

# UConn HEALTH

## Administrative Policy 2001-03 Sanctions and Exclusions

<b>Title</b>	Sanctions and Exclusions
<b>Policy Owner and Contact Information</b>	Office of Healthcare Compliance & Privacy Phone: 860-679-6060 Email: ohcp@uchc.edu
<b>Campus Applicability</b>	University of Connecticut locations providing healthcare services, including UConn Health and UConn John Dempsey Hospital
<b>Applies to</b>	UConn Health Workforce Members and UCONN Healthcare Workforce Members
<b>Effective Date</b>	August 16, 2023

### **PURPOSE:**

This document outlines the policies and procedures followed for ensuring that all individuals, healthcare professionals (including residents), students, entities, contractors, consultants, vendors, joint venture parties, volunteers, and affiliates that provide and/or perform services for or on behalf of UConn Health and/or perform healthcare services for or on behalf of the University of Connecticut have not been the subject of adverse governmental actions, have not been excluded from federal healthcare programs, have not been excluded from State of Connecticut healthcare programs, and have credentials in good standing, as applicable.

### **POLICY STATEMENT:**

1. UConn Health shall not employ or engage in a business relationship with anyone who is currently under sanction or exclusion by the U.S. Department of Health and Human Services Office of Inspector General (OIG) or any other duly authorized enforcement agency or licensing and disciplining authority.
2. UConn Health shall not employ any individual who has been recently convicted of a criminal offense related to healthcare or who is listed as excluded or otherwise ineligible for participation in federal healthcare programs.
3. Prior to establishing employment or a business relationship with individuals or entities, including medical staff appointments, and on a routine basis for those individuals and entities with which it has an employment or business relationship, including medical staff appointments, UConn Health shall screen those individuals and entities against the current OIG List of Excluded Individuals and Entities (LEIE) and any relevant State of Connecticut list(s) of excluded individuals and/or providers.
4. Prior to establishing a business relationship and on a routine basis, UConn Health shall screen all contractors, consultants, vendors, joint venture parties, and affiliates providing ancillary medically-related services or products against the General Services Administration (GSA) System for Award Management (SAM) exclusion list. If it is determined that an individual or entity is under debarment, UConn Health shall follow the guidance offered by the GSA on their website and by CMS.
5. Prospective employees and vendors, or practitioners seeking appointment or reappointment to UConn Health's medical staff, who have been officially reinstated into the Medicare and Medicaid

programs by the OIG, may be considered for employment, a contractual relationship or professional staff membership/privileges upon proof of such reinstatement and a determination that there are no other impediments to such action.

6. UConn Health shall terminate employment and/or business relationships with individuals with direct responsibility for or involvement in any federal healthcare program upon identification of an applicable sanction or exclusion, as well as those pending the resolution of any criminal charges or proposed exclusion, sanction, or debarment. Contractors under pending criminal charges shall be suspended from continued work until the matter is resolved in a court of law. For individuals of the Medical Staff holding a medical staff appointment, such termination shall be in compliance with the Medical Staff Bylaws.
7. UConn Health shall exercise reasonable due diligence to verify that any party found on an exclusion list is the same individual or entity noted.

**DEFINITIONS:**

None

**REFERENCES:**

CT General Statutes Sec. 46a-79 and 46a-80

Sections 1128, 1128A and 1156 of the Social Security Act

U.S. Department of Health and Human Services Office of Inspector General Publications:

- OIG Compliance Program Guidance for Hospitals, February 23, 1998
- Supplemental Compliance Program Guidance for Hospitals, January 31, 2005
- Compliance Guidance for Individual and Small Group Physician Practices, October 5, 2000

Department of Health and Human Services Office of Inspector General's List of Excluded Individuals and Entities. <http://www.oig.hhs.gov/fraud/exclusions.asp>

HIPAA Privacy Rule; 45 CFR Part 160, Subparts A&E, §164 *Standards for Privacy of Individually Identifiable Health Information*. 2000 and 2002.

42 U.S.C. §§1320a-7B (2006).

U.S. General Services Administration's System for Award Management.

[www.sam.gov/portal/public/SAM/](http://www.sam.gov/portal/public/SAM/)

**PROCEDURES/FORMS:**

[Sanctions and Exclusions Check Procedures](#)

**RELATED POLICIES:**

[Medical Staff Bylaws](#)

**ENFORCEMENT:**

Violations of this policy or associated procedures may result in appropriate disciplinary measures in accordance with University By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, the University of Connecticut Student Code, other applicable University Policies, or as outlined in any procedures document related to this policy.

**APPROVAL:**

Bruce Liang (Signed)  
Bruce Liang  
UConn Health Interim Chief Executive Officer

8/16/2023  
Date

Elle Box (Signed)  
Elle Box  
Chief Healthcare Compliance & Privacy Officer  
Administrative Policy Committee Co-Chair

8/15/2023  
Date

Janel Simpson (Signed)  
Janel Simpson  
Chief Administrative Officer  
Administrative Policy Committee Co-Chair

8/15/2023  
Date

**POLICY HISTORY:**

**New Policy Approved:** 10/18/01  
**Reviewed Without Changes:** N/A  
**Revisions:** 9/02, 9/09, 8/20, 8/23