

# Fresno County Department of Behavioral Health

Substance Use Disorder Services



## Monthly Screening for Ineligible Persons

Information Guide

Revised 5/7/2021

# EXCLUDED PARTIES LIST

## SAM.GOV (EPLS)

1. Click on the following link: <https://www.sam.gov/SAM/pages/public/index.jsf> or copy and paste link to your internet browser.
2. Click on **Search Records** tab located on the right hand side of the screen.
3. Click on **Advance Search – Exclusion** located on the right hand side of the screen.
4. Exclusion Search Tips will appear. Click on **Continue**.
5. There are three Search Options: Single Search; Multiple Names; and SSN/TIN. Follow the instructions and Search Tips.
6. You may search for Multiple Excluded parties at a time (up to six) by selecting the **Multiple Names** search option.
7. Click the drop-down arrow on the left of *Name* and select “Individual”.
8. Enter staff names. Next, in the “Exclusion Status” dropdown menu select “All” to display Active and Inactive exclusions. Then click “SEARCH” on the bottom of the screen. Search for all previous names used. Exact Name and SSN/TIN may be searched by selecting the **SSN/TIN** search option.
9. Enter the search results onto the Ineligible Persons Screening Monthly Report.



A NEW WAY TO SIGN IN - If you already have a SAM account, use your **SAM email** for login.gov.

[Log In](#)

[Login.gov FAQs](#)

[HOME](#) [SEARCH RECORDS](#) [DATA ACCESS](#) [CHECK STATUS](#) [ABOUT](#) [HELP](#)

 **ALERT:** SAM.gov will be down for scheduled maintenance Saturday, 11/09/2019, from 8:00 AM to 3:00 PM

The System for Award Management (SAM) is an official website of the U.S. government. There is no cost to use SAM. You can use this site for **FREE** to:

- Register to do business with the U.S. government
- Update or renew your entity registration
- Check status of an entity registration
- Search for entity registration and exclusion records

## Getting Started

Create A User Account



Start by creating a SAM user account.

Register Entity



After creating your SAM user account, log in to register to do business with the U.S. government.

Search Records



Do a public search for entity registration records or exclusion records.

Federal users can log in to see additional information.



[Search Records](#)  
[Data Access](#)  
[Check Status](#)

[Disclaimers](#)  
[Accessibility](#)  
[Privacy Policy](#)

[FAPIS.gov](#)  
[GSA.gov/IAE](#)  
[GSA.gov](#)



**A NEW WAY TO SIGN IN** - If you already have a SAM account, use your **SAM email** for login.gov.

**Log In**

[Login.gov FAQs](#)

[HOME](#) [SEARCH RECORDS](#) [DATA ACCESS](#) [CHECK STATUS](#) [ABOUT](#) [HELP](#)

 **ALERT:** SAM.gov will be down for scheduled maintenance Saturday, 11/09/2019, from 8:00 AM to 3:00 PM

## 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 Name, DUNS Number or CAGE Code. Use **Advanced Search** to structure your search using multiple categories and criteria.
- Are you a Federal government employee? Create a SAM user account with your government e-mail address and log into SAM before searching to see FOUO information and registrants who chose to opt out of the public search.
- Conducting small business-focused research? In addition to what is contained in SAM, small businesses can provide the Small Business Administration (SBA) supplemental information about themselves. Use the [SBA's Dynamic Small Business Search](#) to conduct further market research.
- Trying to find a contractor participating in the Disaster Response Registry? Use the **Disaster Response Registry Search** to locate contractors willing to provide debris removal, distribution of supplies, reconstruction, and other disaster or emergency relief services in the event of a national disaster.

### Choose Quick Search or Advanced Search

#### QUICK SEARCH:

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

DUNS Number Search:

CAGE Code Search:

**SEARCH**

[Need Help?](#)

#### ADVANCED SEARCH:

Use specific criteria in multiple categories to structure your search.

**ADVANCED SEARCH - ENTITY**

**ADVANCED SEARCH - EXCLUSION**

**DISASTER RESPONSE REGISTRY SEARCH**





**A NEW WAY TO SIGN IN** - If you already have a SAM account, use your **SAM email** for login.gov.

**Log In**

[Login.gov FAQs](#)

[HOME](#) [SEARCH RECORDS](#) [DATA ACCESS](#) [CHECK STATUS](#) [ABOUT](#) [HELP](#)

 **ALERT:** SAM.gov will be down for scheduled maintenance Saturday, 11/09/2019, from 8:00 AM to 3:00 PM

## 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](#).

- ☐ Single Search
- ☐ Multiple Names
- ☐ SSN/TIN Search



IBM-NP-20190814-1104  
WWW7

[Search Records](#)  
[Data Access](#)  
[Check Status](#)  
[About](#)  
[Help](#)

[Disclaimers](#)  
[Accessibility](#)  
[Privacy Policy](#)

[FAPIS.gov](#)  
[GSA.gov/IAE](#)  
[GSA.gov](#)  
[USA.gov](#)

# OFFICE OF INSPECTOR GENERAL (OIG)

## LIST OF EXCLUDED INDIVIDUALS/ENTITIES (LEIE)

1. Click on the following link: <http://exclusions.oig.hhs.gov/Default.aspx> or copy and paste link into your internet browser.
2. You may search for Multiple Individuals at a time (up to five) by selecting the **Multiple Individuals** search option. Enter staff names then click search. Search for any previous names used by staff.
3. If a record appears in the search results, you must verify the record. Click on “Verify”. Then enter the Social Security Number in the box provided and click “Verify”. If a “No Match” message appears, the staff is not on the Excluded Individuals/Entities list.
4. Enter the search results onto the Ineligible Persons Screening Monthly Report.



U.S. Department of Health &amp; Human Services

# Office of Inspector General

U.S. Department of Health & Human Services

Report #, Topic, Keyword..

Search

Advanced

[About OIG](#)[Reports & Publications](#)[Fraud](#)[Compliance](#)[Recovery Act Oversight](#)[Exclusions](#)[Newsroom](#)[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.	<input type="text"/>	<input type="text"/>
2.	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>
4.	<input type="text"/>	<input type="text"/>
5.	<input type="text"/>	<input type="text"/>

 Search Clear

# MEDI-CAL SUSPENDED/INELIGIBLE LIST (MSIL)

1. Click on the following link:  
<https://files.medi-cal.ca.gov/pubsdoco/SandILanding.aspx> (or copy and paste link onto your internet browser) to access the CA DHCS website.
2. The State has slightly simplified this process by creating an Ineligible Provider List in the form of an excel spreadsheet. Click on *Medi-Cal Suspended and Ineligible Provider List* at the bottom of the page.

NOTE: It is imperative you use the most recently updated list each time you screen your staff.



[Home](#) → [References](#)

## Suspended and Ineligible Provider List

Medi-Cal law, *Welfare and Institutions Code* (W&I Code), sections 14043.6 and 14123, mandate that the Department of Health Care Services (DHCS) suspend a Medi-Cal provider of health care services (provider) from participation in the Medi-Cal program when the individual or entity has:

- Been convicted of a felony;
- Been convicted of a misdemeanor involving fraud, abuse of the Medi-Cal program or any patient, or otherwise substantially related to the qualifications, functions, or duties of a provider of service;
- Been suspended from the federal Medicare or Medicaid programs for any reason;
- Lost or surrendered a license, certificate, or approval to provide health care; or
- Breached a contractual agreement with the Department that explicitly specifies inclusion on this list as a consequence of the breach.

### Suspension of Entities Submitting Claims for Suspended Providers

Suspension is automatic when any of the above events occurs, and suspended Medi-Cal providers will not be entitled to a hearing under the *California Administrative Procedures Act*.

Services rendered, prescribed or ordered by a suspended Medi-Cal provider shall not be covered by the Medi-Cal program while the suspension is in effect. *California Code of Regulations*, title 22, section 51303, subdivision (j), provides that at least fifteen (15) days written notice be given to all affected providers. This list constitutes such written notice. Although the period of suspension may have expired, reinstatement rights are not automatic. The provider must petition for reinstatement and re-enroll with DHCS before being reimbursed for services rendered. Providers suspended as a result of a Medicare action must appeal through the Medicare office before applying for re-enrollment with Medi-Cal.

In accordance with W&I Code, section 14043.6, subdivision (a), a provider of health care services shall be subject to suspension if claims for payment are submitted under any provider number used by the provider to obtain reimbursement from the Medi-Cal program for the services, goods, supplies or merchandise provided, directly or indirectly to a Medi-Cal beneficiary, by an individual or entity that is suspended, excluded or otherwise ineligible because of a sanction to receive, directly or indirectly, reimbursement from the Medi-Cal program and the individual or entity is listed on either the *Medi-Cal Suspended and Ineligible Provider List* (S&I List) published by DHCS to identify suspended and otherwise ineligible providers, or any list published by the federal Office of Inspector General regarding the suspension or exclusion of individuals or entities from the federal Medicare and Medicaid programs, to identify suspended, excluded or otherwise ineligible providers.

Examples of providers who need to be aware of the provisions of this law, and could be suspended if violating the law are:

1. Billing services that submit claims for Medi-Cal providers who are suspended;
2. Pharmacies that fill prescriptions and bill for services prescribed by a suspended provider;
3. Providers who bill for services under referral or prescription of a provider who is suspended;
4. Providers who employ and submit claims for the services of an individual who is a suspended provider;
5. Physician groups, clinics and institutions that employ and submit claims for the services of an individual who is a suspended provider;
6. Any individuals or entities that enter into a business arrangement and submit claims for or in conjunction with an individual or entity that is suspended.

Always refer to the S&I List when verifying ineligibility. Eligibility or ineligibility must also be verified through the Health and Human Services (HHS) Federal Office of Inspector General (OIG) [List of Excluded Individuals/Entities](#). Cross-referencing both lists is recommended to help identify providers who have already been suspended or sanctioned. The S&I List is not all inclusive. Temporary sanctions against providers are not included on the web sites. Temporary sanctions that may be imposed include temporary suspensions, withhold of payments and deactivation.

### Download the S&I List

The S&I List is updated monthly and can be downloaded by clicking on the link below. Providers who do not have access to Excel may download an Excel viewer from the [Web Tool Box](#) page.

- [Medi-Cal Suspended and Ineligible Provider List](#) (Excel format) **Published 4/12/2021**

Click the link:  
“Medi-Cal Suspended and Ineligible Provider List”



# Matching Names

If an individual's name appears on the LEIE, SAM and/or MSIL, verify that the name on the exclusion list is, in fact, the individual being searched.

- This can be done by verifying other information specific to the individual is also a match. For example:
  - date of birth (DOB)
  - address
  - social security number (SSN)
  - tax identification number
  - unique physician identification number (UPIN)
  - national provider identifier (NPI)
  - employment identification number (EIN)

# Record Keeping

All Staff screened should be recorded onto the “Ineligible Persons Screening Monthly Report” (Report). The Report template is available at:

<https://www.co.fresno.ca.us/departments/behavioral-health/substance-use-disorder-services/provider-page>

The Report must be completed and submitted to Fresno County SUD Services PDF format to:

[SAS@fresnocountyca.gov](mailto:SAS@fresnocountyca.gov)

Ineligible Persons Screening							
Month: <u>March</u>		Year: <u>2019</u>					
Date of Report: <u>3/5/2019</u>							
Provider Name: <u>(Name of Organization/Facility)</u>				<u>Sky's the Limit</u>			
Contact Name: <u>Peter Peterson</u>							
Contact Phone #: <u>559-600-6861</u>							
Contact Email: <u>jpetersn@fresnocountyca.gov</u>							
I certify that I have checked names listed below against the lists of Ineligible and Excluded persons available on federal and California state webpages, per Fresno County Department of Behavioral Health PPG 1.3.1 Screening for Ineligible Persons - County Employees/Contract Providers.							
Signature: _____				Date: _____			
Staff Name	Discipline or Degree (eg. LMFT, AOD Counselor, etc.)	Title/Position	Date of Search	LEIE	SAM	MSIL	Searched by:
John Doe	LMFT	Clinical	3/1/2019	Clear	Clear	Clear	Johnny Smith
Jane Smith	AOD Counselor	Clinical	3/1/2019	Clear	Exclusion	Clear	Johnny Smith



## REGULATIONS

### **Fresno County DBH contracted providers are required to preform ineligible person screenings in accordance with the following regulations:**

**42 CFR § 438.602 (d)** - Federal database checks. Consistent with the requirements at § 455.436 of this chapter, the State must confirm the identity and determine the exclusion status of the MCO, PIHP, PAHP, PCCM or PCCM entity, any subcontractor, as well as any person with an ownership or control interest, or who is an agent or managing employee of the MCO, PIHP, PAHP, PCCM or PCCM entity through routine checks of Federal databases. This includes the Social Security Administration's Death Master File, the National Plan and Provider Enumeration System (NPPES), the List of Excluded Individuals/Entities (LEIE), the System for Award Management (SAM), and any other databases as the State or Secretary may prescribe. These databases must be consulted upon contracting and no less frequently than monthly thereafter. If the State finds a party that is excluded, it must promptly notify the MCO, PIHP, PAHP, PCCM, or PCCM entity and take action consistent with § 438.610(c).

**42 C.F.R. § 455.436** - The State Medicaid agency must do all of the following:

- (a) 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.
- (b) Check the Social Security Administration's Death Master File, the National Plan and Provider Enumeration System (NPPES), the List of Excluded Individuals/Entities (LEIE), the Excluded Parties List System (EPLS)\*, and any such other databases as the Secretary may prescribe.
- (c)
  - (1) Consult appropriate databases to confirm identity upon enrollment and reenrollment;  
and
  - (2) Check the LEIE and EPLS\* no less frequently than monthly.

\* The Excluded Parties List System (EPLS) has been replaced with System Award Management (SAM)



## WHOM TO SCREEN?

- Providers shall complete the Ineligible Persons Screening Report for all employees whose positions are funded under a contract with DBH, including staff who are on leave.
- One Ineligible Persons Screening Report shall be returned for each organization containing all employees funded under a contract with DBH. If a provider has more than one modality of treatment, employees from all modalities may be listed on the same report.
- Provider staff member doing screenings cannot screen themselves. They must be searched by a different staff member if the searcher is being paid by the organization with Federal funding.

## ATTESTATION

An attestation is located on the Ineligible Persons Screening Reporting Template. All provider staff members completing checks must sign and date the Ineligibility Person Screening Report submitted to attest that the screenings were done, that they were done during the time period stated on the report and that the information provided is accurate.

## PROOF OF SCREENINGS

For all searches, providers shall retain proof of screenings, including any additional identifying information used to verify matches, and keep them on file as backup to submitted lists. This proof may be a screenshot saved electronically or a saved printed copy of the screening. Proof of screenings not only proves that screenings were completed in the event of an audit but also serves as documentation of the dates the searched databases were last updated. Proof of screening should not be submitted to DBH unless requested.

The MSIL database is a spreadsheet of names of ineligible persons. For this database, providers must save a screenshot of the name not appearing on the list or by downloading the complete list electronically.

## RECORD RETENTION

Proof of screenings shall be maintained for a minimum of ten (10) years.

## INELIGIBLE PERSONS

If an individual from a provider is determined to be ineligible, the following shall occur:

### Removal Requirement

Provider shall immediately remove such person from responsibility for, or involvement with business operations related to Federal Health Care Programs and shall remove such person from any position for which the person's compensation or services furnished, ordered or prescribed by the person are paid in whole or in part, directly or indirectly by Federal Health Care Programs or otherwise with Federal funds at least until such time as the person is reinstated into participation in the Federal health care programs.

Provider shall provide verification of removal to DBH and the Compliance Officer.

Submit the Ineligible Persons Screening Monthly Report  
to SUD Services by the **15<sup>th</sup> of every month**  
(beginning February 15, 2019).

The Report template is available online at:  
[https://www.co.fresno.ca.us/departments/behavioral-health/  
substance-use-disorder-services/provider-page](https://www.co.fresno.ca.us/departments/behavioral-health/substance-use-disorder-services/provider-page)

Please email the report in PDF format to  
[SAS@fresnocountyca.gov](mailto:SAS@fresnocountyca.gov)

If you have any questions, please contact  
SUD Services at (559) 600-6087.

