

HEALTHWEST

Policy and Procedure

No. 10-014

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Approved by:

Subject: Monitoring of  
Ownership and Control Interests of  
Providers for Exclusion from  
Participation in Federal Health Care  
Programs

DocuSigned by:



Rich Francisco  
Executive Director

I. POLICY

HealthWest will ensure that none of its contracted providers is an excluded entity, and that no one having an ownership or control interest in or having a management position with a contracted provider has been excluded from participation in a Federal Health Care Program.

II. PURPOSE

To ensure that HealthWest does not contract or pay for items or services furnished by an individual or entity that has been excluded from participation in a Federal Health Care Program.

III. APPLICATION

Applies to all HealthWest contracted providers.

IV. DEFINITIONS

Ownership and Control Interests: An individual is considered to have an ownership or control interest in a provider entity if they have a direct or indirect ownership of 5% or more, or is a managing employee (e.g., a general manager, business manager, administrator, or director) who exercises operational or managerial control over the entity, or who directly or indirectly conducts the day-to-day operations of the entity.

V. PROCEDURE

- A. Providers will be required to identify anyone in their organization with an ownership or control interest.
1. Providers will be required to identify individuals on the Lakeshore Regional Entity Disclosure of Ownership form.
  2. Providers will also be required to identify any person who has Ownership or

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Controlling Interest, or who is an Agent or Managing Employee of your Provider Entity ever been indicted or convicted of a crime related to that person's involvement in any program under Medicaid, Medicare, CHIP, or Title XX programs.

- B. HealthWest will assist with collecting and sending any Disclosure of Ownership form to the Lakeshore Regional Entity.

## VI. REFERENCES

42 CFR Section 1001,1001  
Section 1128 of the Social Security Act  
Section 1156 of the Social Security Act  
Section 1892 of the Social Security Act

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