

BURGESS HEALTH CENTER ONAWA, IOWA POLICY AND PROCEDURE MANUAL	POLICY NUMBER: 837.1003.2
DEPARTMENT: Human Resources	EFFECTIVE DATE: 6-21-2019
POLICY: Background/Sanction Screening	SUPERSEDES NUMBER: 837.1003.1

I. PURPOSE

This organization is committed to maintaining high quality care and service as well as integrity in its financial and business operations. Working with employees, vendors, or contractors that have been sanctioned may result in liability for an organization, and any claims or cost reports emanating from those sources might be viewed as false. Therefore, this organization will conduct appropriate screening of key providers, employees, agency and contract staff, independent contractors, vendors and business partners to ensure that they have not been sanctioned by a federal or state law enforcement, regulatory, or licensing agency.

II. SCOPE

Level I

III. RESPONSIBILITY

The Director of Human Resources will be ultimately responsible for ensuring this policy is implemented. The Director of Materials Management has been assigned responsibility for all vendors.

IV. GUIDELINES

- A. **Definition** - for the purposes of this policy, a criminal background check refers to the criminal background completed through the State of Iowa.
- B. Burgess Health Center will conduct necessary sanction screening of all employees, contractors, vendors and business partners prior to initiating a business relationship with them. Prospective employees will be screened post offer, pre-employment.
- C. The Burgess Health Center employment application will include an attestation by the candidate relating to whether he/she was convicted of a crime or sanctioned by a federal or state law enforcement, regulatory, or licensing agency.
- D. Burgess Health center will take all reasonable steps to verify that the information provided is accurate.
- E. All business relationships, including employment, will be terminated with any individual or entity that is currently excluded from participation in the Medicare or Medicaid programs. Prospective or current employees who have been officially reinstated into the Medicare and Medicaid programs by the OIG may be considered for employment upon proof of such reinstatement.
- F. Individuals convicted of a criminal offense related to health care will not be employed or will be terminated. Other criminal offenses in an individual=s background will be considered on a case by case basis and dependent on numerous factors including, but not limited to, the nature of the offense, evidence of rehabilitation and the amount of time passed since the conviction. If there is a background “hit” a Record Check Evaluation by the Department of Human Services (DHS) will be completed within 30 days of the receipt of the “hit”.
- G. Initial employment sanction screening/criminal background information will be maintained by Human Resources for the duration of employment.
- H. The Human Resources Department will maintain the current documentation regarding sanction screening. All employee=s names are checked annual against the OIG=s Cumulative Sanction Report and the Excluded Parties List System (EPLS). Documentation to verify this screening process should be accomplished by printing a copy of the report. This report should be maintained until it can be replaced by the following year=s screening report.
- I. All employee applications must include questions pertaining to any pending charges or conviction for violation of criminal law and/or any sanction or disciplinary actions by any federal or state law enforcement, regulatory, or licensing agency. It will be the responsibility of any hiring authority within the organization to verify the accuracy and honesty of the responses provided by applicants. The following language shall appear on all applications:
 1. Have you ever been convicted of any criminal violation of law, or are you now under pending investigation or charges of violation of criminal law? If yes, explain.
 2. Have you been the subject of any adverse action(s) by any duly authorized sanctioning or disciplinary agency for either conduct based or performance based actions? If yes, explain.
 - a. Verification of the responses will be accomplished by conducting a sanction screening/criminal background check on all individuals to whom an offer of employment has been proffered prior to employment.

- b. Authorization to conduct the criminal background check will be secured from the individual to whom employment has been offered prior to conducting the check. If the individual refuses to sign such authorization, the offer of employment will be withdrawn.
 - c. The criminal background check will be conducted through the State of Iowa and state of residence, if not Iowa.
- J. The credentials of medical professionals or entities employed by Burgess Health Center or with whom they establish a business relationship will be verified with appropriate licensing and disciplining authorities, including any adverse actions taken against the individual that might impair his/her performance of duties, or fiduciary responsibilities on behalf of the organization. This verification process shall include checking against the GSA and the Office of the Inspector General, the National Practitioners Data Bank, and any other data repositories established for a particular job description (i.e., the Certified Nurses= Aide Registry).
1. LEIE search website: <http://oig.hhs.gov/fraud/exclusions/listofexcluded.html>
 2. General Services Administration website: <http://epls.arnet.gov>
 3. Nebraska Nurses Aide Registry: <http://www.hhs.state.ne.us/lis/lis.asp>
 4. Iowa Nurses Aide Registry: <http://www.dia-hfd.state.ia.us/nursesaides>
 5. National Practitioner=s Data Bank: <http://www.npdb-hipdb.com/npdb.html>
- K. The foregoing process should include members of the medical staff, all employees, contracted employees, vendors which could be expected to bill a federal or state program (Medicare/Medicaid) in the course of their business (i.e., durable medical equipment companies, pharmacies, etc.).
- L. A periodic audit of the employment applications and business entities with which Burgess Health Center enters into a business relationship will be made by the Compliance Officer to verify that this policy is enforced. A report of this audit will be made to the Compliance Committee, along with any recommendations for remedial actions or improvement to the program.

V. AUTHORITY

This policy is issued by the Human Resources Department and recommended for approval by:



Erin Brekke
Director of Human Resources

This policy has been reviewed by:



Laura Kuhlmann
HR/Administrative Assistant

This policy has been approved by:



Fran Tramp
President