

## PROCUREMENT: VERIFICATION OF ELIGIBILITY

### Policy and Procedure

**Campus:** All

**Approved:** May 4, 2007

**Department:** All

**Next Review:** May 31, 2009

#### Purpose

To assure that Individuals and Entities (Investigators, Institutions, Contractors, Vendors) who are selected for goods and services in conjunction with federally funded activities are not debarred or excluded from being eligible for use as a provider by the federal government.

#### Policy

1. Swedish will make reasonable efforts to ensure that all individuals, companies and institutions with whom it develops contracts and/or does business are not debarred or excluded by any federal regulatory entity, and are duly licensed in accordance with applicable state laws and therefore eligible, and in good standing, to do business with Swedish Health Services.
2. Swedish will establish screening mechanisms to assure that no goods, services, or participation agreements are procured from Individuals, Entities, or Vendors who have been debarred or excluded from participation by any Federal Agency.
3. In procuring goods and services, all Swedish buyers, including the Supply Chain Administration and the Research Division, will first verify that the chosen individual, entity, or vendor is not debarred or declared ineligible for participation by any federal listing.
4. Contract Administrators, Buyers, and Contractors (e.g. Research) shall document that they have reviewed each Individual and/or Entity against the Federal debarment lists at least annually prior to procuring any goods or services or entering into any written agreement.

#### Population Covered

All contracting, purchasing, and research staff.

#### Responsible Persons

All Contract Administrators, Buyers, Investigators, Research Managers, Study Coordinators, and research related support personnel.

## Supplemental Information

1. Refer to: The Federal Excluded Parties List System, at:  
  
<http://epls.arnet.gov>
2. Refer to: Federal health care program(s) as outlined in Sections 1128 and 1156 of the Social Security Act (see the Office of Inspector General of the Department of Health and Human Services List of Excluded Individuals/Entities) at:  
  
<http://www.oig.hhs.gov/FRAUD/exclusions/listofexcluded.html>
3. Refer to: FDA debarment under 21 U.S.C. 335a (see the FDA Office of Regulatory Affairs Debarment List) at:  
  
[http://www.fda.gov/ora/compliance\\_ref/debar/](http://www.fda.gov/ora/compliance_ref/debar/)
4. OMB Circular A-110, A-122, and A-133, The White House, Office of Management and Budget.
5. NIH Branch Management Circulars, HHS, NIH. Current versions available via internet at: <http://www.nih.gov/> , *et seq.*

## Content

### Overview

1. Swedish personnel shall routinely screen for debarment on any selection of a Vendor, Contractor, Principal Investigator, Collaborator, Consultant, or SubAwardee who has not previously had an agreement with Swedish Health Services within the previous year.
2. Supply Chain Contracts, Research Contracts, SubAwards and Agreements shall include language requiring the Institution and Individual to certify that they,
  - a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
  - b) Have not been convicted of, or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; for violation of a Federal or State antitrust statute; for commission of embezzlement, theft, forgery, bribery, falsification or destruction of records; or for making false statements or receiving stolen property;

- c) Are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated above; and;
  - d) Have not had any public transaction (Federal, State, or local) terminated for cause or default;
  - e) Will inform Swedish Health Services immediately if the Institution or any individuals associated with it have been debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency.
3. At the time existing agreements are renewed or extended, Swedish personnel shall routinely screen for debarment of a Vendor, Contractor, Principal Investigator, Collaborator, Consultant, or SubAwardee.

## Procedure

1. Personnel seeking a supply item, equipment, or other goods and services will first contact the Contracting or Purchasing Department to see if this item can be procured through an approved vendor whose current status is in good standing.
2. Swedish Research Center shall maintain an active listing of approved vendors and shall update this listing on an Annual basis each year. This Approved Vendor List will be located on the shared drive where Study Coordinators may access it routinely.
3. In circumstances necessitating the procurement outside of the Purchasing Department, (e.g. Research Contracts or other procurement from an identified individual, entity, or vendor) the Study Coordinator shall consult the Approved Vendor List. If the proposed vendor is on the list no further action is needed.
4. If the vendor is not on the list, the Study Coordinator will ask the Grants and Contracts Analyst (GCA) staff to research the vendor on the following sources, to be sure the selected individual, entity, or vendor is not listed (and therefore debarred or excluded from selection:  
  

<http://epls.arnet.gov>, and

<http://www.oig.hhs.gov/FRAUD/exclusions/listofexcluded.html>, and

[http://www.fda.gov/ora/compliance\\_ref/debar/](http://www.fda.gov/ora/compliance_ref/debar/).
5. In cases where confirmation has not previously been proved, a Confirmation of Eligibility shall be documented by either the Purchasing Buyer or by the GCA using the Eligible Parties Confirmation/Verification Report found in the Appendix.
6. Employees who purchase supply items on their own in order to submit a request for reimbursement shall not be reimbursed if they have inadvertently purchased the item from a debarred vendor.

7. Purchasing and Research shall each maintain an Audit Binder of all Confirmation/Verification Reports for a period of three years to provide an audit trail of this activity.

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**Expert Consultant**

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**Manual**

Policy and Procedure Manual

**Appendix**

Eligible Parties Confirmation/Verification Report



# SWEDISH HEALTHSERVICES

## ELIGIBLE PARTIES CONFIRMATION/VERIFICATION REPORT

### Individual, Entity, or Vendor Verified:

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1. The above Individual, Entity, or Vendor was found to be eligible for participation on:

Date: \_\_\_\_\_

2. This participant is NOT listed on the following:

\_\_\_\_\_ The Federal Excluded Parties List System

\_\_\_\_\_ The Health and Human Services OIG List of Excluded Individuals/Entities

\_\_\_\_\_ The FDA Office of Regulatory Affairs Debarment List

3. Verification Performed by:

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date