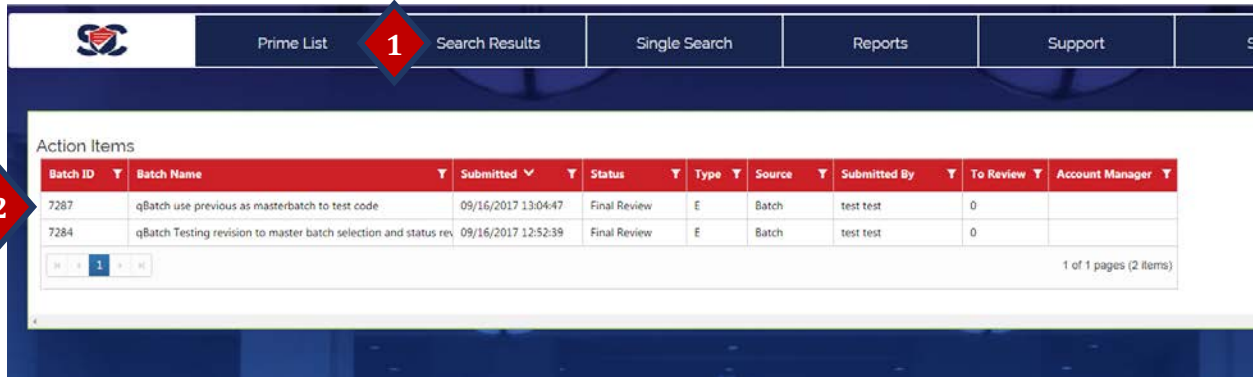# SanctionCheck 5 Batch Review Tutorial

SanctionCheck's Batch Search allows users to search a list of people or businesses against several sanction lists (**Databases**) and to review and report the results.

There are three steps in the Batch Search process. The first two steps, Updating a Prime List and Running a Prime List, are explained in our **Prime List Upload and Run Tutorial** (video or PDF).

When SanctionCheck completes processing a **Batch** it sends out an email with a link to the **Batch**'s Review Page for quick access. You may also access this **Batch** by opening the Action Items Page on the SanctionCheck website to select the **Batch** from your list of active searches.

Action Items Page

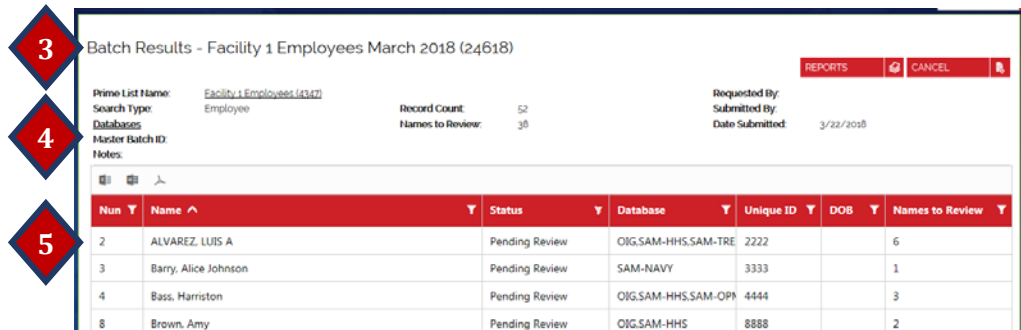You may log onto SanctionCheck to display your Action Items:

1. You may return at any time to the Action Items page by hovering over SEARCH RESULTS and selecting Action Items from the drop down menu.

    This lists shows all batches that are in Pending Review state, as well as batches that are Queued or Running on the SanctionCheck Batch Processor (these are not ready for review).

    Each row shows a **Batch**'s unique BatchID, the Batch Name created by the User when the file was uploaded to a **Prime List**, the Submitted Date showing when it was run, Status, Type (**E** for Employee, Physician or Other Persons; **V** for Vendor), the Submitter's User Name, and the number of Potential Matches in the batch.

2. Select the row of the **Batch** you wish to review to open the Batch Results Page.

Batch Results Page

3. The <u>Name</u> of the **Batch** is shown at the top of the Batch Results Page. In parentheses at the end is the BatchID which uniquely identifies it.

4. Displayed below the Name is important information about the **Batch**. The <u>Prime List Name</u> and <u>Prime ID</u>, <u>Date</u> <u>Submitted</u>, the BatchID for the <u>Master Batch</u> selected by the system, and <u>Search</u> <u>Type</u> (Employee or Vendor).

   Also shown is the <u>Record Count</u>, which is the number of total records in the batch, and the number of <u>Names to Review</u>.

5. On the lower section of the Batch Results Page is shown a list of Batch Search **Entities**. Each row provides the **Entity** <u>Name</u>, <u>Status,</u> Sanction Lists Codes (<u>Database</u>) in which potential matches were found, your <u>Unique Identifier</u> (UID) for the **Entity**, and the number of **Potential Matches** to be reviewed.

6. By default only **Entities** that have potential matches and are **Pending Review** are shown. You may reset the filter by clicking on the filter symbol next to **Status** and using the pop-up menu to clear or change the filter. *We recommend leaving the default filter set to show Pending Review only during the review process.*

7. Click on the first row in the Batch Results Page to begin the review.

Batch Search Review Page

1. The Batch Name is shown at the top of the page. Below it are all information submitted in the batch for the Search Entity.

Batch Review - Facility 1 Employees March 2018 (24618)

Search Data

Name:	Bass, Harriston	City, State:		Search Status:	Pending Review
Unique Identifier:	4444	UPIN:		Rule Out Reason:	Client Rule Out
Date of Birth:		NPI:		Rule Out Notes:	
SSN / TIN:		License:			
Notes:					

COMPLETE   **SAVE PROGRESS**

Rank	#	Sanction Name			⚠	❌	DOB	NPI	Agency	City	Sta	Exclusi	Actions
0	0	◢ Office of Inspector General	○	○	○	○							👁 R
100	1	BASS, HARRISTON L JR	●	○	○	○	7/28/1954			CARSON CITY	NV	3/	👁 R
0	0	◢ System for Award Management	○	○	○	○							👁 R
100	1	BASS, HARRISTON L JR	●	○	○	○			HHS	CARSON CITY	NV	3/20/2011	👁 R
100	2	BASS, HARRISTON L JR	●	○	○	○			OPM	CARSON CITY	NV	4/30/2011	👁 R

1. The information you submitted in your file upload for the selected Search Entity is shown at the top of the Single Search Review Page.

2. The bottom half of the page lists the Sanctions returned that are Potential Matches, grouped by the Sanction Databases where they were found. The Sanctioned Name is shown on the left, with additional information about the Sanction displayed to the right of the Status options.

3. The Status of each Sanction is shown to the right of the Sanction Names. The four large colored icons are the four Status options you may select for each potential status.

Pending Review	...	All potential sanctions are returned with a **Pending Review Status** when you open the **Single Search Review** page. Update the **Status** to **Flagged Match** for a sanction you are
Flagged Match	⚠	unable to rule out (but unable to confirm) during your review. You may later return to the potential **Sanction** match and change the status to either **Ruled Out** or **Confirmed Match**.
Ruled Out	✅	A **Sanction** (potential match) may be ruled out to indicate the **Searched Entity** is not the same as the **Sanction Entity**. Sometimes you may set the status of a Sanction that is a true **Match** as ruled-out (so you don't see it again; see Notes on **Waiver** and **White List**).

*You do not need to manually change every sanction's status! Once you've marked all relevant **Sanctions** as **Flagged Match** or **Confirmed Match**, click on the Complete (* **COMPLETE** ✓ *) Button to automatically change the **Status** of all **Pending Review Sanctions** to **Ruled Out**.*

Click the Save Progress Button (**SAVE PROGRESS** *) to save, leave the review page, and return later.*

Confirmed Match	❌	A **Confirmed Match** is a **Sanction** deemed by you or your company to identified with the individual or vendor you have searched. You should follow up on all confirmed matches according to your company's policies and procedures.

3

Use the radio buttons below the icons to change the **Status** of a **Sanction**. Only one **Status** may be selected for a **Sanction** at a time. At the start of the review all returned **Sanctions** are set to Pending Review (▭). The review is complete (and the search removed from the **Action Items Page**) when all **Sanctions** associated with each **Searched Name** have been changed from **Pending Review** (either manually or by clicking the Complete Button).

You do not need to change the status of sanctions you would like to rule out. SanctionCheck will automatically change all Pending Review sanctions to Ruled Out when you click on the **Complete** *button.*

There are two smaller icons to the right of each row. These are *optional* tools to help you track actions, communicate with your team, and leave an audit trail.

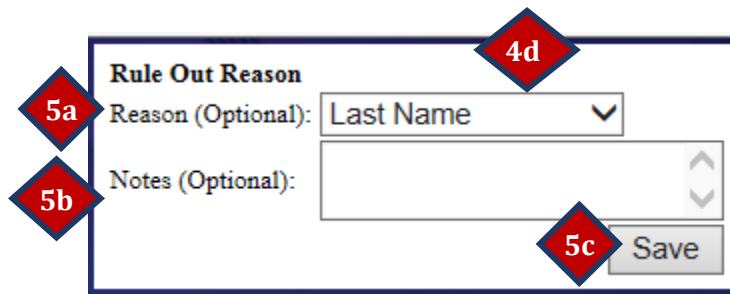|		
View Details	👁	**Optional**: Sanctioning agencies may provide information on a **Sanction** in addition to that displayed on the main Review page (Name, DOB, NPI, Agency, City or State). Click this icon to display all detail for the **Sanction**, or to expand information that does not fit/display on the Review page table.
Reason	Ⓡ	**Optional**: Click this icon to display the Reason Page to assign a **Reason** to the **Status** you select for the **Sanction** (as it relates to the searched **Name**); you may also enter **Notes**.

4. **View Details** (Optional). If you wish to see all details for a listed **Sanction** click on the View Details icon (👁) to display the window below.

a. The top of the Details window shows the information you entered at the start of the search.

b. The central window displays all information provided by the sanctioning **Agency** for the **Sanction** you just selected. All agencies provide the sanctioned **Entity**'s name, but other information provided varies widely. If you find information on this page you do not understand we suggest you go to that **Agency**'s website (see 7d below) to see if it provides help, or contact the **Agency** directly.

c. The Details Page allows you to change the **Status** of the **Sanction** (vs. returning to the Sanction Review Page). By default it shows you the status selected on the Review page. You may select a different Status using the drop-down menu. To make this change permanent you must click on the [SAVE] button; you will then be returned to the Review Page.

d. The bottom of the window provides two links. The first links to the website hosted by the sanctioning agency, from whence we download sanction data. Some agencies provide search tools and you may be able to find additional information to help in the rule out process.
The second link will open up the NPI (National Provider Identification number) website hosted by Centers for Medicare & Medicaid Services. If you have provided an NPI number in the search criteria you may click on the link to open the NPI web page associated with that number.

e. Press the SAVE button to return to the previous page.

5. **Reason Code and Notes** (Optional). If you wish to enter information about a sanction click on the Reason icon (🄡) at the end of the **Sanction**'s row. This will display the below pop-up window.


a. The Reason code can be selected using the drop-down arrow to categorize why a **Sanction** was given a **Status** of **Ruled Out**.

b. The free-form Notes field may contain anything you wish to describe or have record of regarding the **Sanction** and your **Status** decision.

c. Click on the **Save** button to record your work and return to the previous Review Page.

6. **Sanction Entity Status (optional).**

> *NOTE: This applies to the searched **Name** (e.g., your **Employee** or **Vendor**) and all potential match **Sanctions** available at the time you select a **Status** for that **Name**. Note that steps **9**-**12** above deal with **Sanctions** returned as potential matches for a searched **Name**, while this **Status** is at the more comprehensive **Name** level. You may choose to apply a reason and notes at the **Sanction** level (more accurate, more detailed, more work) and/or the **Name** level (more comprehensive).*

There may be times when you are unable to rule-out a potential match **Sanction** but your company has determined it can continue its relationship with the searched **Entity**. You may rule out the **Search Entity** so that it (and the associated sanctions returned *at the time of* your **Status** determination) does not return in future batches and at the same time add a note to the Search Entity to indicate that the rule-out was *with qualification*.

In these special cases you may use the Status drop-down box in the top section of the Review Page to select the action you wish to take. **Waiver Form** indicates that the searched entity or its representative has signed a waiver form stating that it is not the same as the **Sanctioned Entity** in question. **Whitelist** indicates that the search entity is indeed a match for the **Sanction Entity**, but the company has deemed the **Sanction** not severe enough to end the relationship with the **Search Entity**. **Other** may be used for any other action. **Client Rule Out** is the same as setting all sanctions to Ruled Out.
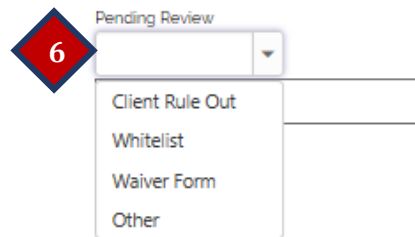
Remember to mark the **Status** of the **Sanctions** associated with a **Search Entity** as **Ruled Out** when using this **Status** field (at the **Searched Entity/ Name** level) if you do not want the **Sanctioned Entity** to be returned during the next reporting cycle.

*Do change the **Status** of every **Sanction** which you cannot rule out to either **Flagged Match** (unconfirmed match) or **Confirmed Match**.*

*Do select the appropriate **Status** of the **Entity (Name)** when ruling out (**if** the searched individual has signed an approved **Waiver** form or been **White-listed** by your company.*

If you wish to close the Review page without automatically changing all Pending Review sanctions to Ruled Out then click on the **Close** button:

Remember: You do **not** need to change the **Status** of every other (non-questioned) **Sanction** from **Pending Review** to **Ruled Out**; the system will automatically set all **Sanctions** with **Pending Review Status** to **Ruled Out** when you click on the **Complete** button on the main Review page:

7. This will return you to the Batch Results Page. If you chose COMPLETE then the **Search Entity** you just reviewed will no longer appear. You are ready to review the next **Search Entity**.

Thank you for using SanctionCheck 5.0!