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**Document Scope:** (applies to Policy & Procedure only)
 

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- The requirements herein apply only to the GCBH Central Office and its functions.
  - X - The requirements herein apply, verbatim, to GCBH and its network providers<sup>2</sup>.
  - The requirements herein apply both to GCBH and its network providers<sup>2</sup>. Additionally, network providers must have internal documents outlining their processes for implementing the requirements, insofar as they relate to actions for which network providers are responsible.
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**PURPOSE:** To identify standards and processes associated with ensuring that the RSN has ready access to information necessary for satisfying CFR requirements and responding to requests from the Office of Inspector General, and with conducting the routine Federal Exclusion checks required by contract.

## DEFINITIONS

- I. Contractor – An agency/organization that is paid in whole or in part with funding provided by the State of Washington to Greater Columbia Behavioral Health for the provision of mental health services, or that has an ownership or controlling interest, or other relationship that would benefit it directly or indirectly.
- II. Exclusion Check – The act of searching the online List of Excluded Individuals/Entities (LEIE) database, accessible for download from the Office of Inspector General (OIG) at [http://www.oig.hhs.gov/fraud/exclusions/exclusions\\_list.asp](http://www.oig.hhs.gov/fraud/exclusions/exclusions_list.asp) to determine whether an employee or a contractor has been excluded (i.e., debarred) from receipt of Federal funds.
- III. Individual – A person whose services/time is compensated in whole or in part with funding provided by the State of Washington to Greater Columbia Behavioral Health for the provision of mental health services, or who have an ownership or controlling interest, or other relationship, that would benefit them directly or indirectly.
- IV. Transaction (100 or 105) – The process by which information is submitted, electronically and in accord with the GCBH Data Dictionary, by GCBH Network Providers to the database managed by the GCBH Central Office.

## POLICY

- A. No individual or agency identified by the Federal government as ineligible to receive Federal funds may be compensated with monies received from the State of Washington for the provision of mental health services and distributed by GCBH to its Member Governments or other Network Providers. The List of Excluded Individuals/Entities (LEIE) database published by the Office of Inspector General is used to determine whether an individual or contractor has been excluded (debarred) from the receipt of Federal funds.

- B. GCBH Network Providers are responsible for checking the LEIE database prior to establishing a relationship with any individual or contractor whose services will be paid, in whole or in part, with funds received by GCBH from the State of Washington.
- C. The GCBH Central Office is responsible for carrying out, on behalf of all its Network Providers, the contractually required monthly checks of all individuals/contractors for inclusion on the LEIE.
- D. GCBH Network Providers are responsible for submitting, via 100 and 105 transactions, all data necessary to carrying out the monthly exclusion checks and/or responding to lawful requests from the OIG, as presented in the GCBH Data Dictionary. Additionally, Providers are responsible for ensuring that data for all individuals/contractors covered by the GCBH Data Dictionary instructions for these transactions is transmitted to GCBH within 30 days of establishment of a new relationship, and updated within 30 days of the Provider becoming aware of a change impacting any of the data elements.
- E. All data submitted to the RSN via 100 and 105 transactions are subject to security procedures established for the purpose of transmitting, handling, and storing information protected under HIPAA.
- F. Data submitted via 100 and 105 transactions are used to meet other Code of Federal Regulation requirements relating to making available to consumers information relating to individual practitioners (i.e., names, gender, location, languages spoken, specialties).

## **PROCEDURE**

1. Monthly exclusion checks conducted at the GCBH Central Office occur via an Access-based query process that searches for matches based on multiple data elements present in both the LEIE database and the GCBH database. The checks are conducted by the GCBH Quality Manager, or his/her designee, in the last half of each month, subsequent to notification from the OIG that an updated LEIE database is available for download.
  - 1.1. Documentation of these checks is provided via a report generated by Access based on the output of the query by which matches are identified. The report includes an electronically generated date stamp reflecting the date the report was created.
  - 1.2. Paper copies of each report are kept on file for a minimum of three years.
2. Should a monthly exclusion check process produce an apparent match between information in the two databases, the following steps are taken:
  - 2.1. The GCBH Quality Manager immediately notifies the GCBH Director, then contacts the Director of the Provider agency within twenty-four (24) hours of finding the apparent match, to initiate steps to confirm whether it is an actual match.
    - 2.1.1. If determined necessary by the GCBH Quality Manager, such steps include contacting the OIG to confirm, via disclosure of the individual's SSN, whether the person matched on the basis of name and demographic data is the person named in the LEIE database.
  - 2.2. The outcome of steps taken to check the validity of the match are documented by the GCBH Quality Manager, and kept on file in the Central Office.

- 2.3. The Network Provider has two (2) business days following notification within which to:
  - 2.3.1. Reach a decision as to how it will ensure that funding from the RSN is not used to compensate the individual/contractor for whom a match has been made, and
  - 2.3.2. Report that decision, in writing, to the GCBH Director, who is responsible for ensuring that reporting to the State occurs in a manner consistent with contractual requirements.
3. GCBH Network Providers demonstrate that they have completed the initial exclusion check prior to establishment of a new relationship with an individual or contractor by keeping on file a printout of the Search Results page that appears subsequent to using the LEIE search function at <http://exclusions.oig.hhs.gov/search.aspx>. This page includes the names that were included in the search and a date/time stamp reflecting when it was conducted. Monitoring for compliance with this requirement occurs during the annual audit conducted by GCBH Fiscal Services staff.
4. Monitoring for completeness and accuracy of the data transmitted to the RSN by way of 100/105 transactions occurs twice yearly, via unannounced checks carried out by the GCBH Quality Manager or his/her designee. Such checks are conducted by sending each Provider a printed or electronic listing of the names and other data elements (exclusive of SSN's) currently in the RSN's database, and requiring:
  - 4.1. Written confirmation that the list has been compared with internal records; and
  - 4.2. Written description of actions, and associated timeliness, that will occur to correct any discrepancies noted.
5. Two unique identifiers, while not necessary to the exclusion-checking process, are required because the RSN is expected by the OIG to have this information and to produce it upon request. Specifically, these data element are:
  - 5.1. Social Security Number (SSN): An SSN is required for every individual for whom information is submitted.
  - 5.2. National Provider Identifier (NPI): An NPI is required for every individual meeting the State's definition of "Mental Health Professional," as provided in WAC 388-865-1050.

## **APPROVAL**

/S/ Ken Roughton  
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Director

05/05/11