



Program Integrity Exclusions Search

April 2025

This document is a "how to" guide for searching the required databases for exclusions for **System for Award Management (SAM)**. Before going over the steps, please note the requirements of this process.

- Both databases (SAM & LEIE) must be searched monthly, regardless of if you are part of an agency, group, or a single provider. There are separate how-to instructions on our website for the LEIE search process.
- 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 as a screenshot. Make sure the date search is completed, and name of individual is visible on screenshot. 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 (separate instructions are available).

*If a second level search is conducted, and you can verify 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 the individual remains excluded. If at some point the person associated with your agency is identified as excluded, you must notify Optum immediately.

- Providers are required to send an annual attestation to Optum by August 31st of every year. A copy of the attestation template can be found on the website (Optum Provider Attestation). Please send a copy to slcoquality@optum.com and kortnie_wilson@optum.com.
- Your attestations will be archived.
- If you have any questions or need assistance, please contact the Optum Quality Team or Kortnie Wilson at slcoquality@optum.com, kortnie_wilson@optum.com or call 1.877.370.8953.

*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):

sam.gov/content/home

****You do not need to create an account to complete these searches****

There are two ways to search:

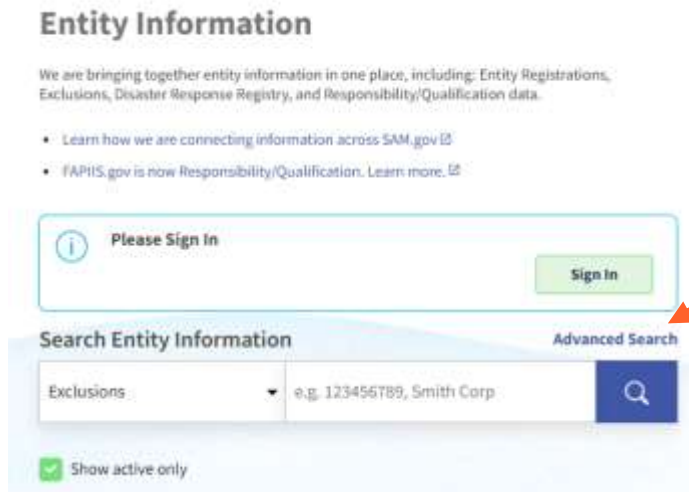
1. By entering data into a text field
2. By searching an excel document file

For option 1, follow these instructions:

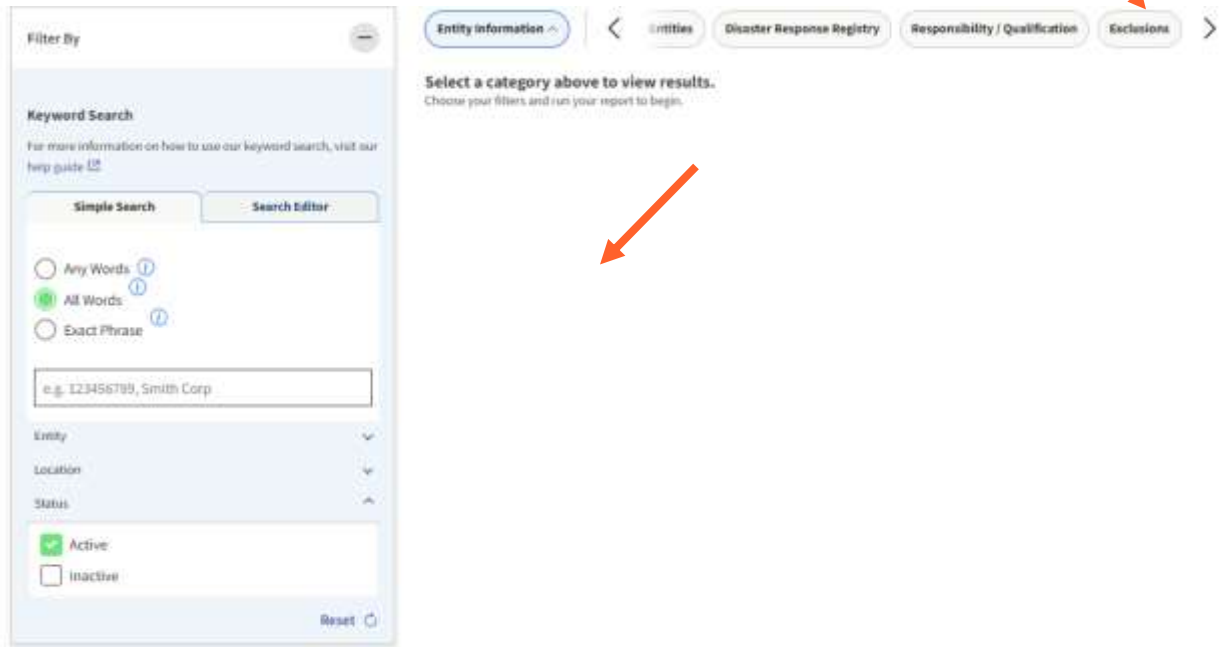
1. Navigate to sam.gov/content/home website
2. Select “entity information”



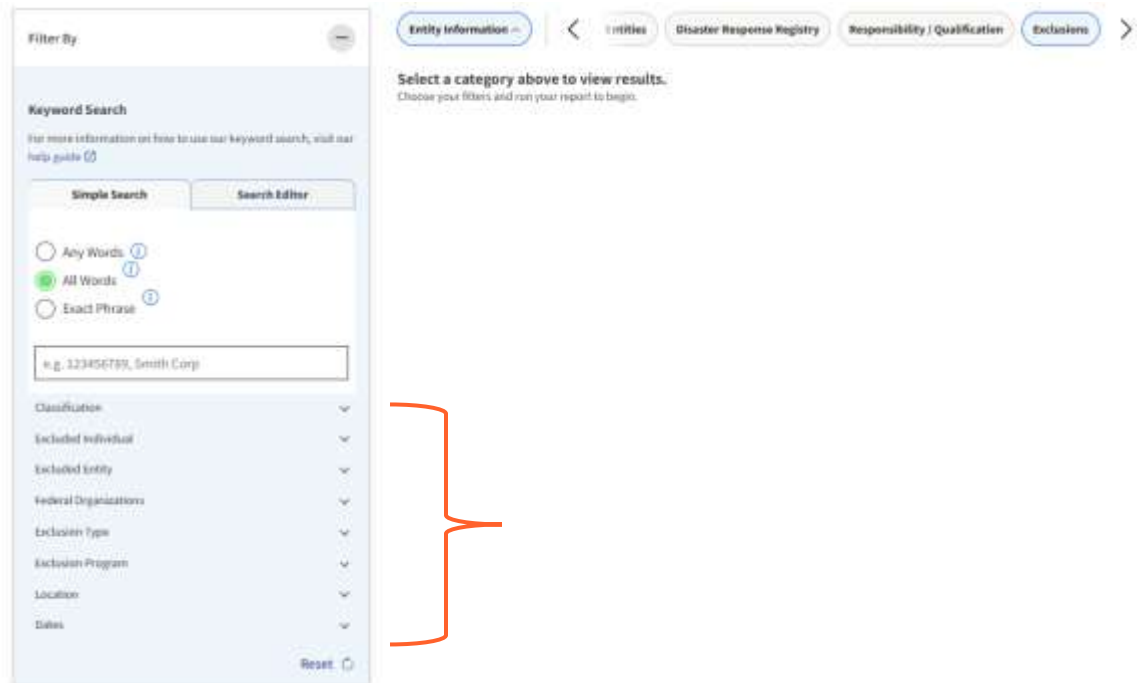
3. This will be the next page that shows up. On this page you will click on “Advanced Search”:



4. From here you will look for “exclusions” on this list (you’ll need to hit the right arrow to find it):



5. On the next screen you will see a list of options below the search box.



6. From here you have 2 options, you can either search “excluded individuals” or “excluded entity”

Filter By —

Keyword Search

For more information on how to use our keyword search, visit our [help guide](#)

Simple Search | **Search Editor**

Any Words ⁱ
 All Words ⁱ
 Exact Phrase ⁱ

e.g. 123456789, Smith Corp

Classification ▼

Excluded Individual ▲

First Name

Middle Name

Last Name

SSN / TIN

Add Individual

Excluded Entity ▼

Federal Organizations ▼

Exclusion Type ▼

Filter By —

Keyword Search

For more information on how to use our keyword search, visit our [help guide](#)

Simple Search | **Search Editor**

Any Words ⁱ
 All Words ⁱ
 Exact Phrase ⁱ

e.g. 123456789, Smith Corp

Classification ▼

Excluded Individual ▼

Excluded Entity ▲

Entity Name

Unique Entity ID
e.g. HTYR9YJHK65L ▼

CAGE / NCAGE

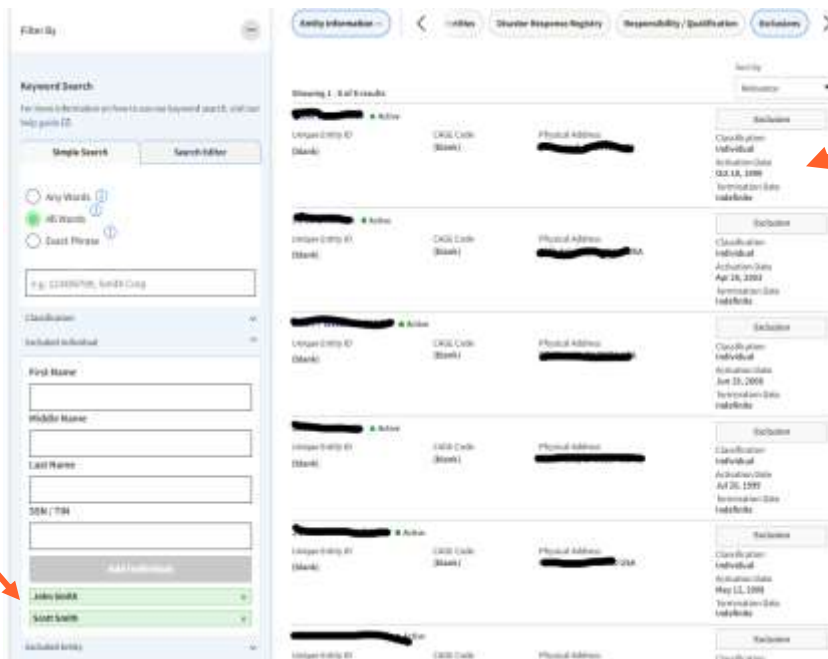
Federal Organizations ▼

Exclusion Type ▼

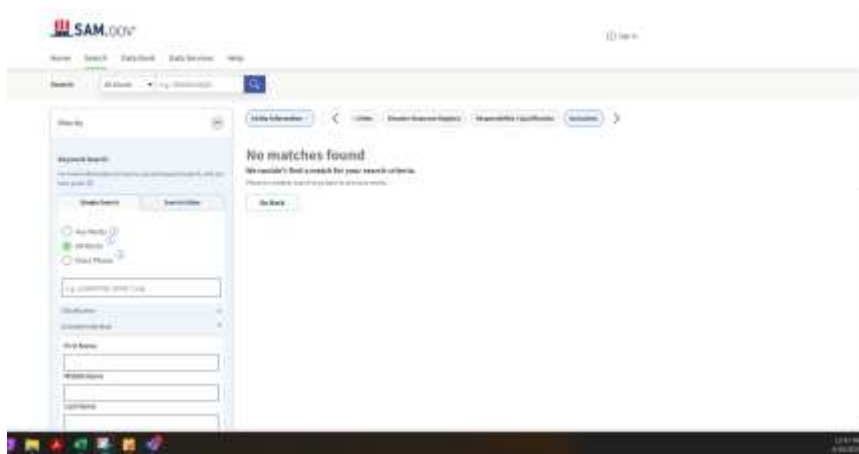
Exclusion Program ▼

Location ▼

- If you are searching for individuals, you can search multiple people at the same time. To do this you'll enter the individual's name in the boxes and then hit "add individual", you will continue to do this with all names being searched. You'll see the list of the people you are searching at the bottom of the search box. On the righthand side you will then see a list of the search results. Entity search will work about the same way.



- If the name(s) you are searching **does not appear** on the list, take a screenshot of the results that appear alphabetically before and after the name you are searching. It is helpful if you include the panel on the left in your screenshot, which shows the name you searched (which did not produce a result). Make sure your screenshot includes the date the search was completed.



- If the name **does appear** on the page, you want to view exclusion details, select the name again that appears on the results list (the name will appear in blue and is a hyperlink). This will open the full entry for that person. On this page, verify that this is your individual by clicking on “verify address”

- On the next page you will enter in your individual’s address and hit “verify”

- Once you hit “verify” on the previous page, the next step will either come up with a “match’ or “no match”

12. You can also verify a match through an SSN search. To do this you will clear your original search and then put in their full name and then their SSN and hit “add individual”

Keyword Search
For more information on how to use our keyword search, visit our [help guide](#)

Simple Search | **Search Editor**

Any Words
 All Words
 Exact Phrase

e.g. 123456789, Smith Corp

Classification
Excluded Individual

First Name

Middle Name

Last Name

SSN / TIN

Add Individual

Excluded Entity
Federal Organizations
Exclusion Type
Exclusion Program
Location
Dates

Reset

13. Make sure to properly screenshot the results that show up. Including the results that were returned along with the date search was done.

Verify Address
If you have a street address that may be for this individual, enter it below. Use it to see exact match to either a primary or alternate address.

Street Address 1
Street Address 2
Country
ZIP Code
City
State/Province
AP Number

No Match

Add Verify

IDENTIFICATION INFORMATION

First Name
Last Name
Middle Name
Suffix

For option 2, follow these instructions:

1. Follow steps 1 above, then scroll to the bottom of the screen to the section labeled “Integrate with Data Services” and select “Go to Exclusions Data Files”

Integrate With Data Services

Download Data Files
Generate and download Entity Extracts, Exclusions Extracts, and Responsibility/Qualification data reports (formerly in fapis.gov).

- Go to Entity Data Files
- Go to Exclusions Data Files**
- Go to Responsibility/Qualification Report

APIs and System Connections
Connect your system to APIs for Entity, Exclusions, and Responsibility/Qualification data.

- Go to the Entity Management API
- Go to the Exclusions API
- Go to the Responsibility/Qualification API

Frequently Asked Questions
Learn more about using SAM.gov data or integrating it with your application.

- How to use data services
- What is a system account?
- What are APIs and API keys?

2. Once you are on this page select “Public V2”

DATA SERVICES
File Extracts
Data Services > Exclusions

Name	Details
Public - Historical	
Public V2 FASCIA Orders	
Public V2	

3. On the next page you will see a long list of documents available, always select the very top option, this is the most recent and up-to-date version.

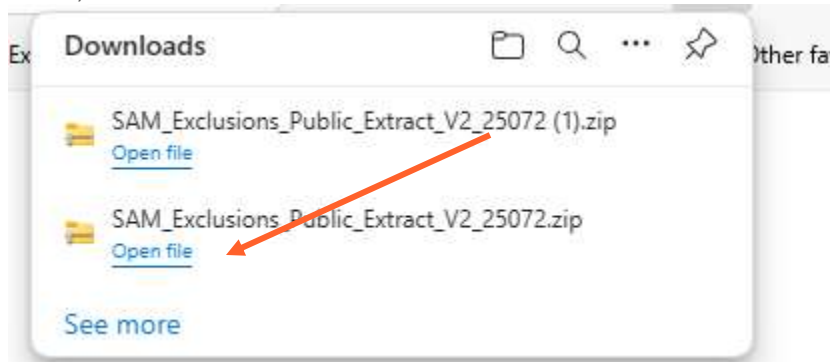
DATA SERVICES
File Extracts
Data Services > Exclusions > Public V2

Name	Details
SAM_Exclusions_Public_Extract_V2_25071.ZIP	
SAM_Exclusions_Public_Extract_V2_25071.ZIP	
SAM_Exclusions_Public_Extract_V2_25070.ZIP	
SAM_Exclusions_Public_Extract_V2_25065.ZIP	
SAM_Exclusions_Public_Extract_V2_25064.ZIP	
SAM_Exclusions_Public_Extract_V2_25067.ZIP	
SAM_Exclusions_Public_Extract_V2_25065.ZIP	
SAM_Exclusions_Public_Extract_V2_25065.ZIP	
SAM_Exclusions_Public_Extract_V2_25065.ZIP	
SAM_Exclusions_Public_Extract_V2_25065.ZIP	

4. On the next screen, you will see a “terms and conditions” pop-up. Read through everything and then at the bottom of the page you will select “Accept”. You must scroll all the way to the bottom for the “Accept” to be clickable.



5. Once you hit accept it will start downloading an Excel document, once it's available it should show up in your downloads (computer/internet browser might make this look different than below).



6. Once you open the file you will have an excel document that you can search for names in.



**If a match is found and verified, you are required to notify Optum immediately, no later than 30 days after the match was discovered. Failure to complete these searches monthly and notify Optum of any matches can result in recoupment of funds. **