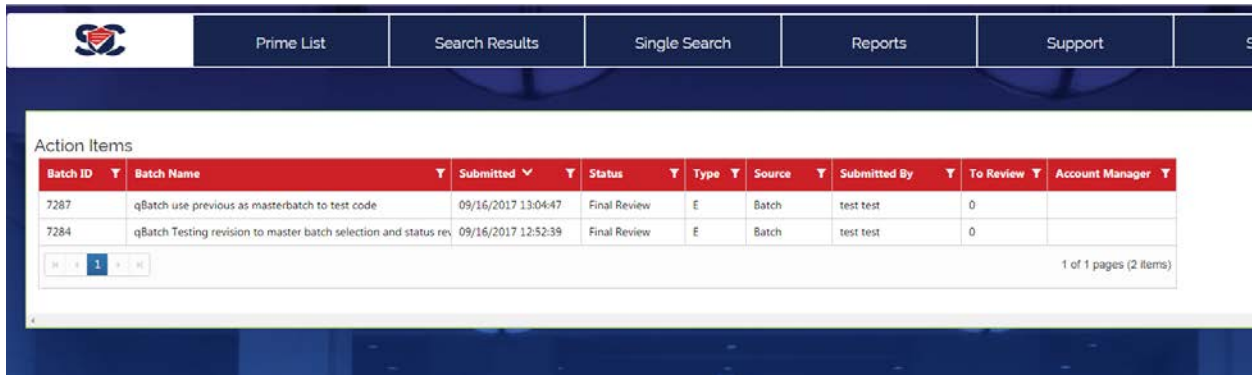


SanctionCheck 5 Single Search Tutorial

The SanctionCheck Single Search tool allows Users to search for and review occurrences of the name of a person (“Employee”) or business (“Vendor”) in multiple sanction Databases at one time.

Once you log onto SanctionCheck 5 you will see your Action Items listed on the main page and a navigation bar at the top of the screen.

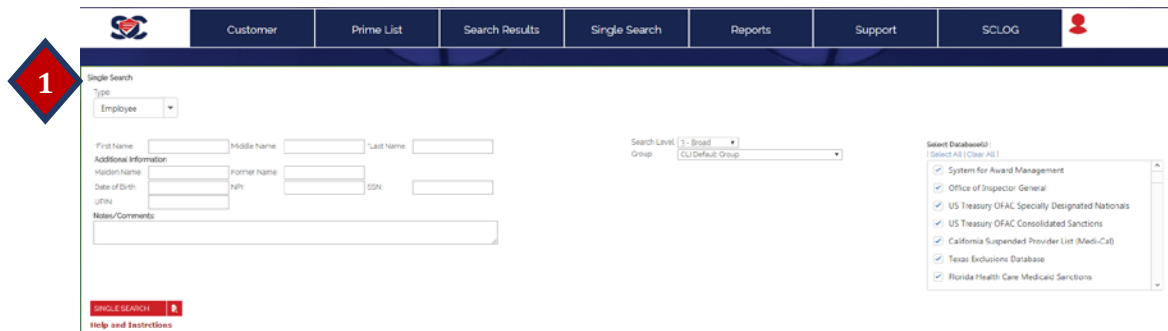


Batch ID	Batch Name	Submitted	Status	Type	Source	Submitted By	To Review	Account Manager
7287	qBatch use previous as masterbatch to test code	09/16/2017 13:04:47	Final Review	E	Batch	test test	0	
7284	qBatch Testing revision to master batch selection and status rev	09/16/2017 12:52:39	Final Review	E	Batch	test test	0	

1 of 1 pages (2 items)

Single Search Page

1. Click on the **Single Search** menu option at the top to open the **Single Search Page**.



Single Search

Type: Employee

First Name: _____ Middle Name: _____ Last Name: _____

Additional Information: Maiden Name: _____ Former Name: _____

Date of Birth: _____ HPI: _____ SSN: _____

UPIN: _____

Notes/Comments: _____

Search Level: [Select] Group: [(U)Default Group]

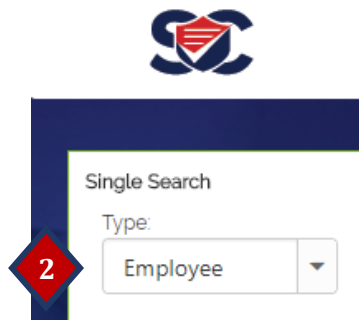
Select Database(s): [Select All (Clear All)]

- System for Award Management
- Office of Inspector General
- US Treasury OFAC Specially Designated Nationals
- US Treasury OFAC Consolidated Sanctions
- California Suspended Provider List (Medi-Cal)
- Texas Exclusions Database
- Florida Health Care Medicaid Sanctions

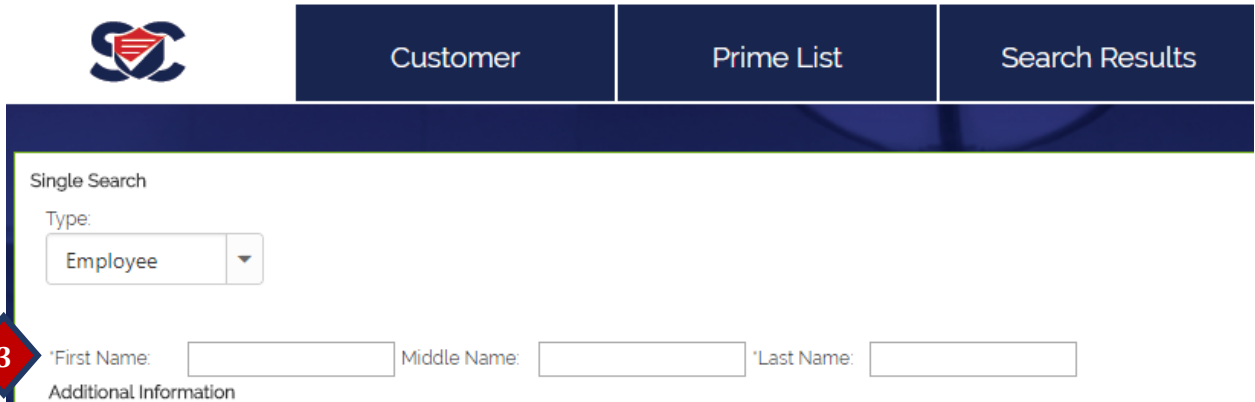
SINGLE SEARCH

[Help and Instructions](#)

2. Select the **Type** of search entity to be entered from the drop-down menu at the top left. There are two main Types: select **Employee** if you are searching for a Person (including Employee, Physician, or any other Persons) and **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. *But 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 Name** is provided.



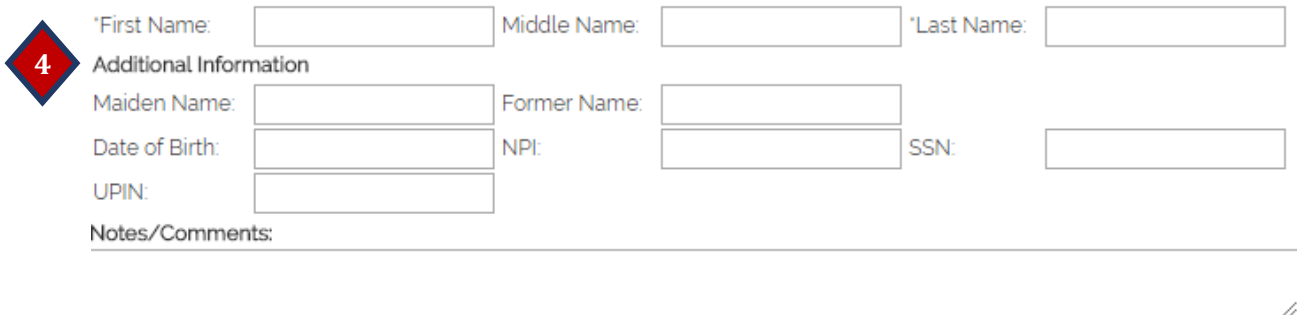
Single Search

Type:

3 *First Name: Middle Name: *Last Name:

Additional Information

- You may then enter other identifying information. If you provide **Date of Birth** or **NPI** then if a potential match also has data in these fields (and if that data is different from the information you provide) then that match will be automatically ruled out and will not return for review. *Less work for you!*



4 *First Name: Middle Name: *Last Name:

Additional Information

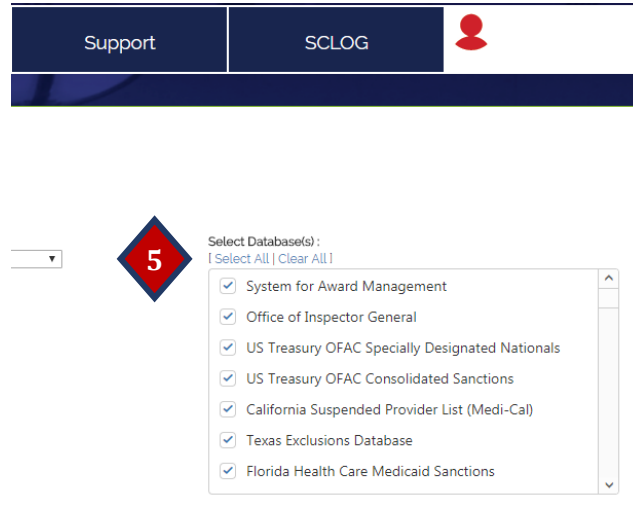
Maiden Name: Former Name:


Date of Birth: NPI: SSN:

UPIN:

Notes/Comments:

- To the right of the criteria fields is a list of all the sanction **Databases** you may search. All are selected by default but you may check and uncheck these lists to select only the ones you wish to review (the scroll bar to the right of the window will display all your lists). We recommend you leave all lists checked (or click on the **Select All** link) unless you have been directed to do otherwise.



Support SCLOG 

Select Database(s):
[Select All](#) | [Clear All](#)

- System for Award Management
- Office of Inspector General
- US Treasury OFAC Specially Designated Nationals
- US Treasury OFAC Consolidated Sanctions
- California Suspended Provider List (Medi-Cal)
- Texas Exclusions Database
- Florida Health Care Medicaid Sanctions

- You may also add additional information in the **Notes/Comments** field below the Additional Information. Anything entered here will be shown on the Review Page during your review.

Additional Information

Maiden Name: Former Name:

Date of Birth: NPI: SSN:

UPIN:

Notes/Comments:

- Submit the search by clicking on the **Single Search** button. This should bring you to the Single Search Review Page.



7 SINGLE SEARCH 

[Help and Instructions](#)

Single Search Review Page

The screenshot shows the 'Single Search Review Page' for a search on 'Boone, Howard'. Callout 1 points to the search criteria at the top. Callout 2 points to the search results table. Callout 3 points to the status icons (radio buttons) for each sanction. Callout 4 points to the 'COMPLETE' button. Callout 5 points to the 'CLOSE' button. Callout 6 points to the 'Pending Review' dropdown menu. Callout 7 points to the 'COMPLETE' and 'CLOSE' buttons in the top right corner.

1. The information you entered on the Single Search Page 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 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**. 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**).

Flagged Match



Ruled Out



*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 and the system will automatically change the Status of all Pending Review Sanctions to Ruled Out. Click the Close Button (**CLOSE** ✕) to save, leave the review page, and return later.*

Confirmed Match



A **Confirmed Match** is a **Sanction** deemed by you or your company to refer to the individual or vendor you have searched.

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, where you can assign a **Reason** to the **Status** you select for the **Sanction** (as it relates to the searched **Name**); you may also enter **Notes**.

- 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.

4a

Sanction Detail

Search Data		
Name: Boone, Howard	NPI:	
Date of Birth:	State:	SSN / TIN:
City:		
Notes:		

4b

Sanction Entity Detail

Database:	CAM	Status:	Pending Review	SAVE
Sanctioned Name:	Boone, Howard Abner			
Date of Birth:				
NPI Number:				
License:	C34390			
City:		State:		
Sanction Date:	6/26/2013	Inactive Date:		
SSN/TIN:		Rule Out Link:		

Field Name	Value
Provider Number	CGP161414, 00C343900, 1174629893
AKA / DBA Names	
Address(es)	P.O. Box 1076, Truckee, CA, 96160-1076
Type	Physician
Active Period	Indefinitely effective
Last Name	Boone
First Name	Howard
Middle Name	Abner

4d

Links

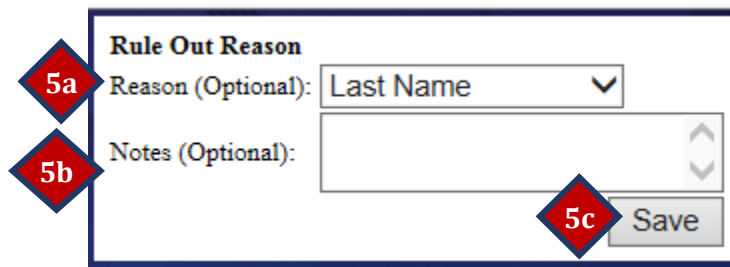
[Verify Match](#)

Data Source: [<http://files.medi-cal.ca.gov/pubsdoco/SandLanding.asp>]

[NPI Look-up](#)

- 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 (R) 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. Rule Out Reason (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 **Rule Out Reason** 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.

Rule Out Reason: 

Rule Out Notes:

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).

7. 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:



However, if you wish to close the Review page *without* automatically changing all Pending Review sanctions to Ruled Out then click on the **Save Progress** button:



Thank you for using SanctionCheck 5.0!