

Program Integrity Exclusions Search

April 2025

This document is a "how to" guide for searching the required databases for exclusions for **System for Award Management (SAM).** Before going over the steps, please note the requirements of this process.

- Both databases (SAM & LEIE) must be searched monthly, regardless of if you are part of an agency, group, or a single provider. There are separate how-to instructions on our website for the LEIE search process.
- Anyone who "touches" Medicaid must be searched. In addition to clinical staff, this includes the following:
 - All staff who provide services
 - o Administrators
 - o Billing
 - Board of Directors
 - o Intake personnel or others who may verify eligibility
 - o 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 (separate instructions are available).

*If a second level search is conducted, and you can 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 <u>slcoquality@optum.com</u> and <u>kortnie_wilson@optum.com</u>.
 - Your attestations will be archived.
 - If you have any questions or need assistance, please contact the Optum Quality Team or Kortnie Wilson at <u>slcoquality@optum.com</u>, <u>kortnie_wilson@optum.com</u> 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
- 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 click on "Advanced Search":

Entity Information

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4. From here you will look for "exclusions" on this list (you'll need to hit the right arrow to find it):

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5. On the next screen you will see a list of options below the search box.

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6. From here you have 2 options, you can either search "excluded individuals" or "excluded entity"

Filter By 😑	Filter By	-
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or more information on how to use our keyword search, visit our elp guide 🔀	help guide 🖾	
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All Words	Exact Phrase	
Exact Phrase	0	
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First Name	Excluded Entity	
	Entity Name	
Middle Name	-	-
Last Name	Unique Entity ID	
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	CAGE / NCAGE	
Add Individual		•
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Excluded Entity	Exclusion Type	
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7. If you are searching for individuals, you can search multiple people at the same time. To do this you'll enter the individual's name in the boxes and then hit "add individual", you will continue to do this with all names being searched. You'll see the list of the people you are searching at the bottom of the search box. On the righthand side you will then see a list of the search results. Entity search will work about the same way.

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8. If the name(s) 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). Make sure your screenshot includes the date the search was completed.

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9. If the name <u>does appear</u> 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. On this page, verify that this is your individual by clicking on "verify address"

	Exclus
Classification Type	
Individual	Termination Date Exclusion Status
	Indefinite Active
Excluding Agency	
OFFICE OF PERSONNEL MANAGEMENT	
	Exclusion Program
Exclusion Type	Reciprocal
Ineligible (Proceedings Complete)	
	Active Date
Primary Address	Oct 18, 1999

10. On the next page you will enter in your individual's address and hit "verify"

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11. Once you hit "verify" on the previous page, the next step will either come up with a "match" or "no match"

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12. You can also verify a match through an SSN search. To do this you will clear your original search and then put in their full name and then their SSN and hit "add individual"

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e.g. 123456789, Smith C	arip
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Last Name	
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Excluded Entry	
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13. Make sure to properly screenshot the results that show up. Including the results that were returned along with the date search was done.

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For option 2, follow these instructions:

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 (topmerly in fapils.gov).	Connect your system to APIs for Entity, Exclusions, and Responsibility/Qualification data.	Learn more about using SAM.gov data or integrating it wit your application
	Go to the Entity Management API 43	How to use data services @
Go to Entity Data Files	Go to the Exclusions API (g	What is a system account? (d
 Go to Exclusions Data Files Go to Responsibility/Qualification Report 	Go to the Responsibility/Qualification APH IS	What are APIs and API keys? (d

2. Once you are on this page select "Public V2"

DATA SERVICES	
File Extracts	
Data Services > Exclusions	
Name	Details
► Public - Historical	0 🛔
Public V2 FASCSA Orders	0 🛔
Public V2	0 🛔

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.

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File Extracts	
Data Services - Kashapida - Public V8	
None -	Details
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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.

SAM.GOV*	×	
SAM.gov is a federal government website. When you use this site, you must follow these terms. If you do not, you may lose access to SAM.gov and we may take other legal action.		
All of the terms apply to you, even if they cover activities you don't currently do or data you don't currently use.		
There are seven sets of terms.		
1. Changing Site Data		
2. Data Access		
3. Sensitive Data		
4. Privacy Policy		
5. Restricted Data Use		
6. Non-Federal Administrator Roles		
7. Signing in to SAM.gov		
Keep your login information confidential.		
Cancel Accept		

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.

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**If a match is found and verified, you are required to notify Optum immediately, no later than 30 days after the match was discovered. Failure to complete these searches monthly and notify Optum of any matches can result in recoupment of funds. **