



DHS Provider Training: System for Award Management (SAM) Exclusion Records

Department of Human Services

April 2023

Overview

The System for Award Management (SAM) Exclusion Records lists individuals and entities who are suspended or debarred from receiving federal funding, contracts, subcontracts, financial and non-financial assistance and benefits. SAM consolidated various databases into one central database in 2012. The Excluded Parties List System (EPLS), known as SAM Exclusion Records, and Central Contractors Registration (CCR), known as SAM Entity Registration, is included within the centralized SAM database.

As required by [42 CFR § 455.436](#), State Medicaid agencies must confirm the identity and determine the exclusion status of providers and any person with an ownership or control interest or who is an agent or managing employee of the provider through routine checks of Federal databases, to include the EPLS database, no less frequently than monthly.

In Long Term Services and Supports (LTSS) Provider Provisions, LTSS requires Providers to screen staff through the SAM system a minimum of [once every month](#) to ensure that new hires and current employees are not on the excluded list. The SAM exclusion database can be searched online at: <https://sam.gov/content/exclusions>.

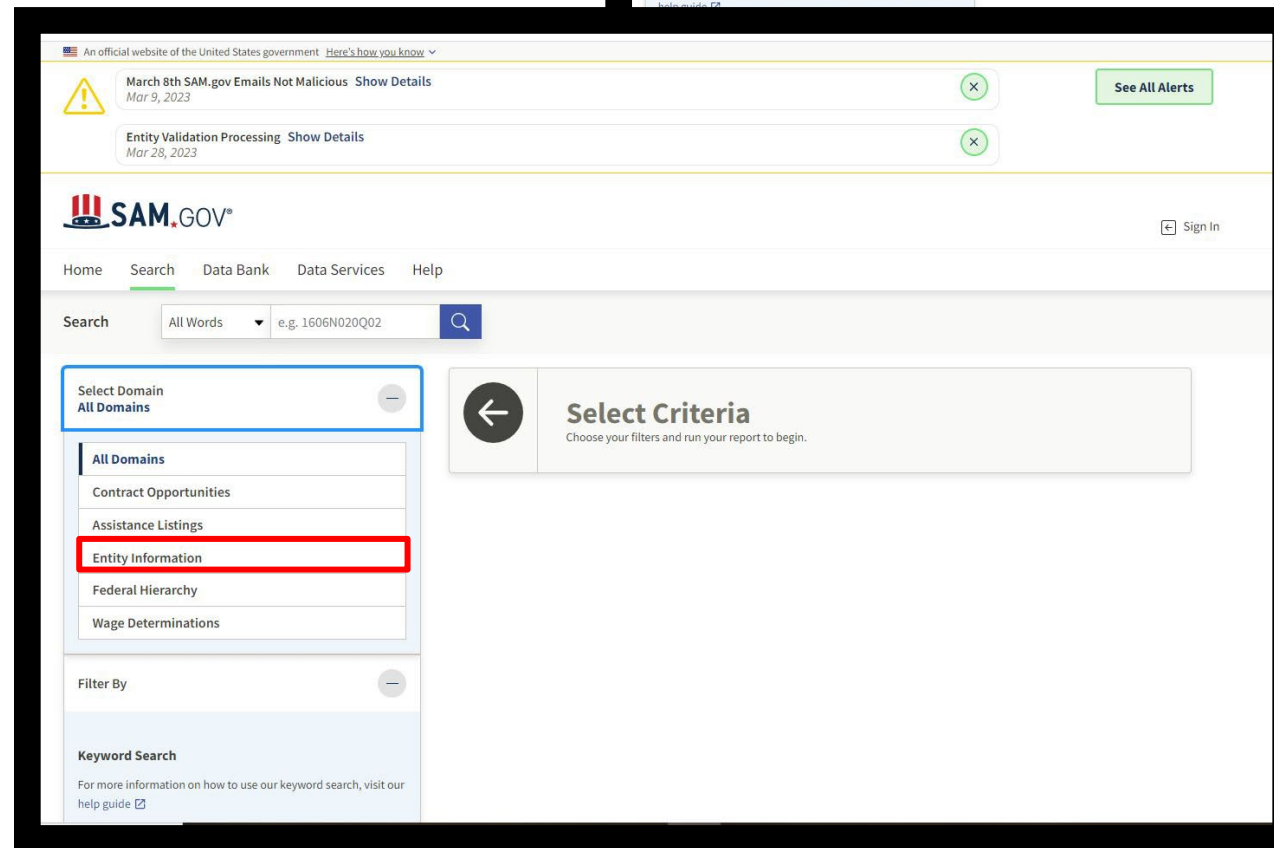
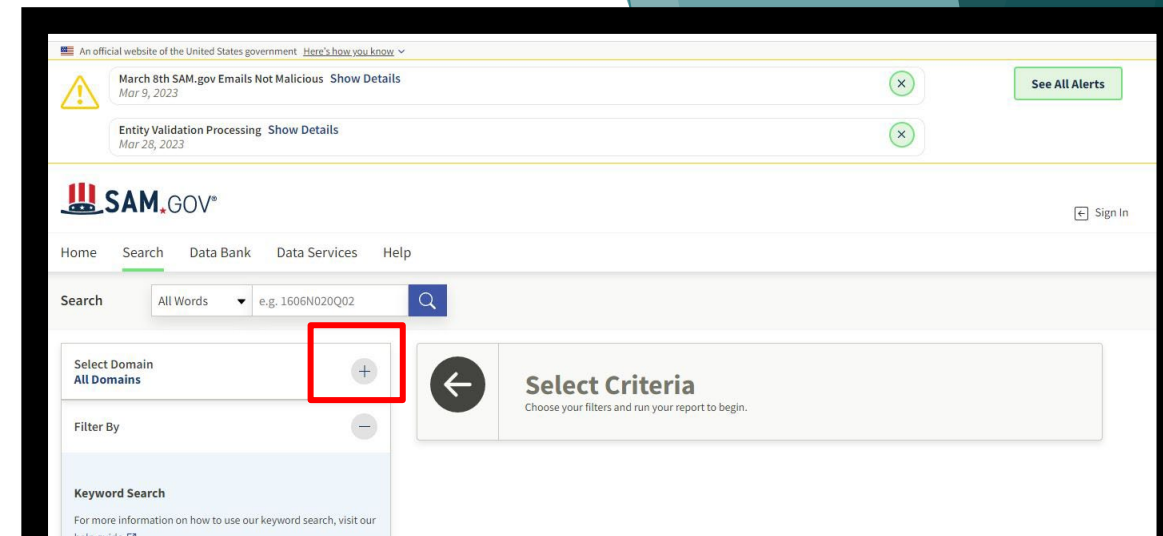
How to search SAM database (1)

- ▶ VISIT:
[HTTPS://SAM.GOV/CONTENT/HOME](https://sam.gov/content/home)
- ▶ Click 'Search'

The screenshot shows the SAM.gov homepage. At the top, there is a navigation bar with links for Home, Search, Data Bank, Data Services, and Help. The 'Search' link is highlighted with a red box. Below the navigation bar is the SAM.GOV logo and a banner for 'Official U.S. Government Website 100% Free'. The main content area features a grid of service categories: Contract Opportunities (was fbo.gov), Contract Data (Reports ONLY from fpds.gov), Wage Determinations (was wdol.gov), Federal Hierarchy (Departments and Subtiers), Assistance Listings (was cfda.gov), Entity Information (Entities, Disaster Response Registry, Exclusions, and Responsibility/Qualification (was fapiis.gov) with a 'NEW' badge), and Entity Reporting (SCR and Bio-Preferred Reporting). To the right, there is a section for 'Register Your Entity or Get a Unique Entity ID' with buttons for 'Get Started', 'Renew Entity', and 'Check Entity Status'. At the bottom, there is a search bar with a dropdown menu for 'Select Domain...' and a search input field containing 'e.g. 1606N020Q02'. The search bar is highlighted with a blue box.

How to search SAM database (2)

- ▶ Optional: You are able to filter down results by selecting the plus symbol (+) then selecting *Entity Information*



How to search SAM database (3)

- ▶ Search for individual staff member in the *Search bar* and press *enter* or click the magnifying glass

An official website of the United States government [Here's how you know](#) ▾

March 8th SAM.gov Emails Not Malicious [Show Details](#) Mar 9, 2023 ×

Entity Validation Processing [Show Details](#) Mar 28, 2023 ×

SAM.GOV Sign In

Home [Search](#) [Data Bank](#) [Data Services](#) [Help](#)

Search

⊘ Please Sign In: You must sign in to your SAM.gov account to search Entities, Responsibility/Qualification and the Disaster Response Registry. Sign In

Select Domain **Entity Information** +

- All Entity Information
- Entities
- Disaster Response Registry
- Responsibility / Qualification
- Exclusions

Filter By —

← **Select Criteria**
Choose your filters and run your report to begin.

How to extract data from SAM database (1)

- ▶ From SAM homepage, select *Data Services*

The screenshot shows the SAM.GOV homepage. At the top, there is a navigation bar with links for Home, Search, Data Bank, **Data Services** (highlighted with a red box), and Help. Below the navigation bar is the SAM.GOV logo and a banner for the Official U.S. Government Website, 100% Free. The main content area is divided into two columns. The left column lists various services: Contract Opportunities (was fbo.gov), Contract Data (Reports ONLY from fpds.gov), Wage Determinations (was wdol.gov), Federal Hierarchy (Departments and Subtiers), Assistance Listings (was cfda.gov), Entity Information (Entities, Disaster Response Registry, Exclusions, and Responsibility/Qualification (was fapiis.gov) NEW), and Entity Reporting (SCR and Bio-Preferred Reporting). The right column features a registration section titled 'Register Your Entity or Get a Unique Entity ID' with buttons for 'Get Started', 'Renew Entity', and 'Check Entity Status'. At the bottom, there is a search bar with the text 'Already know what you want to find?' and a search input field containing 'e.g. 1606N020Q02'.

How to extract data from SAM database (2)

- ▶ Select File Extracts either *Public* or *Public V2*
- ▶ **Note:** the daily data extracts available are in the *Public V2*

The screenshot shows the SAM.GOV website interface. At the top, there are two alert boxes: "March 8th SAM.gov Emails Not Malicious" dated Mar 9, 2023, and "Entity Validation Processing" dated Mar 28, 2023. The main navigation bar includes "Home", "Search", "Data Bank", "Data Services" (which is highlighted), and "Help". The "Sign In" link is visible in the top right. The main content area is titled "DATA SERVICES" and "File Extracts". Below this, the breadcrumb path is "Data Services > Exclusions > Public V2". A table lists several file extracts with columns for "Name" and "Details".

Name	Details
SAM_Exclusions_Public_Extract_V2_23094.ZIP	
SAM_Exclusions_Public_Extract_V2_23093.ZIP	
SAM_Exclusions_Public_Extract_V2_23092.ZIP	
SAM_Exclusions_Public_Extract_V2_23091.ZIP	
SAM_Exclusions_Public_Extract_V2_23090.ZIP	
SAM_Exclusions_Public_Extract_V2_23089.ZIP	
SAM_Exclusions_Public_Extract_V2_23088.ZIP	

How to extract data from SAM database (3)

- ▶ Click the information icon on the right-hand side under *Details* to get further information on exclusion records

The screenshot displays the SAM.gov website interface. At the top, there is a navigation bar with the SAM.GOV logo and a 'Sign In' button. Below the navigation bar, there are two alert boxes: 'March 8th SAM.gov Emails Not Malicious' dated Mar 9, 2023, and 'Entity Validation Processing' dated Mar 28, 2023. The main content area shows a data package titled 'SAM_Exclusions_Public_Extract_V2_23094.ZIP'. A modal window is open, displaying the following details:

Privacy	Public
Format	ZIP, CSV
Description	This data package is refreshed daily and contains the publicly available data for all active exclusion records entered by the Federal government identifying those parties excluded from receiving Federal contracts, certain subcontracts, and certain types of Federal financial and non-financial assistance and benefits. This version of the file has the Unique Entity Identifier fields added. Users must read the exclusion record completely to understand how it impacts the excluded party. The links include the three-digit Julian date for easier identification of the most recent file.
Date Modified	Apr 04, 2023

At the bottom of the page, there is a 'Feedback' button with a downward arrow icon.

Resources:

- ▶ SAM.gov homepage: <https://sam.gov/content/home>
- ▶ SAM.gov Data Services>File Extracts page: <https://sam.gov/data-services>
- ▶ 42 CFR § 455.436: <https://www.ecfr.gov/current/title-42/chapter-IV/subchapter-C/part-455/subpart-E/section-455.436>
- ▶ LTSS Provider Resources page: <https://dhs.sd.gov/ltss/ltssproviders.aspx>