

**EPIC MANAGEMENT, L.P.  
BEAVER MEDICAL GROUP, L.P.  
EPIC HEALTH PLAN**

**ADMINISTRATIVE POLICY AND PROCEDURE  
COMPLIANCE**

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| <b>SUBJECT:</b> Screening for Ineligible Persons |                        |
| <b>DRAFTED BY:</b> Sherry Miller, CCO            | <b>DATE:</b> 8/17/2020 |
| <b>REVIEWED BY:</b>                              | <b>DATE:</b>           |
| <b>REVISED BY:</b>                               | <b>DATE:</b>           |
| <b>APPROVED BY:</b> Compliance Committee         | <b>DATE:</b> 8/17/2020 |
| <b>BOARD APPROVAL DATE:</b> N/A                  |                        |
| <b>EFFECTIVE DATE OF POLICY:</b> 9/1/2020        |                        |

1. **PURPOSE:** This EPIC Screening For Ineligible Persons Policy sets forth EPIC's process for identifying Personnel who (1) are excluded under the HHS-OIG List, the GSA List, or are otherwise excluded from participation in any Federal Health Care Program, (2) are debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency, or (3) have been convicted of a criminal offense that falls within the scope of 42 U.S.C. § 1320a-7a(a), as required under the CIA. Each Covered Person identified through this process as an Ineligible Person shall be subject to the additional processes set forth in the EPIC Response to Notice of Ineligible Persons and Persons Subject to Exclusion Policy.
2. **ATTACHMENTS:** N/A
3. **DEFINITIONS:**
  - a. All capitalized terms used but not defined in this Policy shall have the meaning attributed to them in the EPIC Compliance Program Definitions Policy.
  - b. In addition, the following capitalized terms shall have the following meanings for purposes of this Policy:
    - i. "GSA List" means the General Services Administration's Excluded Parties Lists System.

- ii. “HHS-OIG List” means HHS-OIG’s List of Excluded Individuals/Entities.
- iii. “Ineligible Person” includes any individual or entity that (1) is excluded from participation in any Federal Health Care Program; or (2) has been convicted of a criminal offense that falls within the scope of 42 U.S.C. § 1320a-7(a), but has not yet been excluded.
- iv. “Medi-Cal List” refers to the California Medi-Cal Suspended and Ineligible Provider List.
- v. “Sanction Lists” means, collectively, the HHS-OIG List, the GSA List, and the Medi-Cal List, as updated from time-to-time. Each such list shall be referred to individually as a “Sanction List.”
- vi. “Screening Database” refers to the database maintained by the EPIC Compliance Department of individuals and entities to be screened against the monthly Sanction Lists, as required under this Policy.

4. **POLICY:** It is EPIC’s policy to not employ or engage the services of any Personnel member that is an Ineligible Person, consistent with the terms of the CIA, Federal Health Care Program requirements, and applicable law. As central tenets of this Policy:

- a. EPIC shall (i) directly or indirectly (i.e., through contracted entities) screen all prospective Personnel against the Sanction Lists prior to hiring or otherwise engaging their services to ensure that no Personnel appear on any Sanction List, and (ii) as part of the hiring or contracting process, require such prospective Personnel to disclose whether they are an Ineligible Person; and
- b. EPIC shall directly or indirectly (i.e., through contracted entities) screen all current Personnel against the Sanction Lists on a monthly basis to ensure that no Personnel are included on any of the Sanction Lists.
- c. EPIC requires all Personnel to disclose immediately to the EPIC Corporate Compliance Officer if they become an Ineligible Person.

This Policy is intended to supplement, and not replace, any policies promulgated by other EPIC Departments governing exclusion screening and/or other pre-hire or pre-engagement due diligence activities with respect to Personnel; provided, however, that nothing in such Policy will limit the scope and application of this Policy.

5. **PROCEDURE:**

- a. **Compliance Department Oversight; EPIC Department Cooperation**

- i. The Corporate Compliance Officer (or their designee) shall coordinate with appropriate managers or staff from EPIC departments (including the Human Resources Department, the Network Management Department, the Claims Department, the Credentialing Department and the Utilization Management Department (together, the “EPIC Departments” and each an “EPIC Department”)) concerning the screening of Personnel against the Sanction Lists, and shall arrange for and oversee the services of a specialized vendor, as appropriate, to ensure the processes set forth in this Policy are effectively implemented.
- ii. The Corporate Compliance Officer (or their designee) shall conduct ongoing monitoring, periodic auditing, and general oversight of the various processes used by EPIC for identifying Ineligible Persons, as implemented by the Corporate Compliance Officer (or their designee), the EPIC Departments and contracted entities, in order to ensure compliance with this Policy.
- iii. In any instance where an EPIC Department has been assigned responsibility for a particular activity under this Policy, such EPIC Department shall (1) provide periodic reports and information to the Corporate Compliance Officer (or their designee), at a frequency and in a manner requested by the Corporate Compliance Office (or their designee), and (2) cooperate with the monitoring, auditing, and other oversight activities conducted by the Corporate Compliance Officer (or their designee) to ensure that all prospective and current Personnel are appropriately screened.

**b. Processes**

- i. Before hiring or engaging the services of prospective Personnel, EPIC shall take the following steps:
  - (1) EPIC shall conduct, directly or through its contracted entities, screening of all prospective Personnel members against the Sanction Lists. Depending on the category of Personnel, such activity may be conducted by or at the direction of the Corporate Compliance Officer (or their designee), the Human Resources Department, the Credentialing Department or another EPIC Department delegated such responsibility.
    - (a) The prospective Personnel member must in all instances be screened against the Sanction Lists within 28 days prior to their employment or appointment start date or the contract commencement date, as relevant.

- (b) If a prospective Personnel member's name is found on any Sanction List, EPIC will determine, with the assistance of the contracted vendor, as appropriate, whether an actual match exists. If so, the prospective Personnel member shall not be hired or engaged by EPIC. EPIC will print or generate an electronic copy of the screening results with the prospective Covered Personnel member's name, as well as any relevant follow-up research. Such materials shall be maintained in the EPIC Corporate Compliance Department files.
    - (c) If the prospective Personnel member's name is not found on any Sanction List, EPIC will print or generate an electronic copy of the screening results with the prospective Personnel Member's name and put such documentation in the prospective Personnel member's personnel, contract applicant or other file, as applicable. A copy of such documentation will also be electronically stored by the EPIC Compliance Department in Compliance Department files designated for such purpose.
  - (2) For each prospective employee to whom EPIC has extended a contingent offer of employment, EPIC shall require the prospective employee to disclose whether they are an Ineligible Person. This disclosure shall be made through a written certification required as part of EPIC's onboarding process for such prospective employee.
  - (3) For all other prospective Personnel, EPIC shall require in the relevant services agreement or onboarding process that the prospective Personnel certify that they are not an Ineligible Person. In the event that such prospective Personnel member cannot or will not make that certification, EPIC shall not proceed with the appointment or engagement.
- ii. With respect to current Personnel, EPIC shall take the following steps:
  - (1) EPIC shall conduct, directly or through its contracted vendor, monthly screening of all Personnel against the Sanction Lists. To facilitate this process:
    - (a) Each relevant EPIC Department shall transmit to the EPIC Corporate Compliance Officer (or their designee) on or before the 5th of each month all

necessary information concerning newly hired or engaged Personnel within such EPIC Department's area of responsibility to be added to the Screening Database. Such information shall be provided in a format requested by the Corporate Compliance Officer (or their designee).

- (b) To the extent EPIC uses a contracted vendor to assist with the screening process:
    - (i) The Corporate Compliance Officer (or their designee) shall ensure that the names of newly hired or engaged] Personnel are added to the Screening Database on or before the 10th of each month for inclusion in the monthly screening against the Sanction Lists.
    - (ii) The contracted vendor shall be required to (1) perform a monthly screening of all Personnel listed in the Screening Database against the Sanction Lists using relevant data elements (such as Social Security number and employee identification numbers), (2) research potential matches to determine whether they are exact ("confirmed" or "positive") matches, and (3) furnish reports to the Corporate Compliance Officer (or their designee) on or before the 12th of each month identifying each such Personnel member and whether they present a potential or exact match with the Sanction Lists.
  - (c) The Corporate Compliance Officer (or their designee) shall review the reports produced by such vendor and make a final determination based on the vendor's findings with respect to Personnel for whom a potential match was identified and any follow-up research and analysis conducted by the Compliance Department.
- (2) The Corporate Compliance Officer (or their designee) will electronically store a copy of each monthly report received from the contracted vendor, as well as all other documentation gathered relating to the processes outlined in this Policy, and the final determinations made, in the Compliance Department files designated for such purpose. Each such report will indicate the names of the individuals and entities that were screened against the Sanction Lists,

their match results, research findings, and final determinations.

- iii. All Personnel are required to disclose immediately to the Corporate Compliance Officer (or their designee) if they become an Ineligible Person. EPIC shall ensure that this disclosure obligation is included in new hire information distributed to EPIC employees, onboarding materials provided to Board members, and in EPIC's services agreements with Personnel who are contractors, subcontractors, or agents. The Corporate Compliance Officer (or their designee) shall retain documentation concerning any instance in which a Personnel member reports that they are an Ineligible Person.
- iv. In the event that EPIC receives notice (through Sanction Lists screening or otherwise) that a Personnel member has become an Ineligible Person, EPIC shall follow the procedures set forth in the EPIC Response to Notice of Ineligible Persons and Persons Subject to Exclusion Policy.

**c. Documentation**

- i. All documentation enumerated above, and all monitoring, auditing and other reports generated in connection with the EPIC Compliance Department's oversight under this Policy, shall be maintained in the EPIC Compliance Program files in accordance with the EPIC Compliance Program Records Retention Policy.