Exclusions Extract User Guide – v1.0

October 2012

What Is the SAM Exclusions Extract?

The SAM Exclusions Extract contains a list of all currently open exclusions in SAM. This identifies entities that are in some way restricted from doing business with the US Federal Government. These include exclusions for Firms, Individuals, Special Entity Designations and Vessels:

- Individual – A person. Individuals do not have a D&B Data Universal Numbering System (DUNS) number.

- Firm – A company (including Sole Proprietors) with a valid D&B Data Universal Numbering System (DUNS) number.

- Special Entity Designation – Any entity that is not a vessel, individual or firm.

- Vessel – A mode of transportation capable of transport by water.

The Exclusion extract is run daily Tuesday through Saturday which accounts for the data as it existed on Monday through Friday. So for example, Tuesday's file accounts for all active exclusions as of 11:59 on Monday. Each file is a complete "dump" of data, so can be seen as a refresh file. Thus, users should typically want the latest posted file to ensure receipt of the most up to date data.
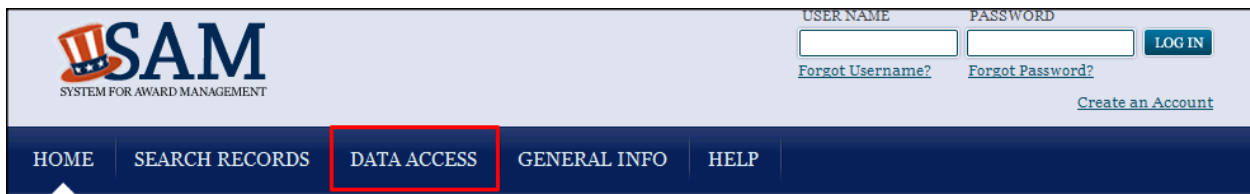
The file is typically about 100K rows. Please note that older versions of Microsoft Excel cannot load more than 65,536 rows from a CSV file. If you have Microsoft Excel version 2007 or higher, you should be able to load the complete file. If you encounter this limitation, and do not need the complete file, you can use SAM's Search functionality to filter to a smaller subset of data and export the results.

Who Can Download the SAM Exclusions Extract?

The SAM Exclusions Extract can be downloaded by any user regardless of whether they have an account in SAM. The extract is public and does not contain any Sensitive Personal Information.

How Do I Download the SAM Exclusions Extract?

To download the extract, click the "Data Access" link from the menu bar on SAM:

This will take you to a page similar to the screenshot below. The Exclusions Extract is at the bottom of the screen:

Exclusions Extracts for the past 7 days are retained and available for download on the site.

What Data Is in the Exclusions Extract?

The following is a list of the columns that are contained in the extract as well as a description of the data:

Column #	Column Header	Description of Data (for more information, reference the SAM users guide)
1	Classification	Identifies the Exclusion as being for a Firm, Individual, Special Entity Designation or Vessel
2	Name	The name of the entity being excluded.
3	Prefix	The prefix for the actual name of a person being excluded (generally only applicable for Individual and Special Entity Designation Exclusions, but can be used in other exclusions.
4	First	The first name for the actual name of a person being excluded (generally only applicable for Individual and Special Entity Designation Exclusions,

Column #	Column Header	Description of Data (for more information, reference the SAM users guide)
		but can be used in other exclusions.
5	Middle	The middle name for the actual name of a person being excluded (generally only applicable for Individual and Special Entity Designation Exclusions, but can be used in other exclusions.
6	Last	The last name for the actual name of a person being excluded (generally only applicable for Individual and Special Entity Designation Exclusions, but can be used in other exclusions.
7	Suffix	The suffix for the actual name of a person being excluded (generally only applicable for Individual and Special Entity Designation Exclusions, but can be used in other exclusions.
8	Address 1	Address line 1 for the entity being excluded.
9	Address 2	Address line 2 for the entity being excluded.
10	Address 3	Address line 3 for the entity being excluded.
11	Address 4	Address line 4 for the entity being excluded.
12	City	Address City for the entity being excluded.
13	State / Province	Address State or Province for the entity being excluded.
14	Country	Address Country for the entity being excluded.
15	Zip Code	Address Zip Code for the entity being excluded.
16	DUNS	The DUNS number associated with the exclusion. Generally used on Firms, but can be used in other exclusions if the individual/special entity designation/vessel has a DUNS number.
17	Exclusion Program	Identifies if the exclusion is reciprocal, nonreciprocal or procurement.
18	Excluding Agency	Identifies the Agency that is performing the exclusion.
19	CT Code	Identifies the legacy EPLS CT code associated with the exclusion. New exclusions created since SAM went live will not have CT code information; they will only have Exclusion Type information.
20	Exclusion Type	Identifies the exclusion type that the exclusion falls under. Exclusion type is the successor to the CT code identifying the exclusion reason. Exclusion Type is a simplified, easier to understand way of identifying exclusion reasons.
21	Additional Comments	This field provides the Agency performing the exclusion space to enter additional information as necessary.
22	Active Date	Identifies the date that the exclusion went active.
23	Termination Date	Identifies the date that the exclusion is/was to be terminated. If "indefinite" is in this field, there is no set date that the exclusion will terminate.
24	Record Status	Identifies the record as being Active/inactive/deleted.
25	Cross-Reference	Identifies other names/aliases that the exclusion in question has been identified with.
26	SAM Number	A unique identifier assigned to the exclusion by SAM.

How Is the Exclusions Extract Formatted?

The SAM Exclusions Extract is formatted as shown below:

Classifica	Name	Prefix	First	Middle	Last	Suffix	Address 1	Address 2	Address 3	Address 4	City	State / Pr	Country	Zip Code	DUNS	Exclusion	Excluding	CT Code	Exclusion	Additiona	Active Da	Termination I	Record St	Cross-Reference
Individual			Yekaterina		Tserlyuk						Staten Is	NY	USA	10305		Reciproc	HHS	Z1	Prohibiti	Excluded	######	Indefinite		
																Reciproc	OPM	R	Ineligible (Procee	######	Indefinite		
Individual			Yelena		Lyubeznaya						Buffalo C	IL	USA	60089		Reciproc	OPM	Z2	Prohibition/Restri	######	Indefinite		
																Reciproc	HHS	Z1	Prohibition/Restri	######	Indefinite		
Individual			Yelena		Raykhman						Brooklyn	NY	USA	10312		Reciproc	EDUC	R	Ineligible (Procee	######	6/26/2015		
Individual			Yelena		Stolyar						Golden	CO	USA	80401		Reciproc	OPM	R	Ineligible (Procee	######	Indefinite		
Individual			Yelena		Tkachenko						North Wo	NY	USA	11581		Reciproc	OPM	R	Ineligible (Procee	######	Indefinite		
																Reciproc	HHS	Z1	Prohibition/Restri	######	Indefinite		
Individual			Yemane		GEBRE AB								XUN			Reciproc	TREAS-OF	03-SDN-0	Prohibiti	PII data has been	Indefinite		(also Yemane GHEBREA
Individual			Yemane		GEBREAB								XUN			Reciproc	TREAS-OF	03-SDN-0	Prohibiti	PII data has been	Indefinite		(also Yemane GHEBREA
Individual			Yemane		GHEBREAB						Asmara		ERI			Reciproc	TREAS-OF	03-SDN-0	Prohibiti	PII data has been	Indefinite		(also Yemane GEBREAB,
Individual			Yemane Ghebreat		YOHANNES								XUN			Reciproc	TREAS-OF	03-SDN-0	Prohibiti	PII data has been	Indefinite		(also Yemane GHEBREA
Individual			Yemi		Adefehinti						Morgant	WV	USA	26507		Reciproc	HUD	R	Ineligible (Procee	######	3/29/2013		(also Sunny Adefehinti,
Individual			Yen	Wan	Cheng						Columbia	MD	USA	21044		Reciproc	DHS-ICE		Ineligible (Procee	######	9/13/2015		
Individual			Yen		Men						Kent	WA	USA	98031		Reciproc	OPM	R	Ineligible (Procee	######	Indefinite		
																Reciproc	HHS	Z1	Prohibition/Restri	######	Indefinite		
Individual			Yen	Ngoc	Tran						Chicago	IL	USA	60640		Reciproc	OPM	R	Ineligible (Procee	6/2/2001	Indefinite		
																Reciproc	HHS	Z1	Prohibition/Restri	######	Indefinite		

If there is a break between records, as shown between the first and second rows of the above screenshot, this means that the exclusion has more than one CT Code/Exclusion Agency/Exclusion type or other action. In this example, the record takes two rows to fully identify the exclusion. There is no limit to how many exclusion actions can be performed on a single entity, and this is reflected in the extracts. Some records may take many rows to fully define the exclusion.