

## **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
  - o Administrators
  - o Billing
  - Board of Directors
  - o Intake personnel or others who may verify eligibility
  - o 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 much 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 <u>slcoquality@optum.com</u> or fax to 1.866.588.9583.
- Your attestations will be archived.
- If you have any questions, please contact the Optum Quality Team at <u>slcoquality@optum.com</u> 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

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 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**

Earn	now we are connectin	g information across SAM.gov		
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	Responsibility/Quali to view active exclus	fication. You do not need to si ions.	gn in	
Search	Entity Inform	ation 🖌	Advan	ced Search
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4. You can also use the "advanced search" option:

## **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

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

Filter By	-	
Keyword Search For more information on how to use our keywor help guide 🗹	rd search, visit our	
<ul> <li>Any Words (i)</li> <li>All Words (i)</li> <li>Exact Phrase (i)</li> </ul>		
e.g. 123456789, Smith Corp		
Classification	~	
Excluded Individual	~	
Excluded Entity	~	
Federal Organizations	~	
Exclusion Type	~	
Exclusion Program	~	
Location	~	
Dates	~	
	Reset	

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 <u>does not appear</u> 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 <u>does appear</u> 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.

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Responsibility / Qualification Exclusions	Unique Exitity ID (Mank)	Active CACE Code (blank)	Physical Address Canon CITY, CO 81215 USA	Exclusion Classification Individual Activation Date Mar 13, 2000 Termination Date Indigitable
Fiber Dy Keyword Search For more information on how to use our keyword search, what have public [2]	Unique Entity ID (Mank)	Active     CACE Code     (blank)	Physical Address Payetheville, MC 28306 USA	Exclusion Classification todividual Activation Date Jun 6, 2003 Termination Date indefinitio
Any Words ① All Words ① Exact Phrase ②	Unique Entity ID (Mank)	Active     CACIL Code     (blank)	Physical Address NEW YORK, NY 10030 USA	Exclusion Classification Individual Activation Data May 12, 2006 Termination Data Indefinite
e.g. 123456789, Smith Corp False under Casufication Excluded individual	initial control (Marik)	e Active CACE Code (blank)	Physical Address Champaign, II, Calob USA	Exclusion Consuffication Individual Activation Date Apr 14, 2009 Terminations Date Indefinite
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## For option 2, follow these instructions (to search multiple individuals):

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

We are bringing together entity information in one place, including: Entity Registrations,

### **Entity Information**

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Searc	h Entity Informatic	n	Advanced Search	

2. Once you are on this page select "Exclusions"

Home Search Data Bank Data Services Help
Search All Words 🔻 e.g. 1606N020Q02
Select Domain Entity Information +
All Entity Information
Entities
Disaster Response Registry
Responsibility / Qualification

3. On the next page select, "excluded individuals"



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:

First Name	
Middle Name	
Last Name	
Smith	
SSN / TIN	
Add Individu	al
Smith	
Smith	×

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

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## List of Excluded Individuals/Entities (LEIE)

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

	Home > Exclusions	
	Visit our tips page to learn how to best use the Exclusions Database. If you experience technical difficulties, please email the	webmaster at webmaster@olg.hhs.gov.
Ontion 1	Search the Exclusions Database 🤒	Ontion 2
	Do not use your browser's back button while navigating through the LEIE search. Instead, use the built-in na below:	vigation features as indicated
	Search For An Individual Search For A Strong Entry 1 A Search For Multiple Entry	Related Content
	Last Name (and/or) First Name	LEIE Downloadable     Databases
	Search K Clear	Waivers     Outlick Tins
		Background Information     Applying for Reinstatement
		<ul> <li>Contact the Exclusions</li> <li>Program</li> </ul>
		Frequently Asked Questions     Special Advisory Builetin and     Other Guidance

### 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.

Search the E	alusions Database 🤒	
Do notuse your bro below:	wser's back button while navigating through the LEIE search. Instead, use the	built-in navigation features as indicated
Search For An I	ndividual 🤷 🔪	Related Content
Search For Multiple	Individuals   ** Search For A Single Entity   * Search For Multiple Entities	I JEE Developedable
Last Name	(and/or) First Name	Databases
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		<ul> <li>Contact the Exclusions Program</li> </ul>
		Frequently Asked Questions
		Frequently Asked Question

- 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.



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.