



## Program Integrity Exclusions Search

April 2023

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 monthly, regardless of 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.
- Once the searches are complete, create an attestation on Agency/Provider letterhead

\*If a second level search is conducted, and you are able to 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.

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 [slcoquality@optum.com](mailto:slcoquality@optum.com) or fax to 1.866.588.9583.
- Your attestations will be archived.
- If you have any questions, please contact the Optum Quality Team at [slcoquality@optum.com](mailto:slcoquality@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):

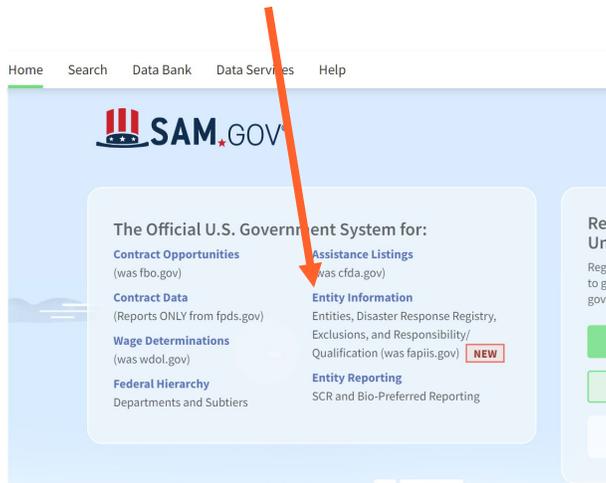
[sam.gov/content/home](https://sam.gov/content/home)

There are two ways to search:

1. By entering data into a text field (for one individual/entity)
2. By entering multiple individuals into a list then searching

### For option 1, follow these instructions:

1. Navigate to [sam.gov/content/home](https://sam.gov/content/home) website
2. Select “entity information”

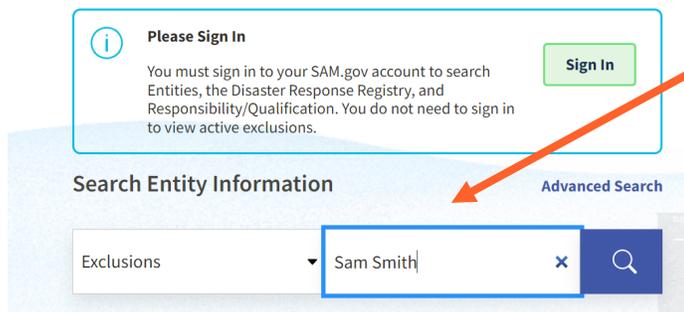


3. This will be the next page that shows up. On this page you will change the drop down to “exclusions” and then enter in the name you are searching:

## Entity Information

We are bringing together entity information in one place, including: Entity Registrations, Exclusions, Disaster Response Registry, and Responsibility/Qualification data.

- [Learn how we are connecting information across SAM.gov](#)
- [FAPIS.gov is now Responsibility/Qualification. Learn more.](#) **NEW**

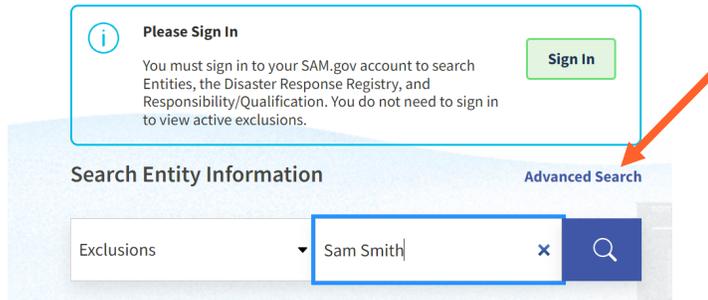


4. You can also use the “advanced search” option:

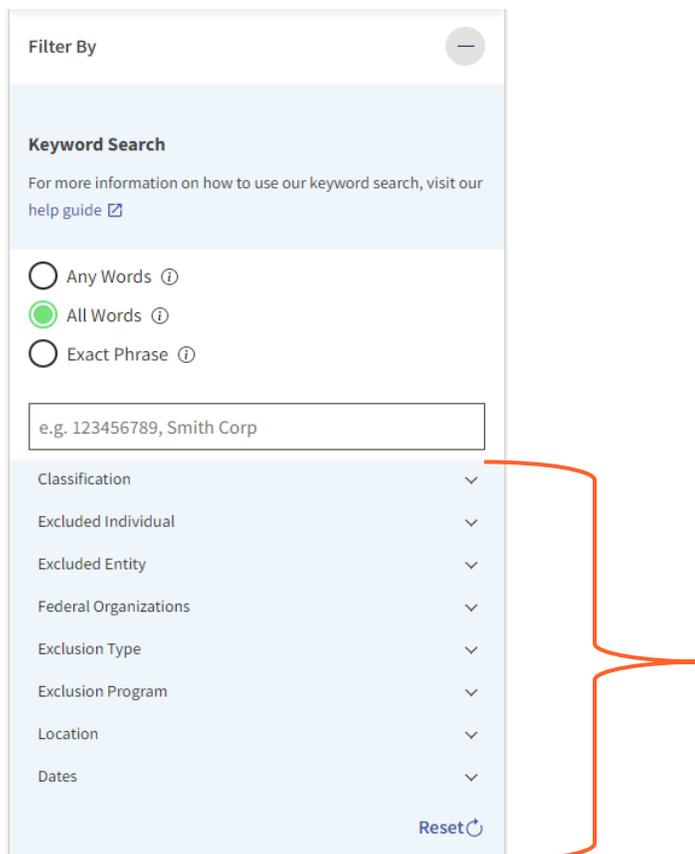
## Entity Information

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5. From here you can filter through a few different options:



6. Enter the name in the keyword box (if you’re using advanced search) or in the Search box near the top of the page. This will produce a results page.

- If the name 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).
- 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.

The screenshot displays a search interface with the following components:

- Search Bar:** Contains the text "All Words" and "e.g. 1606N220Q02".
- Left Panel:**
  - Select Domain:** Entity Information
  - Entity Information:** All Entity Information, Entities, Disaster Response Registry, Responsibility / Qualification, Exclusions.
  - Filter By:** Keyword Search (with a help guide link), Any Words, All Words (selected), Exact Phrase.
  - Search Input:** "e.g. 123456789, Smith Corp." and "John Smith" (highlighted).
  - Classification:** Excluded Individual.
  - Name Fields:** First Name, Middle Name.
- Main Results Area:**
  - Shows "Showing 1 - 10 of 10 results".
  - Sort By: Name.
  - Table of results with columns: Unique Entity ID (blank), CAGE Code (blank), Physical Address, Classification (Individual), Activation Date, and Termination Date (Indefinite).
  - Each row includes an "Active" status indicator and an "Exclusion" button.
  - Physical addresses listed include: CANON CITY, CO 81215 USA; FAYETTEVILLE, NC 28306 USA; NEW YORK, NY 10030 USA; CHAMPAIGN, IL 61820 USA; and ROSEVILLE, CA 95661 USA.

For option 2, follow these instructions (to search multiple individuals):

1. Follow steps 1 and 2 above, then select “advanced search”

### Entity Information

We are bringing together entity information in one place, including: Entity Registrations, Exclusions, Disaster Response Registry, and Responsibility/Qualification data.

- Learn how we are connecting information across SAM.gov [↗](#)
- FAPIIS.gov is now Responsibility/Qualification. Learn more. [↗](#) **NEW**

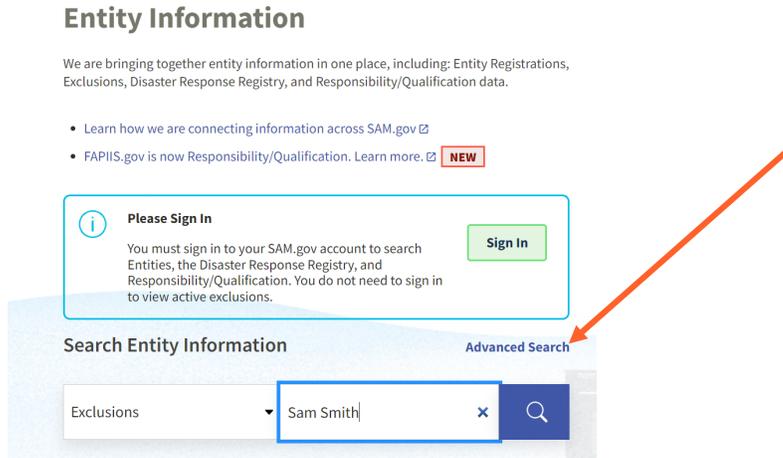
**Please Sign In**

You must sign in to your SAM.gov account to search Entities, the Disaster Response Registry, and Responsibility/Qualification. You do not need to sign in to view active exclusions.

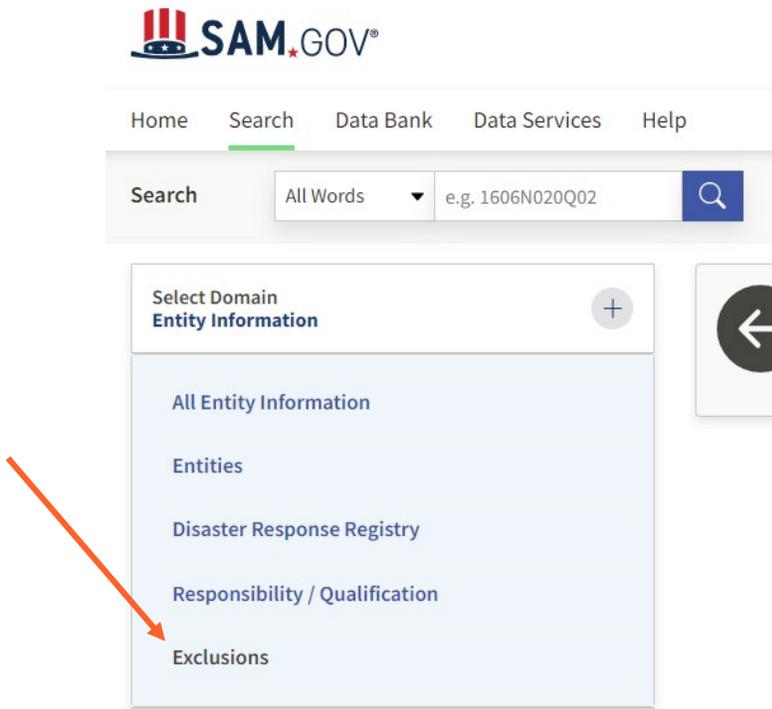
[Sign In](#)

Search Entity Information [Advanced Search](#)

Exclusions



2. Once you are on this page select “Exclusions”



**SAM.GOV**

Home Search Data Bank Data Services Help

Search

Select Domain **Entity Information**

- All Entity Information
- Entities
- Disaster Response Registry
- Responsibility / Qualification
- Exclusions**

3. On the next page select, “excluded individuals”

Filter By

**Keyword Search**

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

Any Words ⓘ

All Words ⓘ

Exact Phrase ⓘ

e.g. 123456789, Smith Corp

Classification ▾

Excluded Individual ▾

Excluded Entity ▾

Federal Organizations ▾

Exclusion Type ▾

Exclusion Program ▾

Location ▾

Dates ▾

Reset ↻

4. On the next screen, you will enter the individual's name and then hit “add individual”. Each time you hit “add individual” it will start creating a list of who you are looking up:

Classification ▾

Excluded Individual ▾

**First Name**

**Middle Name**

**Last Name**

Smith

**SSN / TIN**

**Add Individual**

Smith

Smith

Smith

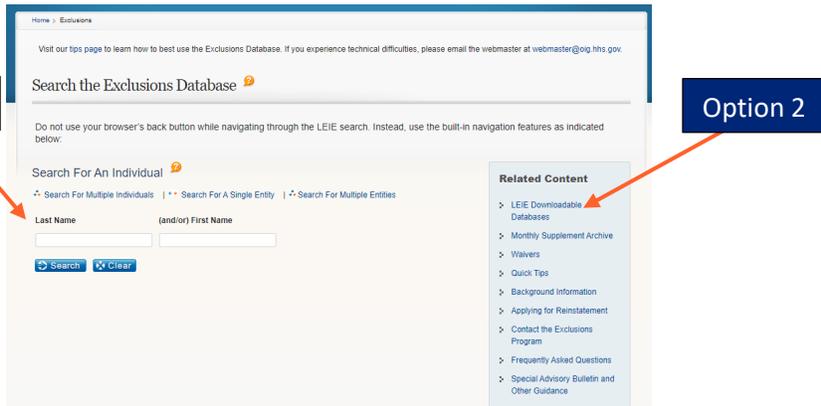
Excluded Entity ▾

5. The results for each individual will start to populate on the right-hand side of the screen:



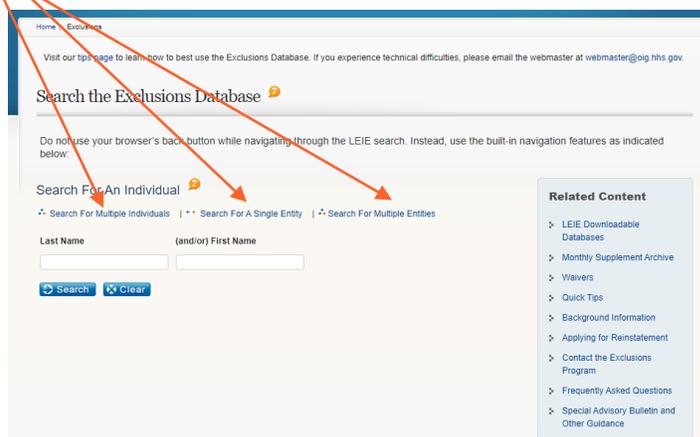
## List of Excluded Individuals/Entities (LEIE)

1. Go to: [exclusions.oig.hhs.gov/](https://exclusions.oig.hhs.gov/). Once on this page, you can do one of two options below:
  - Online Searchable Database (searching by entering data into a text field):
  - [exclusions.oig.hhs.gov/](https://exclusions.oig.hhs.gov/) This will be the main page you are brought to.
  - LEIE Downloadable Databases (searching a CSV file): [oig.hhs.gov/exclusions/exclusions\\_list.asp](https://oig.hhs.gov/exclusions/exclusions_list.asp). There is also a hyperlink option on the left-hand side of the page.



### For option 1, follow these instructions.

1. When you choose "Online Searchable Database", you will see a screen where you can perform one of four types of searches:
  - Search for an individual (default): Use this method to check a single individual at a time.
  - Search for multiple individuals: Use this method to check for multiple individuals at once.
  - Search for a single entity: Use this method to check on entity at a time.
  - Search for multiple entities: Use this method to check multiple entities at the same time.



2. Choose the option that you prefer, then enter the information and save your results.
3. **For option 2, follow these instructions.**

If you choose to use "LEI E Downloadable Databases", the CSV file, please refer to the "Instructions" at the bottom of the page. Use only the **Updated LEIE Database (CSV)** option under the LEIE Database section, not the link called **Exclusions (CSV)**, which is under the Current Monthly Supplements section.

**LEIE Downloadable Databases**

04-10-2023  
Last Update

**LEIE Database**

- [03-2023 Updated LEIE Database \(CSV\)](#)

**Profile Updates**

- [03-2023 Profile Corrections](#)

**Current Record Layout**

- [Current Database Record Layout](#)

**Looking for Monthly Supplements?**

The current downloads are now located together with the [Current Monthly Supplements](#).

**Do Not Use**

**Instructions**

**Related Information**

[Instructions](#) and information [About the LEIE Files](#).

**File-Type Questions?**

[Frequently Asked Questions](#) concerning the CSV file type.

Exclusions Program

Online Searchable Database

**LEIE Downloadable Databases**

Monthly Supplement Downloads

Quick Tips

Waivers

Background Information

Applying for Reinstatement

Contact the Exclusions Program

Frequently Asked Questions

Special Advisory Bulletin and Other Guidance

Exclusion Authorities

Working with Federal and State Partners

If a name is found, you can complete a second level search via the Online Searchable Database (with a **Search For An Individual** or **Search For A Single Entity**). After you type in the name, it will pull up another screen with a link on the right side of the page where you can verify the person/entity with a social security number (SSN) or tax ID number (EIN). Be sure to save the results of this search.