

# List of Excluded Individuals and Entities Data Source

## Do Not Pay Portal Quick Reference Card

### Frequently Asked Questions

#### What is LEIE?

List of Excluded Individuals and Entities (LEIE) provides information to the health care industry, patients, and the public regarding individuals and entities currently excluded from participation in Medicare, Medicaid, and all other federal health care programs. LEIE is owned and administered by the Department of Health and Human Services (HHS) Office of the Inspector General (OIG).

#### What is the difference between LEIE and the General Services Administration (GSA) System for Award Management (SAM)?

LEIE contains **only** the exclusion actions taken by the HHS OIG. SAM is administered by GSA and contains debarment actions taken by various federal agencies, including exclusion actions taken by the HHS OIG.

#### What is the difference between LEIE Public and Restricted?

The Do Not Pay (DNP) Portal offers LEIE as two separate data sources—Public and Restricted. The primary difference is that the Restricted version matches against Taxpayer Identification Number (TIN), whereas the Public does not. Using TINs can provide greater matching accuracy which aids in identifying and detecting improper payments.

#### Who could be included within an LEIE exclusion?

LEIE includes exclusions for individuals and entities including providers, the health care industry, medical students, as well as the public that have been convicted of a health care related offense.

#### How do I gain access to LEIE?

Federal agencies that are interested in viewing the LEIE data within the DNP Portal or using Office of Payment Integrity (OPI) Analytics must contact their OPI Agency Lead or Agency Specialist to request access.

#### What kind of information does a match in the DNP Portal return?

See page 2 for available data elements returned in the DNP Portal during a search. Both versions of the data source appear in the following DNP modules:

Online Search

- Batch Matching
- Continuous Monitoring
- Application Programming Interface (API)

#### How frequently is LEIE updated within the DNP Portal?

Updates in DNP occur monthly.

#### What authority does HHS OIG have to exclude individuals or entities? Are there different types of exclusions?

OIG imposes exclusions under the authority of sections 1128 and 1156 of the Social Security Act (Act). A list of all OIG exclusions and their statutory authorities can be found on the [Exclusion Authorities page](#)

#### Does LEIE include exclusions from other agencies?

No, LEIE includes only exclusion actions taken by the HHS OIG.

#### What are the types of exclusions and what causes them to be applied to individuals and entities?

**Mandatory Exclusions** are applied to individuals and entities convicted of the following:

- Medicare or Medicaid fraud
- Patient abuse or neglect
- Felony convictions for other health care related offenses, including unlawful manufacture, distribution or prescription of controlled substances

**Permissive Exclusions** may be applied at the discretion of HHS OIG on a number of grounds, including misdemeanor convictions of the Mandatory Exclusion offenses, loss of professional licensing, poor professional performance, and the lack of financial integrity.

#### What are available exceptions to the exclusions?

HHS OIG has the authority to waive an individual or entity's exclusion from participation in Federal health care programs. More information on waivers and a list of waivers currently in effect is available on the [website](#). The provider must be the sole community physician or sole source of essential specialized services.

#### What should I do if I receive a positive match when searching LEIE?

Check the [Updated Special Advisory Bulletin on the Effect of Exclusion from Participation in Federal Health Care Programs](#) for guidance. If you have already employed the individual, check the [Self-Disclosure Protocol](#).

#### How do I investigate an excluded match?

Contact the original source agency that excluded the entity for further details surrounding the exclusion. Compare it to your business requirements to determine eligibility. The original source agency that excluded the entity can be found when viewing the match in the DNP Portal.

#### Does an exclusion affect a person's right to receive a federal health care benefit?

An exclusion does not affect the ability to receive a federal health care benefit but does affect their ability to claim a payment from a federal health care program for items or services rendered.

#### Can excluded individuals or entities be removed from the LEIE data source?

Yes, reinstatement of excluded entities and individuals is not automatic once the specified period of exclusion ends. Those wishing to again participate in any federal health care program must apply for reinstatement and receive authorized notice from HHS OIG that their reinstatement has been granted. To apply for reinstatement, an excluded individual or entity must send a written request which contains the individual's or entity's full name (if excluded under a different name, please also include that name), date of birth for an individual, telephone number, email address and mailing address.

**The request can be faxed or emailed to the OIG.** The fax number and email address are:

Fax: 202- 691-2298—Email: [exclusions@oig.hhs.gov](mailto:exclusions@oig.hhs.gov)

#### How can I report fraud or abuse related to the Medicare and Medicaid programs?

You may use the contact information found on the following link: [OIG Hotline page](#).

## Important Links

### Agency Exclusion Contacts

<http://oig.hhs.gov/contact-us/>

### LEIE FAQs

<http://oig.hhs.gov/faqs/exclusions-faq.asp>

### FAQS

<https://fiscal.treasury.gov/dnp/faqs.html>

### Data Correction Contacts

<https://fiscal.treasury.gov/dnp/privacy-program.html#data-correction-process>

## How To Fix Incorrect Data

OPI does not own the content within LEIE and is unable to update its content. Contact HHS for further inquiries or data disputes.

HHS, OIG, OI

Attn: Exclusions Branch

P.O. Box 23871

Washington, DC 20026

Phone: 202-691-2311 Fax:

202-691-2298

Email: [exclusions@oig.hhs.gov](mailto:exclusions@oig.hhs.gov)



## Search Tips

- ◆ LEIE includes only the name known to the HHS OIG at the time the individual was excluded, thus any former names used by the individual should be searched in addition to the current name.
- ◆ Individuals with a hyphenated name should be checked under each of the last names as well as the hyphenated name. (e.g. Jane Smith-Jones, Jane Smith, and Jane Jones should be checked)
- ◆ If a search result does not contain a DOB, UPIN, NPI, EIN, or SSN, it is not available from the HHS OIG. Contact the Exclusions Staff Contacts to determine if there is any other information available. See Important Links section.

## Data Elements Returned in the DNP Portal

When a match occurs, the search criteria along with the corresponding LEIE data elements will be returned through the search method utilized within the DNP Portal. The DNP Portal displays all of the listed data elements, per version of LEIE, for each functionality offered.

Data Element	Description	LEIE Public	LEIE Restricted
SSN/EIN/TIN	Social Security Number / Employer Identification Number / Taxpayer Identification Number of individual or entity being excluded.	✗	✓
Name	Full name of individual or entity being excluded.	✓	✓
General	Basic type of medical practice or position of the individual or entity being excluded.	✓	✓
Specialty	Medical specialization of the individual or entity being excluded.	✓	✓
Exclusion Program* Batch Matching or Continuous Monitoring download Data Field = Matched List Status Code	An alpha-numeric reference to specific amendments of Sections 1128 and 1156 of the Social Security Act; provides a reason for the exclusion.	✓	✓
Exclusion Description Batch Matching or Continuous Monitoring download Data Field = Matched List Status Code Description	Short description of the exclusion program reason code listed above.	✓	✓
Exclusion Date Batch Matching or Continuous Monitoring download Data Field = Matched List Status Effective Date	Date of the individual's or entity's exclusion.	✓	✓
Birth Date	Date of birth (DOB) of the individual being excluded.	✓	✓
National Provider Identifier (NPI)	The NPI replaced the Unique Physician Identification Number (UPIN) as the unique number used to identify health care providers other than by SSNs. The Centers for Medicaid & Medicare Services first began assigning NPIs in 2006, and providers were required to use NPIs as of mid-2008. Not all NPIs are available in the LEIE data source.	✓	✓
Waiver Date	Date the individual's or entity's exclusion status was waived.	✓	✓
Waiver State	State in which the individual's or entity's exclusion was waived.	✓	✓
Address, City, State, Zip**, Country	Street address , City, State, Zip, & Country of the individual or entity being excluded.	✓	✓

\* LEIE Public displays one Exclusion Program for an excluded individual or entity while LEIE Restricted can display multiple exclusions, when applicable.

\*\* LEIE Public displays a 5-digit zip code whereas LEIE Restricted can display a 9-digit zip code.



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