



Excluded Providers

Current Policy/Procedure Information

Policy/Procedure Number	Resolution Number	Revision Date	Next Scheduled Review	Responsible Department/Individual
COMP 1.9	N/A	N/A	February 2026	Compliance Office, Human Resources, Audit and Control, Department of Community Services, Department of Public Health, Department of Social Services, The Care Center at Sunset Lake



Excluded Providers

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- I. **Purpose:** Sullivan County is committed to maintaining high quality care and service, as well as integrity in its financial and business operations. Therefore, the County shall actively identify individuals who have been excluded from participation in State and Federal programs including Medicaid and Medicare. Additionally, the County shall actively identify individuals involved in adverse governmental actions related but not limited to waste, fraud, abuse, licensing board sanctions, and professional license revocation/suspension/surrender.
- II. **Scope:** This procedure applies to all County employees, contractors, vendors, board oversight members including the SC Legislature, interns, volunteers. It also applies to any individuals doing business with the County including Foster Care, Kinship, and Adoption guardians and parents.
- III. **Reference:** State and Federal law including NYCRR Title 18 Part 521, SSL § 363-d; NYCRR Title 18 Part 515, Sections 1128(a)(1) – 1128(a)(4) of the Social Security Act (SSA), (42 U.S.C. §1320a-7(a)(1)-(4)).
- IV. **Definitions**
 - A. **Affected Individuals** means for the purposes of this procedure unless otherwise stated, Affected Individuals are defined as all County employees, contractors, vendors, board oversight members including the SC Legislature, interns, and volunteers. Affected Individuals also include any those doing business with the County including Foster Care, Kinship, and Adoption guardians and parents.
 - B. **Exclusions** are administrative sanctions imposed by Federal and State agencies. They are intended to protect their programs and the beneficiaries they serve by barring the participation of individuals and entities who pose risks to them.
 - C. **Exclusion Screening/Check** means the identification process for minimizing risk in hiring, employing and contracting with individuals and agencies that have been involved in adverse governmental actions related but not limited to fraud, patient abuse, licensing board sanctions, professional license revocation/suspension/surrender, or that have been excluded from state and federal health care programs.
 - D. **License/Certification Verification** means the confirmation of the authenticity of an Affected Individual's educational and licensure records.
- V. **Procedure**
 - A. **General**
 1. Sullivan County does not employ or contract with individuals or agencies that have been convicted of a criminal offense related to health care or is debarred, excluded or otherwise ineligible for participation in State or federally funded programs including Medicaid and Medicare.

B. Compliance Office Responsibilities

1. In accordance with State and Federal regulations, the Compliance Office shall ensure that exclusion screening is conducted on all Affected Individuals;
2. Exclusion screening shall be conducted upon hire or executed contract and every 30 days thereafter
3. The Corporate Compliance Officer shall facilitate access to the exclusion screening provider platform including the assignment of a user ID and password;
4. The Corporate Compliance Officer shall ensure individuals/departments running exclusion screenings on behalf of the County receive training provided via the exclusion screening provider;
5. If an individual is flagged during an exclusion screening check, the Corporate Compliance Officer shall contact the appointing authority, the County Manager, and the County Attorney;
6. The Corporate Compliance Officer shall promptly report flagged contracted individuals and agencies to the County Attorney's Office to facilitate contract termination;
7. If the individual flagged performed services billable to a state or federal health care program, the Corporate Compliance Officer shall participate in regulatory requirements to rectify any overpayments; including but not limited to the requirements set forth in NYCRR Title 18 Part 521-3.

C. Department Responsibilities

1. Departments running exclusion screenings shall report findings to the Corporate Compliance Officer by the 30th day each month;
2. If an individual is flagged during an exclusion screening check, the designee shall promptly inform the Corporate Compliance Officer;
8. Failure to report an individual flagged during exclusion screening may result in disciplinary action including and up to termination;
9. Departments shall ensure that board oversight members involved in the provision of State and Federally funded services are verified through exclusion screenings. Screening shall be conducted prior to appointment and every 30 days thereafter;
10. If an exclusion check indicated that a board member has been excluded from a Federal or State funded program such as Medicaid or Medicare, the individual shall abstain from any vote on any measure before the Board that relates to program or activities that are directly or indirectly funded by a State or Federal program that bars participation by such excluded individuals;
11. Human Resources will ensure that exclusion screenings are performed on candidates for employment prior to the official offer of employment and for potential governing board members, such as the County Legislature, that have authority to grant appropriation or that contribute to the development or execution of policy as these actions relate to the use of Medicaid or Medicare funds;
12. County Offices shall conduct exclusion screenings on all contracted agencies;
13. The Department of Community Services and the Department of Public Health shall conduct exclusion screenings on contracted employees and board oversight members;
14. The Care Center at Sunset Lake shall ensure their staffing agencies are conducting exclusion screening of Affected Individuals staff every 30 days;

15. The Department of Social Services shall conduct exclusion screening on Foster Care, Adoption, and Kinship parents/guardians;
16. Departments conducting exclusion screenings shall retain exclusion screening records for 6 years in accordance with Part 521-1.3(b);

D. Contractors and Vendors

1. The County shall require contractors and vendors to comply with the provisions stated herein;
2. In collaboration with the County Attorney's Office, the Compliance Office shall maintain exclusion screening language in the County's Contract Template;
3. Contractors and vendors subject to the County's exclusion screening shall adhere to the exclusion screening requirements as detailed in their Agreement with the County;
4. Contractors and vendors conducting screenings pursuant to exclusion screening requirements stated shall immediately report flagged individuals to the Corporate Compliance Officer;
5. Contractors and vendors shall understand that the County reserves the right to terminate their contract based on determinations of flagged individuals.

E. Additional Requirements

1. Departments and contracted agencies and conducting exclusion screening on behalf of County services shall ensure the following databases/lists are monitored:
 - a. New York State Office of the Medicaid Inspector General Exclusion List
 - b. List of Excluded Individuals/Entities (LEIE) maintained by the United States Department of Health and Human Service's Office of the Inspector General
 - c. Justice Center for the Protection of People With Special Needs Staff Exclusion List (SEL)
 - d. Exclusion file maintained by General Services Administration (GSA)/(SAM Exclusion List)
 - e. Specially Designated Nations (SDN) File maintained by the United States Department of the Treasury
2. All Affected Individuals are advised through this policy of their obligation to immediately disclose to their supervisor, if applicable, and the Corporate Compliance Officer if they become an excluded provider, or if they are charged with a criminal offense of a type that would cause them to become an excluded provider;
3. Affected Individuals and entities excluded from State and Federal healthcare programs will be prohibited from holding a position, or conducting business with the County in any area that is directly or indirectly funded by a State or Federal program that bars participation by such excluded individuals and entities;
4. If a determination is required regarding whether an activity is directly or indirectly funded by a State or Federal program that bars participation by excluded individuals, the determination shall be made by County Manager in consultation with the Corporate Compliance Officer, Commissioner of Human Resources and County Attorney. If an employee, contractor or vendor doing business seeks an appeal of that determination, that

appeal shall be heard and decided by the County Manager or their designee and reported to the relevant committee of the Legislature;

5. Any disciplinary action for employees must follow the removal policy and other disciplinary action policies established by applicable law and provisions of collective bargaining agreements.

F. License Verification and Other Credentialing

1. For Affected Individuals that require specific medical/healthcare license and/or certification in order to perform their duties, their credentials shall be verified with appropriate licensing and disciplining authorities to determine the authenticity of such credentials and whether any adverse actions have been taken against the individual that might impair their performance duties, or fiduciary responsibilities on behalf of the County.
2. License and/or certification verification shall be completed by the department that the Affected Individual performs duties for upon hire and every 30 days thereafter;
3. Flagged individuals shall be reported immediately to the Corporate Compliance Officer. Failure to notify the Corporate Compliance Officer may result in disciplinary action or other sanctions.



**Sullivan County
Corporate Compliance Program**

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X. Document History

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