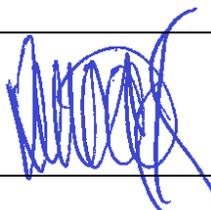


San Bernardino County Department of Behavioral Health

Ineligible Persons Procedure

Effective Date 10/18/2017

Approved Date 02/26/2018



Veronica Kelley, LCSW Director

Purpose To describe the required sanction screening actions and specify the various areas of responsibility in adherence with Title 42 Code of Federal Regulations (CFR), Parts 1001 and 1002, Executive Order 12549, and other applicable laws.

Required Actions In order to ensure DBH is complying with federal and state requirements for sanction screening, it must complete sanction screening by reviewing the following ineligible persons lists:

- List if Excluded Individuals/Entities (LEIE)
- Medi-Cal Suspended and Ineligible (S&I) Provider List
- System for Award Management (SAM)

The following table describes responsible parties and required action(s):

Responsible Party	Required Action
DBH Human Resources	<ul style="list-style-type: none"> • Conduct sanction screening (LEIE and SAM) for prospective DBH employees prior to making a job offer.
DBH Office of Compliance (Compliance)	<ul style="list-style-type: none"> • Conduct sanction screening (Medi-Cal S&I Provider List) for prospective DBH employees prior to hire. • Conduct monthly sanction screening (LEIE, Medi-Cal S&I Provider List and SAM) for existing DBH employees, contract agencies, Fee-For-Service Providers, residents, interns and volunteers. • Maintain a complete record of each sanction screening conducted, including a signed Sanction Screening Attestation, documenting the completion of each sanction screening. • Audit contract agencies for compliance with sanction screening requirements, prior to contract signing/approval and during contract monitoring to ensure contractors are verifying eligibility prior to hire and monthly. Monitoring shall include: <ul style="list-style-type: none"> ○ Inquiring about exclusion process and records maintenance. ○ Reviewing listing of DBH funded employees. ○ Confirming exclusion checks have been completed prior to hire and monthly for DBH funded employees. ○ Reviewing exclusion policy and procedure. ○ Determine compliance with contractual requirements, write audit findings and if applicable, require corrective action.

Continued on next page

San Bernardino County Department of Behavioral Health

Ineligible Persons Procedure, Continued

Required
Actions,
continued

Responsible Party	Required Action
DBH Compliance	<ul style="list-style-type: none"> • Immediately respond to HR, Contracts, Quality Management, etc., to confirm if an applicant, vendor or contract agency is ineligible to work or contract with DBH. If an applicant, vendor or contract agency is ineligible, DBH Compliance shall immediately notify the DBH program that the person or entity <u>cannot</u> work or contract with DBH. • If an individual/entity is deemed excluded/ineligible, notify DBH Fiscal of any ineligible provider or contract to hold funds until eligibility is reinstated, or the monies are repaid.
DBH Contracts Unit Staff	<ul style="list-style-type: none"> • Provide DBH Compliance with name of contract agency to complete sanction screening prior to awarding or renewing a contract, as well as proof of sanction screenings for all potential contractor staff prior to contract approval.
DBH Quality Management	<ul style="list-style-type: none"> • Contact DBH Compliance with name of Fee-For-Service provider and/or DBH funded staff so that a sanction screening can be completed prior to certifying or re-certifying as a Medi-Cal provider, every three (3) years or at recertification.
DBH Contract Agencies	<ul style="list-style-type: none"> • Sign Attestation Regarding Ineligible/Excluded Persons, describing the prohibition of contractor or contractor staff from participation in state or federally funded programs if deemed ineligible/excluded on any of the required databases as well as screening requirements, upon proposal to provide contract services, at contract signing and annually thereafter. <ul style="list-style-type: none"> ○ Submit signed Attestations to DBH Compliance annually. • Conduct sanction screening of potential candidates prior to hiring. • Conduct monthly sanction screening of existing agency staff. • Maintain a complete record of each sanction screening conducted. • Provide access to the complete record of each sanction screening conducted, and the signed Attestation Regarding Ineligible/Excluded Persons to requesting DBH program for various reasons, including, but not limited to, the following: <ul style="list-style-type: none"> ○ Initial certification of provider site ○ Re-certification of provider site ○ Contract monitoring

Continued on next page

San Bernardino County Department of Behavioral Health

Ineligible Persons Procedure, Continued

**Related Policy
or Procedure**

DBH Standard Practice Manual:

- COM0933: [Ineligible Persons Policy](#)
 - COM0917: [Compliance Verification, Auditing and Monitoring Policy](#)
-