List/SAM* for federal or state funded health care programs and the required steps when an employee, contractor, sub-contractor, and/or vendor is identified as an excluded entity or individual.

An exclusion on *LEIE/Suspended List/SAM* will result in no payment made by Shasta County for any federal or state health care funded program for any items or services furnished, ordered, or prescribed by an excluded individual or entity. The payment prohibition applies to the excluded person, anyone who employs or contracts with the excluded person, and any hospital or other provider where the excluded person provides services. The exclusion applies regardless of who submits the claims and applies to all clinical, administrative and management services furnished by the excluded person/entity.

↪ **NOTE: Exclusions affect only the ability to claim payment from the above programs for items and services rendered; it does not affect the ability of any individual to receive Medicare or Medicaid benefits under these programs.**

Pursuant to federal regulations, the Shasta County Health and Human Services Agency (HHS) Compliance Program has established this P-P to ensure no individual, including employees, volunteers, contract providers and/or their vendors, are identified on the *LEIE/Suspended List/SAM* as excluded from participation in federal health care programs.

Individuals employed by the HHS or current contract providers and/or their vendors who become designated as an *Excluded Individual/Entity* on *LEIE/Suspended List/SAM* or are charged with criminal conduct that could lead to exclusion from participation in federal health care programs shall be immediately removed from responsibility for, or involvement with, Mental Health Managed Care Plan (MHP) operations funded by any



**Shasta County Health and Human Services Agency  
Managed Care, Compliance and Quality Management**

**Excluded Individuals and Entities**

federal or state health care programs until such time as the person or entity is reinstated or cleared of all charges.

Further, the Shasta County HHS shall not hire or contract with any individual or entity under sanction or exclusion on LEIE/Suspended List/SAM or any other authorized law enforcement, regulatory, or licensing agency.

**4.0 Procedure**

All entities/individuals considered for employment or contractual negotiations providing services related to specialty mental health services shall be cleared as not being an excluded entity or individual **prior** to hiring or contracting for a position or service that will be paid with federal or state health care programs.

**Responsibilities of the Compliance Program**

It is the responsibility of the Compliance Officer or designee to:

1. Prior to hire or contracting and at least monthly thereafter, Compliance Officer or designee shall conduct checks to verify that all employees, volunteers, contractors and vendors, do not appear on the following:
  - a. Current LEIE (<http://www.oig.hhs.gov/exclusions/index.asp>);
  - b. Medi-Cal Suspended and Ineligible Provider List (<https://files.medi-cal.ca.gov/pubsdoco/SandILanding.asp>).
  - c. The System for Award Management (SAM) (<http://sam.gov>).
2. Immediately report to the Compliance Officer or designee, any employee, volunteer, contractor and vendor, identified as an Excluded Individual/Entity on LEIE/Suspended List/SAM.
3. Reassign any Excluded Individual/Entity to a position in which the person's salary or the goods and services rendered, ordered or prescribed are not paid in whole or in part, by federal or state health care programs until such time the person is removed from the LEIE/Suspended List/SAM.
4. Report activities and findings to the Compliance Committee for review and consideration and/or policy revisions, improvements, or additions.



**Shasta County Health and Human Services Agency  
Managed Care, Compliance and Quality Management**

**Excluded Individuals and Entities**

5. Maintain documentation of the LEIE/Suspended List/SAM name search performed (such as a printed screen-shot showing the results of the name search) and any additional searches conducted in order to verify results of potential name matches for all employees, contractors, volunteers, vendors, and/or sub-contractors funded in whole or in part by federal or state health care programs and retain the documentation for a minimum of **seven (7) years** after separation from employment or other relationship with the HHS. An activity log may be used to document the information but must identify who conducted the LEIE/Suspended List/SAM verification, date, results, and notification of other parties, as appropriate.

**Responsibilities of MHP Contract Providers:**

It is the responsibility of HHS MHP Contract Provider(s) to:

1. Prior to hire or subcontracting and at least monthly thereafter, Contractor shall conduct checks to verify that all employees, volunteers, vendors and subcontractors, do not appear on the following:
  - a. Current LEIE (<http://www.oig.hhs.gov/exclusions/index.asp>);
  - b. Medi-Cal Suspended and Ineligible Provider List (<https://files.medical.ca.gov/pubsdoco/SandILanding.asp>).
  - c. The System for Award Management (SAM) (<http://sam.gov>).
2. Notify the Compliance Officer or designee within two (2) business days after an employee, individual, vendor, or sub-contractor is identified as an Excluded Individual/Entity from LEIE/Suspended List/SAM.
3. Remove any Excluded Individual/Entity from active duty in any position in which the person's salary or the goods and services rendered, ordered, or prescribed are paid in whole or in part, by federal or state health care programs until such time the person is removed from the LEIE/Suspended List/SAM.
4. Maintain documentation of the LEIE/Suspended List/SAM name search performed (such as a printed screen-shot showing the results of the name search) and any additional searches conducted in order to verify results of potential name matches for all employees, contractors, volunteers, vendors, and/or sub-contractors funded in whole or in part by federal or state health care programs and retain the documentation for a minimum of **seven (7) years** after separation from employment or other



**Shasta County Health and Human Services Agency  
Managed Care, Compliance and Quality Management**

**Excluded Individuals and Entities**

relationship with the contractor. In addition, an activity log may be used to document the information and must identify who conducted the LEIE/Suspended List/SAM verification, date results, and notification of other parties, as appropriate. Provide copies (paper or electronic) of documentation to the HSA Compliance Officer or designee, monthly or as otherwise required by contract terms.

**References and Citations**

42 Code of Federal Regulations §1001.2001 - 1001.2007

Social Security Act, § 1128 and 1156

MHP Agreement between Shasta County and the California Department of Health Care Services

OIG Exclusion Downloadable Database, General Program Information and List of Excluded individuals/Entities Search: [www. http://oig.hhs.gov/fraud/exclusions.asp](http://oig.hhs.gov/fraud/exclusions.asp)

Employees, contractors, and/or sub-contractors who have questions or wish to contest the information contained in the LEIE may contact the OIG Exclusions Staff:

Email: [sanction@oig.hhs.gov](mailto:sanction@oig.hhs.gov)

Phone: 202-691-2311

Fax: 202-691-2298

Mail: HHS, OIG, OI  
Attn: Exclusions  
P.O. Box 23871  
Washington, DC 20026

**5.0 Attachments**

NA

**6.0 Revision History**

Date	No.	Action:
5/20/11	6511, Rev 1	Revision
05/27/2014	2014-18	Revision to new format and renumbered from 6511, Revision 1 to 2014-18
04/10/2017	2014-18.2	Updated language; added Medi-Cal Suspended and Ineligible List and SAM



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**Excluded Individuals and Entities**

**7.0. Other Agency Involvement**

NA

**8.0 Authorization/Signatures**

The above policy and procedure has been reviewed and is authorized for immediate implementation:

\_\_\_\_\_  
Donnell Ewert, MPH, Director  
Shasta County Health and Human Services Agency

5/16/17

\_\_\_\_\_  
Date

\_\_\_\_\_  
Tracy Tedder, Compliance Officer  
Director, Business & Support Services  
Shasta County Health and Human Services Agency

5/12/17

\_\_\_\_\_  
Date