

Exclusions in the System for Award Management (SAM)

Note: SAM replaced the Excluded Parties List System (EPLS) in June 2012

Performance Information - Exclusions

The Exclusions area within the Performance Information functional area of SAM, formerly the Excluded Parties List System (EPLS), identifies those parties excluded from receiving federal contracts, certain subcontracts, and certain types of federal financial and non-financial assistance and benefits. As Exclusion Records are publicly available, SAM keeps the user community aware of administrative and statutory exclusions across the entire government and individuals barred from entering the United States. The more commonly used terms of 'suspensions' and 'debarments' reflect exclusions.

Exclusions Terminology

In SAM, certain key terms have been changed to reflect the action taken on exclusions. The Table below highlights those changes.

Legacy EPLS Terms	SAM Current Terms
Cause	Nature (Cause)
Treatment	Effect
CT Action	[Discontinue]
Action Date	Active date
Archived	Inactive
Agency Contact	Agency POC
Permanent	[Discontinue]
CT Code	Exclusion Type
Classification Type: Entity	Classification Type: Special Entity Designation
Address	Primary Address
Additional Address	Alternate Address
Agency	Excluding Agency
Description	Additional Comments

EPLS Terms vs. SAM Current Terms

Exclusions Types

In EPLS, the legacy system in which exclusion records were maintained, each record was identified with a Cause and Treatment Code (CT Code). CT Codes were identified by letters or letters and numbers (for example, A, H1, JJJ) and included descriptions of the cause of the exclusion and the treatment accorded to the excluded party.

In SAM, CT Codes have been replaced with the following four Exclusion Types:

- Preliminarily Ineligible (Proceedings Pending)
- Ineligible (Proceedings Completed)
- Prohibition/Restriction
- Voluntary Exclusion

Each Exclusion Type has a standard language that automatically appears in the record in SAM. Records created in SAM are no longer identified with CT Codes. Instead, they are associated with one of the four Exclusion Types. Refer to [Table 1](#) for a description of each type.

NOTE: In EPLS, the term “exclusion type” was associated with the type of Program for the exclusion, such as Reciprocal, rather than the CT Codes. For records that were entered into EPLS prior to the implementation of SAM, their CT Codes have been carried over and will display on each record.

Records created in EPLS have both a CT Code and an Exclusion Type listed. Therefore, when viewing an exclusion record that was originally created in EPLS with a CT code, you can select the CT Code displayed on the page to view the legacy CT Codes and their associated description. Each CT Code is linked to one Exclusion Type.

Refer to [Table 2](#) to understand how the CT Codes used in EPLS correlate to the four different Exclusion Types in SAM. You may also access this information in SAM Help.

Agency Exclusion Points of Contact (POCs)

The Agency Exclusion POC page provides an alphabetical listing of federal agency points of contact and their associated contact information, which is publicly available. Any question about an exclusion that has been created by someone at the Agency should be directed to this individual. You may access the Agency Exclusion POC list in “SAM Help.”

Table 1: Exclusion Types

Exclusion Type	Nature (Cause) & Effect
<p>Preliminarily Ineligible (Proceedings Pending)</p>	<p>Nature (Cause): Preliminarily ineligible based upon adequate evidence of conduct indicating a lack of business honesty or integrity, or a lack of business integrity, or regulation, statute, executive order or other legal authority, pending completion of an investigation and/or legal proceedings; or based upon initiation of proceedings to determine final ineligibility based upon regulation, statute, executive order or other legal authority or a lack of business integrity or a preponderance of the evidence of any other cause of a serious and compelling nature that it affects present responsibility.</p> <p>Effect [on Procurement]: Agencies shall not solicit offers from, award contracts to renew, place new orders with, or otherwise extend the duration of current contracts, or consent to subcontracts in excess of \$30,000 (other than commercially available off-the-shelf items (COTS)), with these contractors unless the agency head (or designee) determines in writing there is a compelling reason to do so.</p>
<p>Ineligible (Proceedings Completed)</p>	<p>Nature (Cause): Determined ineligible upon completion of administrative proceedings establishing by preponderance of the evidence of a cause of a serious and compelling nature that it affects present responsibility; or determined ineligible based on other regulation, statute, executive order or other legal authority.</p> <p>Effect [on Procurement]: Agencies shall not solicit offers from, award contracts to renew, place new orders with, or otherwise extend the duration of current contracts, or consent to subcontracts in excess of \$30,000 (other than commercially available off-the-shelf items (COTS)), with these contractors unless the agency head (or designee) determines in writing there is a compelling reason to do so.</p>
<p>Prohibition/Restriction</p>	<p>Nature (Cause): May be subject to sanctions pursuant to the conditions imposed by the U.S. Department of the Treasury (Treasury) Office of Foreign Assets Control (OFAC), or subject to a sanction, restriction or partial denial pursuant to the conditions imposed by the U.S. Department of State (STATE) or Federal agency of the U.S. Government.</p> <p>Effect: If you think you have a potential match with an OFAC listing, please visit the following section of OFAC's website for guidance: http://www.treasury.gov/resourcecenter/faqs/Sanctions/Pages/directions.aspx.</p> <p>For all other prohibitions and restrictions, see the agency note in the <i>Additional Comments</i> field to ascertain the extent or limit on the sanction, restriction or partial denial. If there is no note, contact the agency taking the action for this information.</p>

Voluntary Exclusion	<p>Nature (Cause): Accepted an agreement to be excluded under the terms of a settlement between the person and one or more agencies.</p> <p>Effect: These persons are excluded in accordance with the terms of their voluntary exclusion agreement. See the agency note in the <i>Additional Comments</i> field to ascertain the extent of the exclusion or the limit on the person's participation, in covered transactions. If there is no note, contact the agency taking the action for this information.</p>
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Table 2: CT Codes to Exclusion Type Mapping

CT Codes	Description	Exclusion Types
A1; B; J1; K; N1; O; Q; S; S1; W; Z3	<ol style="list-style-type: none"> 1. Suspension 2. Blocked Pending Investigation 3. Proposed Debarment 	Preliminarily Ineligible (Proceedings Pending)
08-INA-01; 08-INA-02; 10-VA-01; 10-VA-02; A; AA; C; C1; CC; D; DD; E; EE; F; FF; G; GG; I; I1; J; L; N; P; R; R1; RR; RRR; SS; U; V; Z; Z1; Z2	<ol style="list-style-type: none"> 1. Debarment 2. Denial 3. Disqualified 4. Termination from Eligibility 5. Ineligible 6. Conviction 7. Excluded 	Ineligible (Proceedings Completed)
03-BSE-01; 03-DP-01; 03-ENT-01; 03-FTO-01; 03-SDGT-01; 03-SDN-01; 03-SDNT-01; 03-SDNTK-01; 03-SDT-01; 03-TLGE-01; 10-CIS-01; 10-ISA-01; 11-USDA-01; BB; BPI-SDGT; BPI-SDNT; BPI-SDNTK; H; H1; H2; JJ; JJJ; M; QQ; VV; VVV; X; XXX; YYY; ZZZ	<ol style="list-style-type: none"> 1. License or Approval Revoked 2. Sanctioned 3. Partial Denial 	Prohibition/Restriction
T	<ol style="list-style-type: none"> 1. Voluntarily Excluded 	Voluntary Exclusion