



Government User – Identifying Excluded Entities

1 I'm used to searching the Excluded Parties List System (EPLS). With the move to SAM, what changes do I need to know about?

All the information that was in EPLS was moved to SAM, but here are some changes you will see:

- SAM no longer uses Cause and Treatment (CT) codes. These codes have been mapped to four Exclusion Types: Ineligible (Proceedings Pending), Ineligible (Proceedings Completed), Prohibition/Restriction, and Voluntary Exclusion. The Exclusion Type shown specifies why an entity is on the excluded parties list and communicates the associated ramifications (e.g., whether I can award a contract to this entity, etc.). Any record that was previously entered in EPLS with a CT code will display that code on the screen as historical data, but future records in SAM will have no CT codes. If you would like to see a list of CT codes and how they were mapped, please go to www.sam.gov, select Help from the top navigation bar, and select "Exclusions Information" and then "Exclusion Types" in the left navigation panel.
- Exclusions are categorized into four Classification Types: Firm, Individual, Vessel, and Special Entity Designation. The last category is a miscellaneous category for any organization that cannot be considered a Firm, Individual, or Vessel, but still needs to be excluded. For example, the "Terrorists Against the USA" organization does not fit into any of the previous categories and would be considered a Special Entity Designation.

2 How can I check to see whether an entity is excluded from receiving federal awards?

Use the following steps to see if an entity is subject to any active exclusions (e.g., suspensions, debarments) imposed by a federal agency:

- Go to <http://sam.gov>
- On the Home Page or the Search Records tab, type the Entity's name or DUNS number in the search bar and click on the Search icon. (**IMPORTANT NOTE:** Individuals are not assigned DUNS numbers. If you are checking for an exclusion for an individual, search by typing in the name.)
- If no exclusion record is found for the entity, the entity does not have an active exclusion submitted in SAM by a federal agency.
- If an exclusion record is found, it will display in a box marked "Exclusion" in purple; check the status in the top-right corner of the box. If the status indicates "Active", there is an active exclusion for that entity.

Here's an example. Note that the search result with the green box marked "Entity" is an Entity Management search result. The result with the purple box marked "Exclusion" is a Performance Information (Exclusion) search result:

Entity	AL HUDA CONTRACTING COMPANY LLC	Status: Active +
DUNS: 366458573 +4:	CAGE Code:	View Details
Has Active Exclusion?: No	DoDAAC:	

Exclusion	Al-Methwad Company	Status: Active +
DUNS: U00000451 +4:	CAGE Code:	View Details
Classification: Firm		

PLEASE NOTE: JUST SEEING THAT AN ENTITY HAS AN ACTIVE EXCLUSION IS NOT SUFFICIENT. AS AN AWARDING OFFICIAL YOU MUST CONTINUE TO THE NEXT STEPS.

- If you are viewing an exclusion record (as indicated by a purple box marked “Exclusion” in the upper-left corner of the search result), click “View Details” to open the exclusion record and see additional information.
- If you are viewing an entity management record (as indicated by a green box marked “Entity” in the upper-left corner of the search result), click “View Details” to view entity’s dashboard for more information. Use the navigation links on the left side of the screen to review the entity’s specific exclusion. Click on the “Active Exclusions” link to view all current exclusions. Click on “View Exclusion” to view the data in the specific exclusion record. Scroll through the exclusion record to review details.
- In the exclusion record, click on Exclusion Type to view Nature (Cause) and Effect language.
- **IMPORTANT:** As a Government awarding official you **MUST** review the “Effect” section of the exclusion record to determine exactly how you should apply the exclusion to your specific award/modification. The language in the “Effect” section of the performance information/exclusion record will indicate if the entity is excluded from procurement actions and/or non-procurement (e.g., grants, financial assistance) actions.

3 **EPLS only showed exclusion information, but SAM has other entity information. What if I just want to see the exclusion information for that entity?**

After you conduct a search and the results are displayed on the page, you will see filters on the left hand side of the screen. One says “Entity Information” and one says “Performance Information”. If you click on “Performance Information,” the information on the screen will show only exclusion information. You can further filter by “Active” or “Inactive” exclusion status.



4 Why do searches on individuals not display the street address but instead present me with a “Verify Address” button?

Due to privacy concerns, SAM does not display individuals’ addresses in the public search (just like EPLS). SAM does provide the “verify address” button so that you can still verify that the individual’s name you’re seeing on screen is the same individual you may be considering. In these cases, the system allows you to enter the street address information for the given individual displayed on the screen. By clicking on “Verify Address”, you will be given a “Verified” message if there is a match or a “No Match” response if there is not.

5 How can I search by multiple names?

SAM allows you to search by particular fields of information using the filters on the left side of the screen. The following is an example, showing how to search by first and last name:

1. Go to SAM.gov
2. From the Home Page or the Search Records tab, click on the search icon to bring up all records
3. Click on the Performance Information check box in the Filter panel on the left side of the screen
4. Click on Entity Information
5. Click on Individual Name
6. Click on First Name and enter the entity’s first name in the box provided
7. Click on the plus symbol and enter another first name in the box provided
8. Click on Last Name and enter the entity’s last name in the box provided
9. Click on the plus symbol and enter another last name in the box provided
10. Click on Apply Filters

Based on these filters, SAM will search performance information records for match on any combination of the search terms you entered; so, if you entered the first names Donna and Leroy and the last names Smith and Johnson, you may get listings for “Donna Smith”, “Donna N Smith”, “Donna Johnson”, “Leroy Johnson”, “Leroy Smith”, “Leroy R Smith”, etc.

6 How can I search by Social Security Number (SSN) or Tax Identification Number (TIN)?

Remember, just like the old EPLS system, there are some searches that require additional information and exact matches to prevent phishing for information. For example, if you want to search by an SSN or TIN, you are also required to provide the first and last name of the entity as well. Both sets of information must match the record exactly in order for a result to be displayed.



The following is an example, showing how to search by SSN:

1. Go to SAM.gov
2. Click on Search Records
3. Click on the search icon to bring up all records
4. Click on the Performance Information check box in the Filter panel on the left side of the screen
5. Click on Entity Information
6. Click on Individual Name
7. Click on First Name and enter the entity's first name in the box provided
8. Click on Last Name and enter the entity's last name in the box provided
9. Click on SSN and enter the entity's social security number in the box provided
10. Click on Apply Filters

7 In EPLS I used to be able to get a listing of the Active exclusion actions by using the “Browse All” feature and then exporting the results. Does SAM have this functionality, and if so, where can I find it?

SAM does have this functionality available via an extract, updated every business day, which can be found in the Data Access tab in the list of Public Extracts.

8 I used to query EPLS through the search web service at <http://www.epls.gov/epls/services/EPLSSearchWebService>. Where do I get information about that web service now?

The EPLS Search web service is now available on SAM.gov. It is in the same format as it was in EPLS. The following is access and description information:

URL: <https://gw.sam.gov/epls/services/EPLSSearchWebService>

WSDL Location: <https://gw.sam.gov/EPLS/EPLSSearchWebService.wsdl>