Optum

Program Integrity Exclusions Search
September 2021

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

- Both databases must be searched monthly, <u>regardless of if you are part of an agency, group, or a single provider.</u>
- Anyone who "touches" Medicaid must be searched. In addition to clinical staff, this includes the following:
    - All staff who provide services
    - Administrators
    - Billing
    - Board of Directors
    - Intake personnel or others who may verify eligibility
    - 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. 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.

> *If a second level search is conducted, and you are able to verify the excluded individual has the same name but is not the individual associated with your agency, you must 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.*

- Once the searches are complete, create an attestation on Agency/Provider letterhead indicating the outcome of the searches. Save and send in a Word Document or PDF. Do NOT send in the body of an email. A template for the attestation is attached.
- Send the attestation to slcoquality@optum.com or fax to 1.866.588.9583. Your attestations will be archived.
- If you have any questions, please contact the Optum Quality Team at slcoquality@optum.com 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):
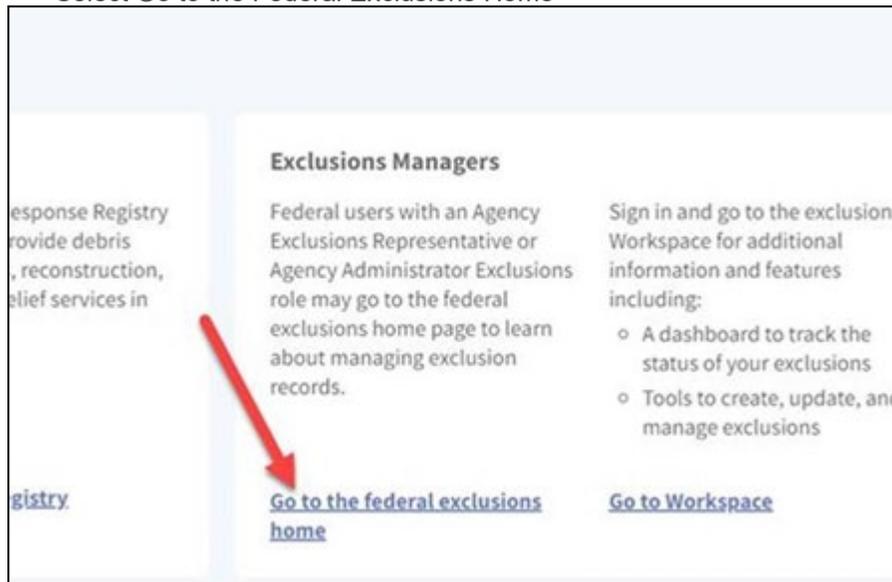
There are two ways to search:
1. By entering data into a text field
2. By searching a CSV file

For option 1, follow these instructions.

- Navigate to website indicated above
- Select Entity Information

- Select Go to the Federal Exclusions Home

- Select Advanced Search

Exclusions

An exclusion record identifies parties excluded from receiving Federal contracts, certain subcontracts, and certain types of Federal financial and non Financial assistance and benefits. Exclusions are also referred to as suspensions and debarments.

Search Exclusions   Advanced Search

[e.g. Smith, 123456789]   [🔍]

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- In the "Filter By" box, select "Excluded Individual"
- Enter the individual's information, then click on "Add Individual".
- The results will populate to the left. Take a screenshot of this page for your records.
- In Filter By box (see image below), select down arrow for Classifications, then in the second box that comes up, select that down arrow and choose Individual or Firm, depending on what type of entity you are searching.
- Enter the name in the keyword box (in Filter By box) or in the Search box near the top of the page. This will produce a results list.
  - If the name 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).
  - If the name does appear on the page, you want to view exclusion details, select the name again that appears the on results list (the name will appear in blue and is a hyperlink). This will open the full entry for that person.

- Now, you will need to complete a second level search on the LEIE site, where you can rule out or verify a match with a social security number (SSN) or tax ID number (EIN); see separate instructions beginning on page 4. Keep copies of the search results for both sites for your records.

For option 2, follow these instructions.

Exclusions for Federal Users

Federal users with an agency exclusions representative or agency administrator — exclusions role may use the features on this page to manage exclusion records.

Search Exclusions

Advanced Search

e.g. Smith, 123456789

- Filter by Excluded Individual.

Filter By

Keywords

Classification

Excluded Individual

First Name

Middle Name

Last Name

SSN / TIN

Add Individual

- On the File Extracts page, select the folder titled "Public". (The word is the hyperlink.)
- Select the extract file that appears at the top of the list, by clicking on the hyperlink. This is the most recent file.
- Review the Terms of Use. To proceed, all 3 checkboxes must be marked. Click Submit.
- It will take some time for the file to download. The File Extracts page will reappear with the Zip file in a smaller box. Click on "Open file". Select the file which ends is "csv".

- You can search the document as you would an Excel document, using features such as sort and filter, to locate the place where the name should appear on the spreadsheet.
  - o If the name is not there, take a screenshot of the place where it would be.
  - o If the name is there, you will need to complete a second level search on the LEIE site, where you can rule out or verify a match with a social security number (SSN) or tax ID number (EIN); see separate instructions beginning on page 4. Keep copies of the search results for both sites.

List of Excluded Individuals/Entities (LEIE)

Main page includes overview, at oig.hhs.gov/exclusions/index.asp.

Once on this page, from the menu on the left, you can navigate to one of two web pages as follows:

1. Online Searchable Database (searching by entering data into a text field): exclusions.oig.hhs.gov

2. LEIE Downloadable Databases (searching a CSV file): oig.hhs.gov/exclusions/exclusions_list.asp

For option 1, follow these instructions.

When you choose "Online Searchable Database", you will see a screen where you can perform one of four types of searches:

- Search For An Individual (default): Use this method to check a single individual at a time.
- Search For Multiple Individuals: Use this method to check for multiple individuals at once.
- Search For A Single Entity: Use this method to check one entity at a time.
- Search For Multiple Entities: Use this method to check multiple entities at the same time.

Choose the option that you prefer, then enter the information and save your results.

For option 2, follow these instructions.

If you choose to use "LEIE Downloadable Databases**"**, the CSV file, please refer to the "Instructions" at the bottom of the page. Use only the **Updated LEIE Database (CSV)** option under the LEIE Database section, not the link called **Exclusions (CSV)**, which is under the Current Monthly Supplements section.

If a name is found, you can complete a second level search via the Online Searchable Database (with a Search For An Individual or Search For A Single Entity). After you type in the name, it will pull up another screen with a link on the right side of the page where you can verify the person/entity with a social security number (SSN) or tax ID number (EIN). Be sure to save the results of this search.