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.

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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
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NO MATCHES – SINGLE INDIVIDUAL

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

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Search For Multiple	Individuals	Related Content
		LEIE Downloadable Databases
Last Name	(and/or) First Name	Monthly Supplement Archive
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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.

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> linco	oln , abraham	n				
> mou	ise , mickey					
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Print Search Results						
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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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Healthicity Audit and Healthicity Training Blog Healthicity	thicity 🕥 Login - AAPC 👩 H	ICCA Home 🔿 Login - HCCA 🏳 ICEF	orHealth.org - In: 🚳 NetScaler	Gateway (C ADP Login (EpicM	anagement LP P1 Beaver Medical Group	BMG signature Log-	New tab Ctrl+T
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Total: 1 page Nave Cancel		3/6/2018	website of the United States g	government. <u>Here's how you know</u>	Verify ≥		
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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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HOME SEARCH RECORDS DATA ACCESS	CHECK STATUS ABOUT HELP					
The System for Award Management (SAM) is an o this site for FREE to: • Register to do business with the U.S. gover • Update or renew your entity registration • Check status of an entity registration • Search for entity registration and exclusion	official website of the U.S. government rnment n records	. There is no cost to use !	SAM. You can use			
	Getting Started					
Create A User Account	Register Entity	Search F	ecords			
Start by creating a SAM user account. After o	creating your SAM user account, log in to register to do business with the U.S. government.	Do a public search for exi records or exclu Federal users can log in to s	sting entity registration ision records. re additional information.			
GSA IBU 12 A analouse 1007		Search Records Disclaim Data Access Accessibi Check Status Privacy F About Help	ers FAPIIS.gov lity GSA.gov/IAE olicy GSA.gov USA.gov			
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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			
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▲ ALERT: SAM.gov will be down for scheduled maintenance Thursday,	March 22, 2018, fro	om 6 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 know an entity's Business Nam	e, DUNS Number or		
 Are you a Federal government employee? Create a SAM user account with 	ple categories and crite	eria. ail address and log into SAM before s	searching to see FOUO		
information and registrants who chose to opt out of the public search.	your government e me	e-mail address and log into SAM before searching to see FOUO			
 Conducting small business-focused research? In addition to what is contained 	ned in SAM, small bus	inesses can provide the Small Busine	ess Administration		
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 Trying to find a contractor participating in the Disaster Response Registry provide debris removal, distribution of supplies, reconstruction, and other 	disaster or emergency	relief services in the event of a natio	onal disaster.		
Choose Omer Search of Advanced Search					
QUICK SEARCH:		ADVANCED SEARCH:			
		Use specific criteria in multiple categories			
smith, jane		your search.			
(Example of search term includes the entity's name, etc.		ADVANCED SEARCH	I ENTITY		
DUNS Number Security		ADVANCED SEARCI	1-EN111		
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Need Help:					

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
Search Results • Your search results represent have been submitted, but not of note, some entities choose i search. You can only see them You can refine your search results the Edit Search button the save your search criteria to rue NOTE: Please read this imp	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 if you log in as Federal Government user. alts. 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 octant message when searching for exclusion records.
Clear Search	Current Search Terms: smith* jane*
TOTAL RECORDS: 8 Result page 1 of 1 RIETER RESIDETS	Save PDF Export Results Print Sort by Modified Date Order by Descending • Your search for "smith" jame" returned the following results
By Record Status	Entity JANE SMITH CORP Status: Active I DUNS: 078407938 CAGE Code: 607B0 Has Active Exclusion?! No DDDAAC: View Details Expiration Date: 0.4/36/3602B Debt Stubject to Offset?
Entity Registration Exclusion Apply Filters	Purpose of Registration: All Awards Exclusion JANE A SMITH Status: Active DUNS:
	Classification: Individual Exclusion Type: View Details 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:	
Profiv.	
First Name:	JANE
Middle Name:	A
Last Name:	SMITH
Cuffig.	
NPI:	00000000
INFI.	00000000
Exclusion Details:	
Exclusion Program:	Reciprocal
Classification Type:	Individual
Exclusion Type:	Prohibition/Restriction
Nature (Cause):	
May be subject to sanctions pursuant to the condition	s 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:	<u> </u>
If you think you have a potential match with an OFAC	isting, please visit the following section of OFAC's website for
guidance: <u>http://www.treasury.gov/resource-center</u> /	<u>/faqs/Sanctions/Pages/directions.aspx</u> . 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, contac	t the agency taking the action for this information.
CT Code:	Zı
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).
Brimary Address	
Vorify Street Address	
Street Address 4	
Street Address 1.	123 MOCKINGDIRA LN
Street Address 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 Porgot Password? Create an Account			
	HOME SEARCH RECORDS DATA ACCESS CHECK ST.	ATUS ABOUT H	ELP			
	Search Records					
	Search Tips to Get Started: • Looking for entity registration records or entity exclusion records in S	AM? Use Quick Search	if you know an entity's Business Name, DUNS Number or			
Exclusion	Search Tips		teria. nail address and log into SAM before searching to see FOLIO			
 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. 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. SAM does not have DUNS Number or CAGE Code identifiers for all Firm 		ame, or a rty. Read the t effect this act the federal	isinesses can provide the Small Business Administration <u>rch</u> to conduct further market research. Lesponse Registry Search to locate contractors willing to cy relief services in the event of a national disaster.			
		ng Agency usion POC	ADVANCED SEARCH: Use specific criteria in multiple categories to structu your search.			
exclusio sufficie entity io	on records. Therefore, a search by one of these fields alone nt. Conduct an additional Name search if no results are fou dentifier.	e may not be und by the	ADVANCED SEARCH - ENTITY			
 If you s potentia 	earch only on a particular classification type (e.g. Firm), yo ally excluding exclusion records created under a different	ou are classification.	ADVANCED SEARCH - EXCLUSION			

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.

SUSTEM FOR AWARD MANAGEMENT	Username Forgot Username?	Password Forgot Password?	Log In Create an Account			
HOME SEARCH RECORDS DATA ACCESS CHECK STAT	US 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						
Name* Smith, Jane SSN/TIN* 123456789 Exclusion Status All SEARCH CLEAR You may only perform a search with the	l" displays both Active an ac criteria contained in or	d Inactive Exclusions. e 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.



searchResults (4).pdf					± •	5
	List of rece Functional East SSN: Entered f	SAM Search Results rols matching your search for 1 Area: Performance Information ty Name: "Smith, Jane" or Search Match but Not Displayed				
	No Search Results					
					•	
					+	
	March 06, 2018 1:29 PM	https://www.sam.govf	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 AI 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 \$ This is a U.S. General Services Administration Federal Govern renforming 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.