TRAINING GUIDE

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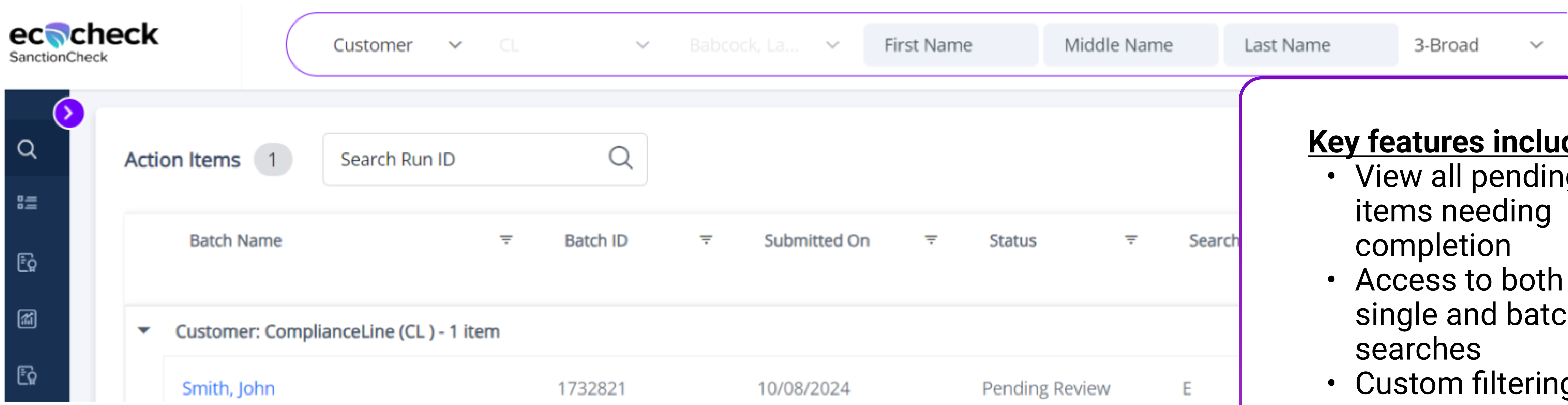
Action Items

After logging in to the platform, you will be presented with your Action Items page. To view your SanctionCheck Lists, click on the SanctionCheck List menu option on the left. Action Items show all incomplete tasks needing your attention. You can filter these items using various attributes to find specific open items.



Key features include:

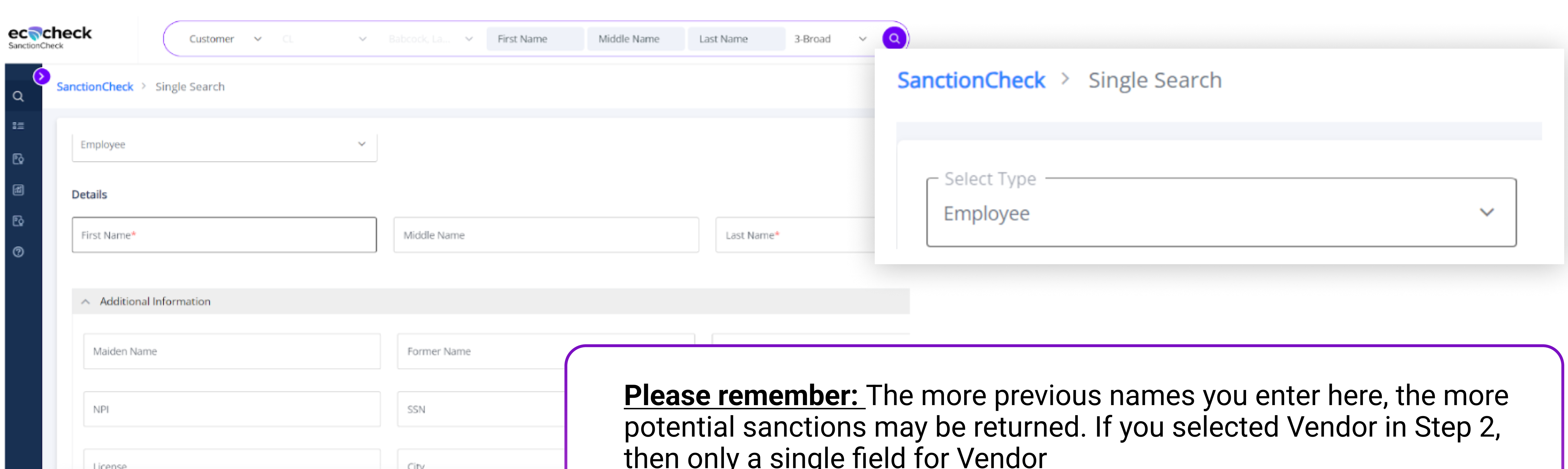
- View all pending items needing completion
- Access to both single and batch searches
- Custom filtering options
- Quick access to most-used functions

Single Search

Single individual or entity query. Click on “Single Search” icon located on the left side of your navigation view. Select the Type of search entity to be entered from the drop-down menu at the top left. There are two main Types:

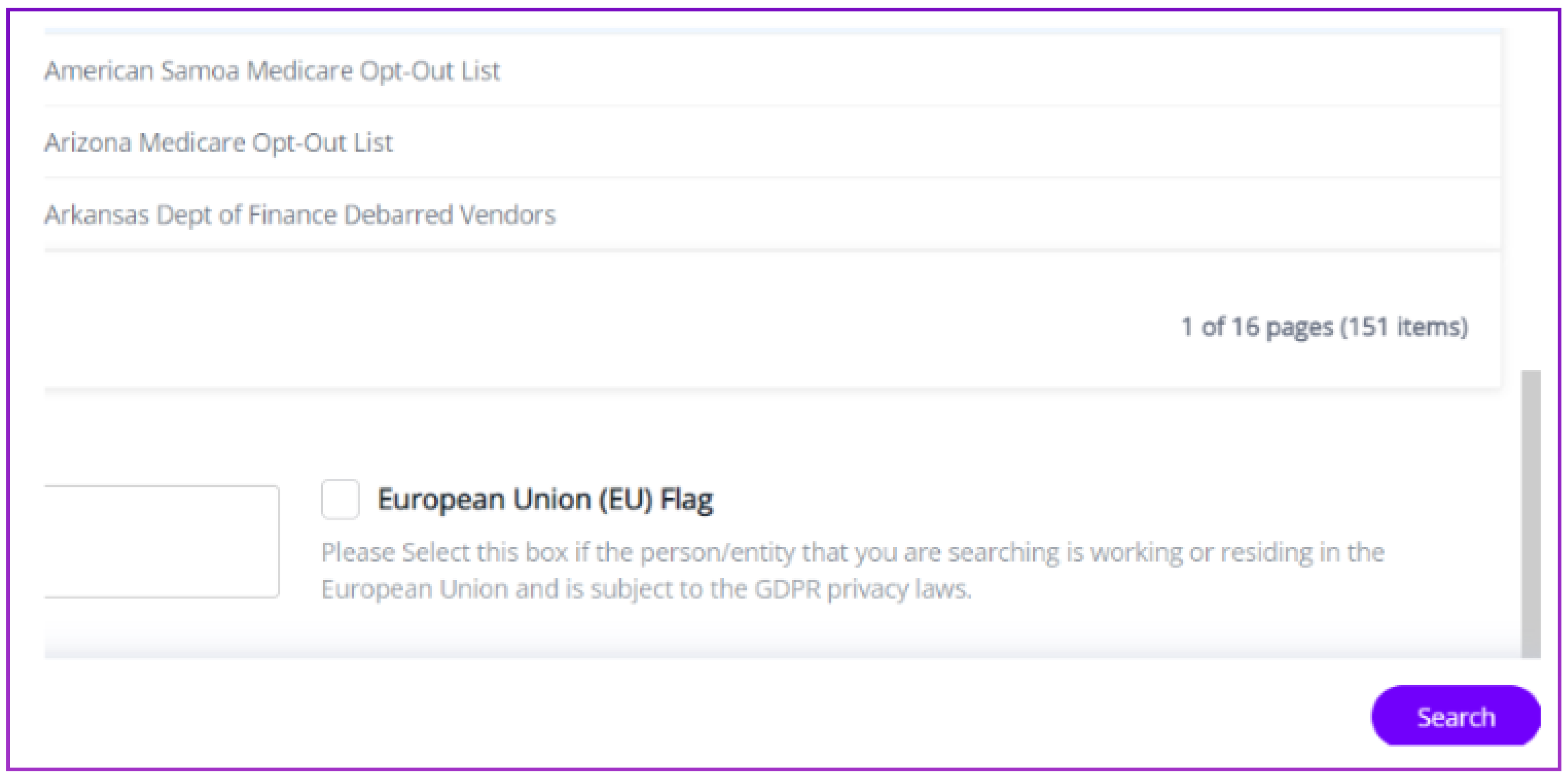
- Employee if you are searching for a Person (including Employee,Physician, or any other Persons)
- Vendor if you are searching for a business

If you selected Employee in Step 2, then several name fields are displayed. You must always enter a **First Name** and a **Last Name.** The other name fields are optional. Middle names can be very helpful in the rule-out process. Former and Maiden names can be used to avoid missing someone who has been sanctioned under a previous name.



Please remember: The more previous names you enter here, the more potential sanctions may be returned. If you selected Vendor in Step 2, then only a single field for Vendor

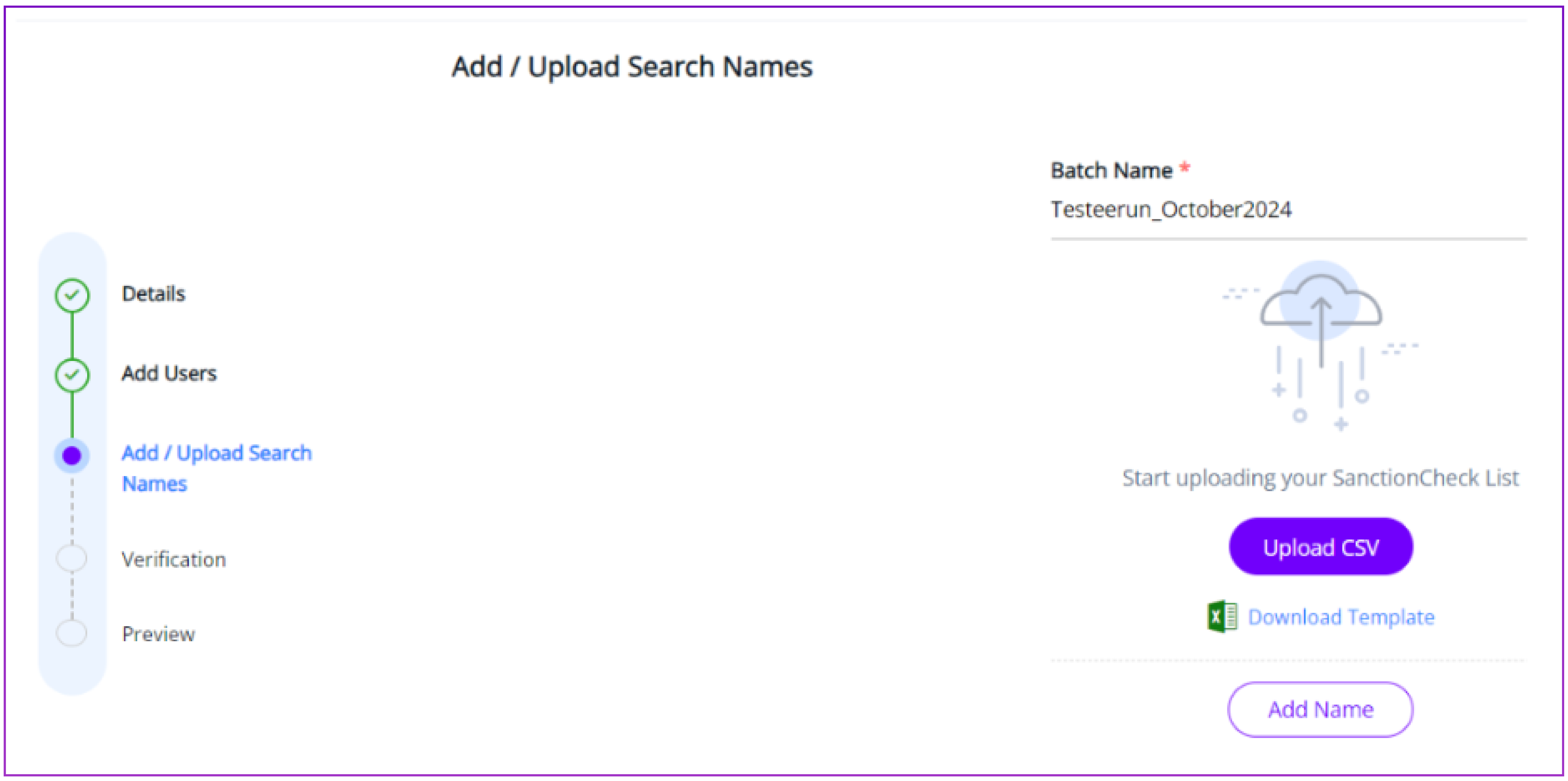
Submit the Search:



Batch Search

Many individuals and/or entities can be searched at once:

- Assign users to a search list OR multiple search lists
- Govern who has access and who does not
- File upload
- Master Batch will retain previously made decisions about a searched individual from searched databases (Example - OIG). Re-rule is not necessary. Search information may not be altered in order for the master batch to retain. Excluded names may or may not be the same person.



Batch Search

The following guidance will describe a **"SanctionCheck List,"** and explain the steps required to upload a file with a list of names and additional information to a **SanctionCheck List.**

A **SanctionCheck List** in ecoCheck refers to a list of individuals or vendors (**Entities**) you want to update and check for **Sanctions** on a regular basis. This could include a list of employees, vendors, volunteers, etc. that work for, or with your organization. Client will need a SanctionCheck List set up for each distinct list of names to be searched.

Please note: You will receive an email once ecoCheck is done searching yourSanctionCheck List for Sanctions that may match the Names you search. The email will have a link that will take you to the **Batch Review Page** to begin your review and will also summarize the results of the search. Please see our Batch Review Tutorial (video or PDF) for instructions on reviewing the results of the Batch you have just created

Create a SanctionCheck List

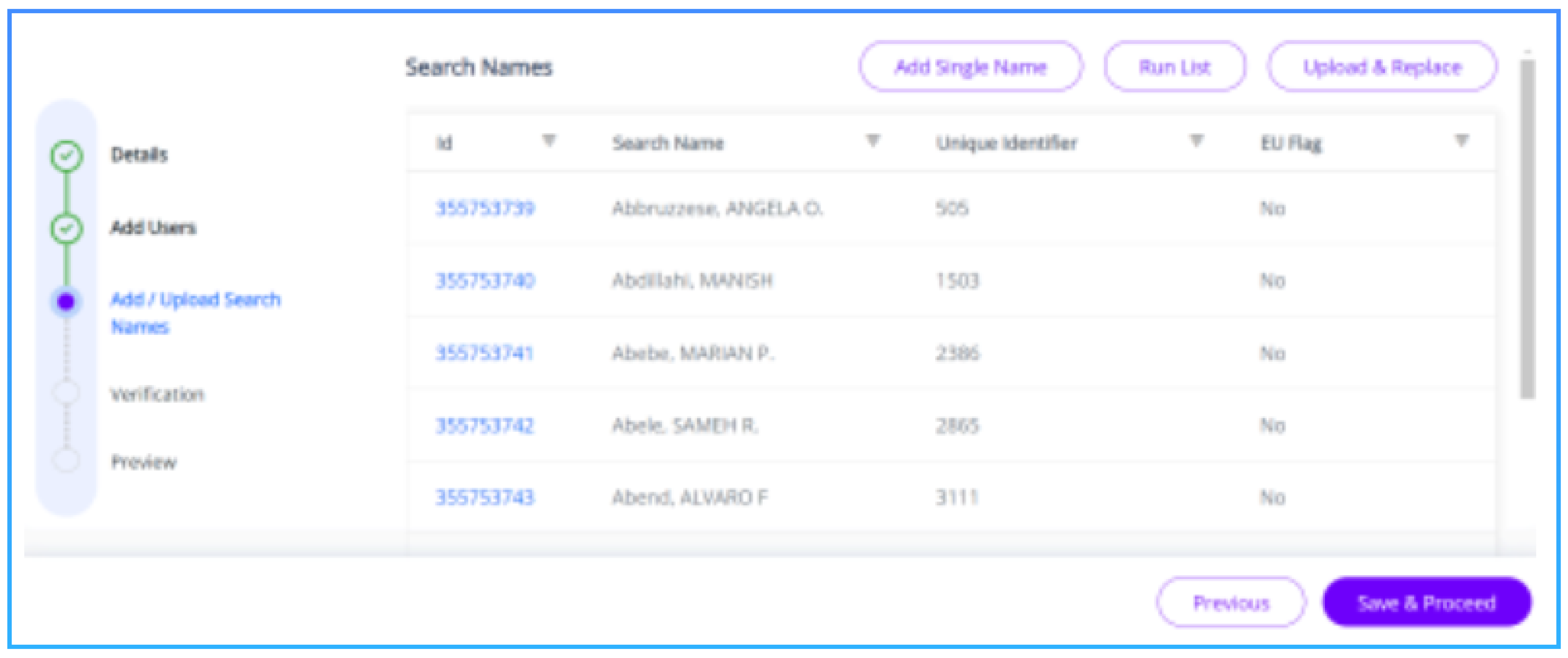
Your SanctionCheck Lists may have already been set up as part of the SanctionCheck onboarding process. Please log on to ecoCheck and click on the SanctionCheck List menu tab to see which, if any, SanctionCheck Lists are available to you.

If you do not see any SanctionCheck Lists, or you do not have a SanctionCheck List set up for each of the lists you upload during a reporting cycle, please contact your designated Verification Specialist or Support at Support@ethico.com.

Edit SanctionCheck List Page

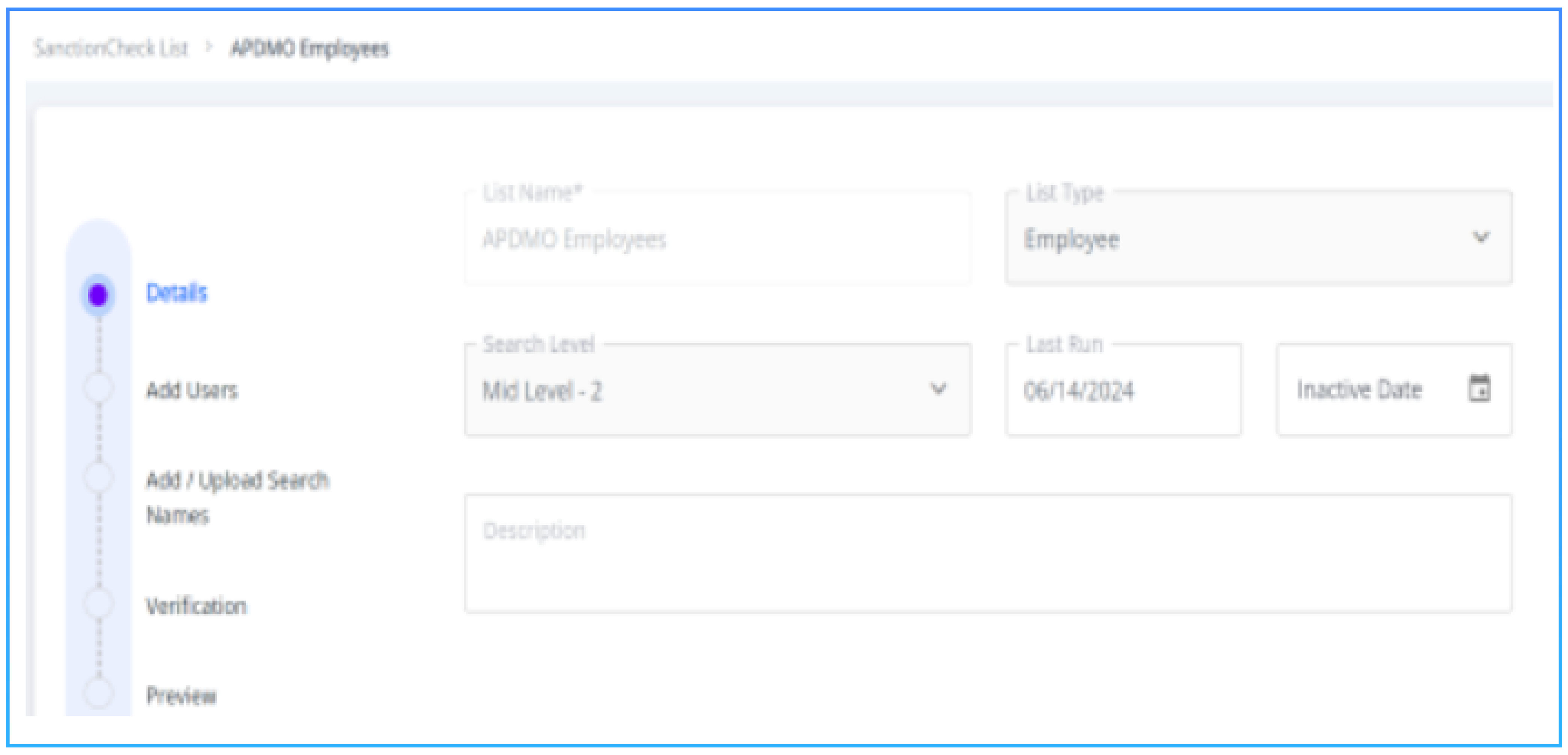
All SanctionCheck Lists available to you are displayed on this page. Select the one you wish to use to display its **SanctionCheck List page**.

The **SanctionCheck List Page** has two tabs. By default, the **Add / Upload Search Names** tab is opened, showing the most recently uploaded data. If the List has not yet been used, there will be no names displayed.



It is on this tab that you update the search entity information prior to running a Batch.

But let's first take a quick look at the **Details Tab.** It shows the information we've entered for you when initially setting up the SanctionCheck List.



Many of the fields cannot be modified. If you need to have something changed, contact Support and include the List ID and the specifics of what you need to be updated.

The most important fields on this tab are:

1. List Name: This will be the default Batch Name when you run the list
2. List Type: This is either Employee or Vendor.
3. Description: You can use this field if the List Name is not clear enough.
4. Active Date: This is only needed if auto-run configuration is in use
5. Databases: If Client does not want all databases they are subscribed to assigned to their Prime list, then please provide a specific list of applicable databases to be assigned
6. Users: Consists of which user accounts should be assigned to the Prime List

Uploading a File

Since most lists are large and have significant changes over each reporting period, we will demonstrate the **File Upload** process which is run every reporting cycle to replace the contents of the **SanctionCheck List** search list.

When a file is uploaded to a **SanctionCheck List,** the previous data (i.e., list of names subsequently searched) in the SanctionCheck List is cleared. But the review work done on those names is preserved, so that names that persist across periods and list updates will retain prior Sanction decisions (e.g., Rule Outs) – saving you time and work!

1 Click on the SanctionCheck List button.

2 Select the **Upload and Replace Button** which will trigger the **Upload Wizard** to begin.

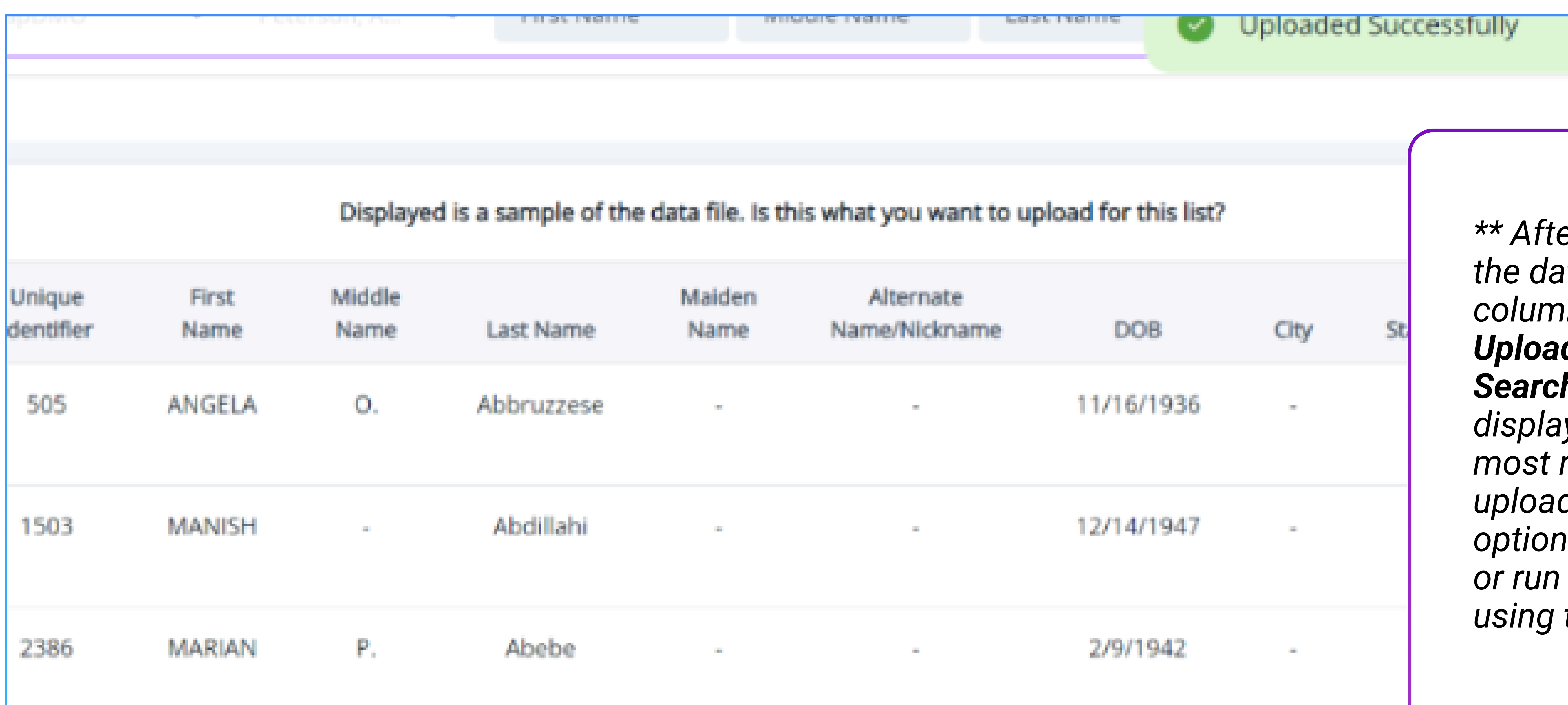
The Upload Wizard provides access to the SanctionCheck List employee and vendor templates. The "**Add Name"** button lets you add names to the SanctionCheck List.

3 Type your batch name. It is best practice to name the Batch Run with a date stamp (e.g., Year-Month) as shown. This will allow for better organization and future reference of your Batch Runs.

4 Click on the **Upload CSV** button to navigate to, select and Open your file.

5 ecoCheck will initiate a validation check. Then, you can click **"Next".**

6 Displayed is a preview of how the uploaded file will be imported into a **Batch**. Please ensure the data below the headers is consistent with the headers. In particular, verify that the <u>Unique Identifier, First Name</u> and <u>Last Name</u> fields are all populated and look correct, and that the DOB column only contains valid dates.



Unique Identifier	First Name	Middle Name	Last Name	Maiden Name	Alternate Name/Nickname	DOB	City	St
505	ANGELA	O.	Abbruzzese	-	-	11/16/1936	-	
1503	MANISH	-	Abdillahi	-	-	12/14/1947	-	
2386	MARIAN	P.	Abebe	-	-	2/9/1942	-	

*** After confirming that all the data is in the correct columns, click **Start Upload.** The **Add / Upload Search Names** tab displays data from the most recent file you have uploaded. You have the option to modify the data, or run the data as a batch using the **Run List** button.*

7 Select **Done** once the green **Upload Successful** message briefly appears in the top right corner of the screen to indicate the upload is complete. You will be returned to the **SanctionCheck List page.**

*** There are two methods for modifying the Search Entity list linked to a SanctionCheck List. If you have a relatively small list with information that slightly changes each reporting cycle, you have the option of adding new records to your existing list by clicking the **Add Single Name** button.*

Next, you will have the opportunity to modify and delete existing records by opening them and making your changes on the **Update Single Search Name** to the List page.

Social Security Death Master File (SSDMF)

If subscribed to Social Security Death Master File (SSDMF) capabilities, The client will click on the SSDMF tab. Click Upload File and upload the formatted file.

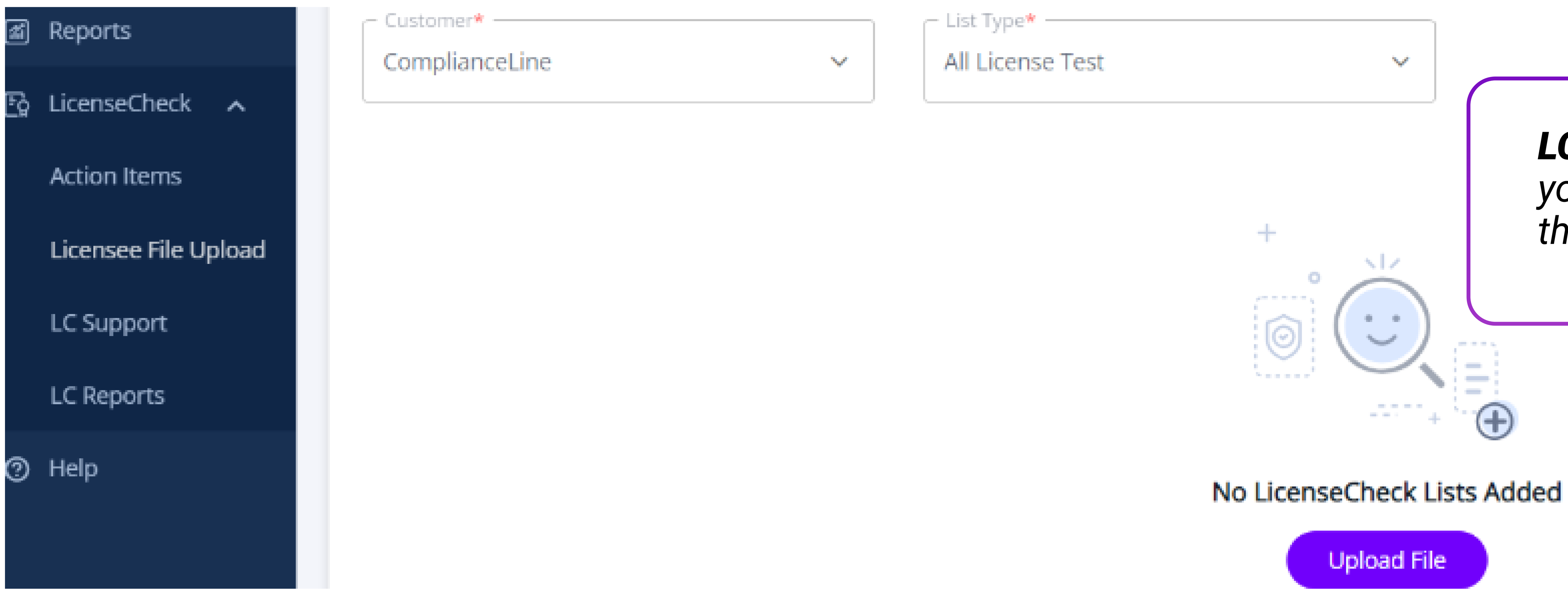
Once the file is processed, the status will be updated to reflect “Complete”, at which point the client is able to print their report by clicking on “Export”, and selecting the appropriate file format (excel/PDF).

Instructions *Remove rows 1 & 2 before uploading, the header row should be the first row*: Make sure that the SSN is formatted as xxx-xx-xxxx and that DOB is MM-DD-YYYY. These formats must be followed exactly and replacing the hypens with / or removing special characters will result in an upload failure. Columns

SSN	First Name	Middle Name	Last Name	Date Of Birth	No. of Matches Foun	Match First Name	Match Middle Name	Match Last Name	Match SSN	Match DOB	Match DOD	Names Match	Match ID	Match Record Statu:

LicenseCheck (LC)

For our clients subscribed to our LC service, you have the ability to upload your files as well as download your reports. The customer and list type will need to be created by our Support team. Once created, client can upload **here:**



***LC Support tab** is where you’ll be able to download the batch template.*

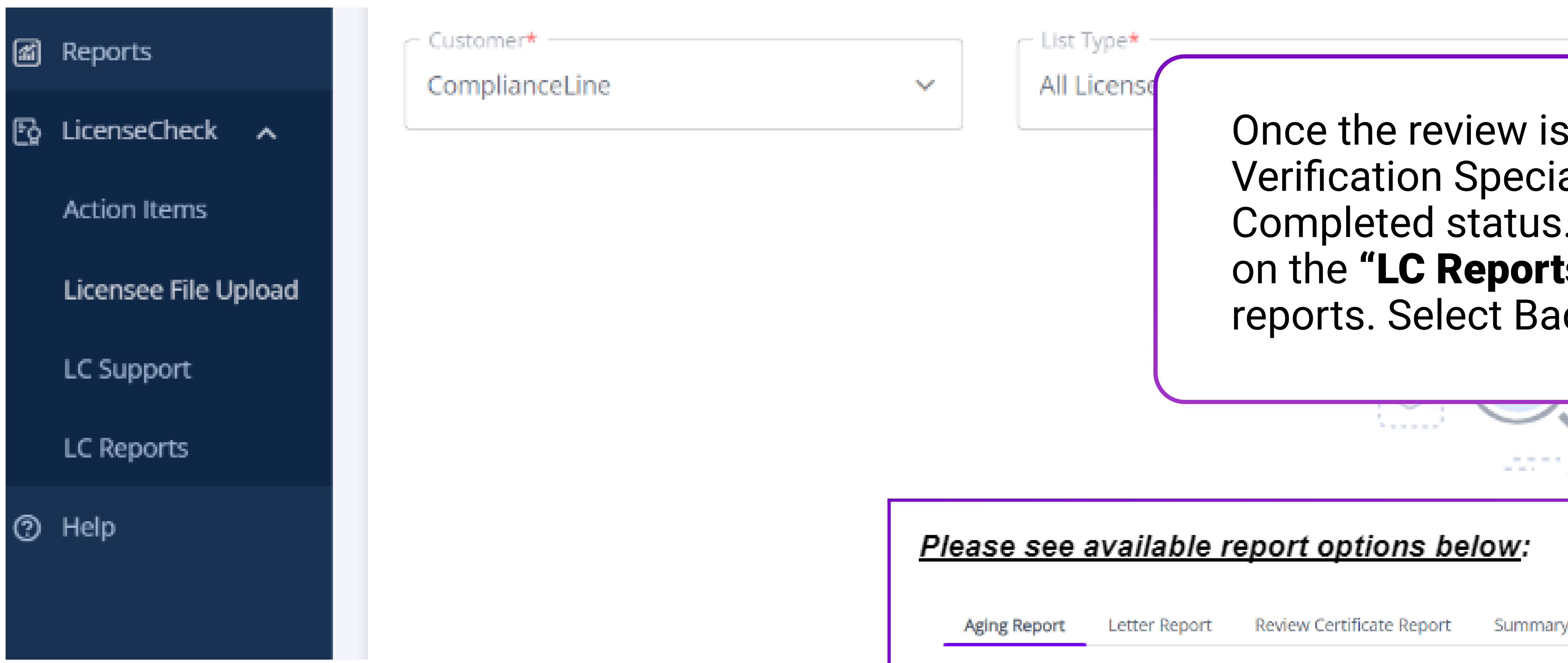
Download Batch Template

Required - 'YES' indicates that all rows must contain data in this column otherwise your file will not be processed. This requirement will be validated.
Unique - 'YES' indicates that data in this field must be unique for each location. Used for fields such as [name id] or identification numbers that cannot be shared by more than one location. This requirement will be validated.
Length - The maximum number of characters that the database will allow for the column. Note that your system may be configured for more restrictive lengths. This is for information only and will not be validated - be sure to review your configuration.

Column	Data	Required	Unique	Type	Length
Column A	Employee_ID	YES	YES	text	50
Column B	First_Name	YES	-	text	50
Column C	Middle_Name	-	-	text	50
Column D	Last_Name	YES	-	text	50

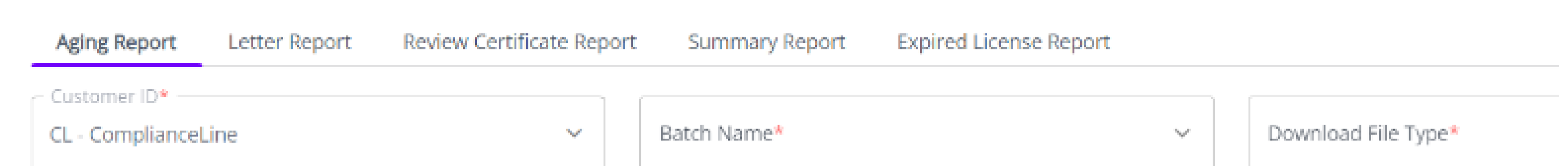
Reporting

After your file has been successfully saved in the correct CSV format, you will want to upload your report by clicking on the **"Licensee File Upload**" tab and selecting the appropriate list type. Once the file has been uploaded and processed, the EcoCheck team will be responsible for review and verification of all licenses uploaded.



Once the review is finalized, your dedicated Verification Specialist will notify you of the Completed status. Client then has the ability to click on the **"LC Reports"** tab, and download the desired reports. Select Bach Name and Download File Type.

Please see available report options below:

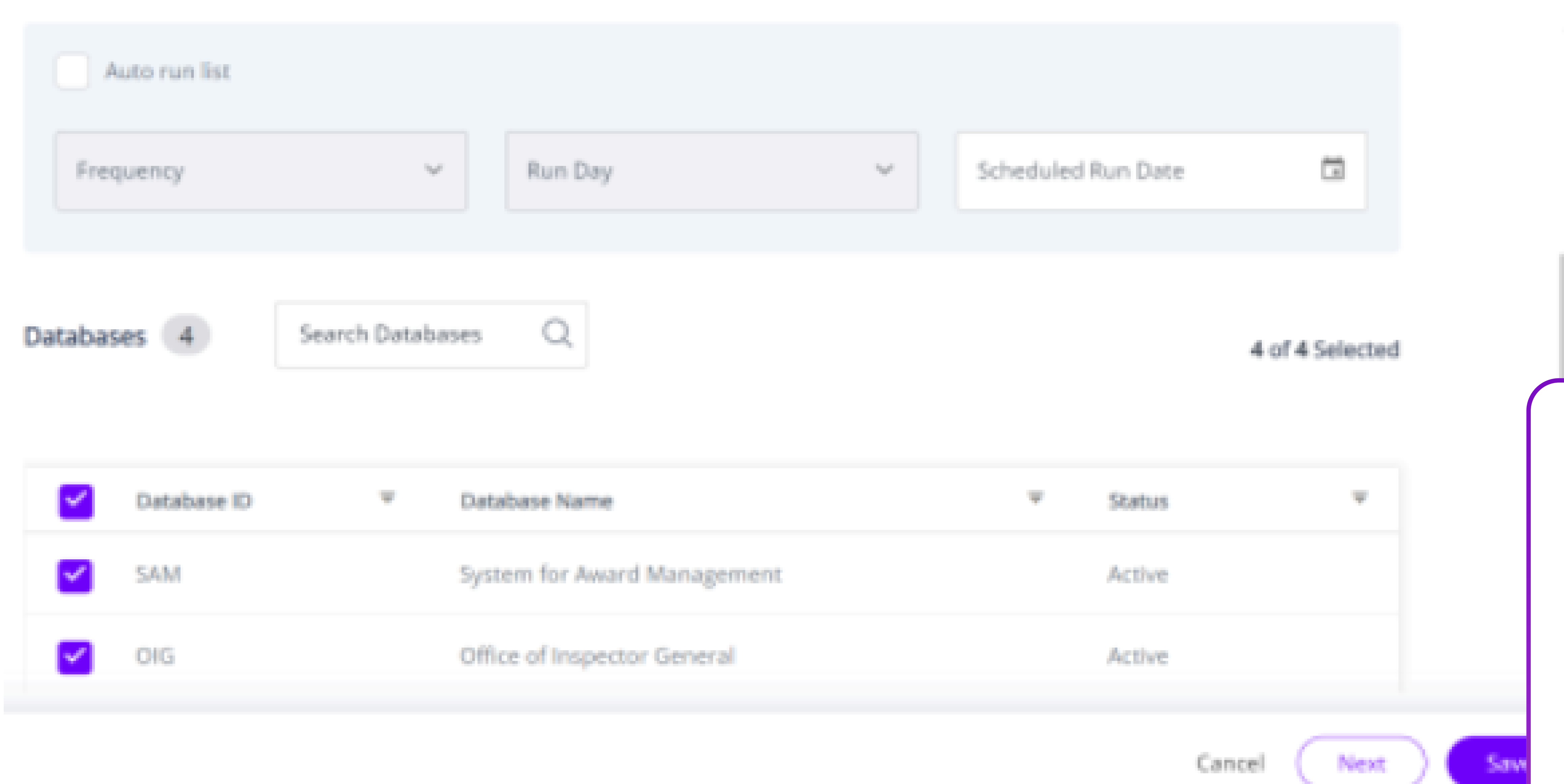


Auto Scheduling

This feature provides the option to set a SanctionCheck list on an auto run cycle. Remember to update your SanctionCheck List prior to the auto run date, if applicable.

Databases

This determines which sanction lists will be searched.



Thank you for using ecoCheck!

Please reach out to your dedicated Verification Specialist or support@ethico.com for any technical requests.