

Office of Inspector General (OIG)/General Services Administration (GSA) Exclusion Checks

Effective Date: 01/01/2018

Policy

- A. It is the policy of the ACO to ensure that Office of Inspector General (OIG)/General Services Administration (GSA) exclusion checks (hereinafter referred to as "OIG/GSA checks") are performed at the time of hire/contract execution and on a monthly basis thereafter for all Collaborative Health Systems (CHS) employees/contractors, Next Generation Participants, Preferred Providers, Next Generation Professionals, and other individuals or entities performing functions or services related to the ACO's activities.

Applicability

This policy and procedure applies to all Next Generation Participants, Preferred Providers, Next Generation Professionals, and other individuals or entities performing functions or services related to the ACO's activities.

Procedure

- A. CHS performs an electronic OIG/GSA check at the time of hire/contract execution and on a monthly basis thereafter for:
 1. Next Generation Participants;
 2. Preferred Providers;Next Generation Professionals; and,
 3. CHS employees and contractors.
- B. The Next Generation Participant practice performs an electronic OIG/GSA check for all individuals or entities that perform functions or services related to the ACO's activities but are not addressed by the CHS OIG/GSA checks noted above. These checks are also conducted at the time of hire/contract execution and on a monthly basis thereafter.
- C. The Next Generation Participant practice educates all Next Generation Professionals, Preferred Providers, and other individuals or entities performing functions or services related to the ACO's activities about the requirement to perform OIG/GSA checks upon hire and monthly thereafter.
- D. To access the OIG/GSA Online Searchable Database, go to:
<https://oig.hhs.gov/exclusions/index.asp>.

Perform a Batch Review of the Database

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Download the entire Excluded Individuals and Entities (LEIE) Database File to a local computer and run the check.

- a. About the Updated LEIE (taken from LEIE Website):
 - i. The updated LEIE is a complete database containing all exclusions currently in effect.
 - ii. Individuals and entities who have been reinstated **are not included** in this file.
 - iii. This file is replaced with an updated version each month. These monthly “supplement.exe” files can be saved to your computer. Then, you may extract the “.dbf” file into either a database program such as Microsoft access or a spreadsheet program such as Microsoft Excel.
 - b. This file is complete and **should not** be used in conjunction with the monthly exclusion and reinstatement supplements. If no record appears upon submission, then there is no report of fraud or abuse related to that person.
 - c. If the name being checked does appear, verify the name by the associated Social Security Number. If there is a match, the name must be reported through the appropriate chain of command within the organization.
 - d. Keep a monthly record of:
 - i. The dates that the OIG/GSA checks are performed; and,
 - ii. Evidence that the OIG/GSA checks are performed, such as the file or a screen shot.
- F. If there is a match, the name of the individual must be reported as follows:
1. The ACO shall notify CMS within 15 days after becoming aware that any Next Generation Participant or Preferred Provider is under investigation or has been sanctioned by the Government or any licensing authority (including, without limitation, the imposition of program exclusion, debarment, civil monetary penalties, corrective action plans, and revocation of Medicare billing privileges).
 2. **Any positive exclusion check result must be reported to the Compliance Officer or their delegate for review and immediate action.**
- G. Next Generation Participants will attest to the Compliance & Ethics Subcommittee on at least an annual basis that the ACO has performed the required OIG/GSA checks on all Next Generation Professionals, Preferred Providers, and other individuals or entities that perform functions or services related to the ACO’s activities upon their hire/contract execution and monthly thereafter.
- H. Ad hoc OIG/GSA checks may be performed at any time there is a significant incident that warrants investigation.

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Reporting

- A. An OIG/GSA report will be sent to the Governing Body when issues are identified and escalation is needed.

Related Documentation

- A. Next Generation ACO Model Participation Agreement Sections III.D.4 and XVII,
- B. Office of Inspector General Exclusions Program: <https://oig.hhs.gov/exclusions/index.asp>
- C. Social Security Act §1128, §1156

Additional Guidance

OIG checks are to be conducted as defined in the Participant Agreement.