POLICY: BACKGROUND & SANCTIONS CHECKS

POLICY STATEMENT:
UConn Health does not knowingly intend to employ, place, engage or retain persons in positions of trust who have demonstrated a propensity to engage in illegal activities. If a person has been excluded from participation in a federally funded or state funded healthcare program or has been convicted and in certain cases* arrested for a criminal offense, the nature of the situation, and the responsibility of the person will be considered in determining whether to move ahead with the employment, placement or engagement or to terminate the individual. For individuals of the Medical Staff holding a medical staff appointment, such termination shall be in compliance with the Medical Staff Bylaws.

Applicants unwilling to submit to a background check or sanctions check are not considered for employment, placement or engagement.

All individuals about whom information is discovered through the background and sanctions checks process shall have the right to review and defend any and all information obtained in the process.

All staff and volunteers of UConn Health are obligated to notify their supervisor or Human Resources within five business days if they have been convicted and in certain cases* arrested for a criminal offense, or if they have been excluded/debarred from a federally-funded healthcare program or the State of Connecticut while in the employ of UConn Health. Contractors are also required to report exclusions/debarments to UConn Health.

All staff covered by the Medical Staff Bylaws have an obligation to notify the Medical Staff Office within five business days if they are convicted and in certain cases* arrested of a criminal offense or have been excluded/debarred from a federally funded healthcare program or the State of Connecticut.

The inquiries into the background of all persons associated with UConn Health are intended to comply with federal and state law and are required as per the organization’s Corporate Compliance Plan.

* CMHC per DOC
I.) PROCESS OF CONDUCTING BACKGROUND AND SANCTIONS CHECKING:
UConn Health conducts background investigations and federal sanctions checks on the following individuals or groups of personnel associated with the UConn Health. Additional checks may be warranted dependent on position responsibilities (e.g., credit, driving, FBI, etc.). In certain situations Public Safety will use its discretion to determine whether a background or sanction check is required or may be waived for a particular hire, placement or engagement.

A. Sanctions checks:
- Initial sanctions checks are completed on all new employees, School of Medicine (SOM) and School of Dental Medicine (SODM) residents, all non-UConn students and all UConn Nursing and Pharmacy students entering non-paid educational experiences, volunteers, and all vendors and contractors.
- Sanctions checks are also conducted semi-annually on current employees of UConn Health, SOM and SODM residents and all vendors and contractors.
- Sanctions checks may include a review of the government sanctions reports/databases noted below:
  1. Excluded parties List System on-line databases maintained by GSA (EPLS website)
  2. Health & Human Services/Office of Inspector General List of Excluded Individuals/Entities on-line database (OIG website)
  3. National Practitioner’s Data Bank (NPDB) (Medical Staff Services Office only)
  4. Food and Drug Administration (FDA)
  5. Office of Research Integrity (ORI)
  6. State of CT Debarment List (Dept. of Labor Website)

B. Background checks:
- Background checks are completed on all new employees, SOM and SODM residents, all non-UConn students and all UConn Nursing and Pharmacy students entering non-paid educational experiences, all volunteers, and all vendors and contractors.
- Background checks are also completed annually for all vendors and contractors.
- Criminal background checks include the following:
  1. Identity verification
  2. Criminal background check conducted by UConn Health’s Department of Public Safety.
- Other background checks may include the following:
  1. Identity verification
  2. Verification of information on resumes (for example previous employment, credentials) by contacting professional references, licensing boards, certification boards and societies and other references.

C. Correctional Managed Health Care (CMHC)
CMHC employees, vendors, and contractors are screened according to Department of Correction (DOC) standards.
D. Police Officers
In addition to the checks listed in A and B above, applicants for police officer positions must meet and maintain the current requirements of the Police Officer Standards and Training Council.

II.) DEPARTMENTS RESPONSIBLE FOR REVIEW PROCESS:
All departments listed below work collaboratively with Public Safety to ensure that background and sanctions checks are carried out. Procedures governing the process for initiating, running and reporting the checks are available in the departments.
A. **Human Resources** is responsible for assuring the review process for all employees.
B. **Medical Staff Office** is responsible for assuring the review process for all credentialed staff.
C. **Purchasing Services, Facility Contracts & Leases (FCL), Finance-Contracts, and UConn Health Finance Corporation** are responsible for conducting initial sanctions/debarment checks and advising the vendor/contractor about UConn Health’s background check requirements at the time that they are preparing a contract on behalf of a UConn Health department.
D. **Fiscal Services** with assistance from **Information Technology** is responsible for conducting semi-annual sanctions checks for all vendors/contractors as listed in the Financial Reporting System (FRS).
E. **Bursar** is responsible for conducting sanctions checks on all individuals visiting UConn Health on a guest/candidate travel authorization.
F. **School of Dental Medicine** is responsible for assuring the review process for all dental residents and non-paid dental faculty.
G. **UConn Health Departments retaining contract staff** are responsible for assuring the review process for all contract staff working directly in or for their departments.
H. **The Capital Area Health Consortium** is responsible for assuring the review process for all consortium residents.

III.) REVIEW PROCESS UPON DISCOVERY OF INFORMATION:
A review process shall be completed on all material submitted by applicants who acknowledge either convictions of criminal offenses or sanctions. Results of the background and sanctions checks are reviewed for applicability to individual responsibilities and potential employment, placement or engagement situations. Consultation with Public Safety, the Office of Attorney General, Associate Vice President, Human Resources, Director of Research Compliance, UConn Health Compliance Integrity Officer or other appropriate administrative authorities may be necessary to make decisions regarding an individual’s employment, placement or engagement at UConn Health.

A. **In evaluating applicants with criminal convictions**, the following factors will be considered as required by Conn. General Statutes:
   - The nature of the offense(s) and its relationship to the position or contract sought.
   - The degree to which the individual has demonstrated rehabilitation.
   - The length of time elapsed since conviction.
B. **In evaluating individuals who acknowledge being sanctioned**, the following factors are considered as required by the references below:

- Individuals are not considered for employment, placement or engagement if they are on the OIG or GSA sanctions/debarment lists.
- Contracts will not be entered into with companies or individuals on the OIG, GSA or State of Connecticut sanctions/debarment lists.
- With respect to the research related sanctions lists, it will be necessary for the hiring party to re-evaluate whether the individual can still be employed, placed or engaged. This will be done within the structure of the review process.

**REFERENCES:**

- CT General Statutes Sec. 46a-79 and 46a-80
- Sections 1128, 1128A and 1156 of the Social Security Act
- Department Of Health And Human Services Office of Inspector General Publication of the OIG Compliance Program Guidance for Hospitals, February 23, 1998
- Section 306(a) and (b) of the Federal Food, Drug, and Cosmetic Act (21 U.S.C §335(a) and (b))

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Iris Mauriello (signed)  
Corporate Compliance Integrity & Privacy Officer  
Date: 9/30/09

Cato T. Laurencin (signed)  
Vice President/Health Affairs  
Date: 10/3/09

**Replaces: #2001-03 dated 10/18/01**  
Revised date: 9/13/02