

Policy Name:	Exclusion Screening
Policy Number:	None
Department:	Compliance
Functional Area:	Compliance
Approved by:	Chief Compliance Officer
Effective Date:	03/31/2023
Version:	4.0
Policy Status:	Approved

I. Policy

Bon Secours Mercy Health, Inc. (BSMH) is committed to compliance with the laws and regulations for the provision of healthcare including, but not limited to, the U.S. Department of Health and Human Services Office of Inspector General (OIG) that prohibit employing, contracting or granting privileges to person or entities that are excluded from participation in Federal or state-funded health care programs, debarred from contracting with the Federal or state government for healthcare related actions, and/or have been convicted of health care related crimes.

II. Purpose

The purpose of this policy is to:

1. Not employ, contract with or grant medical staff membership or privileges to any current and prospective associate, medical staff member, contractor, agent, and board/board committee member (Covered Individuals) who knowingly has been:
 - a. convicted of a criminal offense (misdemeanor or felony) related to health care (as defined in 42 USC§1320a-7)
 - b. listed by a Federal or State agency as debarred, suspended, excluded or otherwise ineligible to participate in any Federal or State-funded health care programs
 - c. listed on Office of Foreign Assets Control (OFAC) Specially Designated Nationals (SDN), or any other international sanctions lists

2. Provide direction to BSMH’s associates, especially BSMH Compliance team, Patient Access, Human Resources Departments, Med Staff Credentialing/Privileging Departments, Contracting Departments, Clinical Research Department, and Governance Departments regarding the process for screening all new and current covered individuals.

III. Scope

This policy applies to all entities within the Bon Secours Mercy Health, Inc. (“BSMH”), all BSMH Board Members, associates, contractors, agents, students, and providers (hereafter “Covered Individuals”).

Policy Name:	Exclusion Screening	Last Reviewed Date:	3/31/2023	Page:	1
Version:	4.0	Last Modified Date:	3/31/2023	Original Date:	8/6/2020

IV. Policy Details

BSMH associates are provided the following direction to ensure that BSMH and its affiliated entities meet all applicable laws and regulations regarding the exclusion check process for screening all new and current covered individuals. BSMH associates include, but are not limited to the following:

- Compliance team (management and coordination of policy);
- Human Resources Department (hiring prospective and current employees and contractors);
- Medical Staff (credentialing and privileging prospective, current and re-certifying providers);
- Supply Chain (prospective, current and renegotiating vendor contracting);
- Governance Department (prospective, current and re-appointed board and committee members);
- Clinical Research Department (prospective, current and re-certifying clinical trial/research providers).

BSMH associates use existing databases and contract with a third-party vendor to provide exclusion screening services to conduct the exclusion checks. Searches may include, but are not limited to, social security number traces, criminal background checks, federal and state debarments/exclusions and motor vehicle record checks.

Ad-hoc or routine Exclusion screening occurs in the following circumstances:

- Initial hire, contract or appointment to BSMH;
- Monthly Exclusion screening monitoring via third party vendor;
- For cause, when BSMH becomes aware of a potential suspension, debarment, or exclusion;
- Due Diligence, review for potential mergers, and acquisition.

In the event BSMH becomes aware of an excluded individual, Compliance will work with Legal and Finance to determine how to pay back dollars associated with government payments received directly or indirectly related to the excluded individuals work at BSMH

V. Exclusions Lists

All potential covered individuals within BSMH and/or its affiliated organizations should be checked against the following databases:

1. U.S. Department of Health and Human Services (HHS), Office of Inspector General List (OIG) of Excluded Individuals and Entities (LEIE), available on-line at <http://exclusions.oig.hhs.gov/>;
2. System for Award Management (SAM) at <http://www.sam.gov>;
3. Centers for Medicaid/Medicare Services (CMS) Preclusion list;
4. National Practitioner Data Bank for specified practitioners who are credentialed and privileged;
5. Office of Foreign Assets Control (OFAC) includes Specially Designated Nationals (SDN) and Blocked Persons List;
6. State-specific Medicaid (MCAID) exclusion listings if States make the files publicly available and require a separate validation from federal databases;
7. Federal Drug Administration (FDA) and Office of Research Integrity (ORI) lists for Clinical Research Department prospective, current and re-certifying clinical trial/research providers;
8. Other Federal and/or State Department of Health exclusion lists.

VI. Definitions

Covered Individuals – means Board Members, associates, contractors, agents, students, and providers.

VII. Related Policies

1. BSMH Conflicts of Interest
2. BSMH Record Retention and Destruction
3. BSMH HR Employment Eligibility policy

VIII. Version Control

Version	Date	Description	Prepared By
1.0	8/6/2020	Policy created and approved	Chief Compliance Officer
2.0	12/4/2020	Added Ireland to facility footer	Chief Compliance Officer
3.0	6/25/2021	Corrected Typo	Chief Compliance Officer
4.0	3/31/2023	Added OFAC, SDN Block Person List, FDA/ORI and ad hoc due diligence screenings	Chief Compliance Officer

This policy/procedure/guideline does not establish a standard of clinical care or practice or standard of non-clinical practice to be followed in every case. The policy/procedure/guideline should guide actions with the understanding that departures may be required at times.

Sites revised 07/08/2022 - Bon Secours Mercy Health adopts the above policy, procedure, policy & procedure, guideline, manual / reference guide / instructions, or principle / standard / guidance document for all Bon Secours Mercy Health entities including, but not limited to, facilities doing business as Mercy Health – St. Vincent Medical Center, Mercy Health – St. Charles Hospital, Mercy Health – St. Anne Hospital, Mercy Health – Tiffin Hospital, Mercy Health – Willard Hospital, Mercy Health – Defiance Hospital, Mercy Health Allen Hospital LLC, Mercy Health - Lorain Hospital, Mercy Health St. Elizabeth Youngstown Hospital, Mercy Health St. Joseph Warren Hospital, Mercy Health - St. Elizabeth Boardman Hospital, Mercy Health - St. Rita's Medical Center, Mercy Health – Springfield Regional Medical Center, Mercy Health - Urbana Hospital, Mercy Health - Anderson Hospital, Mercy Health - Clermont Hospital, Mercy Health – Fairfield Hospital, Mercy Health - West Hospital, The Jewish Hospital – Mercy Health, Mercy Health - Lourdes Hospital LLC, Mercy Health – Marcum and Wallace Hospital, Chesapeake Hospital Corporation DBA Rappahannock General, Maryview Hospital, Bon Secours Richmond Community, Bon Secours Memorial Regional Medical Center, Bon Secours – St. Mary's Hospital, Bon Secours St. Francis Health System, Bon Secours St. Francis Medical Center, Bon Secours Mary Immaculate Hospital, Bon Secours - Southside Medical Center, Bon Secours Mercy Health Franklin, LLC, Southern Virginia Medical Center and Bon Secours Health System CLG.

Policy Name: Exclusion Screening
Version: 4.0

Last Reviewed Date: 3/31/2023
Last Modified Date: 3/31/2023

Page: 4
Original Date: 8/6/2020

