



**DEPARTMENT OF MENTAL HEALTH
POLICY/PROCEDURE**

SUBJECT REMOVING NAMES OF SANCTIONED INDIVIDUALS FROM THE RENDERING PROVIDER LIST	POLICY NO. 106.09	EFFECTIVE DATE 08/01/2011	PAGE 1 of 4
APPROVED BY:  Director	SUPERSEDES 112.13 08/01/2011	ORIGINAL ISSUE DATE 08/01/2011	DISTRIBUTION LEVEL(S) 1

PURPOSE

- 1.1 To provide guidance to the Los Angeles County-Department of Mental Health (LAC-DMH) regarding the authority to request the removal of sanctioned individuals from the rendering provider list.

DEFINITIONS

- 2.1 **Sanctioned Individual:** A sanctioned individual is a person whose name appears on any governmental list of individuals who have been debarred or otherwise made ineligible to provide services or to claim for reimbursement under federally funded health care programs, including but not limited to Medicare and Medi-Cal. Sanctions may be imposed against direct service providers as well as management and indirect/overhead staff. (Refer to DMH Policies 106.03 and 106.04 for further discussion of health care sanction lists). The most frequently reviewed government sanction lists are:
 - 2.1.1 Federal level: Health and Human Services, Office of the Inspector General maintains the List of Excluded Individuals and Entities (LEIE).
 - 2.1.2 State level: Department of Health Care Services (DHCS) maintains the list of individuals and entities barred from claiming to Medi-Cal in the List of Suspended and Ineligible Providers (S&I).
- 2.2 **Sanctioned Entity:** A corporation, company, or public institution may be sanctioned in the same manner as an individual. The LEIE and S&I contain names of individuals and private and public institutions.



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POLICY

- 3.1 Sanctioned agencies or individuals shall not deliver services or cause to be submitted claims for services to a federally funded health care program through LAC-DMH.
- 3.2 LAC-DMH will not knowingly enable a sanctioned agency or individual to submit claims to a federally funded health care program through the Department.
- 3.3 As LAC-DMH maintains a list of authorized rendering providers for the Department and contractor agencies on its data management and information system, LAC-DMH staff and managers are authorized to submit requests to remove confirmed sanctioned names from the rendering provider list.
- 3.4 Names being removed due to their sanctioned status must be confirmed by Compliance Program and Audit Services (CPAS) prior to removing the name from the rendering provider lists.

PROCEDURE

Removing a sanctioned name

- 4.1 LAC-DMH staff and managers who intend to remove the name of a sanctioned individual from the LAC-DMH list of rendering providers shall complete the Suspension and/or Exclusion Notification Form (see Attachment 1) and shall submit the form to CPAS for a confirmation process and signature.
- 4.2 CPAS staff shall also complete the Suspension and/or Exclusion Notification Form and provide a confirmation signature.
- 4.3 CPAS will forward an approved Suspension and/or Exclusion Notification Form to the Chief Information Office Bureau, Security Officer, following confirmation and signature for implementation.
 - 4.3.1 CPAS will notify the applicable District Chief and Deputy Director of the confirmed identification of a suspended and/or excluded person.



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- 4.3.2 CPAS will notify the applicable District Chief and Deputy Director if any claims were submitted since the effective date of a confirmed suspension and/or exclusion and an overview of corrective actions, if applicable.
- 4.3.3 CPAS will notify DMH-Revenue Management Division (DMH-RMD) regarding the potential loss of revenue associated with a confirmed exclusion and/or suspension.
- 4.4 The CIOB Security Officer, or designated staff, will take the necessary steps to prevent sanctioned individuals and entities from billing through the Department by:
 - 4.4.1 Coordinating with data systems managers and staff to ensure that sanctioned names are removed from the appropriate location(s) in the data system.
 - 4.4.2 Completing such other tasks as deemed necessary to prevent sanctioned individuals or entities from filing unauthorized claims.

Reinstating or appealing a sanctioned name

- 4.5 A rendering provider whose name has been removed from the rendering provider list due to a confirmed sanctioned status may appeal that removal by contacting the LAC-DMH Compliance Officer and providing written evidence that:
 - 4.5.1 Definitively distinguishes his/her identity from the sanctioned individual, and/or
 - 4.5.2 A formal reinstatement letter has been received from ALL applicable sanctioning agencies involved in the case. (It should be noted that reinstatement letters could be received before the sanctioning agency has updated the sanction lists as most are updated on monthly schedule.)



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4.5.2.1 It must be understood that all persons who have been excluded by OIG (and/or another federal agency) and suspended by the DHCS must be reinstated by the applicable federal agency(ies) prior to requesting reinstatement by DHCS.

4.5.2.2 It must be further understood that none of the sanctioning federal or State agencies have an automatic reinstatement process. Reinstatement requires formal action by the individual or entity and is not complete until a formal reinstatement letter has been received.

ATTACHMENT (Hyperlinked)

1. [Suspension and/or Exclusion Notification Form](#)

RESPONSIBLE PARTY

LAC-DMH Compliance Program and Audit Services