

EcoCheck.Ethico.com Sanction Check User Instructions

Steps to Conduct a Single Search:

- Go to the following link – <https://ecocheck.ethico.com/login>.
- Login to the system – enter your username (email) and password.
- Click on **Single Search** in the top right navigation bar.
- Select **Employee** if you are entering an individual name or **Vendor** if you are entering a business name.
- Enter the individual or business name in the **Name** fields. For an individual, First Name and Last Name fields are required. The other name fields are optional.
- Enter additional identifying information. These fields are optional. However, the system can rule out by Date of Birth or NPI.
- In the Search Parameters field, select 2 – **Mid-Range** for the **Search Level** (this should be the default).
- Select the box next to the **Database ID** field to select all databases.
- You may enter additional information in the **Notes/Comments** field.
- Select the box next to **European Union (EU) Flag** if you are aware the individual or business you are searching is working or residing in the EU and is subject to General Data Protection Regulation (GDPR) privacy laws.
- Click **Search**.
- A new page will display with the search results. If the system ruled out the name, there will be no potential match records to display.
- Perform verification screening steps for each potential match shown until it is reasonable to conclude the individual or business name is not a positive match. The steps are outlined in: **Employees or Affiliated Individuals Potential Match Verification Procedures** and the **Vendor Potential Match Verification Procedures**. Document the steps taken to clear the individual or business name. Maintain supporting documentation. (*Note: University Integrity and Compliance Office has templates available to record the documentation.*)
- Once you have confirmed the name is not a positive match, click **Complete** and run an **ERC** or **Summary Report** of the name and print/save it for your records. **Do not click Complete unless you are ready to clear all potential match names pending review.**
- To view prior searches, click on the **Search** tab in the left navigation bar and then select **Search History** in the top right navigation bar. From here, you can review the Status of searches to ensure the searches are marked Complete.
- Report all positive matches to the University Integrity and Compliance Office.
- See the **Help** tab in the left navigation bar for further assistance about how to conduct a single search.

Steps to Create and Upload a Prime List:

- Go to the following link – <https://ecocheck.ethico.com/login>.
- Login to the system – enter your username (email) and password.

- Create or update a prime list (in Excel file format) of individual or business names for batch submission. If your prime list changes, upload the new list to replace the previous one. Previously created prime lists are in the SanctionCheck List in the left navigation bar. The SanctionCheck List is the second item from the top.

Individual Names:

Employee Unique Identifier (Employee ID)	First Name	Middle Name	Last Name	Maiden Name	Alternate Name	Date of Birth
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Note: The Employee ID, First Name, and Last Name cells are required. Other cells are optional. Enter a “0” in the unique identifier field for names that do not have an employee/sponsor ID assigned to them. Contact University Integrity and Compliance Office for a template.

Business Names:

Vendor Unique Identifier (Supplier ID)	Vendor Name	City	State
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Note: Supplier ID and Vendor Name cells are required. Other cells are optional. Enter a “0” in the unique identifier field for names that do not have a supplier id assigned to them. Contact the University Integrity and Compliance Office for a template.

- Convert the list from an Excel (.xls) file to a Comma Separated Values (csv) file. Steps to convert an .xls format to a .csv format:
 1. Make sure data columns are in proper order, but **without** headings.
 2. From the File menu click Save As and enter File Name.
 3. In the Save as Type box select “comma separated values (*.csv)”.
 4. Click Save.
- To upload a new prime list, open the SanctionCheck List tab, select the prime list that you are updating/editing. Click **Upload & Replace** in the top right corner.
- Name the prime list/batch name. The name should reflect the contents of the file, such as “New Employees List 11/01/24,” etc.
- Select **Upload CSV** to upload the file and select the updated CSV file from your files, and click next.
- The system will perform a verification check of the information. At the end of the verification check, you can preview the information submitted to make sure it is correct and has populated in the correct columns. Once you’ve confirmed it is correct, Click **Start Upload**. This will upload your submission and automatically begin running the list.
- Once submitted, you will receive an email titled “Batch Upload Status – Success” to notify the user that the file has successfully been uploaded to the prime list. No further action is required at that time.
- Once the batch has ran, you will receive a second email from support@sanctioncheck.com indicating the batch upload has been processed.

Confirm that the number of names listed in the confirmation email matches the number submitted in the original file.

- Go to the **Search** tab to find a list of your **Action Items** pending review.
- See the **Help** tab in the left navigation bar for further details about how to upload a prime list.

Steps to Conduct a Batch Search:

- Go to the following link – <https://ecocheck.ethico.com/login>.
- Login to the system – enter your username (email) and password.
- Go to **Action Items** page and **Click** on the batch pending review. Confirm the field next to “**Batch Status**” next to the drop-down arrow has **Pending Review** selected. If not, select **Pending Review**. The names pending review will display on the **Batch Results** page.
- Review each name pending review.
- Perform verification screening steps for each potential match shown until it is reasonable to conclude the individual or business name is not a positive match. The steps are outlined in: **Employees or Affiliated Individuals Potential Match Verification Procedures** and the **Vendor Potential Match Verification Procedures**. Document the steps taken to clear the individual or business name. Maintain supporting documentation. (*Note: University Integrity and Compliance Office has templates available.*)
- Once you’ve confirmed a name is not a positive match, click **Ruled Out** and **Save** for that specific name. Once all potential names have been reviewed and confirmed not a match, click **Complete**. **Do not click Complete unless you are ready to clear all potential match names pending review for that specific name.**
- Report all positive matches to the University Integrity and Compliance Office.
- Once you’ve completed the batch, a screen with “Print Results - name of batch” will display. Print the **ERC** or **Summary Report**. For Status, **Select All**. Click **Run**. Save the report for your records.
- See the **Help** tab in the left navigation bar for further details about how to conduct a batch search.

Note: Units/departments/programs with sanction check screening responsibility should maintain a record of the individual/entity names screened and supporting documentation.