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**State of Louisiana**  
Division of Administration  
**Office of Statewide Reporting and Accounting Policy**

March 9, 2015

**OSRAP MEMORANDUM 15-18**

TO: Fiscal Officers  
All ISIS and Non-ISIS Agencies

FROM: John McLean, CPA  
Interim Director

SUBJECT: Review Exclusion List Using SAM (System For Award Management)

Non-federal entities, including state agencies, are prohibited from making federally funded payments under covered transactions to parties that are suspended or debarred by the federal government. "Covered transactions" include those procurement contracts for goods and services awarded under a nonprocurement transaction (e.g., grant or cooperative agreement) that are expected to equal or exceed \$25,000 or meet certain other criteria as specified in 2 CFR section 180.220. All nonprocurement transactions entered into by a recipient (i.e., subawards to subrecipients), irrespective of award amount, are considered covered transactions, unless they are exempt as provided in 2 CFR section 180.215.

When a non-federal entity enters into a covered transaction with an entity at a lower tier, the non-federal entity must verify that the entity, as defined in 2 CFR section 180.995 and agency adopting regulations, is not suspended or debarred or otherwise excluded from participating in the transaction. OSRAP is requiring all state agencies to develop in-house policies and procedures to provide reasonable assurance that payments under covered transactions are not made to federally suspended and debarred vendors. At a minimum, these required procedures must include the following:

- Verify prior to contracting with or requisitioning goods or services from an entity that will be paid with federal funds that the entity is not suspended, debarred or otherwise excluded from participating in the transaction.
- Periodically, but no less than once each fiscal year, confirm that no entities have become suspended or debarred since the last verification check.

These verifications must be performed by checking the *Excluded Parties List System (EPLS)* maintained by the General Services Administration (GSA) and available at <https://www.sam.gov/portal/SAM/>. Searches must be performed using Name or DUNS number, preferably the DUNS number when available.

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Written documentation such as signed certification statements or computer screen shots must be maintained as evidence that these checks were performed prior to the issuance of any payments. Please refer to the attached pages for instructions on how to search the EPLS using Name or DUNS number.

If you should have any questions concerning this memo, please call the OSRAP Help Desk at (225) 342-1097 and ask for Jennifer.

JBM:jw

1. Navigate to the System of Award Management page at <https://www.sam.gov/portal/SAM/>. Click "Search Records."

The screenshot shows the SAM System for Award Management homepage. At the top left is the SAM logo with the text 'SYSTEM FOR AWARD MANAGEMENT'. To the right is a login section with 'USER NAME' and 'PASSWORD' fields, a 'LOG IN' button, and links for 'Forgot Username?' and 'Forgot Password?'. Below the login section is a 'Create an Account' link. A dark blue navigation bar contains the following menu items: HOME, SEARCH RECORDS, DATA ACCESS, GENERAL INFO, and HELP. Below the navigation bar are three main content panels. The first panel, 'CREATE USER ACCOUNT', explains that CCR usernames do not work in SAM and provides instructions for creating a new account. The second panel, 'REGISTER/UPDATE ENTITY', explains how to register or update an entity and includes a 'Register/Update Entity' button. The third panel, 'SEARCH RECORDS', explains that all entity records from CCR/FedReg and ORCA were moved to SAM and provides instructions for searching. It includes a 'Search Records' button. At the bottom of the panels, there are additional buttons: 'Create User Account', 'New! Use the SAM Status Tracker to: Check Status', and 'Search Records'.

2. Key in Name under "Quick search". If you have DUNS number, enter DUNS number only. Click Search Bottom. If no DUNS, type name.

The screenshot shows the SAM Search Records page. At the top is a dark blue navigation bar with the following menu items: HOME, SEARCH RECORDS, DATA ACCESS, GENERAL INFO, and HELP. Below the navigation bar is the 'Search Records' section. It starts with the heading 'Search Records' and a sub-heading 'Looking for entity registration records or entity exclusion records in SAM?'. Below this are three bullet points: '\* 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.', and '\* 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.' Below these are two more sections: 'Are you a Federal government employee?' and 'Conducting small business-focused market research?'. The 'Are you a Federal government employee?' section includes a bullet point: '\* 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.' The 'Conducting small business-focused market research?' section includes a bullet point: '\* In addition to what is contained in SAM, small businesses may supplement information about themselves in the SBA's Dynamic Small Business Search.' Below these sections are two main search areas. The 'QUICK SEARCH:' area has a text input field with the placeholder 'Enter your specific search term' and a note '(Example or search term includes the entity's name, etc.)'. Below this are two more input fields: 'DUNS Number Search: Enter DUNS number ONLY' and 'CAGE Code Search: Enter CAGE code ONLY'. The 'ADVANCED SEARCH:' area has the text 'Use specific criteria in multiple categories to structure your search.' and two buttons: 'ADVANCED SEARCH - ENTITY' and 'ADVANCED SEARCH - EXCLUSION'. At the bottom of the search area are two buttons: 'SEARCH' and 'Need Help?'.