

HOW TO PERFORM EXCLUSION LIST SCREENINGS



03/01/2018

Office of Inspector General and General
Services Administration

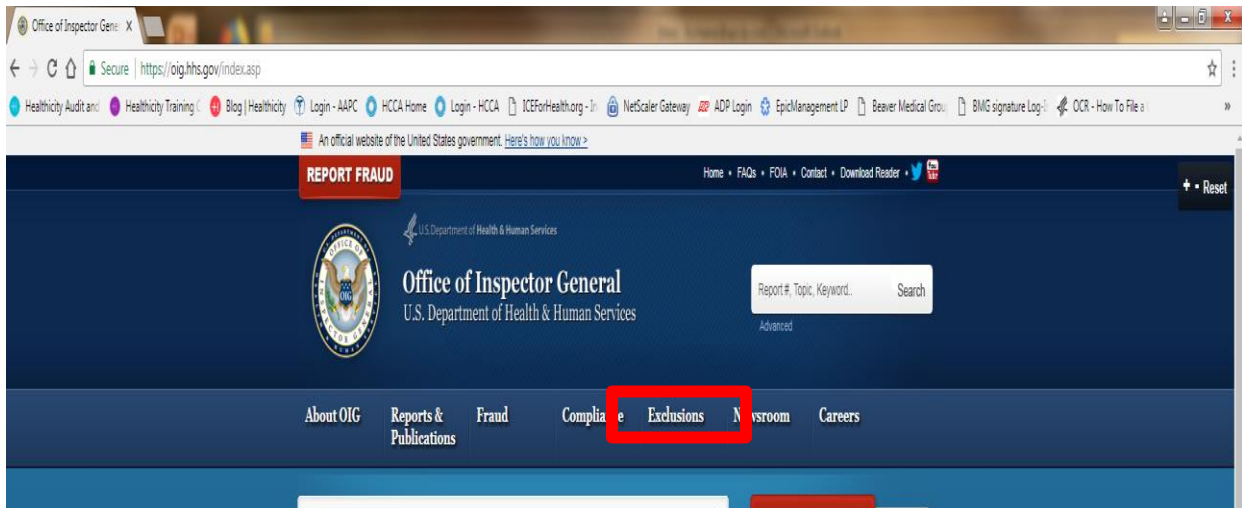
All prospective employees must be screened prior to hire against the Office of Inspector General's (OIG) List of Excluded Individuals and Entities (LEIE) and the General Services Administration's (GSA) System for Award Management (SAM). Best practice is to perform the screening as part of the background/criminal 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.



2. Select *Online Searchable Database* to begin your search.



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.'

The screenshot shows the top of the Office of Inspector General website. The header includes a 'REPORT FRAUD' button, navigation links (Home, FAQs, FOIA, Contact, HEAT, Download Reader), and the Office of Inspector General logo. A search bar is located in the top right corner. Below the header is a navigation menu with links: About OIG, Reports & Publications, Fraud, Compliance, Exclusions, Newsroom, and Careers. The main content area is titled 'Search the Exclusions Database' and features a red box around the 'Search For An Individual' link. Below this link are three tabs: 'Search For Multiple Individuals', 'Search For A Single Entity', and 'Search For Multiple Entities'. The 'Search For A Single Entity' tab is selected. The form below has two input fields: 'Last Name' (containing 'Smith') and '(and/or) First Name' (containing 'Jane'). A red box highlights the 'Search' button. A 'Clear' button is also present. A 'Related Content' sidebar on the right lists various links: LEIE Downloadable Databases, Monthly Supplement Archive, Waivers, Quick Tips, Background Information, and Applying for Reinstatement.

REPORT FRAUD Home • FAQs • FOIA • Contact • HEAT • Download Reader • YouTube

U.S. Department of Health & Human Services

Office of Inspector General
U.S. Department of Health & Human Services

Report #, Topic, Keyword.. Search
Advanced

About OIG Reports & Publications Fraud Compliance Exclusions Newsroom Careers

Home > Exclusions

Search the Exclusions Database ?

Search For An Individual ?

Search For Multiple Individuals | Search For A Single Entity | Search For Multiple Entities

Last Name (and/or) First Name

Smith Jane

Search Clear

Search

Related Content

- LEIE Downloadable Databases
- Monthly Supplement Archive
- Waivers
- Quick Tips
- Background Information
- Applying for Reinstatement

Home > Exclusions

Search the Exclusions Database ?

Search For Multiple Individuals ?

Search For An Individual | Search For A Single Entity | Search For Multiple Entities

Last Name (and/or) First Name

1. washington george

2. lincoln abraham

3. mouse mickey

4.

5.

Search Clear

Search

Related Content

- LEIE Downloadable Databases
- Monthly Supplement Archive
- Waivers
- Quick Tips
- Background Information
- Applying for Reinstatement
- Contact the Exclusions Program
- Frequently Asked Questions

INCONCLUSIVE MATCHES – SINGLE INDIVIDUAL

4. If multiple results are returned you must verify each one to clear or confirm the match. **Entering the SSN 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.

REPORT FRAUD Home • FAQs • FOIA • Contact • HEAT • Download Reader • YouTube

Office of Inspector General
U.S. Department of Health & Human Services

Report #, Topic, Keyword... Search
Advanced

About OIG Reports & Publications Fraud Compliance Exclusions Newsroom Careers

Home > Exclusions

Exclusions Search Results: Individuals

Results were found for

- Smith, Jane

! If the name of the individual or entity appears below, click on the underlined last name or entity name to Verify the record. If the name does not appear in the search results below, print this Web page for your documentation.

Print Search Results

Last Name	First Name	Middle Name	General	Specialty	Exclusion	Waiver	SSN/EIN
SMITH	JANE	A	IND- LIC HC SERV PROV	NURSE/NURSES AIDE	1128(b)(4)		Verify
SMITH	JANELLE	MARIE	NURSING PROFESSION	NURSE/NURSES AIDE	1128(a)(2)		Verify
SMITH	JANET	F	NURSING PROFESSION	NURSE/NURSES AIDE	1128(b)(4)		Verify
SMITH	JANET	A	NURSING PROFESSION	NURSE/NURSES AIDE	1128(b)(4)		Verify

Search conducted 3/6/2018 1:07:01 PM EST on OIG LEIE Exclusions database.
Source data updated on 3/6/2018 7:54:00 AM EST.

[Return to Search](#)

Home > Exclusions

Exclusions Search Results: Verify

[Return to Search Results](#) | [Begin a New Search](#)

First Name	JANE
Middle Name	A
Last Name	SMITH
DOB	08/03/1967
NPI	0000000000
UPIN	Unknown
General	IND- LIC HC SERV PROV
Specialty	NURSE/NURSES AIDE
Address	7 TROWBRIDGE ROAD MOODUS, CT 06469-0000
Excl. Type	1128(b)(4)- LICENSE REVOCATION/SUSPENSION/SURRENDER
Excl. Date	02/19/2015
Waiver	

To verify if you have a match, please enter a Social Security Number (SSN) or Employer Identification Number (EIN) without dashes (123456789).

123456789 [Verify](#)

- 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.

Home > Exclusions

Exclusions Search Results: Verify

[Return to Search Results](#) [Begin a New Search](#)

First Name	JANE
Middle Name	A
Last Name	SMITH
DOB	08/03/1967
NPI	0000000000
UPIN	Unknown
General	IND- LIC HC SERV PROV
Specialty	NURSE/NURSES AIDE
Address	7 TROWBRIDGE ROAD MOODUS, CT 06469-0000
Excl. Type	1128(b)(4)- LICENSE REVOCATION/SUSPENSION/SURRENDER
Excl. Date	02/19/2015
Waiver	

Verification conducted 3/6/2018 1:10:38 PM EST on OIG LEIE Exclusions database.
Source data updated on 3/6/2018 7:54:00 AM EST.

To verify if you have a Social Security Number (SSN) or Employer Identification Number (EIN) without dashes (123456789).

123456789 [Verify](#)

NO MATCH

Name and SSN DO NOT MATCH

You may print this page for documentation purposes.

NO MATCHES – SINGLE INDIVIDUAL

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

Home > Exclusions

Search the Exclusions Database

Search For An Individual

[Search For Multiple Individuals](#) | [Search For A Single Entity](#) | [Search For Multiple Entities](#)

Last Name (and/or) First Name

Doe Jane

[Search](#) [Clear](#)

[Search](#)

Exclusions Search Results: Individuals

No Results were found for Doe, Jane

If no results are found, this individual or entity (if it is an entity search) is not currently excluded. Print this Web page for your documentation

[Search Again](#)

Search conducted 3/6/2018 1:13:15 PM EST on OIG LEIE Exclusions database.
Source data updated on 3/6/2018 7:54:00 AM EST.

Related Content

- LEIE Downloadable Databases
- Monthly Supplement Archive
- Waivers
- Quick Tips
- Background Information

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.

Home > Exclusions

Exclusions Search Results: Individuals ?

Results were found for

- › washington, george

! If the name of the individual or entity appears below, click on the underlined last name or entity name to Verify the record. If the name does not appear in the search results below, print this Web page for your documentation.

No Results were found for

- › lincoln , abraham
- › mouse , mickey

! If no results are found, this individual or entity (if it is an entity search) is not currently excluded. Print this Web page for your documentation

[Search Again](#)

[Print Search Results](#)

Last Name	First Name	Middle Name	General	Specialty	Exclusion	Waiver	SSN/EIN
WASHINGTON	GEORGE	L	IND- LIC HC SERV PROV	DENTIST	1128(b)(14)		Verify

Search conducted 3/22/2018 4:40:42 PM EST on OIG LEIE Exclusions database.
Source data updated on 3/6/2018 7:54:00 AM EST.

Home > Exclusions

Exclusions Search Results: Verify ?

[Return to Search Results](#) | [Begin a New Search](#)

First Name	GEORGE
Middle Name	L
Last Name	WASHINGTON
DOB	10/16/1950
NPI	Unknown
UPIN	Unknown
General	IND- LIC HC SERV PROV
Specialty	DENTIST
Address	117 BRIAN CIRCLE ANTIOCH, TN 37013-0000
Excl. Type	1128(b)(14)- DEFAULT ON HEALTH EDUCATION LOAN OR SCHOLARSHIP OBLIGATION
Excl. Date	03/20/2013
Waiver	

Verification conducted 3/22/2018 4:47:14 PM EST on OIG LEIE Exclusions database.
Source data updated on 3/6/2018 7:54:00 AM EST.

To verify if you have a match, please enter a Social Security Number (SSN) or Employer Identification Number (EIN) without dashes (123456789).

123456789 [Verify](#)

NO MATCH

Name and SSN DO NOT MATCH

You may print this page for documentation purposes.

How to perform exclusion list screenings

8. **TO PRINT:** Enter Ctrl-P, or click on the tools drop down menu (☰, ⚙️) in the upper right corner, select **Print**, on print page expand 'More settings' and check Options 'Headers and footers' and 'Background graphics.' **IMPORTANT: 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

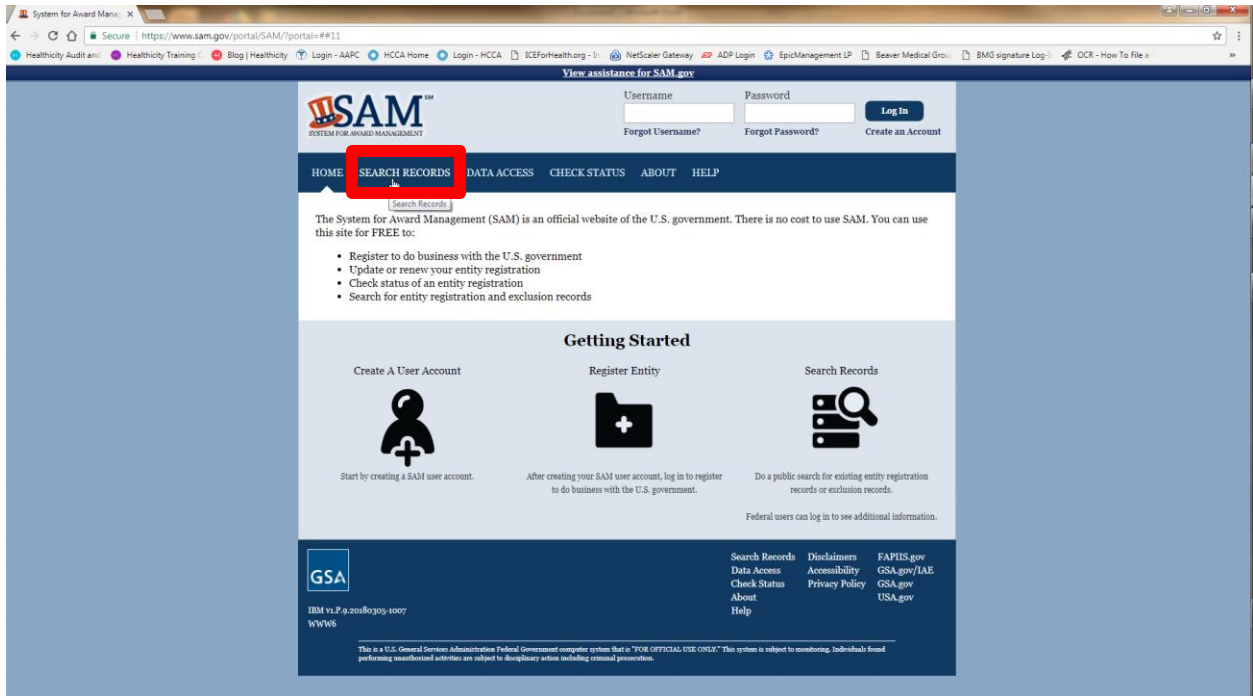
The screenshot shows the 'Exclusions Search Results: Verify' page. The search results for Jane A. Smith, DOB 08/03/1967, show a 'NO MATCH' result. The print menu on the left is open, showing options for destination, pages, and layout. The browser toolbar on the right shows the 'Print' button highlighted with a red box. The 'Verify' button at the bottom of the page is also highlighted with a red box.

SAMPLE OF FINAL RESULTS FOR "NO RESULTS FOUND"

The screenshot shows the 'Exclusions Search Results: Individuals' page. The search results for 'Doe, Jane' show 'No Results Found'. The print menu on the left is open, showing options for destination, pages, and layout. The browser toolbar on the right shows the 'Print' button highlighted with a red box. The 'Verify' button at the bottom of the page is also highlighted with a red box.

GSA EXCLUSIONS | RECORDS SEARCH

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



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.

QUICK SEARCH:

smith, jane
(Example of search term includes the entity's name, etc.)

DUNS Number Search:

CAGE Code Search:

SEARCH

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

ADVANCED SEARCH - ENTITY

ADVANCED SEARCH - EXCLUSION

DISASTER RESPONSE REGISTRY SEARCH

INCONCLUSIVE MATCHES – QUICK SEARCH

3. 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 RECORDS DATA ACCESS CHECK STATUS ABOUT HELP

Search Results

- Your search results represent the broadest set of records that match your search criteria. You may get entity registration records that are still in progress or have been submitted, but not yet activated. Check the status of each record.
- Of note, some entities choose to opt out of public display. Even if they are registered in SAM, you will not see their entity registration records in a public search. You can only see them if you log in as Federal Government user.
- You can refine your search results. If you used the Quick Search, select the search filters on this page. If you used one of the Advanced Search options, select the Edit Search button.
- If you want to perform a new search, use the Clear button to remove your current search results. If you are logged in with your SAM User Account, you can save your search criteria to run again later using the Save Search button.
- NOTE:** Please read this important message when searching for exclusion records.

Clear Search

Current Search Terms: smith* jane*

TOTAL RECORDS: 8
Result page 1 of 1

Sort by Modified Date Save PDF Export Results Print

FILTER RESULTS

By Record Status

☒ Active

By Record Type

☐ Entity Registration

☐ Exclusion

Apply Filters

Your search for "smith* jane*" returned the following results...

Entity	JANE SMITH CORP	Status: Active
DUNE: 0*840*958	CAGE Code: 6QTB0	View Details
Has Active Exclusion?: No	DoDAAC:	
Expiration Date: 04/19/2018	Debt Subject to Offset?	
Purpose of Registration: All Awards		

Exclusion	JANE A SMITH	Status: Active
DUNE:	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: 0000000000

Exclusion Details:

Exclusion Program: Reciprocal

Classification Type: Individual

[Exclusion Type:](#) Prohibition/Restriction

Nature (Cause):

May be subject to sanctions pursuant to the conditions imposed by the U.S. Department of the Treasury (Treasury) Office of Foreign Assets Control (OFAC), or subject to a sanction, restriction or partial denial pursuant to the conditions imposed by the U.S. Department of State (STATE) or Federal agency 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 guidance: <http://www.treasury.gov/resource-center/faqs/Sanctions/Pages/directions.aspx>. For all other prohibitions and restrictions, see the agency note in the Additional Comments field to ascertain the extent or limit on the sanction, restriction or partial denial. If there is no note, contact the agency taking the action for this information.

[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:

City:

State/Province: CT

ZIP/Postal Code: 06469

[Verify](#)

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

The screenshot shows the SAM System for Award Management homepage. At the top, there is a login section with fields for Username and Password, and links for 'Forgot Username?', 'Forgot Password?', 'Log In', and 'Create an Account'. Below the login section is a navigation bar with links: HOME, SEARCH RECORDS, DATA ACCESS, CHECK STATUS, ABOUT, and HELP. The main content area is titled 'Search Records' and includes a 'Search Tips to Get Started' section. A pop-up window titled 'Exclusion Search Tips' is displayed, listing four points: 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. Below the tips, there are buttons for 'Cancel' and 'Continue'. To the right of the pop-up, there are three search buttons: 'ADVANCED SEARCH - ENTITY', 'ADVANCED SEARCH - EXCLUSION' (highlighted with a red box), and 'DISASTER RESPONSE REGISTRY SEARCH'.

- 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.

The screenshot shows the 'Advanced Search - Exclusion' page. It includes a header with the SAM logo and navigation links. Below the header, there is a section titled 'Advanced Search - Exclusion' with a description: '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.' Below this, there are three search approaches: 'Single Search', 'Multiple Names', and 'SSN/TIN Search'. The 'SSN/TIN Search' approach is selected, and its search criteria are displayed in a form. The form includes fields for 'Name*' (Smith, Jane), 'SSN/TIN*' (123456789), and 'Exclusion Status' (All). A red box highlights the 'SSN/TIN Search' radio button and the search fields. Below the form, there are buttons for 'SEARCH' and 'CLEAR', and a note: 'You may only perform a search with the criteria contained in one accordion.'

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.

The screenshot shows the SAM System for Award Management interface. At the top, there is a login section with fields for Username and Password, and buttons for 'Log In', 'Forgot Username?', 'Forgot Password?', and 'Create an Account'. Below the login section is a navigation bar with links: HOME, SEARCH RECORDS, DATA ACCESS, CHECK STATUS, ABOUT, and HELP. The main content area is titled 'Search Results' and contains a list of instructions for users. Below the instructions is a section titled 'Advanced Search Results' which includes a search bar, a 'Clear Search' button, and an 'Edit Search' button. The search results show 'TOTAL RECORDS: 0' and 'Result page 0 of 0'. A message states: '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 associated 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 consider searching by name only.' At the bottom of the search results section, there are buttons for 'Save PDF', 'Export Results', and 'Print'. The 'Print' button is circled in red.

4. **TO PRINT:** Enter Ctrl-P, click on the 'Print' button, or 'Save PDF.'

SAMPLE output for 'Save PDF'

The screenshot shows a PDF document titled 'searchResults (4).pdf'. The document content includes the SAM logo and the text: 'List of records matching your search for : Functional Area: Performance Information Entity Name: "Smith, Jane" SSN: Entered for Search Match but Not Displayed'. Below this, it says 'No Search Results'. The PDF is displayed in a viewer window. A blue callout box with the text 'Print or download' points to the printer icon in the PDF viewer's toolbar, which is circled in red. The toolbar also includes icons for back, forward, and search.

SAMPLE output for 'Print'

Print
Total: 1 page

Destination:

Pages: ☐ All ☐ e.g. 1-5, 8, 11-13

Layout:

Paper size:


Margins:

Scale:

Options: ☒ Headers and footers ☒ Background graphics

[Fewer settings](#)

3/6/2018
Advanced Search Results | System for Award Management




[Forgot Username?](#) [Forgot Password?](#) [Create an Account](#)

Search Results

Advanced Search Results

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 PDF 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 associated 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 consider searching by name only.



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WWW6

Search Records	Disclaimers	FAPIIS.gov
Data Access	Accessibility	GSA.gov/IAE
Check Status	Privacy Policy	GSA.gov
About		USA.gov
Help		

This is a U.S. General Services Administration Federal Government computer system that is "FOR OFFICIAL USE ONLY." This system is subject to monitoring. Individuals found performing unauthorized activities are subject to disciplinary action including criminal prosecution.

If you need assistance please contact EPIC Management Compliance at

compliance@epiclp.com 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.