

Texas Tech University Health Sciences Center El Paso Institutional Compliance Procedure

Excluder Provider Checks on Streamline	Policy: HSCEP OP 52.11 PRO
Sanction Check Process	Effective Date: July 1, 2016
References: HSCEP OP 52.11	
TTUHSC El Paso Institutional Compliance Website: http://el Paso.ttuhsc.edu/compliance/	

Procedure Statement

The purpose of this procedure is to document the steps needed to perform the Office of Inspector General (OIG) exclusion screenings for faculty/staff, vendors, and 1099-vendors, as stated in policy HSCEP OP 52.11, Sanction Check Process. Texas Tech University Health Sciences Center El Paso (TTUHSC El Paso) employees, vendors and/or contractors will be screened, on a monthly-basis, to verify if they are excluded from participation in Medicare, Medicaid and all other Federal health care programs, and/or debarred from participation in any federal contracts.

Scope

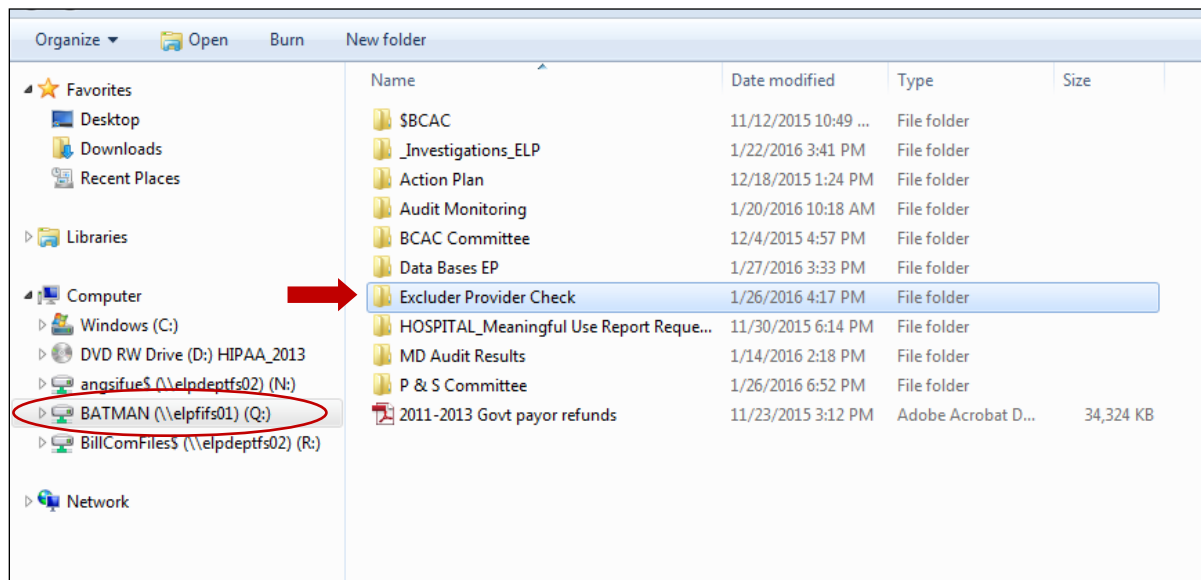
This procedure is to assist the compliance staff with the steps to complete excluder provider checks on Streamline.

Procedure

1. The following reports will be emailed on a monthly-basis:

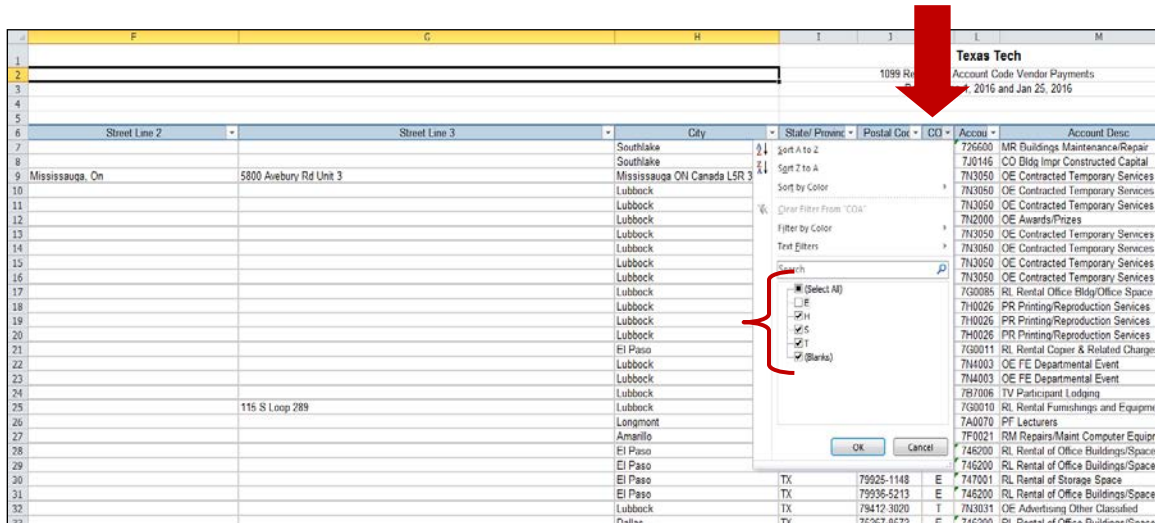
Report	Sent By
Faculty/Staff List	Hortencia Ballesteros – Human Resources
Vendor List	Asma Dawood – Business Affairs (Purchasing)
1099-Vendor List	Katie Wilkerson – Payroll & Tax Services (Lubbock)

2. Once the reports are received, save a copy of each in BATMAN under the Excluder Provider Check folder.

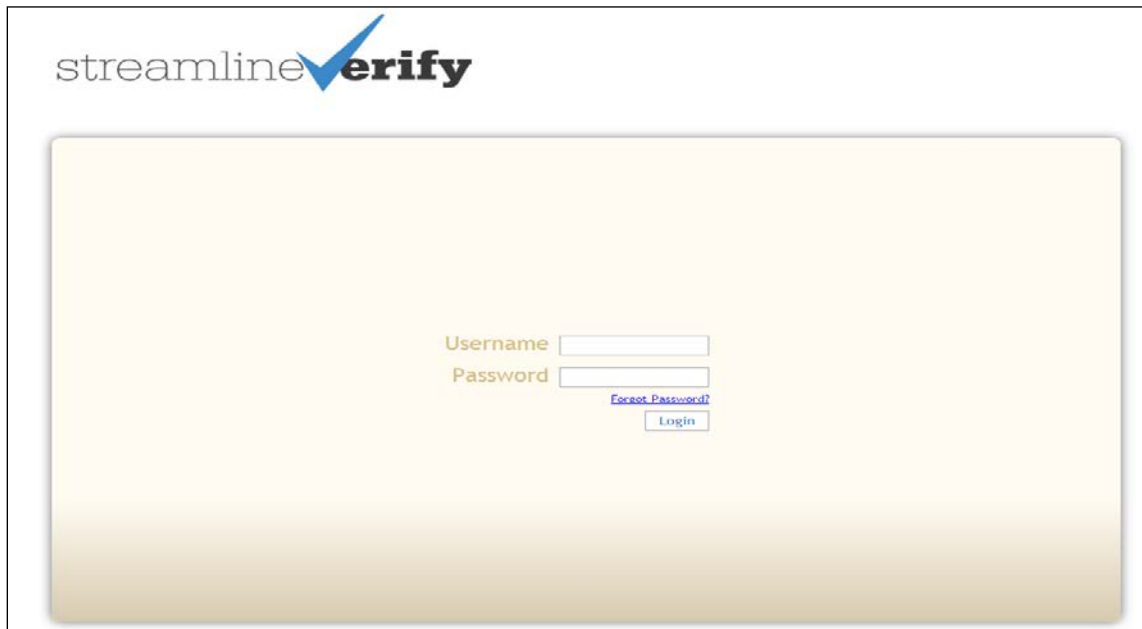


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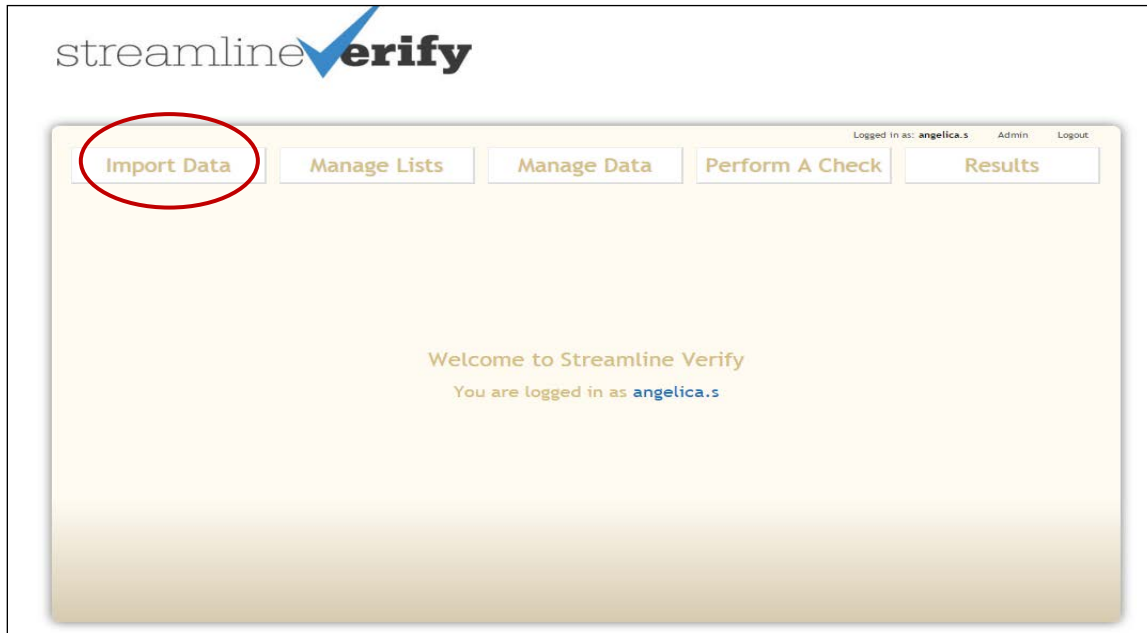
- a. Delete worksheets 2 & 3 for all reports.
- b. The 1099-Vendor list will need to be cleaned as follows.
 - i. Open the file once it's saved.
 - ii. Filter column K, and delete all records that fall under the sorts H, S, T, and blanks.
 - 1) Uncheck the E from the options and click OK.



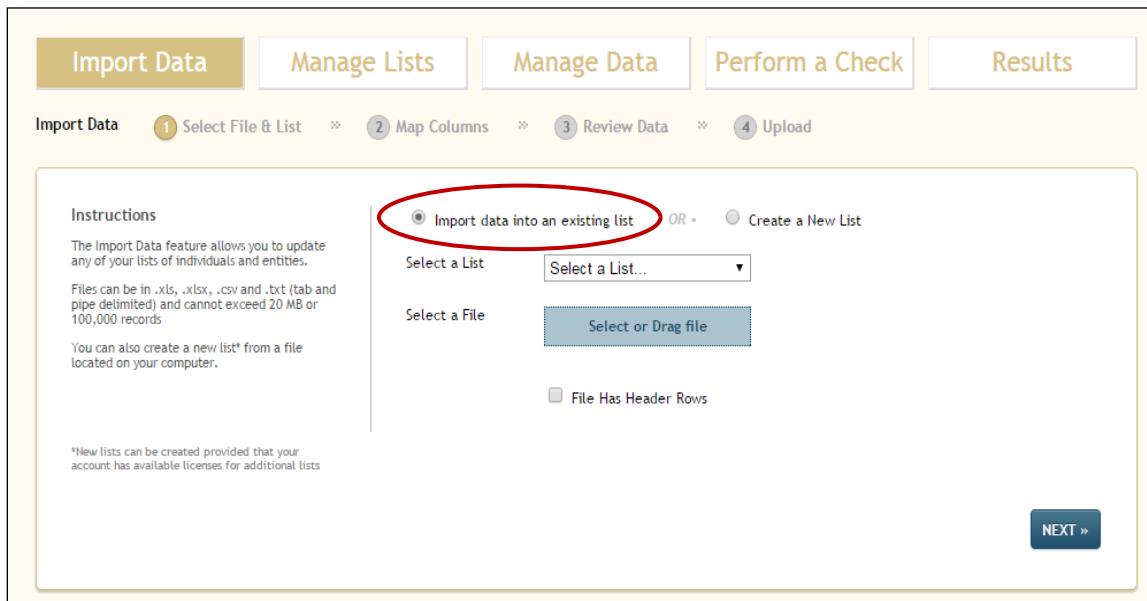
- 2) After the records are deleted, open the filter in column K again and check E to get the records needed.
 - iii. Delete all duplicate vendors, so there is only one record per vendor.
 - iv. Delete all columns, and only leave columns A, B, and C.
3. Each report will be imported to Streamline Verify to complete the investigation.
 - a. Log on to Streamline Verify at <https://app.streamlineverify.com/>.



b. Click on Import Data.



c. Choose import data into an existing list.



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d. Put a check mark on File Has Header Rows.

The screenshot shows the 'Import Data' step of a process. At the top, there are five tabs: 'Import Data', 'Manage Lists', 'Manage Data', 'Perform a Check', and 'Results'. Below the tabs, a progress bar indicates four steps: 1. Select File & List, 2. Map Columns, 3. Review Data, and 4. Upload. The main content area is titled 'Instructions' and contains text about the import feature. On the right, there are two radio buttons: 'Import data into an existing list' (selected) and 'Create a New List'. Below these are two sections: 'Select a List' with a dropdown menu showing 'Select a List...', and 'Select a File' with a 'Select or Drag file' button. A checkbox labeled 'File Has Header Rows' is checked and circled in red. A 'NEXT >>' button is located at the bottom right.

e. Click on the Select a List drop-down box, and choose the list that will be imported.

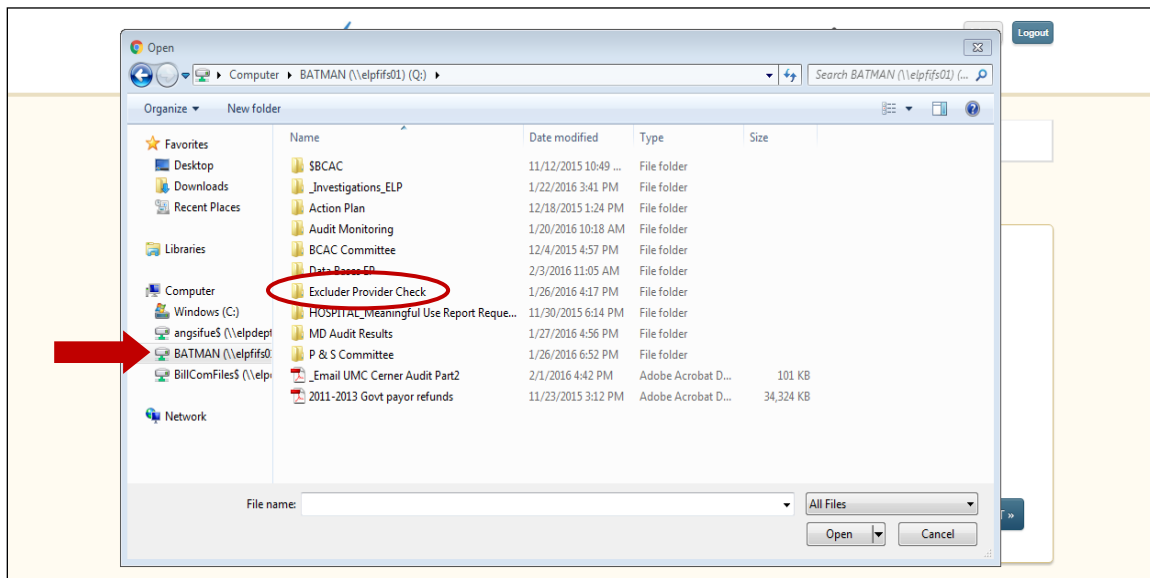
This screenshot shows the same 'Import Data' step as the previous one, but with the 'Select a List' dropdown menu open. The dropdown menu is circled in red and contains the following options: '1099 Vendors', 'Select a List...', 'Individuals Lists', 'Faculty-Staff', 'Entity Lists', 'Vendor List TTUHSC EP', and '1099 Vendors'. A red bracket highlights the '1099 Vendors' option at the bottom of the list. The 'File Has Header Rows' checkbox is still checked. The 'NEXT >>' button is visible at the bottom right.

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f. Go to Select a File and click on Select or Drag file.

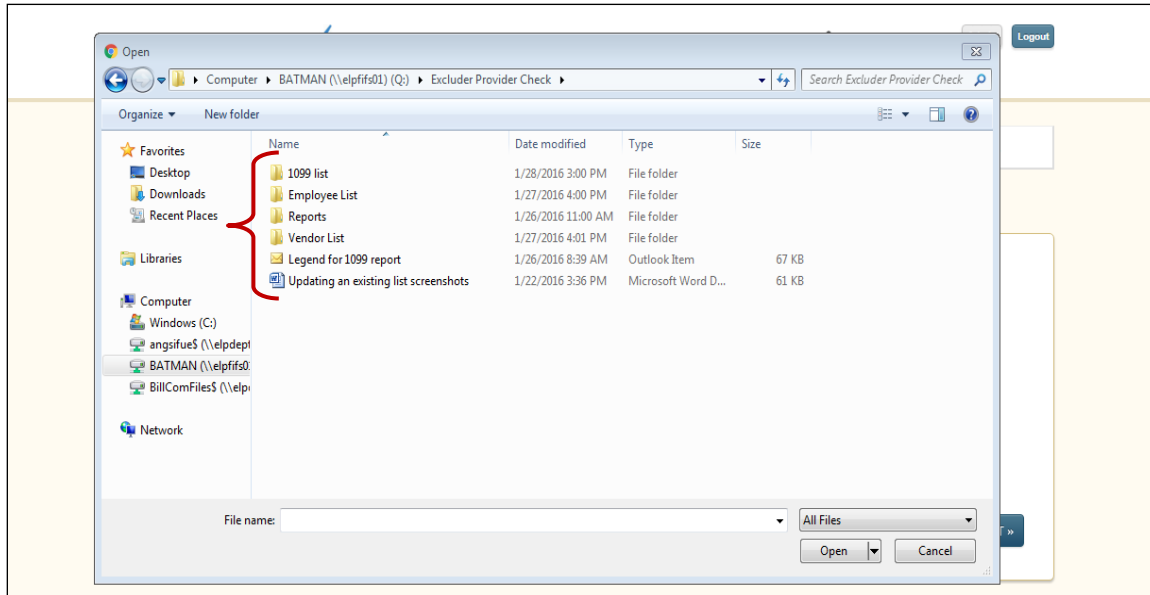
The screenshot shows the 'Import Data' interface with a navigation bar containing 'Import Data', 'Manage Lists', 'Manage Data', 'Perform a Check', and 'Results'. Below the navigation bar, there are four steps: 1. Select File & List, 2. Map Columns, 3. Review Data, and 4. Upload. The 'Select File & List' step is active. On the left, there are instructions about file formats and list creation. On the right, there are radio buttons for 'Import data into an existing list' (selected) and 'Create a New List'. Below these, there is a 'Select a List' dropdown menu and a 'Select a File' button labeled 'Select or Drag file', which is circled in red. There is also a 'File Has Header Rows' checkbox and a 'NEXT >>' button at the bottom right.

g. Go to Batman, and click in the Excluder Provider Check folder.

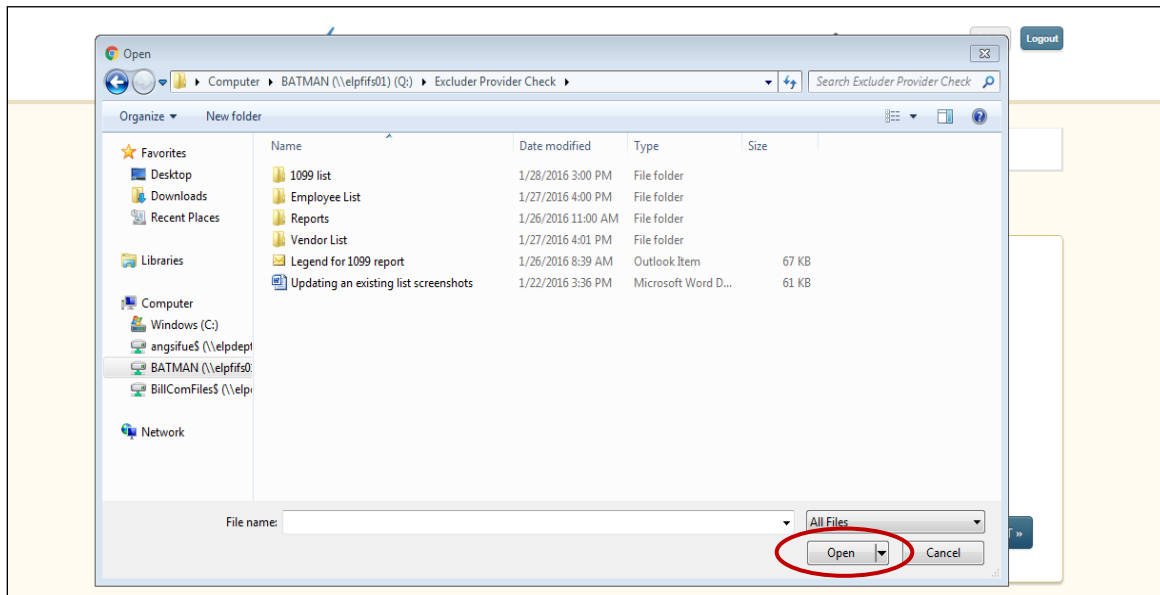


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- h. Go to the folder where the list that will be imported was saved, and double click on the file.

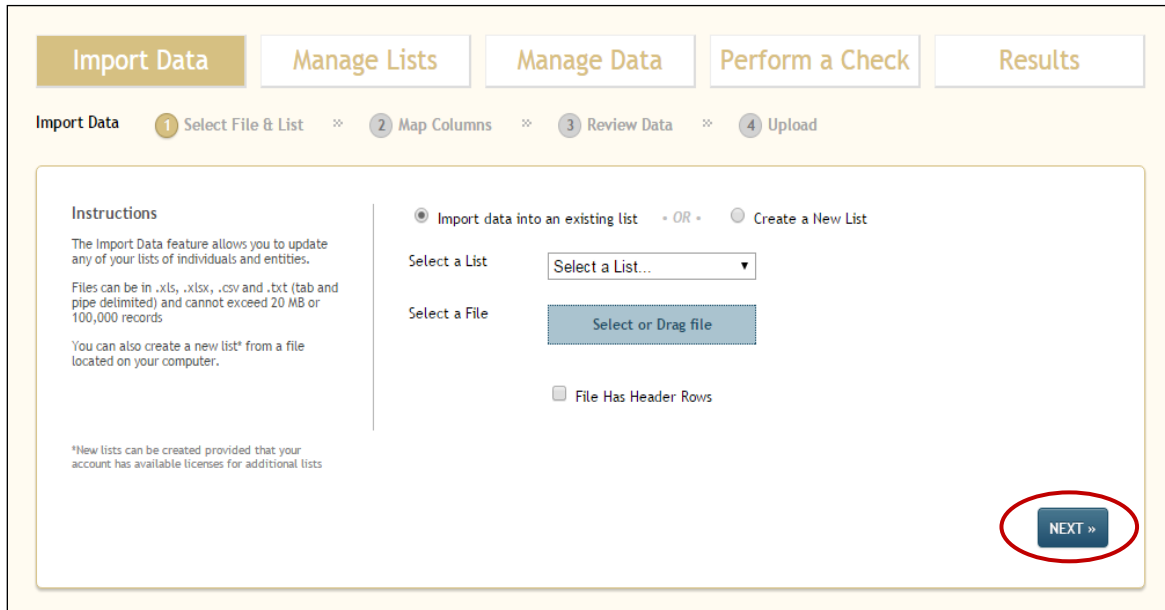


- i. Click Open.



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j. Click on Next.



Import Data | Manage Lists | Manage Data | Perform a Check | Results

Import Data 1 Select File & List ✕ 2 Map Columns ✕ 3 Review Data ✕ 4 Upload

Instructions
 The Import Data feature allows you to update any of your lists of individuals and entities.
 Files can be in .xls, .xlsx, .csv and .txt (tab and pipe delimited) and cannot exceed 20 MB or 100,000 records.
 You can also create a new list* from a file located on your computer.
*New lists can be created provided that your account has available licenses for additional lists

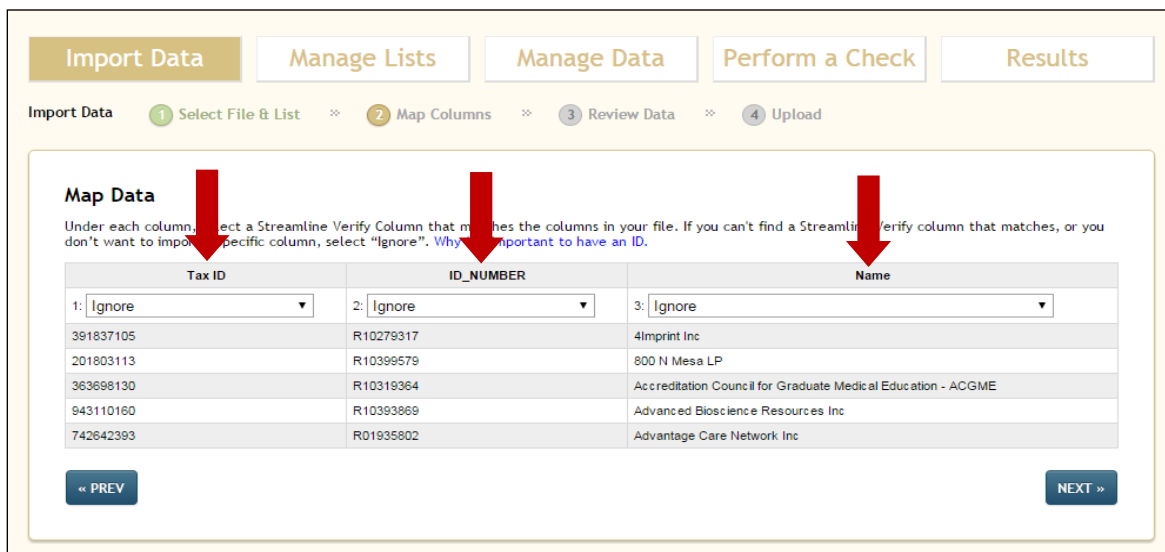
Import data into an existing list - OR - Create a New List

Select a List:

Select a File:

File Has Header Rows

k. Match report headers to Streamline Verify headers.



Import Data | Manage Lists | Manage Data | Perform a Check | Results

Import Data 1 Select File & List ✕ 2 Map Columns ✕ 3 Review Data ✕ 4 Upload

Map Data
 Under each column, select a Streamline Verify Column that matches the columns in your file. If you can't find a Streamline Verify column that matches, or you don't want to import a specific column, select "Ignore". [Why is it important to have an ID.](#)

Tax ID	ID_NUMBER	Name
1: <input type="text" value="Ignore"/>	2: <input type="text" value="Ignore"/>	3: <input type="text" value="Ignore"/>
391837105	R10279317	4Imprint Inc
201803113	R10399579	800 N Mesa LP
363698130	R10319364	Accreditation Council for Graduate Medical Education - ACGME
943110160	R10393869	Advanced Bioscience Resources Inc
742642393	R01935802	Advantage Care Network Inc

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- l. If you don't find a similar header, leave the "ignore" option.
- m. Click Next.

Import Data
Manage Lists
Manage Data
Perform a Check
Results

Import Data
1 Select File & List
2 Map Columns
3 Review Data
4 Upload

Map Data

Under each column, select a Streamline Verify Column that matches the columns in your file. If you can't find a Streamline Verify column that matches, or you don't want to import a specific column, select "Ignore". [Why it's important to have an ID.](#)

Tax ID	ID_NUMBER	Name
1: Federal Tax ID	2: ID	3: Provider / Entity Name
391837105	R10279317	4Imprint Inc
201803113	R10399579	800 N Mesa LP
363698130	R10319364	Accreditation Council for Graduate Medical Education - ACGME
943110160	R10393869	Advanced Bioscience Resources Inc
742642393	R01935802	Advantage Care Network Inc

« PREV
NEXT »

- n. The screen that follows will give you information on the import.

Import Data
Manage Lists
Manage Data
Perform a Check
Results

Import Data
1 Select File & List
2 Map Columns
3 Review Data
4 Upload

Review Data

Total Records in File (245)

Review the rows in each section. Select the records you would like to be included in that section's process.

New Records (38) +

Checked individuals will be added to your existing list.

Update (0)

Terminate (1) -

These records are in your current list but are not in your uploaded file. Checking them will terminate them from your list. Unchecked records will remain active.

	ID	Provider / Entity Name	UPIN / NPI #	Federal Tax ID
<input type="checkbox"/>	R10281471	Clear Channel Outdoor		860801051

« PREV
NEXT »

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- o. After reviewing the information, click Next again.

Import Data
Manage Lists
Manage Data
Perform a Check
Results

Import Data
1 Select File & List
2 Map Columns
3 Review Data
4 Upload

Review Data

Total Records in File (245)

Review the rows in each section. Select the records you would like to be included in that section's process.

New Records (38) +

Checked individuals will be added to your existing list.

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Terminate (1) -

These records are in your current list but are not in your uploaded file. Checking them will terminate them from your list. Unchecked records will remain active.

	ID	Provider / Entity Name	UPIN / NPI #	Federal Tax ID
<input type="checkbox"/>	R10281471	Clear Channel Outdoor		860801051

← PREV
NEXT →

- p. A Data Imported Successful screen will come up.

Import Data
Manage Lists
Manage Data
Perform a Check
Results

Import Data
1 Select File & List
2 Map Columns
3 Review Data
4 Upload

Data Imported Successfully!

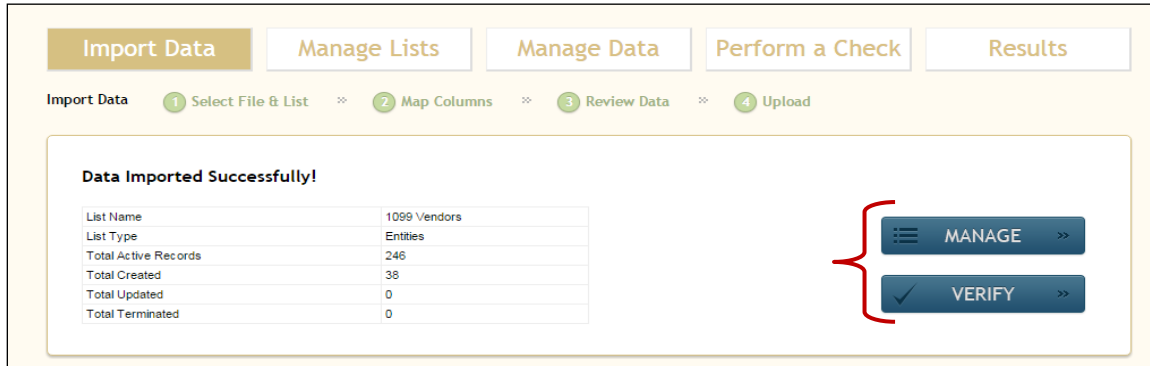
List Name	1099 Vendors
List Type	Entities
Total Active Records	246
Total Created	38
Total Updated	0
Total Terminated	0

☰ MANAGE >>

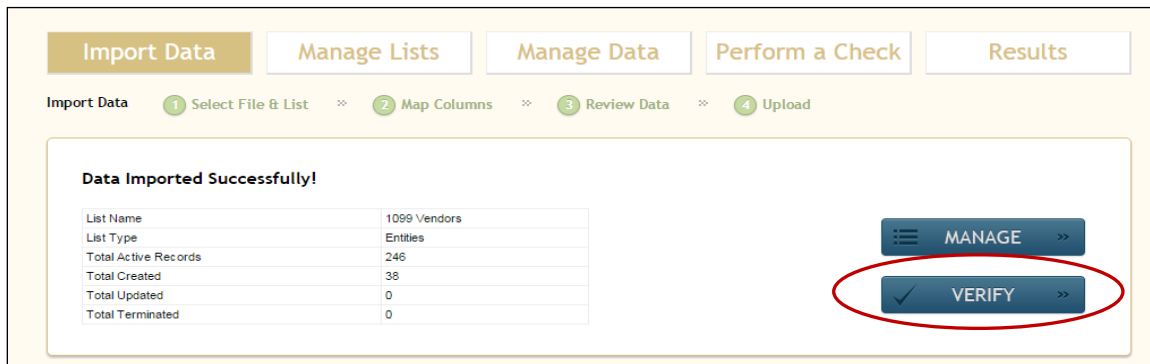
✓ VERIFY >>

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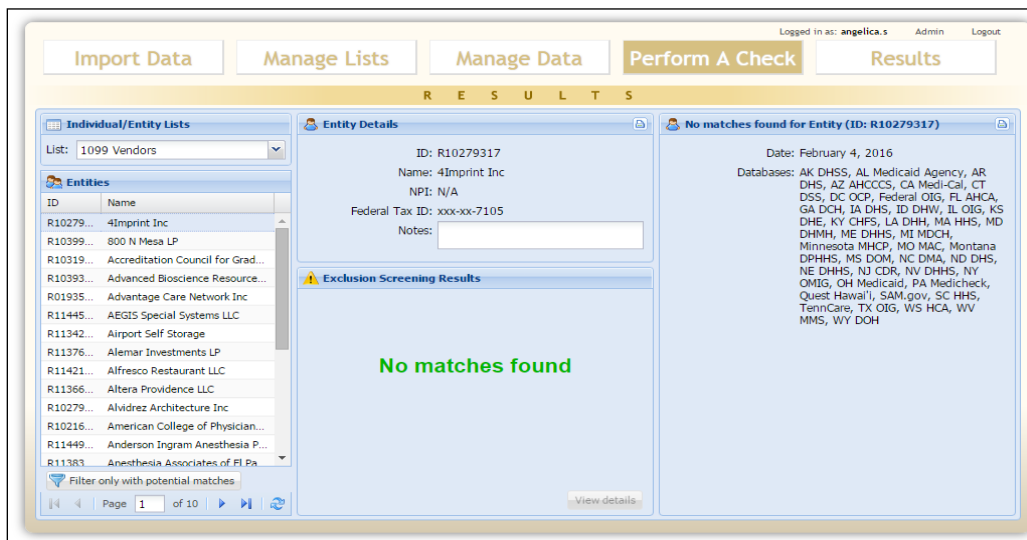
- q. There will be two options.
 - i. Manage the List
 - ii. Verify the List



- r. Click on Verify.

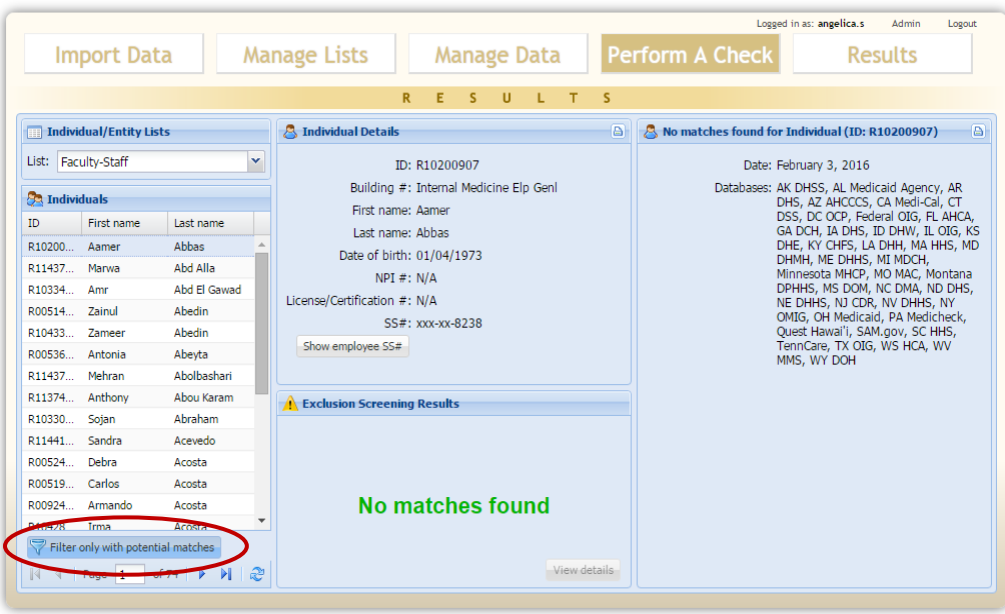


- s. The following screen will appear.



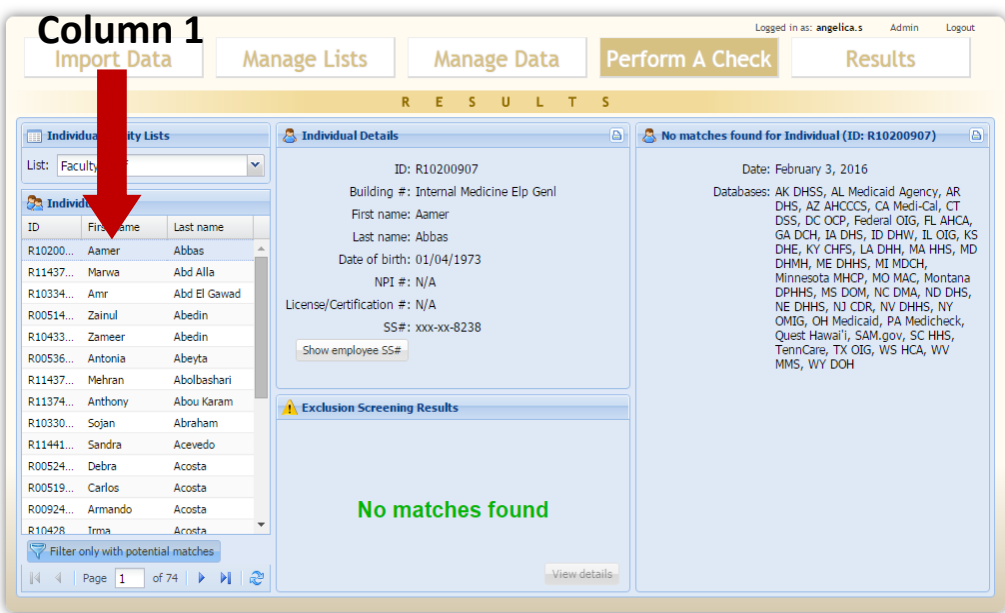
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i. Click on Filter only with potential matches.



The screenshot shows the 'Individual/Entity Lists' section of the Streamline Verify application. The 'List' dropdown is set to 'Faculty-Staff'. Below it is a table of individuals with columns for ID, First name, and Last name. At the bottom of this table, a button labeled 'Filter only with potential matches' is circled in red. To the right, the 'Individual Details' section shows information for ID: R10200907, including building, name, date of birth, and license/certification. Below this, the 'Exclusion Screening Results' section displays 'No matches found' in green text.

ii. Streamline will display our employee or vendor in column 1.

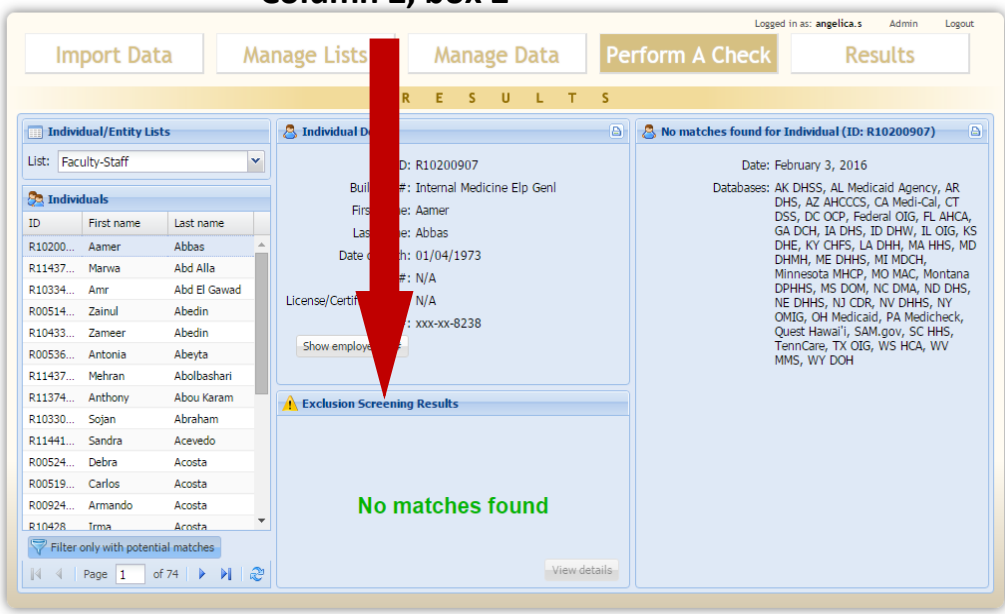


This screenshot is identical to the previous one, but includes a red arrow pointing to the 'Column 1' header above the 'Individual/Entity Lists' table. The rest of the interface, including the 'Filter only with potential matches' button and the 'No matches found' message, remains the same.

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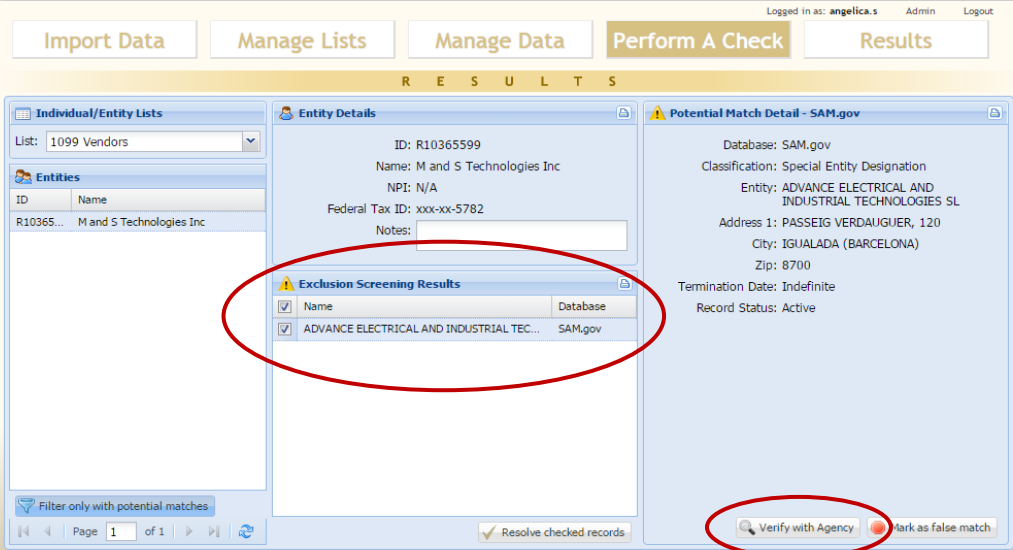
- iii. Column 2, box 2 will display the database(s) that has/have the potential match(es).

Column 2, box 2



The screenshot shows the 'Individual/Entity Lists' interface. The 'Individuals' list on the left includes names like Aamer Abbas, Marwa Abd Alla, and Amr Abd El Gawad. The main panel shows details for ID: R10200907, including birth date (01/04/1973) and license information. The 'Exclusion Screening Results' section displays 'No matches found'. The right panel, titled 'No matches found for Individual (ID: R10200907)', lists various state and federal databases such as AK DHSS, AL Medicaid Agency, AR DHS, AZ AHCCCS, CA Medi-Cal, CT DSS, DC OCP, Federal OIG, FL AHCA, GA DCH, IA DHS, ID DHW, IL OIG, KS DHE, KY CHFS, LA DHH, MA HHS, MD DHMH, ME DHHS, MI MDCH, Minnesota MHCP, MO MAC, Montana DPHHS, MS DOM, NC DMA, ND DHS, NE DHHS, NJ CDR, NV DHHS, NY OMIG, OH Medicaid, PA Medcheck, Quest Hawai'i, SAM.gov, SC HHS, TennCare, TX OIG, WS HCA, WV MMS, and WY DOH.

- t. Open the Excel spreadsheet list that was used to update the system, and highlight the name on the spreadsheet you are verifying.
- u. If you get matches, click on each exclusion one-by-one, under the Exclusion Screening Results, by clicking on Verify with Agency.



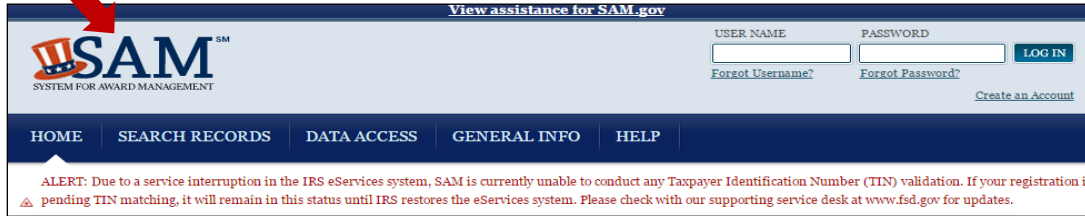
The screenshot shows the 'Entity Details' interface for ID: R10365599, Name: M and S Technologies Inc. The 'Potential Match Detail - SAM.gov' panel shows details for the SAM.gov database, including classification (Special Entity Designation), entity name (ADVANCE ELECTRICAL AND INDUSTRIAL TECHNOLOGIES SL), address (PASSEIG VERDAUGUER, 120 IGUALADA (BARCELONA)), city (IGUALADA (BARCELONA)), zip (8700), and record status (Active). The 'Exclusion Screening Results' table is circled in red and contains the following data:

<input checked="" type="checkbox"/>	Name	Database
<input checked="" type="checkbox"/>	ADVANCE ELECTRICAL AND INDUSTRIAL TEC...	SAM.gov

The 'Verify with Agency' button is also circled in red at the bottom right of the interface.

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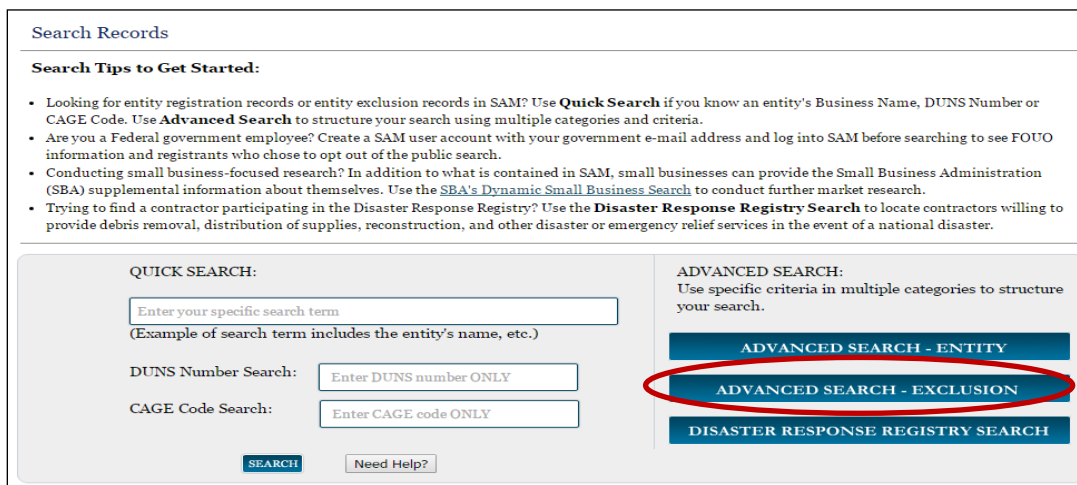
- v. By clicking on Verify with Agency should send you to a website, or to Outlook to send an email regarding this search.
 - i. SAM is one of the agencies that verify records.



- ii. Go to Search Records.



- iii. Click on Advanced Search – Exclusion tab.



- iv. There will be 3 options to search. Search by the SSN/TIN, as you will have that information available.

Advanced Search - Exclusion


Structure your search for exclusion records in SAM using one of three approaches. Select a radio button corresponding to the category header that best describes how you want to search. The accordion will expand to show you the search criteria. You can only use one approach at a time.

Search Tips:

- If you want to search using a date range, use the Single Search approach.
- If you are trying to search for more than one excluded party at a time, you can search for up to six names using the Multiple Names approach.
- If you choose the SSN/TIN approach, the name and SSN or TIN you enter must match exactly what is contained on an exclusion record for the result to be returned.
- [Search terms are defined in the SAM User Guide Glossary.](#)

Single Search

Multiple Names

SSN/TIN Search 

- v. If the search gives you the following results, copy this information into Streamline Verify.

Search Results

- Your search results represent the broadest set of records that match your search criteria. You may get entity registration records that are still in progress or have been submitted, but not yet activated. Check the status of each record.
- Of note, some entities choose to opt out of public display. Even if they are registered in SAM, you will not see their entity registration records in a public search. You can only see them if you log in as Federal Government user.
- You can refine your search results. If you used the Quick Search, select the search filters on this page. If you used one of the Advanced Search options, select the Edit Search button.
- If you want to perform a new search, use the Clear button to remove your current search results. If you are logged in with your SAM User Account, you can save your search criteria to run again later using the Save Search button.
- **NOTE: Please read this important message when searching for exclusion records.**

Clear Search Edit Search

TOTAL RECORDS: 0
 Result page 0 of 0
 Sort by Modified Date Order by Descending

The combination of name and SSN/TIN that you provided did not return any results. Either the name is not in SAM, there is no SSN/TIN associated with that name, or the SSN/TIN that you provided did not match our records. You may try a different SSN/TIN, or you may consider searching by name only.

Result page 0 of 0 Save PDF Export Results Print

- vi. Go to the record's note area on Streamline Verify, and paste the information.

RESULTS

Individual/Entity Lists

List: 1099 Vendors

Entities

ID	Name
R10365...	M and S Technologies Inc

Entity Details

ID: R10365599
 Name: M and S Technologies Inc
 NPI: N/A
 Federal Tax ID: xxx-xx-5782

Potential Match Detail - SAM.gov

Database: SAM.gov
 Classification: Special Entity Designation
 Entity: ADVANCE ELECTRICAL AND INDUSTRIAL TECHNOLOGIES SL
 Address 1: PASSEIG VERDAIGUER, 120
 City: IGUALADA (BARCELONA)
 Zip: 8700
 In Date: Indefinite
 Status: Active

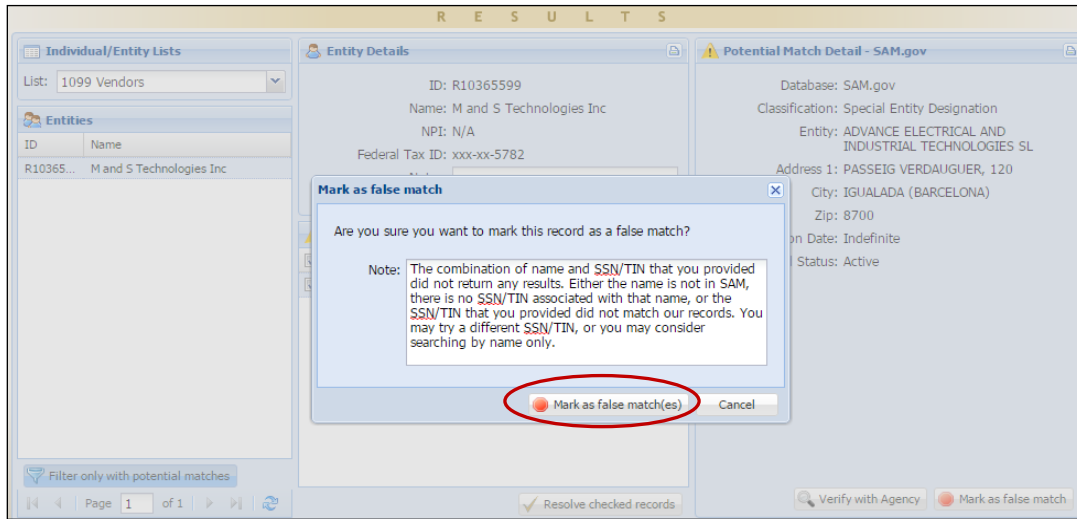
Mark as false match

Are you sure you want to mark this record as a false match?

Note: The combination of name and SSN/TIN that you provided did not return any results. Either the name is not in SAM, there is no SSN/TIN associated with that name, or the SSN/TIN that you provided did not match our records. You may try a different SSN/TIN, or you may consider searching by name only.

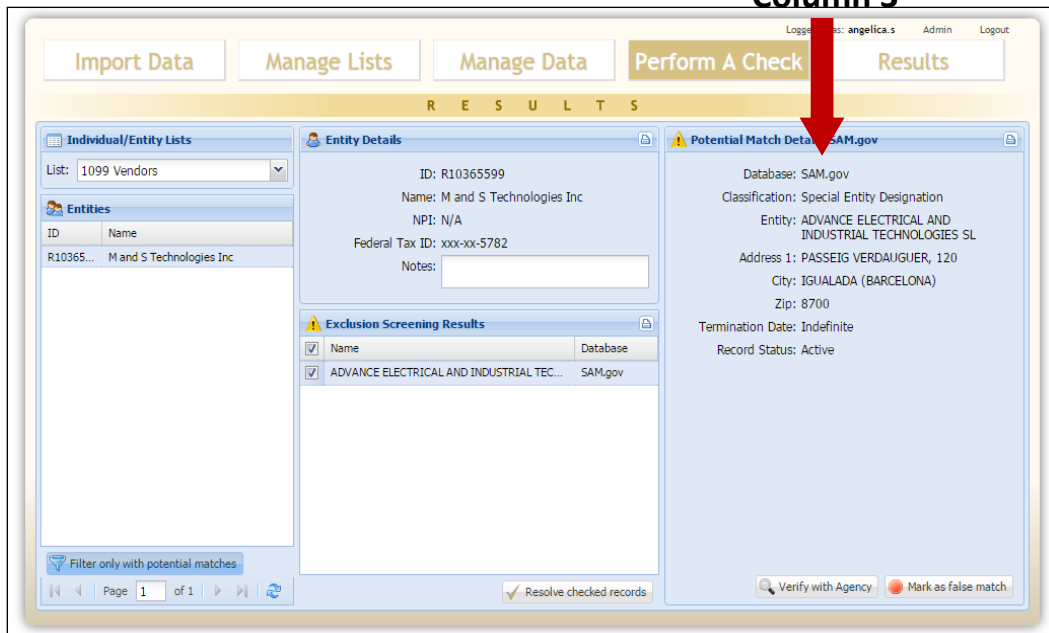
Mark as false match(es)

vii. Click on Mark as false match(es).



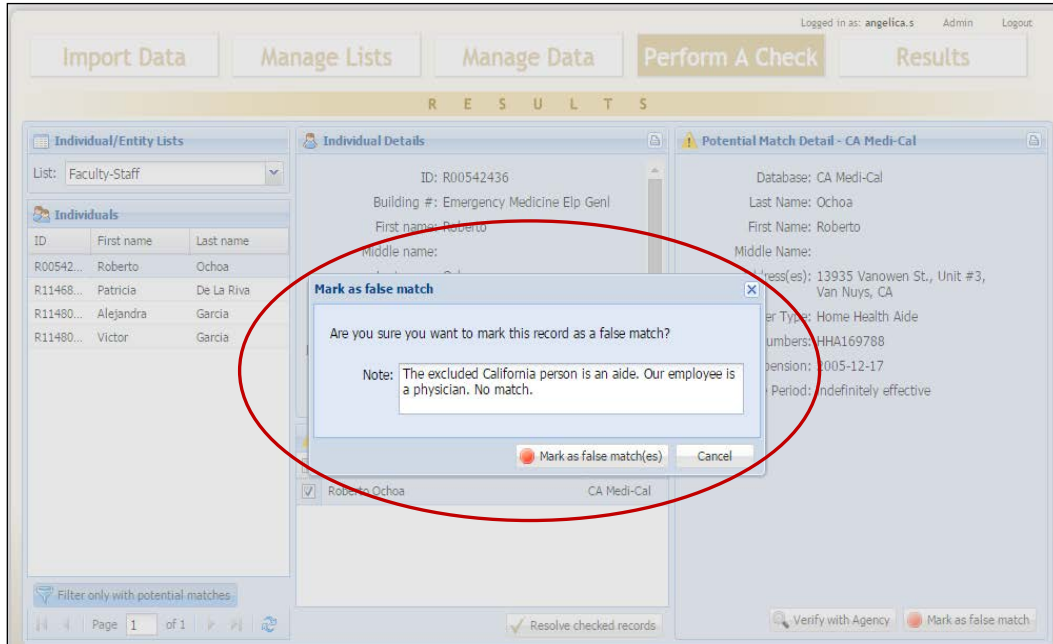
viii. There will be several agencies, aside from SAM, that will give you potential matches.
 A. The agency from California, **CA Medi-Cal**, does not give you any more information than what's listed on the 3rd column of the Streamline system. Review California's information against TTUHSC El Paso's report information.

Column 3

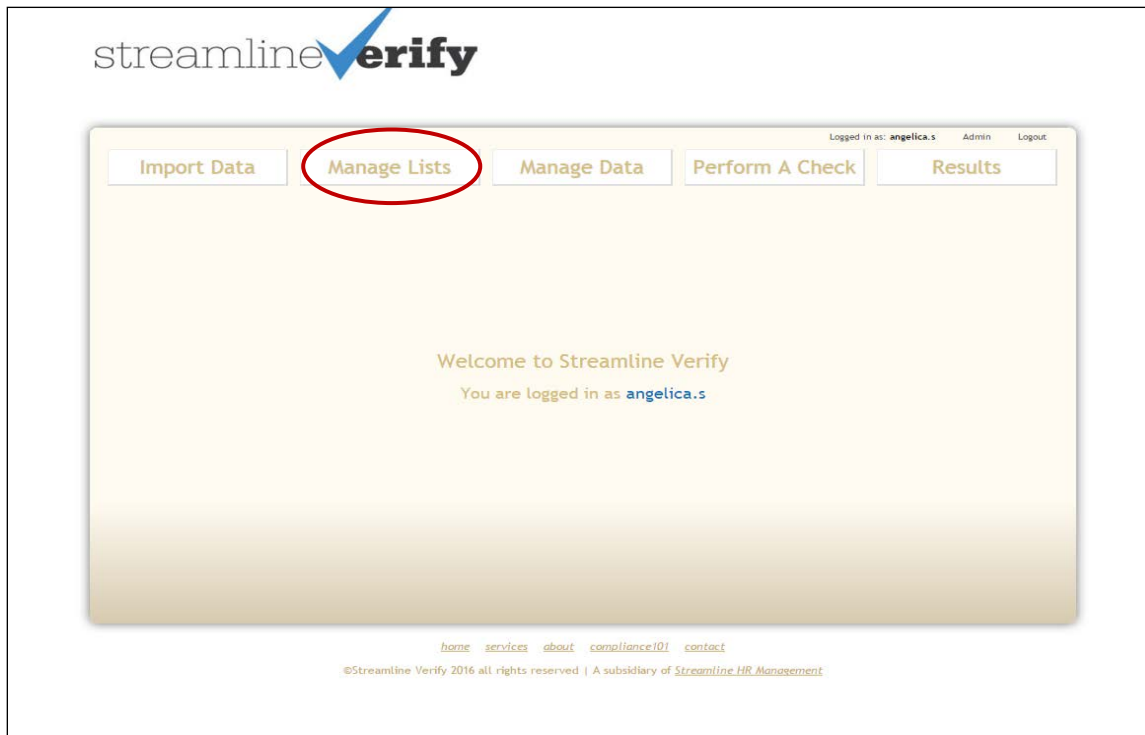


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B. Use the following statement as an example for California’s false matches.

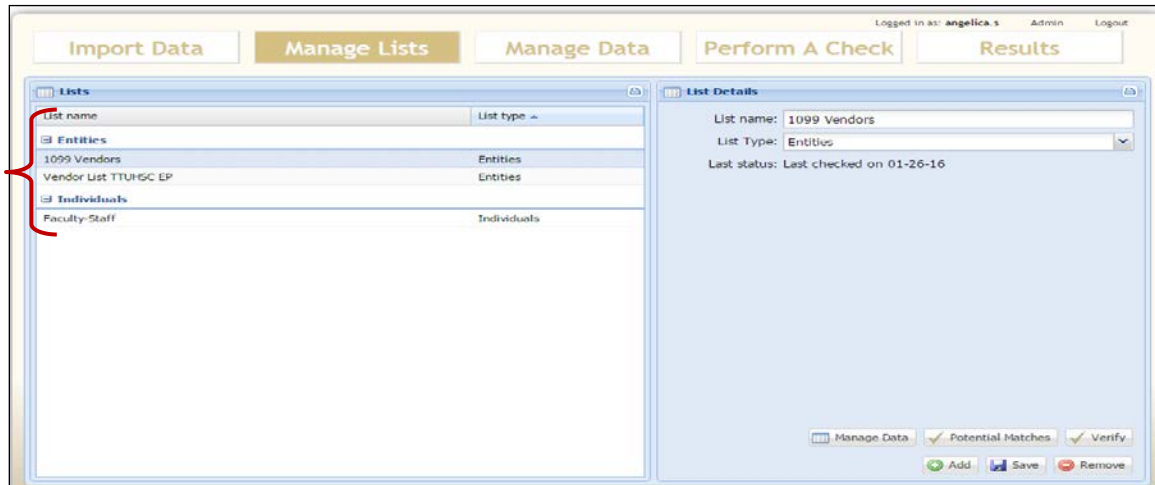


- ix. Go through all agencies, and all potential matches found.
- x. **If there is a “true match”, notify the ICO immediately.**
- w. Once you have gone through all the matches found, click on Manage Lists; if there were initially no matches found, go to step “aa”.

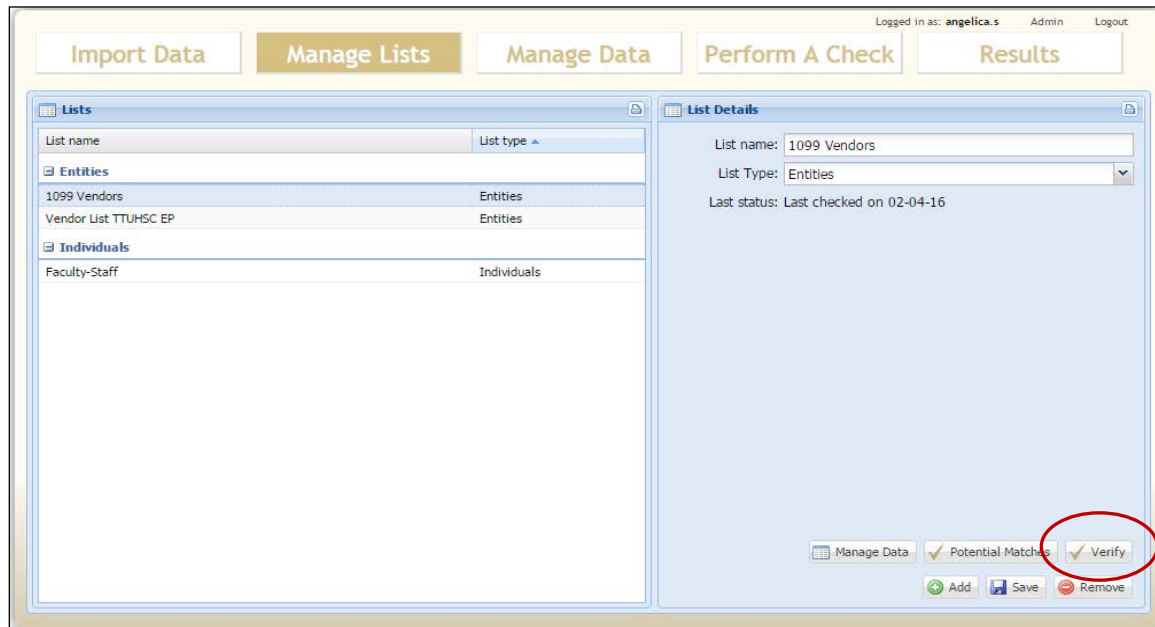


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x. Choose a list to manage.

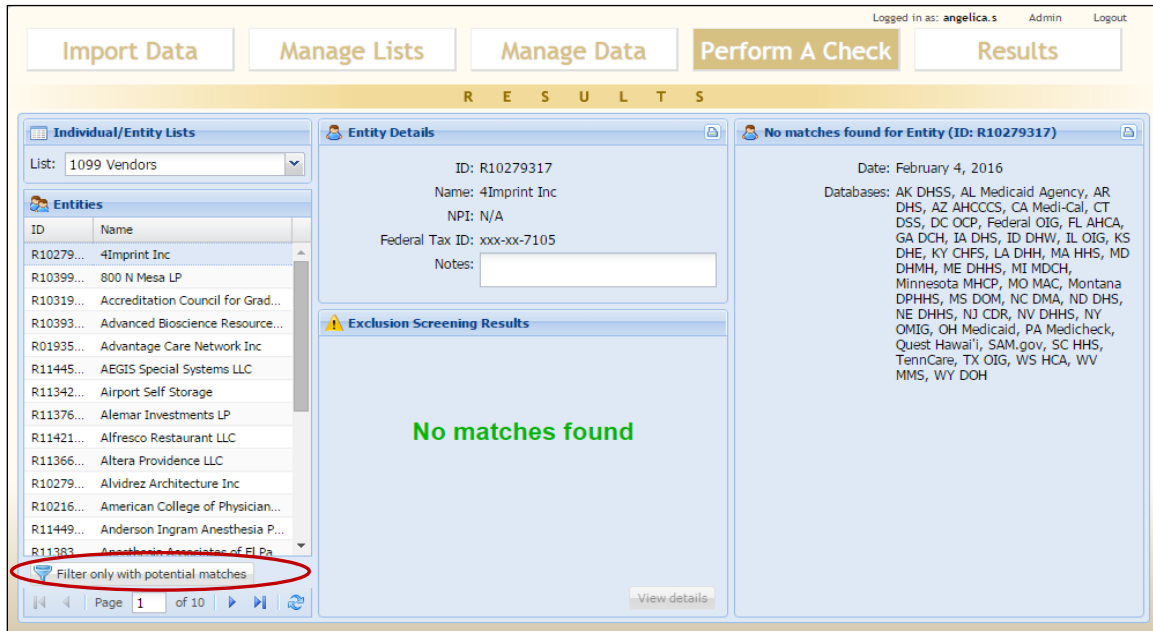


y. Click on Verify.



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z. Click on Filter only with potential matches.



Logged in as: **angelica.s** Admin Logout
 Import Data Manage Lists Manage Data Perform A Check Results

R E S U L T S

Individual/Entity Lists

List: 1099 Vendors

ID	Name
R10279...	4Imprint Inc
R10399...	800 N Mesa LP
R10319...	Accreditation Council for Grad...
R10393...	Advanced Bioscience Resource...
R01935...	Advantage Care Network Inc
R11445...	AEGIS Special Systems LLC
R11342...	Airport Self Storage
R11376...	Alemer Investments LP
R11421...	Alfresco Restaurant LLC
R11366...	Altera Providence LLC
R10279...	Alvidrez Architecture Inc
R10216...	American College of Physician...
R11449...	Anderson Ingram Anesthesia P...
R11383...	Anesthesia Associates of El Pa...

Filter only with potential matches

Entity Details

ID: R10279317
 Name: 4Imprint Inc
 NPI: N/A
 Federal Tax ID: xxx-xx-7105
 Notes:

Exclusion Screening Results

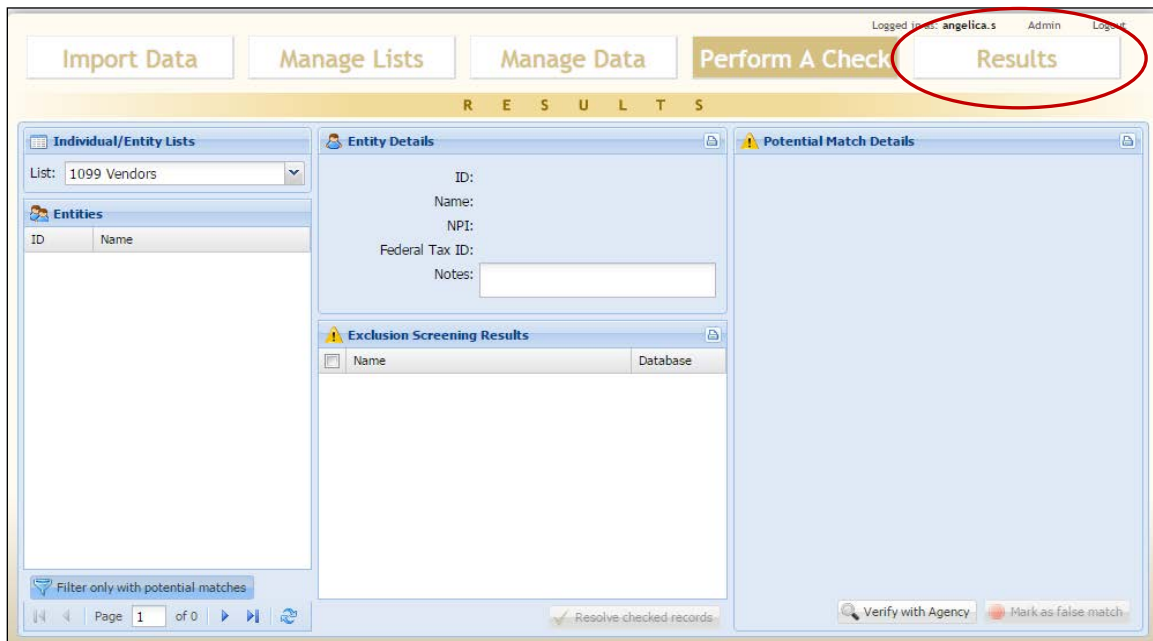
No matches found

No matches found for Entity (ID: R10279317)

Date: February 4, 2016

Databases: AK DHSS, AL Medicaid Agency, AR DHS, AZ AHCCCS, CA Medi-Cal, CT DSS, DC OCP, Federal OIG, FL AHCA, GA DCH, IA DHS, ID DHW, IL OIG, KS DHE, KY CHFS, LA DHH, MA HHS, MD DHMH, ME DHHS, MI MDCH, Minnesota MHCP, MO MAC, Montana DPHHS, MS DOM, NC DMA, ND DHS, NE DHHS, NJ CDR, NV DHHS, NY OMIG, OH Medicaid, PA Medcheck, Quest Hawaii, SAM.gov, SC HHS, TennCare, TX OIG, WS HCA, WV MMS, WY DOH

aa. Once there's no matches found, click Results and select the list to manage.



Logged in as: **angelica.s** Admin Logout

R E S U L T S

Individual/Entity Lists

List: 1099 Vendors

ID	Name

Filter only with potential matches

Entity Details

ID:
 Name:
 NPI:
 Federal Tax ID:
 Notes:

Exclusion Screening Results

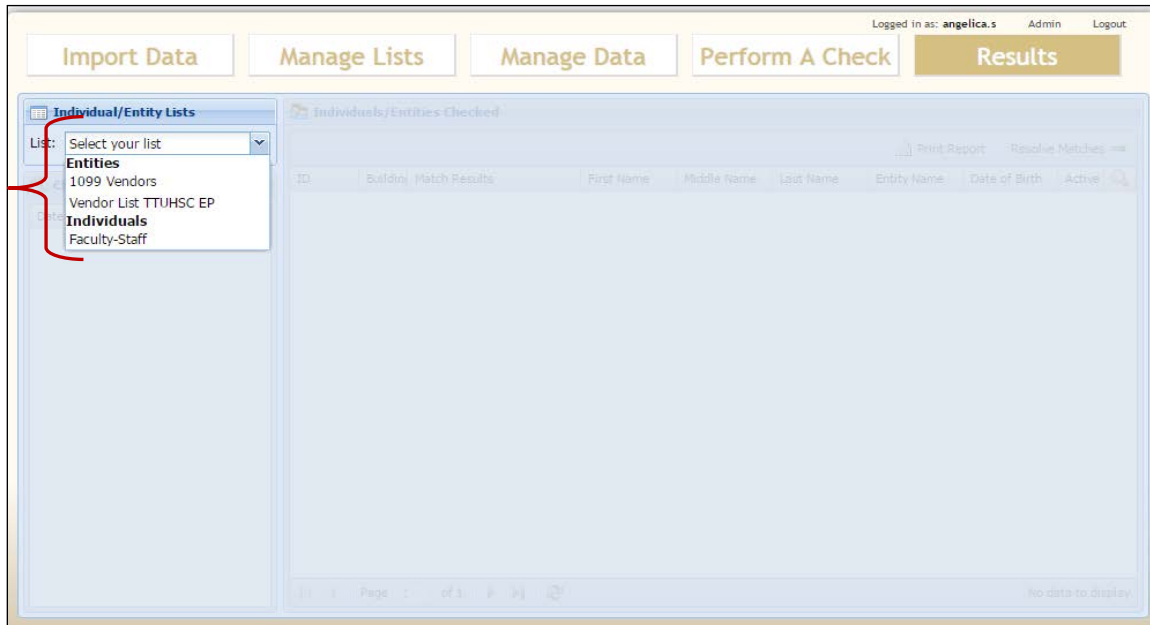
Name	Database

Potential Match Details

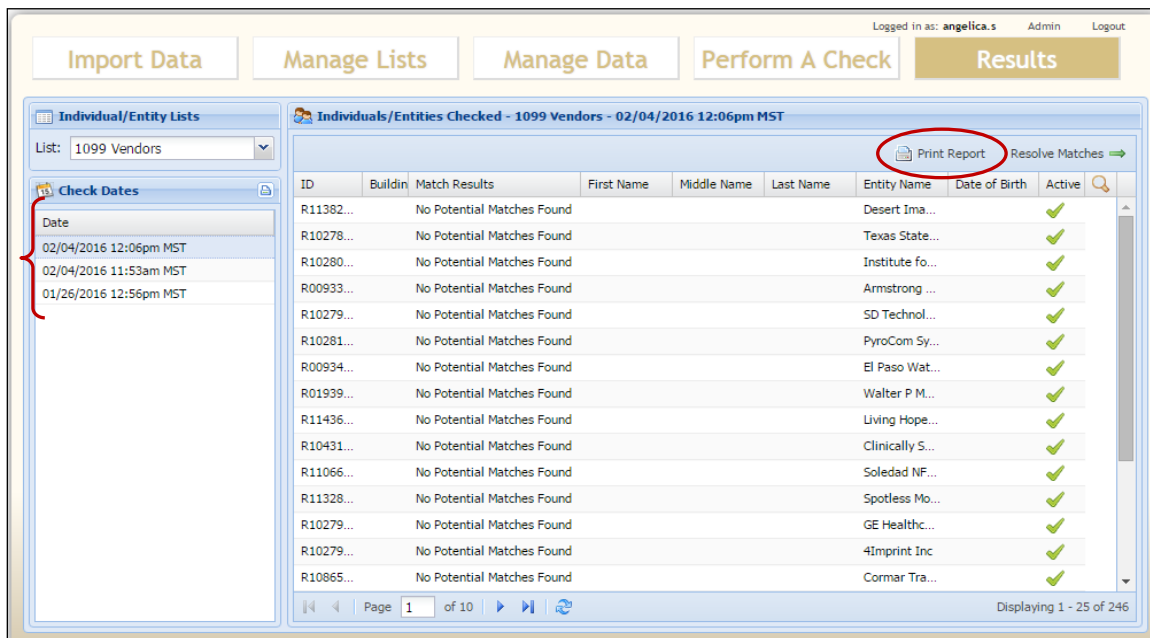
Resolve checked records

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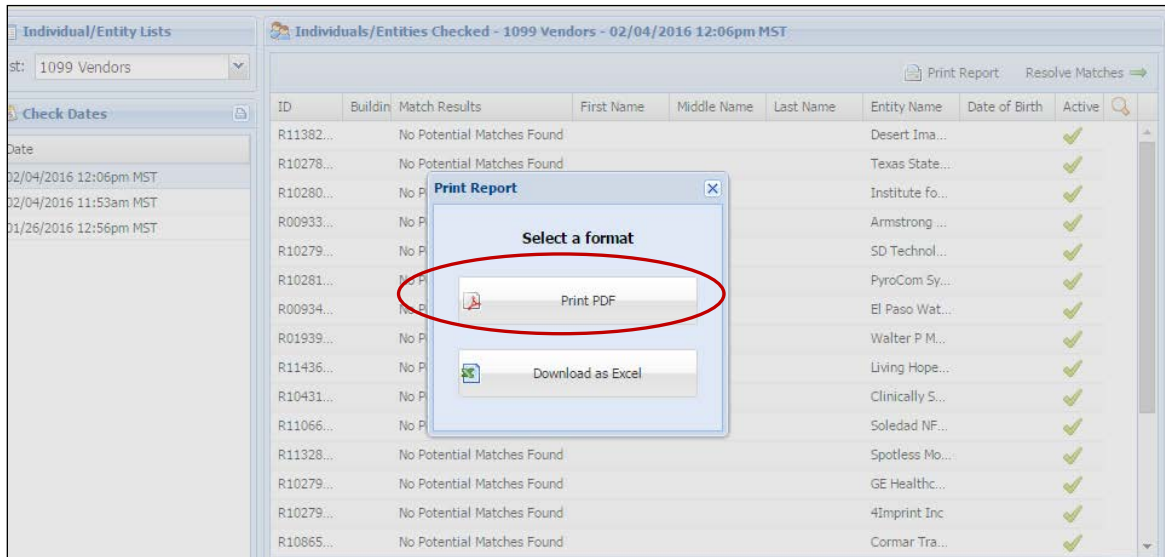
bb. Select the list for results.



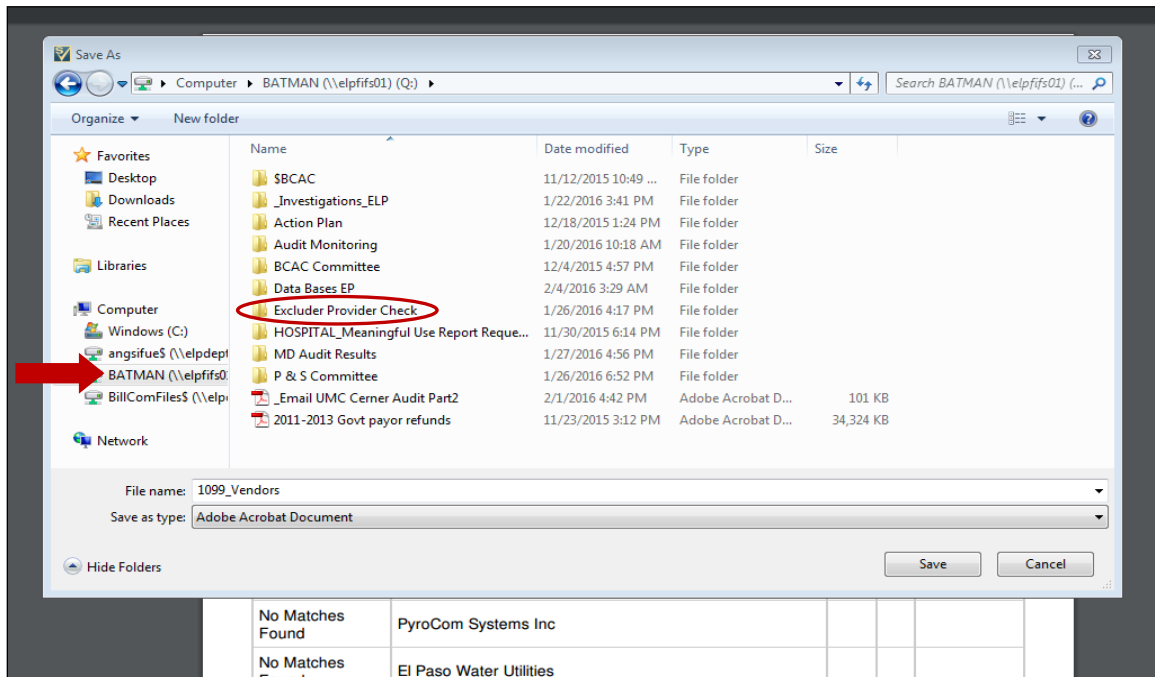
cc. Once No matches found is displayed, click on Results again, choose list, and click on Print Report. Make sure you choose the latest report saved.



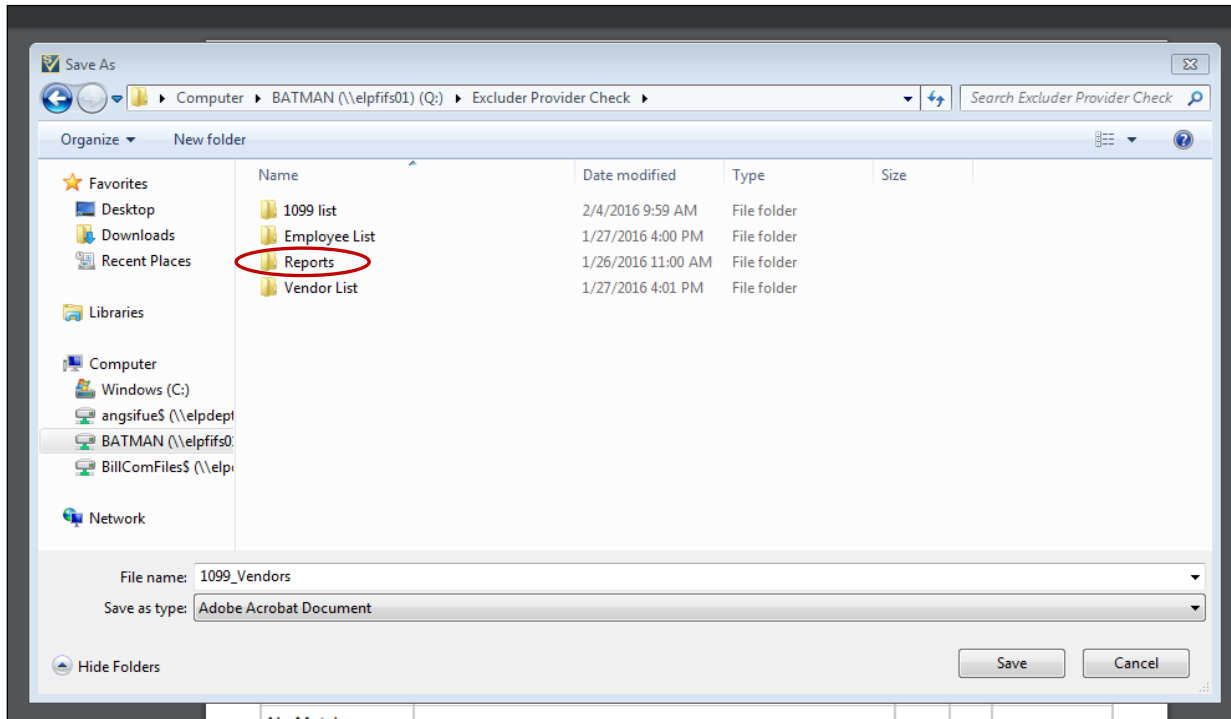
dd. Choose Print PDF.









ee. When the report populates, click save and go to the Excluder Provider Check folder inside the Batman drive.



ff. Save the report in the reports folder.



gg. Name the report beginning with the year, month, date, and list name.

Name	Date modified	Type	Size
 2016-1-13 Faculty-Staff	1/13/2016 11:19 AM	Adobe Acrobat D...	540 KB
 2016-1-13 Vendor_List_TTUHSC_EP	1/13/2016 12:28 PM	Adobe Acrobat D...	183 KB
 2016-1-22 Faculty-Staff	1/22/2016 3:55 PM	Adobe Acrobat D...	543 KB
 2016-1-26 1099_Vendors	1/26/2016 10:59 AM	Adobe Acrobat D...	174 KB
 2016-2-4 1099_Vendors	2/4/2016 10:12 AM	Adobe Acrobat D...	65 KB
 January 2016 Excluded provider check re...	1/22/2016 4:13 PM	Outlook Item	775 KB

Texas Tech University Health Sciences Center El Paso Institutional Compliance Procedure

4. Email the report to the following staff:

Report	Email To
Faculty/Staff List	Cinthia Estrada, Annette A Hinojos, Rebecca Salcido, Lisa Badillo; cc: Andy Conkovich
Vendor List	Cinthia Estrada, Annette A Hinojos, Lisa Badillo; cc: Andy Conkovich
1099-Vendor List	Cinthia Estrada, Annette A Hinojos, Lisa Badillo; cc: Michael Romano, Dr. Juan Figueroa, Andy Conkovich

5. Enter investigation in the Investigations – Projects Database in the Batman server.

Frequency of Review

Procedures will be updated, as needed.

Review Date: July 2016

Revision Date: July 2016