

Policy Number: **V-12**

Issue Date: 11/2004

Values: *Respect People, Serve our Community, Value Integrity*

Approved by: Hospital Officers Leadership Team

Applies to: Downtown & Community

Page(s): 1 of 11

Vendor Access

<i>Review Date:</i>	<i>Change Description:</i>
09/08/2020	
<i>Revised Date:</i>	<i>Change Description:</i>
09/08/2020	Minor language changes and updated links

Applies to: All categories of Hospital vendors

Policy: Upstate University Hospital Downtown Campus and Upstate University Hospital Community Campus, collectively “Upstate”, faculty, and staff interacting with vendors shall adhere to the guidelines set forth in this policy, regardless of clinical setting. This policy shall ensure reasonable access for, and identification of, vendors visiting Upstate. This policy shall minimize interruption to patient care and staff productivity; improve the security of patients, staff and property; ensure that vendor contacts and relationships support the service, teaching, and research missions of Upstate; and maintain the highest ethical and professional vendor relations.

I. GENERAL INFORMATION

"University Hospital is prohibited from contracting with any individual or organization which has been convicted of a criminal offense related to health care or who is listed by the Office of Inspector General as debarred, excluded, or otherwise ineligible for participation in federal health programs. All vendors will be screened against the Office of Inspector General (OIG) List of Excluded Individuals/Entities (LEIE) at <https://exclusions.oig.hhs.gov>, the Office of Medicaid Inspector General (OMIG) List of Restricted and Excluded Providers at www.omig.ny.gov/search-exclusions, and the System for Award Management (SAM) at www.sam.gov. Upstate University Hospital employees must not disclose current product pricing or usage to vendors. This information is confidential."

II. VENDOR CATEGORY DEFINITIONS

A. Sales Representatives (Category 1 Vendors):

Sales call, product introduction, and inservice offering and/or product evaluation. Any vendor visit that pertains to soliciting new products, equipment, or services requires an appointment with a specific staff member through the vendor credentialing system (VCS). Staff members must be aware of the reporting requirements of New York State’s Project Sunlight.

B. Contracted Services and Maintenance (Category 2 Vendors):

Frequent or long-term visits for equipment inspection/operation, repairs/maintenance, construction, and troubleshooting or technical support, are requested and scheduled by Passage Point Appointment by a department.

- C. **Daily Delivery/Pickup/Transport (Category 3 Vendors):**
All vendors or vendor representatives who provide daily or frequent delivery/pick up within the institution, i.e.: office supply vendor, courier services, patient transport.
- D. **Ongoing Required Vendor/Agency Service (Category 4 Vendors):**
1. Patient Service Representatives are vendor/agency/staff members who come to the hospital to provide patients with education about services or equipment use after discharge and/or conduct concurrent and/or retrospective medical record reviews. This type of service may include insurance company representatives (or their contracted agents), external/home health care representatives, or those who provide, or wish to provide, services for patients.
 2. Vendor or agency representatives who provide consulting work or services. These vendors may include technical support, inventory management, and delivery and set up of specialty products (i.e., beds). Some vendors in this category will receive department-specific vendor orientation, e.g., IMT consulting vendors, prime vendor, etc.

III. **VENDOR RESPONSIBILITIES:**

- A. All Category 1 vendors and their representatives must register with SYMPLR (previously VCS) at www.symplr.com
- B. Whenever possible, the use of cellular phones should be limited to non-patient care areas, such as individual offices, administrative spaces, waiting rooms, corridors, lobbies, conference rooms, and the cafeteria. Cellular Phone use is addressed in University-Wide Policy UW C-07, Cellular Phones, Headphones and Earbuds.
- C. All vendors must wear a printed Upstate-issued visitor badge with current date during their entire visit to Upstate, which clearly identifies the vendor and the representative.
- D. Vendors in Categories 2, 3, and 4 on premises to provide service to Upstate may not use their scheduled time in the institution for other activities, including, but not limited to, detailing, soliciting, or visiting.
- E. All vendors shall park in visitor-identified lots. (This excludes patient transportation and daily delivery/pickup categories.)

IV. **PROCEDURES FOR EACH VENDOR CATEGORY**

- A. **CATEGORY 1 - SALES REPRESENTATIVES:**
 1. **Upstate Department Responsibility**
 - a. Any employee scheduling an appointment with vendors in Category 1 **MUST** pre-approve the representative(s) in advance, using the SYMPLR internet program on the Hospital's website. Educational or inservice programs being presented or supported by vendor representatives must have the prior approval of the department sponsoring the presentation and are subject to the same requirements as all other appointments. Vendors not in the database are not eligible for pre-approval and must be directed to Hospital Purchasing, 650 South Salina St, Syracuse, NY 13202. All vendors must be compliant with Upstate's visitation policies. Vendors who do not have a pre-approved appointment will be denied access to all Upstate locations.

- b. To ensure appropriate documentation, the department must provide the vendor the following information for an appointment in the SYMPLR system:
 - 1. The name of the Upstate employee the appointment is with
 - 2. The name of the vendor representative and his/her company
 - 3. The exact date, time, and location (room #) of the visit
- 2. Vendor Responsibility
 - a. “Cold calls” are not allowed.
 - b. On the day of the visit, the vendor representative reports to a SYMPLR kiosk and obtains a vendor visitor badge, which includes the name of the representative, company represented, time/date of appointment, and the place of the appointment. The badge must be worn at all times while in the Hospital, on Campus, or at Community campus.
 - c. During the sign-in process, the representative must have current SYMPLR credentials.
 - d. For representatives without current SYMPLR credentials, the representative may be provided access at the discretion of the Hospital Purchasing.

B. CATEGORY 2 - CONTRACTED SERVICES AND MAINTENANCE:

- 1. Upstate Department Responsibility

These vendors may be issued a non-employee badge/ID, as determined by the department and Hospital Purchasing; these vendors shall deal directly with Hospital departments for scheduled maintenance/repair. **HOWEVER**, if a repair is an emergency repair after normal business hours or a repair that, for some other reason, must be scheduled after normal business hours, the department **MUST** call University Police with information about the visit.

Required information:

 - a. Vendor responding for maintenance/repair and the name of the responder, if known
 - b. The location the vendor will be responding to
 - c. Name, phone number, and Department calling University Police
 - d. Whether a department representative will be present during the response; if yes, the name of the person who will be present, and how they can be reached when the vendor arrives
 - e. In RARE instances when a department representative cannot be present when the vendor arrives, the department must be sure that University Police has access to the area. If University Police has keys for the area, the area can be unlocked for the vendor and re-secured when the vendor leaves, but University Police **CANNOT** “stand by” while the vendor works.

2. **Vendor Responsibility:**
Vendors in this category will schedule all visits with department requesting the service. If the visit is during normal business hours (M-F, 8 a.m. – 4 p.m.), the vendor must report to the department scheduling the service before beginning work. **HOWEVER**, if the visit is for work to be performed after normal business hours, the vendor **MUST** sign in with University Police.

C. *CATEGORY 3 - DAILY DELIVERY/PICKUP/TRANSPORT:*

1. **Upstate Department Responsibility**
 - a. These vendors provide daily or frequent delivery/pickup within the institution during normal business hours. These vendors will be required to display a non-employee badge/ID or a visitor badge. The non-employee badge/ID is issued at the discretion of individual departments. In lieu of a non-employee badge/ID, these vendors must obtain a visitor badge by reporting to the Information Desk in the lobby of Upstate University Hospital or the Security Office at Community Campus.
 - b. The only **EXCEPTION** is if a delivery/pickup must be made after normal business hours. In these instances, the Upstate department requesting this type of delivery/pickup **MUST** call University Police with the following information:
 1. Name of the vendor making the delivery/pick up.
 2. Location of the delivery/pickup. (NOTE: University Police is **NOT** an appropriate location for delivery/pickup. **EXCEPTIONS** to this rule **MUST** be made through University Police Administration.)
 3. Name, phone number, and department calling University Police.
 4. Whether a department representative will be present during the delivery/pickup; name and phone number of the person or instructions on how they can be reached when vendor arrives.
 5. For **RARE** instances when a department representative cannot be present for the delivery/pickup, the department must be sure that University Police has access to the area. If University Police has keys for the area, the area can be unlocked for the delivery/pickup, and re-secured when the vendor leaves.

2. **Vendor Responsibility**
Vendors making delivery/pickup are to make arrangements with the department involved. Vendors called after hours should report to University Police for direction.

D. *CATEGORY 4 – ONGOING REQUIRED VENDOR/AGENCY SERVICE*

1. All vendors must wear a printed Upstate-issued visitor badge with the current date during their entire visit to Upstate, which clearly identifies the vendor/representative.
2. Insurance company representatives/Reviewers must identify themselves on the unit to nursing staff and may not visit directly with a patient without consent of the patient or designated patient's representative.

3. Insurance company's representatives/Reviewers are not allowed to remove the chart from the unit, make copies of, or fax records. Reviewers are only allowed to review and make notes from the records.
4. The External Health Care Providers must have a referral from an Upstate University Hospital staff member (physician, case manager, social worker, ancillary staff, or RN) in order to screen or visit the patient.
5. The External Health Care Provider may make notes on agency letterhead and leave in the Outside Records section of the medical record to communicate their findings to the health care team. The External Health Care Provider should communicate directly with case managers, social workers, nursing staff, and/or ancillary staff who will provide information to the medical team.
6. Discontinuation: At the time a third-party payer and/or Upstate University Hospital determines that the individuals granted non-employee access have terminated their services, with respect to Upstate University Hospital, notification of same should be directed to the offices of Case Management, Clinical Data Services/Health Information Management, and the Utilization Management Department. Aforementioned departments shall have the responsibility to notify Payroll of the deactivation.

V. CRITERIA FOR NEW PRODUCT AND EQUIPMENT TRIAL OR LOAN

A. Products

1. If a department would like to evaluate products brought in by vendor representatives, they must contact the Value Analysis Program Coordinator or the Hospital Purchasing Department. Please reference Upstate Administrative Policy V-01, Value Analysis Program.
2. Vendors may leave approved product (not pharmaceuticals) samples with Upstate departments upon scheduled visits.

B. Equipment Trial

If a department would like to trial new equipment, for use in the direct care of any Upstate patient, and/or the equipment is intended to be left at Upstate by the vendor for demonstration or trial, the department must adhere to the procedures outlined below including completion of "VENDOR RELEASE FORM, Authorization for Equipment Trial" (Appendix A) and comply with Administrative Policy E-03, Non-Medical Equipment Management.

1. Equipment Trial Procedures
 - a. The requesting department must complete a "VENDOR RELEASE FORM, Authorization for Equipment Trial." See Appendix A. The department head requesting the equipment is responsible for completing the Vendor Release Form, and getting signatures from the vendor and Clinical Engineering.
 - b. Attach the signed "Vendor Release Form" to a requisition, and obtain your Associate Administrator's signature as authorization for the equipment trial. The requisition must include the purpose of the trial, name of equipment, model number, quantity, and time period the trial will cover.

- c. **Submit the signed requisition and Vendor Release Form to Hospital Purchasing for a “no charge” purchase order. The Vendor must complete and sign the “Vendor Release” Form prior to delivery of equipment to Upstate. This form must be filed with the Hospital Purchasing Department before delivery of equipment is made.**
- d. **Hospital Purchasing will issue a “no charge” purchase order to the vendor for delivery of equipment to Upstate. All equipment for Downtown campus, for which a “Vendor Release Form” has been submitted, must be brought to or delivered through Upstate University Hospital’s Receiving Dock located at 117 Monroe Street, Syracuse, 13210. All equipment for Community campus, for which a “Vendor Release Form” has been submitted, must be brought to or delivered through Community campus’ Receiving Dock located at 4900 Broad Road, Syracuse, NY 13215. In both instances, the equipment will be checked-in prior to delivery to the requesting department.**

Medical Equipment Only:

1. **After receipt at either Downtown’s or Community’s Receiving Dock, all medical equipment brought in by vendors or delivered for demonstration, loan, or trial will be delivered to Clinical Engineering for testing and/or approval for use before being delivered to the requesting department.**
2. **On or before delivery, the vendor is required to provide:**
 - a. **Documented evidence of FDA approval for application intended for demonstration or trial.**
 - b. **Documented and dated evidence of performance testing (completed inspection checklist) for Clinical Engineering review.**
 - c. **Copy of vendor’s published recommended initial inspection and performance verification protocol.**
3. **Clinical Engineering will perform any additional testing determined to be required per NFPA99 and NEC testing standards before releasing equipment for use in patient care. By prior arrangement with Clinical Engineering, equipment may be delivered to requestor site after check in at Downtown’s or Community’s Receiving Dock.**
 - a. **The vendor must provide appropriate training to hospital personnel prior to using demonstration, trial, or loan equipment. Training must be documented according to individual departmental policy.**
 - b. **The vendor’s company retains title to the equipment during an evaluation and will be responsible for maintaining equipment in sound working order. The vendor’s company will be responsible for all preventative maintenance and repair of equipment. See attached Appendix A for additional information.**
 - c. **Only new products approved utilizing the Value Analysis Program may be purchased using hospital funds.**

- d. Purchase commitments and/or contract signature for Upstate may only be made by the Hospital Purchasing Department.

VI. VENDOR INITIATED RECALL OR REPLACEMENT

If a vendor initiates a product/equipment recall or replacement, either formal or voluntary, it is the affected department's responsibility to document actions taken for the recall/replacement. The department must require the vendor to provide, on company letterhead, information regarding the specific recall to include, but not limited to, product name, manufacturer number, lot number affected, quantity, reason, and action taken. The vendor and department representative must date and sign the document and forward to the Hospital Purchasing Department as soon as possible. The vendor representative must provide written documentation to Hospital Purchasing of the necessity for the product/ equipment recall (preferably a notice of recall). This document must also be forwarded to the Hospital Purchasing Department.

Please reference Administrative Policy R-18, Product Recall Management – Hospital Purchasing, for additional instruction.

VII. ATTENDANCE AT HOSPITAL MEETINGS OR PRESENTATIONS

Educational or inservice programs presented or supported by vendor representatives must have the prior approval of the department sponsoring the presentation. The department and/or staff member must make the vendor representative aware of Upstate's policy concerning vendors.

VIII. GIFTS AND FOOD

All employees are reminded that they are subject to restrictions on acceptance of gifts from vendors contained in the New York State Public Officers Law Section 73(5).

Materials explaining these restrictions can be found at: <https://jcope.ny.gov/ethics-laws-and-regulations-0>

Additional information regarding the acceptance of gifts by Upstate employees is available in Upstate Policy UW I-03.

Employees with questions concerning these restrictions should contact their supervisors.

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IX. DEPARTMENT AND STAFF RESPONSIBILITY

All departments and staff are responsible for assuring that vendor representatives interacting with the department comply with this policy. Non-compliant vendor representatives are to be immediately reported to University Police and Hospital Purchasing.

Supplemental vendor policies for specific departments may be found in their Department Policy and Procedure Manual.

X. VIOLATION OF POLICIES

All vendors are required to comply with this policy. The University Police Department will manage incidents in which vendor representatives are found on Upstate premises without the appropriate identification.

- A. Staff members who find a vendor representative in patient care areas without proper identification are required to alert University Police.
- B. Vendor representatives without a visitor badge will be escorted from the premises immediately.
- C. University Police will generate a report regarding the infraction, which will be forwarded to the Director of Hospital Purchasing. The Hospital Purchasing Department will administer the situation as follows:
 - 1. The first deviation from this policy will be handled with a letter of warning to the representative and his/her company.
 - 2. The second deviation from this policy will result in the representative being barred from Upstate for six months.
 - 3. The third deviation from this policy will result in the representative being permanently barred from Upstate.
- D. Significant violations of policy or ethics may result in administrative review and other disciplinary actions different than outlined above.

Education/Related Documents:

Value Analysis Program, V-01

Non-Medical Equipment Management, E-03

Product Recall Management – Hospital Purchasing, R-18

Utilization Management Program, U-02

Approved Non-Employee Hospital Visitor Access & Orientation, V-06

Patient Consent for Use and Disclosure of Protected Health Information, P-31

Provision of the Notice of Privacy Practices, P-17

Relations by the Upstate Community with Commercial Entities, UW I-03

Confidentiality, UW C-01

Form Name(s) and Number(s): N/A

Originating Department: Hospital Purchasing

Contributing Department(s): Value Analysis Program
Peri-operative Administration
University Police
Materials Management
Information Management Technologies
Patient Access Services
Utilization Management
Clinical Data Services
Privacy Officer
Case Management Department

Evidence-Based References:

New York State Joint Commission on Public Ethics; <https://jcope.ny.gov/ethics-laws-and-regulations-0>

United States Health and Human Services Office of the Inspector General

**APPENDIX A
SUNY UPSTATE UNIVERSITY HOSPITAL – UNIVERSITY HOSPITAL
DOWNTOWN & COMMUNITY CAMPUSES
VENDOR RELEASE FORM
Authorization for Equipment Trial or Loan of Equipment**

_____ (Company), Located at: _____,
agrees to furnish SUNY Upstate University Hospital, Downtown & Community campuses, (collectively
“Upstate”), sample products or equipment (products), as described on the reverse side hereof, for
Upstate’s evaluation and testing purposes subject to the terms and agreements expressed below.

1. Company agrees to furnish equipment at no charge or cost to Upstate including delivery and all related return freight costs, installation and/or de-installation, and any insurance coverage necessary for the equipment.
2. Company agrees that its participation is voluntary, and that Upstate has made no representation, commitment, or guarantee to purchase these or additional Equipment or related supplies now or in the future.
3. Company warrants to Upstate the furnishing or use of any Equipment hereunder does not infringe any adverse valid existing patent, and agrees to indemnify and save harmless Upstate, the State University of New York and the State of New York, their regents, officers, customers, agents and employees from and against any and all claims, actions, damages, suits, proceedings, judgments, or liabilities incurred in connection with any claim, suit, or action for actual or alleged infringement based upon Upstate’s use of said equipment. Company agrees to defend, at its sole expense, any such claim, suit, or action brought against Upstate, the State University of New York and the State of New York, their regents, officers, customers, agents, and employees individually or collectively.
4. Company agrees to indemnify, defend and save harmless Upstate, the State University of New York and the State of New York, their regents officers, customers, agents, and employees from and against any and all claims, actions, damages, suits, proceedings, judgments, or liabilities arising from the use of Equipment hereunder.
5. Company agrees that Upstate may evaluate and test Equipment in such a manner as determined to be reasonable and appropriate by UH, during the period from ___/___/___, through ___/___/___.
6. Company agrees that they will retain title to the Equipment and responsibility for any and all preventative maintenance, service and/or repairs, including without limitation any repairs necessitated by damage to Equipment while it is in Upstate’s possession, for which Upstate shall have no responsibility.
7. When de-installing, the Company must return the facility to the same condition as it was prior to the install.
8. Company agrees to remove product from Upstate at its own expense at the end of the evaluation period.
9. Vendor must familiarize themselves with the requirements set forth in Sections VI CRITERIA FOR NEW PRODUCT AND EQUIPMENT TRIAL OR LOAN and VII VENDOR INITIATED RECALL OR REPLACEMENT in the Administrative Policy, V-12, Vendor Policy.

Accepted this _____ day of _____, by:

Company	Upstate Department	Upstate Clinical Engineering
_____ (Name - Print or type)	_____ (Name - Print or Type)	_____ (Name - Print or Type)
_____ (Authorized Signature)	_____ (Authorized Signature)	_____ (Authorized Signature)
_____ (Title)	_____ (Title)	_____ (Title)
_____ (Date)	_____ (Date)	_____ (Date)
Hospital Purchasing – Buyer	Purchase Order # (if applicable)	Date

REVERSE MUST BE COMPLETED (Original to Purchasing, Vendor, Dept/Committee)

SUNY UPSTATE UNIVERSITY HOSPITAL, DOWNTOWN & COMMUNITY CAMPUSES
(collectively "Upstate")
VENDOR RELEASE FORM

Tracking PO #	Vendor	Mfg. Item #	Serial #	Description	Qty.	Estimated Cost	Estimated Evaluation Dates

Upstate Contact Name

Company Contact Name

Phone Number

Phone Number:

Document Information

Document Title

V-12 - Vendor Access

Document Description

This policy explains the process to ensure reasonable access for, & identification of, vendors visiting Upstate. This policy shall minimize interruption to patient care & staff productivity; improve the security of patients, staff and property; ensure that vendor contacts & relationships support the service, teaching, & research missions of Upstate, & maintain the highest ethical & professional vendor relations.

Approval Information

Approved By: Hospital Officers Leadership Team

Approval Expires: 09/08/2022

Document Location: / HOSPITAL ONLY POLICIES (includes: Administrative-Hospital, Clinical, Environment of Care Management Plans, Infection Prevention, Nursing Department Administrative, Quality) / Administrative Policies - Hospital

Printed By: Guest User

Standard References: US Office of the Inspector General

Note: This copy will expire in 24 hours