



SUNY COLLEGE OF OPTOMETRY
UNIVERSITY EYE CENTER®

Policy and Procedure: Exclusion/Sanction Screening

Procedure Number: E- 10 **Pages:** 1 of 1

Effective Date: 12/28/2016 **Revised:** 1/3/2023

Last Reviewed: 1/5/2026

Policy: Federal and state laws mandate that payment with federal monies may not be made for items or services furnished or prescribed by any person or entity excluded by any federal or state agency from participation in any federally-funded program. Third party carriers/contracts may also contain similar requirements.

Procedure:

1. The University Eye Center will review the Department of Health and Human Services Office of Inspector General List of Excluded Individuals and Entities (<https://exclusions.oig.hhs.gov>) and the General Services Administration System for Award Management Excluded Parties Lists System (<https://www.sam.gov>), Office of the Medicaid Inspector General (<https://www.omig.ny.gov>) and the Medicare Preclusion List prior to the hiring or contracting of any new employee, temporary employee, volunteer, and consultants upon hire and monthly thereafter. Vendors will also be screened similar to individuals.
2. Employees must immediately notify the University Eye Center's Credentialing Office in the event that they are sanctioned not to participate in any federal programs.
3. Any findings or adverse actions will be kept in a binder in the credentialing office as well as in their personnel and/or credentialing folder.
4. Excluded individuals will be reported to the insurance plans within 5 business days.
5. Excluded/Sanctioned employees, temporary employees, volunteers, and consultants who will directly or indirectly work on the University Eye Center's federally-funded health care programs and who are found to be on any of the exclusion lists will be subject to disciplinary action in accordance with the University Eye Center procedures and applicable collective bargaining agreements.
6. The University Eye Center will not purchase items/services from vendors who are found to be on any of the aforementioned exclusion/sanctioned lists.