

Exclusion Screening Requirements and Instructions

Federal funds shall not be used to pay for services, equipment or drugs prescribed or provided by a provider, supplier, employee or First Tier, Downstream or Related Entity excluded by the General Services Administration or Department of Health and Human Services Office of the Inspector General.

As a First Tier, Downstream or Related Entity (FDR) of Health First Health Plans, your organization must conduct exclusion screening of your organization's employees, temporary employees, volunteers, consultants, governing body members, contractors and downstream entities.

Exclusion screening is performed by reviewing two lists:

- the Office of the Inspector General (OIG)'s List of Excluded Individuals and Entities (LEIE) and
- the General Services Administration (GSA)'s System for Award Management (SAM).

Exclusion screening should be conducted:

- prior to the hiring or contracting and
- monthly thereafter.
 - Monthly screening is essential to prevent inappropriate payment to providers, pharmacies, and other entities that have been added to exclusions lists since the last time the list was checked.

SAM – System for Award Management

sam.gov

The General Services Administration administers SAM. SAM list includes non-health care contractors.

- **Visit sam.gov.**
- **Do not register. Do not create a User Account.**
- **Click on “Search Records” located in the top menu bar or the icon on the lower right.**

The System for Award Management (SAM) is an official website of the U.S. government. There is no cost to use SAM. You can use this site for FREE to:

- Register to do business with the U.S. government
- Update or renew your entity registration
- Check status of an entity registration
- Search for entity registration and exclusion records

Getting Started

Create A User Account Register Entity Search Records

Start by creating a SAM user account. After creating your SAM user account, log in to register to do business with the U.S. government. Do a public search for existing entity registration records or exclusion records.

- A new screen appears titled **Search Records**.
 - On the right, click on: “**ADVANCED SEARCH – EXCLUSION**”

SAMSM
SYSTEM FOR AWARD MANAGEMENT

A NEW WAY TO SIGN IN - If you already have a SAM account, use your **SAM email** for login.gov.

Log In
Login.gov FAQs

HOME SEARCH RECORDS DATA ACCESS CHECK STATUS ABOUT HELP

ALERT - June 11, 2018: Entities registering in SAM must submit a [notarized letter](#) appointing their authorized Entity Administrator. Read our [updated FAQs](#) to learn more about changes to the notarized letter review process and other system improvements.

ALERT - Users who previously bookmarked this site will need to update their bookmark on November 5, 2018. Users may continue to navigate directly to [sam.gov](#), only the bookmarked url will be affected.

Search Records

Search Tips to Get Started:

- Looking for entity registration records or entity exclusion records in SAM? Use **Quick Search** if you know an entity's Business Name, DUNS Number or CAGE Code. Use **Advanced Search** to structure your search using multiple categories and criteria.
- Are you a Federal government employee? Create a SAM user account with your government e-mail address and log into SAM before searching to see FOUO information and registrants who chose to opt out of the public search.
- Conducting small business-focused research? In addition to what is contained in SAM, small businesses can provide the Small Business Administration (SBA) supplemental information about themselves. Use the [SBA's Dynamic Small Business Search](#) to conduct further market research.
- Trying to find a contractor participating in the Disaster Response Registry? Use the **Disaster Response Registry Search** to locate contractors willing to provide debris removal, distribution of supplies, reconstruction, and other disaster or emergency relief services in the event of a national disaster.

Choose Quick Search or Advanced Search

QUICK SEARCH:

Enter your specific search term
(Example of search term includes the entity's name, etc.)

DUNS Number Search: Enter DUNS number ONLY

CAGE Code Search: Enter CAGE code ONLY

SEARCH [Need Help?](#)

ADVANCED SEARCH:
Use specific criteria in multiple categories to structure your search.

ADVANCED SEARCH - ENTITY

ADVANCED SEARCH - EXCLUSION

DISASTER RESPONSE REGISTRY SEARCH

- There will be a pop-up with **Exclusion Search Tips**, read them and click “**Continue**.”

Exclusion Search Tips

1. There may be instances when a Firm or Individual has the same name, or a similar name, as your search criteria but is actually a different party. Read the entire record to understand why the entity was excluded and what effect this exclusion has on your decision.
2. To verify a potential match or obtain additional information, contact the federal agency that created the exclusion record. Contact information for the designated Agency Point of Contact (POC) is linked to the Excluding Agency name within the record. You can also navigate to the Agency Exclusion POC page within SAM Help under Exclusions Information.
3. SAM does not have DUNS Number or CAGE Code identifiers for all Firm exclusion records. Therefore, a search by one of these fields alone may not be sufficient. Conduct an additional Name search if no results are found by the entity identifier.
4. If you search only on a particular classification type (e.g. Firm), you are potentially excluding exclusion records created under a different classification.

Cancel **Continue**

- A new screen appears titled **Advanced Search - Exclusion**.
 - Choose your search method.

<input type="radio"/>	Single Search
<input type="radio"/>	Multiple Names
<input type="radio"/>	SSN/TIN Search

- If you want to search for exclusion records within a certain date range, use the Single Search approach.
- This is what appears when you click “Multiple Names.”
 - Type each name and click “SEARCH.”

- This is what appears when you click “SSN/TIN Search.”
 - 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.

- If an exclusion record is found, it will display in a box marked “Exclusion” in purple:

- Check the status in the top-right corner of the box. If the status indicates “Active,” there is an active exclusion for that entity.
- Always make sure you read the exclusion record carefully. Names can be similar.
- If you have any doubt whether the exclusion record returned is the party for which you were searching, contact the Excluding Agency which created the exclusion record. There is a link to the Agency Exclusion POC in the record details.
- For more information, visit sam.gov/sam/transcript/Public - Identifying Excluded Entities.pdf

U.S. Department of Health and Human Services - Office of the Inspector General (OIG)'s List of Excluded Individuals/Entities (LEIE) includes all health care providers and suppliers that are excluded from participation in federal health care programs, including those health care providers and suppliers that might also be on the SAM list.

- **Visit exclusions.oig.hhs.gov.**
- **If checking only a few names, use the Online Searchable Database to search up to five names at once.**



The screenshot shows the OIG website's main navigation bar with links for About OIG, Reports & Publications, Fraud, Compliance, and Exclusions. Below the navigation, a breadcrumb trail shows 'Home > Exclusions'. The main content area features a section titled 'Exclusions Program' with a sub-section titled 'LEIE Online Searchable Database'. This section explains that the database allows users to enter a name and determine if they are excluded, using SSN or EIN for verification. A 'Read More' button is present. Another section titled 'LEIE Downloadable Databases' is shown below, explaining that it enables users to download the entire LEIE to a personal computer. A 'Read More' button is also present here.

- **If checking many names, consider downloading the Downloadable Database into a spreadsheet or database program. This will enable the user to use that program's search functions to crosscheck the names against the thousands of names on the LEIE. Verify the correct spelling of any names before starting a search.**
- **Always remember to take the final step of identity verification using the Social Security Number (SSN) for an individual or Employer Identification Number (EIN) for an entity. It is not sufficient to simply find a matching name on the LEIE.**
- **For more information, visit exclusions.oig.hhs.gov, scroll down and click on:**

- **“Read More” under LEIE Quick Tips.**

LEIE Quick Tips

Check these tips before performing a search using the Online Searchable Database or Downloadable Database.

[Read More](#)

- **“Read More” under Frequently Asked Questions.**

Frequently Asked Questions

Have a question about Exclusions? Check out common questions to see if the question and answer are listed here.

[Read More](#)