Program Integrity Exclusions Search

March 2025

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 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.

> *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.

- 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.

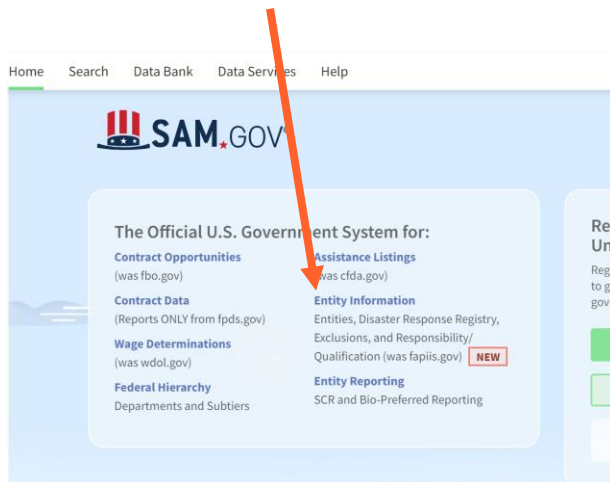**System for Award Management (SAM):**

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 (for one individual/entity)
2. By searching an excel document file

For option 1, follow these instructions:

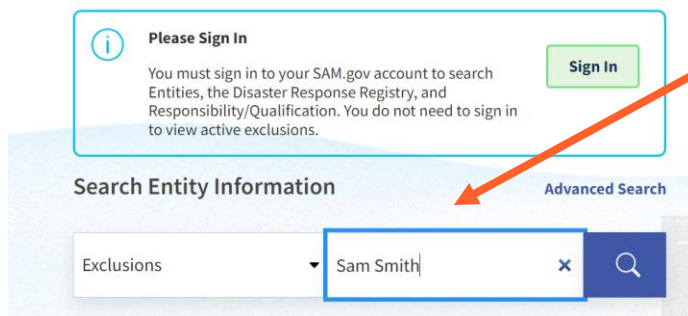1. Navigate to sam.gov/content/home website
2. Select "entity information"

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

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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**

ⓘ **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 ▾ | Sam Smith ✕ | 🔍 |

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

Filter By   ⊖

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 |

Entity   ⌄
Location   ⌄
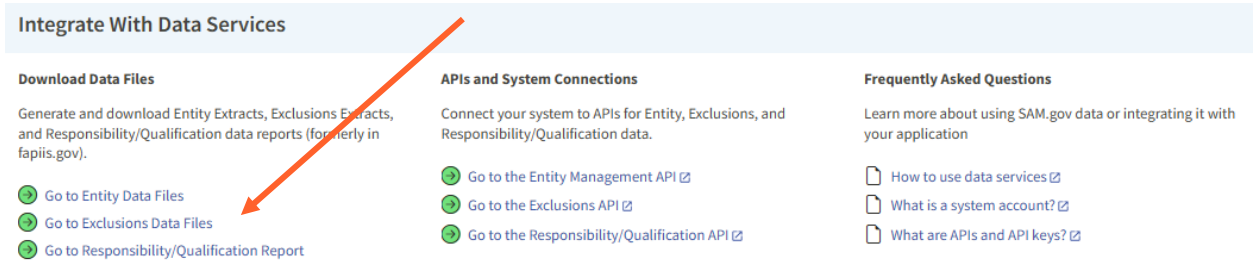Status   ⌃

☑ Active
☐ Inactive

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 **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.

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

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

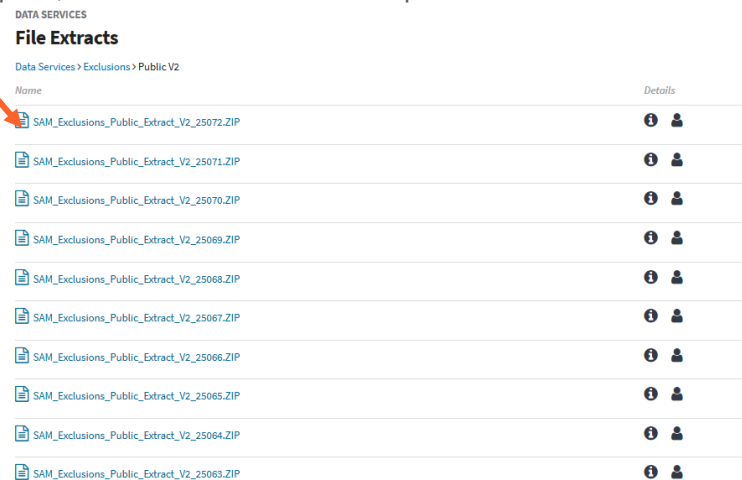| Download Data Files	APIs and System Connections	Frequently Asked Questions
Generate and download Entity Extracts, Exclusions Extracts, and Responsibility/Qualification data reports (formerly in fapiis.gov).	Connect your system to APIs for Entity, Exclusions, and Responsibility/Qualification data.	Learn more about using SAM.gov data or integrating it with your application
⊕ Go to Entity Data Files	⊕ Go to the Entity Management API ☒	☐ How to use data services ☒
⊕ Go to Exclusions Data Files	⊕ Go to the Exclusions API ☒	☐ What is a system account? ☒
⊕ Go to Responsibility/Qualification Report	⊕ Go to the Responsibility/Qualification API ☒	☐ 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 FASCSA 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_25072.ZIP	ⓘ 👤
📄 SAM_Exclusions_Public_Extract_V2_25071.ZIP	ⓘ 👤
📄 SAM_Exclusions_Public_Extract_V2_25070.ZIP	ⓘ 👤
📄 SAM_Exclusions_Public_Extract_V2_25069.ZIP	ⓘ 👤
📄 SAM_Exclusions_Public_Extract_V2_25068.ZIP	ⓘ 👤
📄 SAM_Exclusions_Public_Extract_V2_25067.ZIP	ⓘ 👤
📄 SAM_Exclusions_Public_Extract_V2_25066.ZIP	ⓘ 👤
📄 SAM_Exclusions_Public_Extract_V2_25065.ZIP	ⓘ 👤
📄 SAM_Exclusions_Public_Extract_V2_25064.ZIP	ⓘ 👤
📄 SAM_Exclusions_Public_Extract_V2_25063.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).
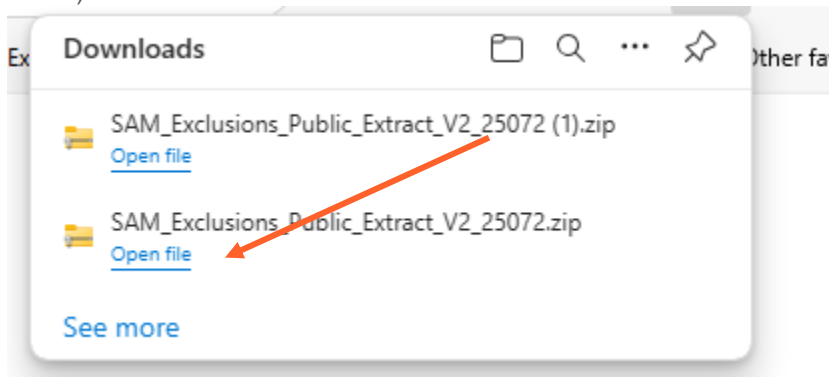
6. Once you open the file you will have an excel document that you can search for names in.

List of Excluded Individuals/Entities (LEIE)

1. Go to: exclusions.oig.hhs.gov/. 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):
   - 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. There is also a hyperlink option on the left-hand side of the page.
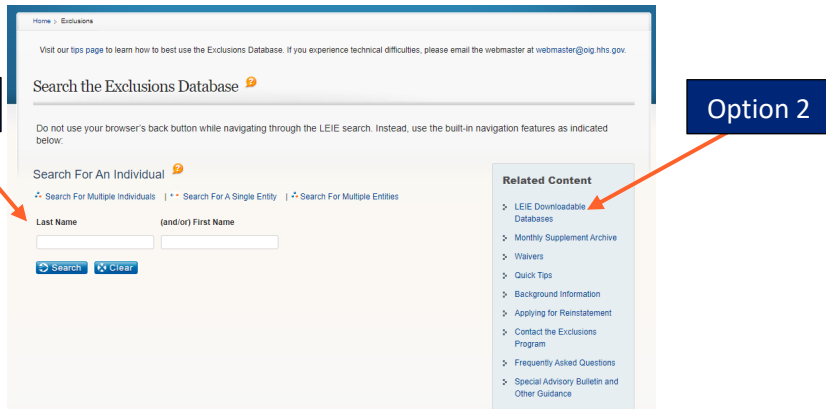
For option 1, follow these instructions.

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.
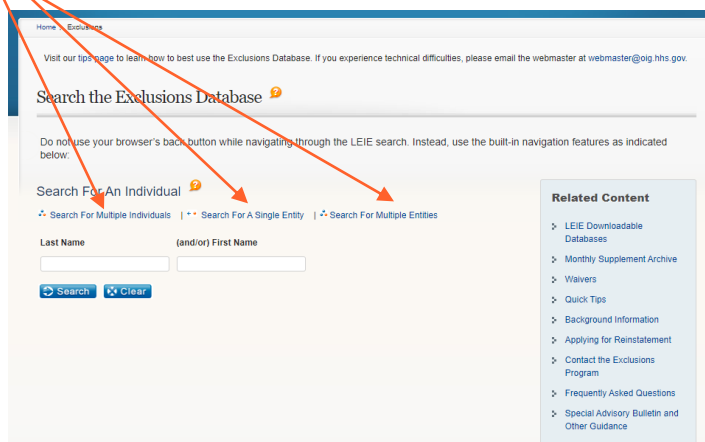
2. Choose the option that you prefer, then enter the information and save your results.

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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.

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