HOW TO PERFORM EXCLUSION LIST SCREENINGS



03/01/2018

Office of Inspector General and General Services Administration

All prospective employees must be screened prior to hire against the Office of Inspector General's (OIG) List of Excluded Individuals and Entities (LEIE) and the General Services Administration's (GSA) System for Award Management (SAM). Best practice is to perform the screening as part of the background/criminal background checks. Individuals or entities appearing on these lists are excluded from participating in any federal or state funded health care programs (i.e., Medicare & Medicaid). The following will show you how to complete the screenings and print the results. For the prior-to-hire screenings you must print and file the results in the employee's HR file.

How to perform exclusion list screenings

OFFICE OF INSPECTOR GENERAL AND GENERAL SERVICES ADMINISTRATION

OIG EXCLUSIONS | ONLINE SEARCHABLE DATABASE

1. Go to oig.hhs.gov. Locate the *Exclusions* dropdown menu on the menu bar.

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2. Select Online Searchable Database to begin your search.

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3. You can search for a single/multiple individual(s) or single/multiple entity(ies). For best results enter both the Last Name and the First Name then click on 'Search.'

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INCONCLUSIVE MATCHES – SINGLE INDIVIDUAL

4. If multiple results are returned you must verify each one to clear or confirm the match. <u>Entering the SSN</u> will result in the most accurate search results. To enter the SSN, click on 'Verify,' enter the SSN in the search box below the detailed result, then click on 'Verify' again.

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5. If the name and SSN do not match you will get NO MATCH as a result. Print the search result for your records. Repeat this process for each inconclusive result, until there are no more inconclusive results. Click on "Return to the Search Results" to verify the remaining inconclusive matches (remember to print the results for each inclusive match and place in employee's HR file). Once done, click on "Begin a New Search" if you need to check another individual.

Return to Search Res	su Begin a New Search
First Name	JANE
Middle Name	A
Last Name	SMITH
DOB	08/03/1967
NPI	00000000
UPIN	Unknown
General	IND- LIC HC SERV PROV
Specialty	NURSE/NURSES AIDE
Address	7 TROWBRIDGE ROAD
	MOODUS, CT 6469-0000
Excl. Type	1128(b)(4)- LICENSE REVOCATION/SUSPENSION/SURRENDER
Excl. Date	02/19/2015
Waiver	
	1 3/6/2018 1:10:38 PM EST on OIG LEIE Exclusions database. on 3/6/2018 7:54:00 AM EST.
o verify if your	Social Security Number (SSN) or Employer Identification Number (EIN) without dashes (123456789).
23456789	Verify 🏈
) МАТСН

NO MATCHES – SINGLE INDIVIDUAL

6. If **NO RESULTS FOUND**, print results and place in employee's HR file.

Search For An I	Individual 🤒	
	Individuals ** Search For A Single Entity * Search For Multiple Entities	Related Content
		LEIE Downloadable Databases
Last Name	(and/or) First Name	Monthly Supplement Archive
Doe	Jane	Waivers
🐤 Search 🛛 🐼 C	lear	Quick Tips
	earch Results: Individuals 🔒	Background Information
ome > Exclusions		Background Information
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ome > Exclusions Exclusions Se No Results we > Doe	re found for , Jane	
tome > Exclusions Exclusions Se No Results we > Doe	re found for , Jane ults are found, this individual or entity (if it is an entity search) is not currently	

SEARCH RESULTS – MULTIPLE INDIVIDUALS

7. First, click on "Print Search Results" for the two individuals with "**NO RESULTS FOUND**." Then follow steps 4 - 5 for the **inconclusive match** on the third individual.

Exclusions S	earch Resu	ılts: Individ	uals 🤒			
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			w, click on the underlined last page for your documentation.	name or entity na	me to Verify th	he record. If the name doe
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> linco	oln , abraham	n				
> mou	ise , mickey					
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You may print this page for documentation purposes.

8. <u>TO PRINT</u>: Enter Ctrl-P, or click on the tools drop down menu ($\vdots, \equiv, \diamondsuit$) in the upper right corner, select

Print, on print page expand 'More settings' and check Options 'Headers and footers' and 'Background graphics.' <u>IMPORTANT</u>: Checking 'Headers and footers' will print the URL and the date; both are proof of compliance with screening regulations.

SAMPLE OF FINAL RESULTS FOR INCONCLUSIVE MATCH

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•	-									New window	Ctrl+N
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SAMPLE OF FINAL RESULTS FOR "NO RESULTS FOUND"

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GSA EXCLUSIONS | RECORDS SEARCH

1. Go to www.sam.gov. Locate and click on 'SEARCH RECORDS' on the menu bar.

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Start by creating a SAM user account. Afb	er creating your SAM user account, log in to register	Do a public search for existi	ng entity registration			
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		Federal users can log in to see	additional information.			
		Search Records Disclaimer				
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		About	USA.gov			
IEM v1.P.9.20180305-1007		Help				
www6						

2. You can choose 'Quick Search or Advanced Search' (the default is Quick Search). For Quick Search, enter the individual or entity name in the Quick Search box.

	Username	Password	
N SAM			Log In
SYSTEM FOR AWARD MANAGEMENT	Forgot Username?	Forgot Password?	Create an Account
HOME SEARCH RECORDS DATA ACCESS CHECK STATU	IS ABOUT HELP		
HOME SEARCH RECORDS DATA ACCESS CHECK STATE	S ABOUI HELP		
▲ ALERT: SAM.gov will be down for scheduled maintenance Thursday	March 22, 2018, from 6	5 PM to 8 PM (EDT).	
Search Records			
Search Tips to Get Started:			
 Looking for entity registration records or entity exclusion records in SAM? 	Use Quick Search if you	ı know an entity's Business Nar	me, DUNS Number or
CAGE Code. Use Advanced Search to structure your search using multi			
 Are you a Federal government employee? Create a SAM user account with information and registrants who chose to opt out of the public search. 	your government e-mail a	ddress and log into SAM before	e searching to see FOUO
 Conducting small business-focused research? In addition to what is contai 	ned in SAM, small busines	ses can provide the Small Busi	ness Administration
(SBA) supplemental information about themselves. Use the SBA's Dynami	<u>c Small Business Search</u> to	conduct further market resear	reh.
Trying to find a contractor participating in the Disaster Response Registry			
provide debris removal, distribution of supplies, reconstruction, and other	disaster or emergency reli	ef services in the event of a nat	ional disaster.
Choose Ouick Search or Advanced Search			
QUICK SEARCH:		VANCED SEARCH: specific criteria in multiple	astogorios to structure
smith, jane		r search.	categories to structure
(Example of search term includes the entity's name, etc.	h		
(instantiple of bear of term instance are enably 5 manie, etc.	·	ADVANCED SEARC	CH - ENTITY
DUNS Number Search: Enter DUNS number ONLY			
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CAGE Code Search: Enter CAGE code ONLY			
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INCONCLUSIVE MATCHES – QUICK SEARCH

 Search results can include individuals (Exclusions) &/or Entity (i.e., business, group) and you can filter the results to show 'Active' status only. To verify or clear an inconclusive match, click on 'View Details.' *REMINDER*: You must check each potential match and print the results.

HOME SEARCH RECORD	S DATA ACCESS CHECK STATUS ABOUT HELP
 have been submitted, but not y Of note, some entities choose te search. You can only see them You can refine your search rest the Edit Search button. If you want to perform a new s save your search criteria to ruu 	he broadest set of records that match your search criteria. You may get entity registration records that are still in progress or et activated. Check the status of each record. o opt out of public display. Even if they are registered in SAM, you will not see their entity registration records in a public f you log in as Federal Government user. Its. If you used the Quick Search, select the search filters on this page. If you used one of the Advanced Search options, select arch, use the Clear button to remove your current search results. If you are logged in with your SAM User Account, you can ortant message when search button.
Clear Search	Current Search Terms: smith" jane"
TOTAL RECORDS: 8 Result page 1 of 1 PIETER RESULTS	Save PDF Export Results Print Sort by Modified Date • Order by Descending •
By Record Status	Entity JANE SMITH CORP Status: Active I DUNS: 078407998 CAGE Code: 6QTB0 View Details Has Active Exclusion?: No DeDAAC: View Details Expiration Date: 04/19/40018 Debt Subject to Offset? Debt Subject to Offset?
Entity Registration Exclusion Apply Filters	Purpose of Registration: All Awards Exclusion JANE A SMITH Status: Active
	DUNSI CAGE Code: View Details Classification: Individual Exclusion Type: Prohibition/Restriction

4. If the detail does not include a SSN or NPI, input the prospective employee's address then click 'Verify.'

Current Record Details	
Identification Information:	
Prefix:	
First Name:	JANE
Middle Name:	A
Last Name:	SMITH
Suffix:	
NPI:	000000000
Exclusion Details:	
Exclusion Program:	Reciprocal
Classification Type:	Individual
Exclusion Type:	Prohibition/Restriction
Nature (Cause):	
May be subject to sanctions pursuant to the condition	is imposed by the U.S. Department of the Treasury (Treasury) Office
of Foreign Assets Control (OFAC), or subject to a sand	ction, restriction or partial denial pursuant to the conditions imposed
by the U.S. Department of State (STATE) or Federal a	gency of the U.S. Government.
Effect:	
If you think you have a potential match with an OFAC	listing, please visit the following section of OFAC's website for
	/faqs/Sanctions/Pages/directions.aspx. For all other prohibitions
	Comments field to ascertain the extent or limit on the sanction,
restriction or partial denial. If there is no note, contact	
CT Code:	Z1
Active Date:	02/19/2015
Termination Date:	Indefinite
Excluding Agency :	HEALTH AND HUMAN SERVICES, DEPARTMENT OF
Status :	Active
Create Date :	02/19/2015
Update Date :	02/19/2015
Additional Comments:	Excluded by the Department of Health and Human Services
	pursuant to section 1128 or other sections of the Social Security Act
	from participation in all Federal health care programs (the scope
	and effect of Federal health care program exclusions is described in
	42 C.F.R. section 1001.1901).
Primary Address:	
Verify Street Address	
Street Address 1:	123 Mockingbird Ln
Street Address 2:	
bitetriddress 2.	
	Verify
City:	
State/Province:	CT
ZIP/Postal Code:	06469

5. For Advanced Search (recommended), click on 'ADVANCED SEARCH – EXCLUSION,' then click continue.

	SYSTEM FOR AWARD MANAGEMENT	Username Forgot Username?	Password Log In Forgot Password? Create an Account
	HOME SEARCH RECORDS DATA ACCESS CHECK ST	ATUS ABOUT HI	ELP
	Search Records		
	Search Tips to Get Started: • Looking for entity registration records or entity exclusion records in SA	AM? Use Quick Search i	if you know an entity's Business Name, DUNS Number or
Exclusion	Search Tips	· · · · · · · · · · · · · · · · · · ·	eria. 1ail address and log into SAM before searching to see FOUO
similar entire r exclusio 2. To verif	hay be instances when a Firm or Individual has the same na name, as your search criteria but is actually a different part ecord to understand why the entity was excluded and what on has on your decision. y a potential match or obtain additional information, conta that created the exclusion record. Contact information for	ty. Read the : effect this act the federal	sinesses can provide the Small Business Administration <u>(ch</u> to conduct further market research. Lesponse Registry Search to locate contractors willing to y relief services in the event of a national disaster.
designa name w page wi	y that created the exclusion record. Contact information for the nated Agency Point of Contact (POC) is linked to the Excluding Agency within the record. You can also navigate to the Agency Exclusion POC within SAM Help under Exclusions Information. loes not have DUNS Number or CAGE Code identifiers for all Firm		ADVANCED SEARCH: Use specific criteria in multiple categories to structur your search.
sufficie	on records. Therefore, a search by one of these fields alone nt. Conduct an additional Name search if no results are fou lentifier.		ADVANCED SEARCH - ENTITY
	earch only on a particular classification type (e.g. Firm), you ally excluding exclusion records created under a different o		ADVANCED SEARCH - EXCLUSION
			DISASTER RESPONSE REGISTRY SEARCH

6. The Advanced Search allows you to perform single search, multiple names, or SSN/TIN search (recommended). Select 'SSN/TIN Search,' enter the name and SSN of the prospective employee, and then select 'Active' as the Exclusion Status, and search.

SYSTEM FOR AWARD MANAGEMENT		Username Forgot Username?	Password Forgot Password?	Log In Create an Account			
HOME SEARCH RECORDS I	DATA ACCESS CHECK STATU	JS ABOUT HELP					
Advanced Search - Exclusion							
 Structure your search for exclusion records in SAM using one of three approaches. Select a radio button corresponding to the category header that best describes how you want to search. The accordion will expand to show you the search criteria. You can only use one approach at a time. Search Tips: If you want to search using a date range, use the Single Search approach. If you are trying to search for more than one excluded party at a time, you can search for up to six names using the Multiple Names approach. If you choose the SSN/TIN approach, you must enter search criteria in both the Name and SSN/TIN fields. 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. Search terms are defined in the SAM User Guide Glossary. 							
O Single Search							
Multiple Names SSN/TIN Search							
Name* Smit SSN/TIN* 1234 Exclusion Status All	h, Jane 156789 T Selec ing "All" nay only perform a search with the	" displays both Active and					

NO MATCHES – SINGLE INDIVIDUAL/ENTITY

3. Print results and file in employee's HR file, you can also choose to save as a .pdf by clicking the 'Save PDF' button.



	SAM Search Results recents matching your warch for 1 mal Area: Performance Information Entity Name: "Smith-Jane" evel for Search Match but Not Displayed		
No Search Results			
		•	
March 08, 2018 1.28 PM	Ntjes.Neww.sam.gov/ Page 1 of 1		•

Print Total: 1 page 3/6/2018 Advanced Search Results | System for Award Management Save Cancel Password Username **SAM** Log In Save as POF Destination Forgot Username? Change... Forgot Password? Create an Account Al Pages eq. 1-5, 8, 11-13 Search Results • Portrait • Letter **Advanced Search Results** • Default Notice: This printed document represents only the first page of your SAM search results. More results may be available. To print your complete search results, you can download the POF and print it. The combination of name and SSN/TIN that you provided did not return any results. Either the name is not in SAM, there is no SSN/TIN nesociated with that name, or the SSN/TIN that you provided did not match our records. You may try a different SSN/TIN, or you may conside 100 Headers and footers Reckground graphics searching by name only. - Fewer settings FAPIIS.gov GSA.gov/IAE GSA.gov USA.gov Search Records Data Access Disclaimers GSA Check Status Accessibility Privacy Policy WWW6 0 This is a U.S. General Services Administration Federal Govern refermion usay therized activities are subject to disciplinary ment computer system that is "FOR OFFIC + D

SAMPLE output for 'Print'

If you need assistance please contact EPIC Management Compliance at <u>compliance@epiclp.com</u> or call 909-786-0822. Please contact us to screen prospective employees against the OIG/GSA Exclusion lists if you are unable to perform the mandated screening.