



Program Integrity Exclusions Search

November 2020

This document is a “how to” guide for searching the required databases for exclusions for **System for Award Management (SAM)** and **List of Excluded Individuals Entities (LEIE)**. Before going over the steps, please note the requirements of this process.

- Both databases must be searched on a monthly basis regardless if you are part of an agency, group, or a single provider.
- Anyone who “touches” Medicaid must be searched. In addition to clinical staff, this includes the following*:
 - All staff who provide services
 - Administrators
 - Billing
 - Board of Directors
 - Intake personnel or others who may verify eligibility
 - IT
- Save a copy of all searches completed. The format is up to you, but it is recommended you save this information on your computer. During audits/ reviews, these records will be requested.
- If an individual’s name shows up on either website, a second level review must be completed by using the individual’s Social Security Number or Employee Identification Number. Please complete this second level search through LEIE.

**If a second level search is conducted and you are able to verify that the excluded individual has the same name but is not the individual associated with your agency, you must continue to complete the second level search monthly to verify. If at some point the person associated with your agency is excluded, you must notify Optum Tooele County immediately.*

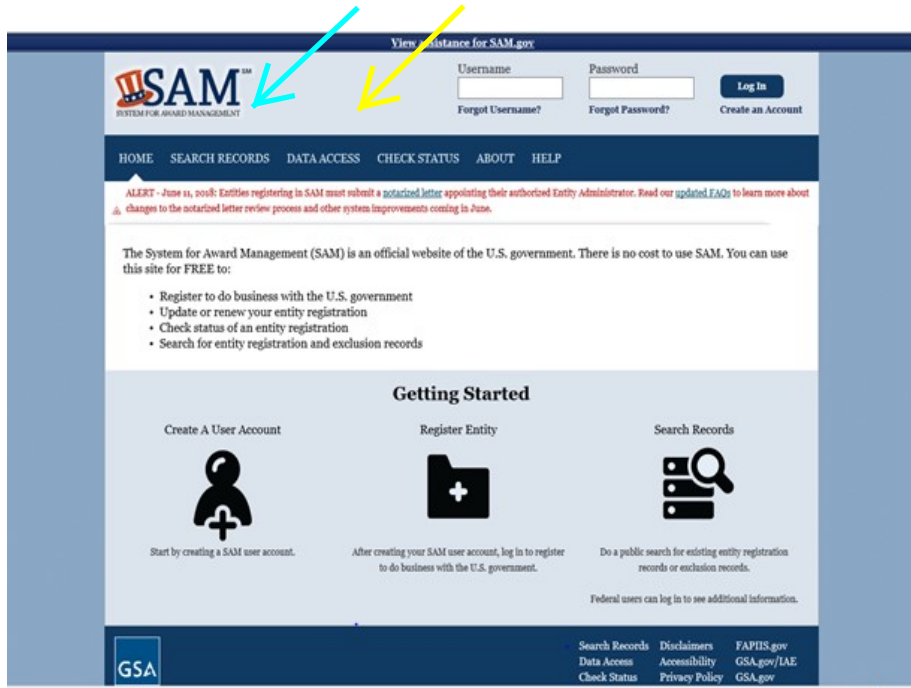
- Once the searches are complete, create an attestation on Agency/Provider letterhead indicating the outcome of the searches. Save and send in a Word Document or PDF. Do NOT send in the body of an email. A template for the attestation is attached.
- Send the attestation to TooeleReviews@optum.com or fax to 1.877.331.0272. Your attestations will be archived.
- If you have any questions, please contact the Optum Tooele County Quality Team at TooeleReviews@optum.com or call 1.800.640.5349.

*If you are uncertain if someone who is associated with your business processes and service delivery needs to be searched for exclusions, please contact Gina Attallah, Compliance and Quality Assurance Director, for clarification.

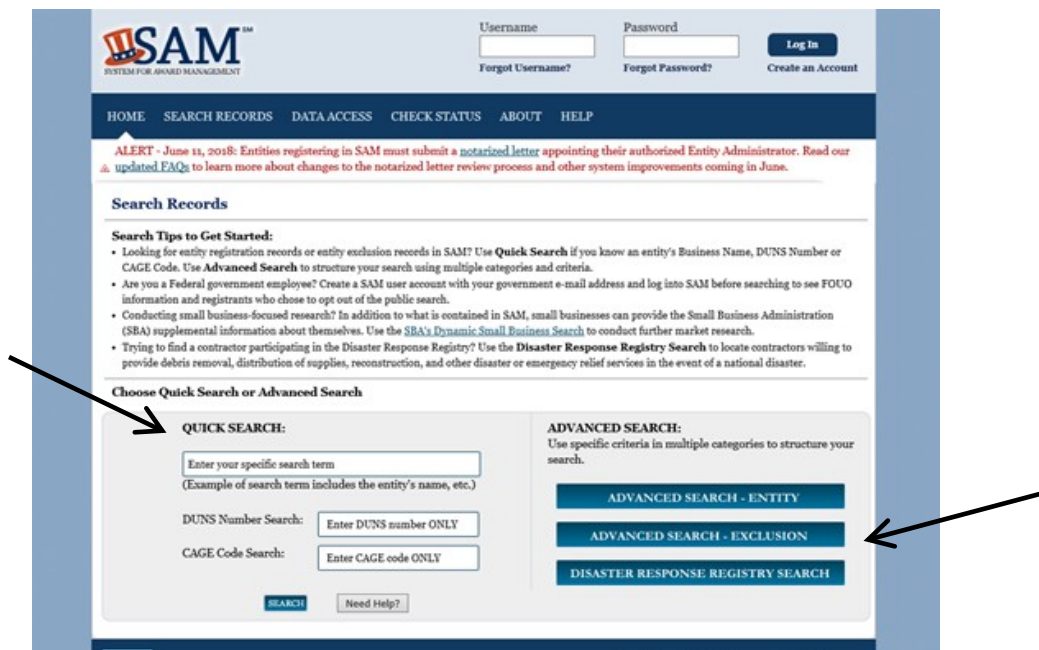
System for Award Management (SAM):

<https://www.sam.gov/SAM/>

On the SAM website there are two options for searching: **Search Records** or **Data Access**. Search Records has a quick, single name search option or an option to search for multiple names through the Advanced Search option. Data Access allows you to search for multiple providers by downloading a list in spreadsheet format. *NOTE: You do not need to create a user account or register to use this site. Use only the two options identified.*



Search Records: Quick Search and Advanced Search



If using the Advanced Search option, a box will appear with Exclusion Search Tips. Click Continue, then you will be taken to this screen, where you can enter multiple names.

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, you must enter search criteria in both the Name and SSN/TIN fields.
- 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

All Name
 All Name
 All Name
 All Name
 All Name
 All Name

Exclusion Status: Active Selecting "All" displays both Active and Inactive Exclusions.

You may only perform a search with the criteria contained in one accordion.

Data Access

Public UTY-S 138 EM Public UTY-S 139 EM Public UTY-S 140 EM Public UTY-S 141 EM Public UTY-S 142 EM Public UTY-S 143 EM Public UTY-S 144 EM Public UTY-S 145 EM Public UTY-S 146 EM Public UTY-S 147 EM Public UTY-S 148 EM Public UTY-S 149 EM Public UTY-S 150 EM Public UTY-S 151 EM Public UTY-S 152 EM Public UTY-S 153 EM Public UTY-S 154 EM Public UTY-S 155 EM Public UTY-S 156 EM Public UTY-S 157 EM Public UTY-S 158 EM Public UTY-S 159 EM Public UTY-S 160 EM Public UTY-S 161 EM Public UTY-S 162 EM Public UTY-S 163 EM Public UTY-S 164 EM Public UTY-S 165 EM Public UTY-S 166 EM Public UTY-S 167 EM Public UTY-S 168 EM Public UTY-S 169 EM Public UTY-S 170 EM Public UTY-S 171 EM Public UTY-S 172	
<p>Exclusions Extract Data Package</p> <p>Data Access Role: Public Format: CSV Description: This data package contains the publicly available data for all active exclusion records entered by the Federal government identifying those parties excluded from receiving Federal contracts, certain subcontracts, and certain types of Federal financial and non-financial assistance and benefits. Users must read the exclusion record completely to understand how it impacts the excluded party. The links include the three-digit Julian date for easier identification of the most recent file. No special data access is needed to download this file.</p> <p>Warning: Older versions of Microsoft Excel cannot load more than 65,536 rows from a CSV file. If you have Microsoft Excel version 2007 or higher, you should be able to load the complete file. If you encounter this limitation, and do not need the complete file, you can use SAM's Search functionality to filter to a smaller subset of data and export the results.</p> <p>Complete File - Last 7 Days Exclusions 156 Exclusions 160 Exclusions 168 Exclusions 169 Exclusions 170 Exclusions 171 Exclusions 172 </p>	<p>Data Package Information</p> <p>Public Exclusions Extract Layout</p>

IBM v1.P.13.20180427-1347
WWW4

Search Records	Disclaimers	FAPIS.gov
Data Access	Accessibility	GSA.gov/IAE
Check Status	Privacy Policy	GSA.gov
About		USA.gov
Help		

This is a U.S. General Services Administration Federal Government computer system that is "FOR OFFICIAL USE ONLY." This system is subject to monitoring. Individuals found performing unauthorized activities are subject to disciplinary action including criminal prosecution.

Once on the Data Access screen, scroll down to the bottom and click on the most recent "complete file". You will then have access to a searchable spreadsheet.

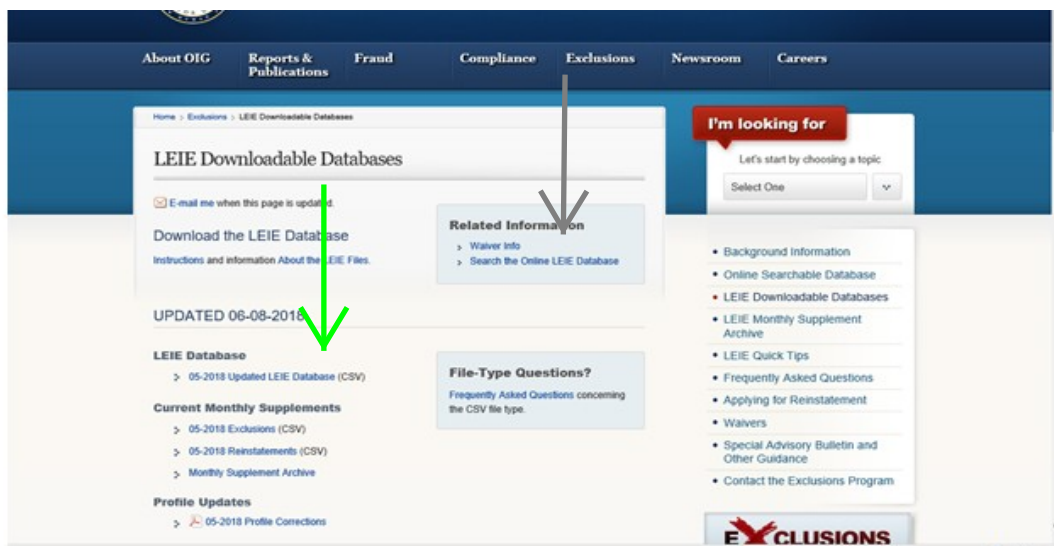
To move through this process quickly, use the Find feature to search for the individual's last name. You will then be directed to the section of the spreadsheet where that last name is listed, or you will receive a message that the data cannot be found. Review the names listed against your staff roster. If no names are found, then all staff have cleared this month. This spreadsheet can be saved for your records, or you can screen shot where the missing names would be listed on the spreadsheet.

If a name is found, you must complete the second level search by going to the LEIE site (see below) and completing a single name search by selecting the Online Searchable Database. There you can verify the individual's name using their social security number. Be sure to save the results of this search.

List of Excluded Individuals/Entities (LEIE)

https://oig.hhs.gov/exclusions/exclusions_list.asp

On the LEIE website there are also two options for searching: Search the Online LEIE Database or Updated LEIE Database (CSV). Use only the two options identified.



When you select Search the Online LEIE Database, click on Search for Multiple Individuals, then the following screen will appear. This allows you to searches for up to five individuals at a time. If you choose to use the CSV file, please refer to the instructions on the LEIE site. Use only the Updated LEIE Database option.

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Home > Exclusions

Search the Exclusions Database

Search For Multiple Individuals

Search For An Individual |
 Search For A Single Entity |
 Search For Multiple Entities

	Last Name	(and/or) First Name
1.	<input type="text"/>	<input type="text"/>
2.	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>
4.	<input type="text"/>	<input type="text"/>
5.	<input type="text"/>	<input type="text"/>

Related Content

- > LEIE Downloadable Databases
- > Monthly Supplement Archive
- > Waivers
- > Quick Tips
- > Background Information
- > Applying for Reinstatement
- > Contact the Exclusions Program
- > Frequently Asked Questions
- > Special Advisory Bulletin and Other Guidance

If a name is found, you can complete the second level search by going back to the main page and completing a single name search by selecting the Online Searchable Database. There you can verify the individual's name using their social security number. Be sure to save the results of this search.

(Attestation Template)

Letterhead Logo

Address

Phone and Fax

[Date]

Ms. Attallah,

Our agency reviewed the LEIE and SAM databases for [Full Name], [Full Name] and [Agency Name] with the following results: [describe results here].

or

Our agency reviewed the LEIE and SAM databases for all employees, contractors and board members with exposure to Medicaid consumers and/or information, as well as [Agency Name], and [describe results here].

Sincerely,

[Your Name and Title]