



EMPLOYMENT SCREENING RESOURCES®

Service Scope and Methodology

Updated February 2021

PROPRIETARY AND CONFIDENTIAL

Search Scope & Methodology

Updated February 2021

Table of Contents

Social Security Number (SSN) Trace	3
Consent Based Social Security Number Verification (CBSV)	4
E-Verify	4
County Criminal Records History.....	5
State Criminal Records.....	5
Federal Criminal, Civil and Bankruptcy Records.....	6
ESR Criminal Insight.....	7
Consumer Credit Report TransUnion PEER Report (Employment purpose only).....	8
Driving Records from State Departments of Motor Vehicles (DMV).....	9
Employment Verification	10
Personal & Professional Reference Checks.....	11
Professional License Verification	12
Education Verification	13
DOJ Sex Offender Registry Search.....	14
State & Federal Civil Records.....	15
System for Award Management (SAM).....	16
U.S. Health & Human Services Office of the Inspector General (OIG).....	18
Healthcare Sanction Search - FACIS Level 1M.....	19
Healthcare Sanctions Search – FACIS Level 3.....	19
U.S. Government Sources and Sanction Lists.....	20
Global Terrorist Database Search - Level 1	22
Global Terrorist Database Search – Level 2	23
Financial Institution Sanctions (FISS) Search.....	24
Substance Abuse Testing Services.....	24
Occupational Health Screening Services	27
International Criminal Search	28

Search Scope & Methodology

Updated February 2021

International Education Verifications.....	29
International Employment Verifications.....	30
International Professional Reference	31
International Driving Records	31
International Professional License	32
International ID Check.....	32
International Credit Check.....	33

Search Scope & Methodology

Updated February 2021

Domestic (U.S.) Services

Below are the most common services ESR provides in the United States. Other domestic services are available that are specific to certain industries.

<p>Social Security Number (SSN) Trace (Private Sector Database)</p>	<p>Description</p> <p>ESR's Social Security Trace is a private-sector database used to check the provided Social Security number for given name match, addresses associated with the SSN, and the SSA master death index. This dataset is compiled from hundreds of different public and private sector sources, including credit report headers, U.S. Postal Service address forwarding, utility bill records, voter registration records, and many other similar datasets.</p> <p>Information Returned</p> <p>Names and addresses that have been used in conjunction with a given SSN are processed by ESR to determine jurisdictions to search. This search also returns a pre-randomization year and state where issued, whether the SSN is a validly issued number based on SSA tables and the results of a scan of the Social Security Administration (SSA) Death Master Index File. Address information is not shown in ESR's report because it cannot be disputed or corrected as required by the FCRA.</p> <p>Recommended Use</p> <p>A name and number match or non-match should not be relied upon as being 100% accurate since private-sector data is subject to data entry mistakes and processing errors. The SSN Trace is not an infallible "identity verification," so an employer should never make an adverse employment decision based solely upon the information contained in this search.</p> <p>Related Searches:</p> <p>The information in an SSN Trace can be the basis for conducting further research of an applicant by the end-user such as requesting their consent to a Consent Based SSN Verification (CBSV).</p>
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Search Scope & Methodology

Updated February 2021

<p>Consent Based Social Security Number Verification (CBSV) Obtained from the SSA</p>	<p>Description</p> <p>ESR performs Consent Based SSN Verification (CBSV) searches directly with the Social Security Administration (SSA) as the designated agent for companies who have enrolled in the CBSV program. Prior consent of the SSN holder is required on form SSA-89.</p> <p>Information Returned</p> <p>CBSV returns a match, no match or death indicator. CBSV verifications do not verify an individual's identity, only that the number presented matches the specified name.</p> <p>Recommended Use</p> <p>CBSV is used to verify whether the SSN holder's name and Social Security number combination match SSA's records, which can identify subject errors or possible misinformation.</p>
<p>E-Verify U. S. Department of Homeland Security Work Eligibility System (Used at time of hire)</p>	<p>Description</p> <p>E-Verify is an employment eligibility verification program run by the U. S. Department of Homeland Security (DHS) that provides access to federal databases to determine newly hired employees' legal right to work in the United States.</p> <p>ESR partners to provide this service through a robust solution for submission to USCIS and complete management of E-Verify services as required by contract, law or company policy. Identity confirmation with E-Verify can only be performed after an applicant is hired.</p> <p>Information Returned</p> <p>Verification of name and number match SSA or DHS files and includes employment eligibility status in the United States.</p> <p>Recommended Use</p> <p>Performed post-employment to determine employment eligibility in the United States for new hires and the validity of their Social Security Numbers as required by law and/or company policy.</p>

Search Scope & Methodology

Updated February 2021

County Criminal Records History	<p>Description</p> <p>ESR performs a "hands-on" primary source jurisdiction search of court records in any of the more than 3,000 plus counties in the United States. Court level access to these records provides the most up-to-date and compliant information possible. Only primary source courthouse searches or government-maintained courthouse equivalent sources are used in background check report preparation. Cases held at the county level include felonies and misdemeanors, as well as criminal traffic offenses.</p> <p>Information Returned</p> <p>Jurisdiction, Defendant, Identifiers, Gender, Race, Case Number, Court of Record, Arrest Date, Offense Date, Filing Date, Charge(s), Statute Violation, Charge Type, Defendant's Plea, Disposition, Disposition Date, and Sentence.</p> <p>Recommended Use</p> <p>To determine if applicants have something in their criminal history that would disqualify them from being hired or contracted for a specific job based on discernable risk(s) to the business.</p>
State Criminal Records	<p>Description</p> <p>ESR performs state-level criminal record searches where available directly from the agency legislatively designated to maintain those records. However, only a few states meet the best practice standard of having a courthouse equivalency primarily due to most state records being incomplete, lacking suitable identifiers or not being updated at least monthly. Where state records are not courthouse equivalent, they are suitable for expanding the level of due diligence but are not sufficient as a standalone search.</p> <p>Information Returned</p> <p>Jurisdiction, Defendant, Identifiers, Gender, Race, Case Number, Court of Record, Arrest Date, Offense Date, Filing Date, Charge(s), Statute Violation, Charge Type, Defendant's Plea, Disposition, Disposition Date, and Sentence.</p> <p>Recommended Use</p> <p>Used in states with a unified court system in lieu of county criminal searches or to enhance the coverage as a supplemental search in states that do not meet courthouse equivalency quality standards.</p>

Search Scope & Methodology

Updated February 2021

Federal Records Criminal, Civil, and Bankruptcy Records

Description

ESR performs federal criminal, civil, and bankruptcy records searches through the federal judiciary's Public Access to Court Electronic Records System (PACER), an electronic access service that allows ESR to obtain case docket information from federal appellate, district, and bankruptcy courts via the Internet. ESR provides direct primary source information from all 94 Federal district courts.

Information Returned

High-level information from the federal court files such as case number and the names of those involved in the matter. PACER does not provide sufficient identifiers in the index to properly link the subject to the case in question because dates of birth and Social Security numbers have been universally redacted. ESR performs a manual review of case filings to locate additional required identifiers.

Recommended Use

For any business required by law or regulation to run Federal Court searches. Non-mandated businesses may use federal searches as an expanded scope where the position or applicant pool could be linked to federal law violations. The primary actions held at this level include violations of securities, banking and tax laws, im- migration law, certain weapons crimes, interstate drug crimes, civil rights violations, civil cases, and bankruptcies filed at the federal level.

Description

ESR offers a comprehensive multi-state/multi-jurisdiction criminal records database search consisting of criminal records, state-level sex offender records and national and international sanction and watch lists. This search is commonly and incorrectly referred to by some in the industry as a "national criminal records search." Although the information is sourced from public record information from all 50 states, the depth and breadth varies widely. Information from one state might be comprehensive and up to date, while information from another state may only include prison incarceration records representing a small part of total convictions. There are also timeliness issues, with some information only being updated on a quarterly or semiannual basis or not at all.

Because of the nature of these non-governmental aggregated databases, the appearance of a person's

Search Scope & Methodology

Updated February 2021

ESR Criminal Insight (national search)

name on a database is not an indication the person is criminal any more than the absence of a name shows they are not. A lack of a match is not the same as a person being "cleared."

PLEASE NOTE: ESR verifies all possible matches with the primary record source (custodian of the record) before including them in a background check report. Failure to do so is a violation of the FCRA. Verification at the source jurisdiction is included in ESR's price.

The advantage of these searches is that they cover a much larger geographical area than traditional county-level searches and are suitable for use as an additional layer of due diligence to locate criminal records that may be related to the subject. However, the ESR Criminal Insight should never be used on a standalone basis.

Information Returned

A variety of criminal, sex offender, traffic records, and global sanctions that might be related to the search subject. Unless and until the possible match is verified at the source jurisdiction, the information cannot be legally used, nor can ESR legally report it.

Scope of Information

The database holds millions of records across the United States consisting of court records, incarceration records, prison/inmate records, probation/parole/release information, arrest data, wants and warrants, sex offender records (50 states), national and international watch lists and/or other proprietary sources. This search is commonly and incorrectly referred to by some in the industry as a "national criminal records search."

Search Scope & Methodology

Updated February 2021

Consumer Credit Report TransUnion PEER Report (Employment purpose only)

Description

ESR provides employment purpose credit reports that provide a profile of the subject's financial history for the past seven years. This data reveals habits such as living beyond one's means and ownership of large debts with no obvious repayment method that may indicate financial irresponsibility that could affect the workplace.

Employers must use caution when deciding when to pull credit reports to ensure that personal financial circumstances are related to job function or security requirements. Eleven states – California, Colorado, Connecticut, Delaware, Hawaii, Illinois, Maryland, Nevada, Oregon, Vermont, and Washington – have passed laws restricting how employers can use credit reports for employment purposes. ESR has incorporated compliance with these restrictions into our ESR Assured Compliance® solution.

Information Returned

Returns name, Social Security number, addresses, list of current and previous employers, titles, and dates of employment, a record of applicant's current and past payment history, charge-offs, accounts in collection, tradelines, and bankruptcies. All adverse information must be less than 7-years old.

Recommended Use

It should only be used when credit standing has a direct relationship and a demonstrated risk that is business related to the job class, role, or position being sought. The states mentioned above further restrict the use of credit reports for employment purposes.

Search Scope & Methodology

Updated February 2021

State Departments of Motor Vehicles (DMV)
Motor Vehicle Driving Record

Description

ESR obtains driving record history information directly from each state's Department of Motor Vehicles (DMV) and reports the records according to federal and state reporting laws. Most requests are entirely paperless. The following states require specialized procedures for obtaining DMV record information:

Pennsylvania

The employer must be pre-approved by the Pennsylvania Department of Motor Vehicles. Requires a state-specific form with sections completed by both employer and applicant.

New Hampshire

Requires a notarized, state-specific form.

Alaska

Requires a state-specific form.

Canada and Puerto Rico

Require special forms. Detailed information is available about those regions if needed in the screening program.

Information Returned

Varies by state but may include some or all of the following: Name, Date of Birth, Address, License number, License Status, License Class, Violations, Suspension/Revocation the license or operating privilege, license restrictions, and Special Insurance requirements. The report includes the current status, class of the license, citation history, accident history, suspension information, and license restrictions. Records are available from all fifty states.

Recommended Use

When class, role, or position requires driving on behalf of the company by job applicants in their own, a company owned or rented vehicle.

Search Scope & Methodology

Updated February 2021

Employment Verification

Description

ESR performs primary source verification of previous employment that provides confirmation of position held, beginning and end dates, and pay rate where permitted. Although information beyond these areas is frequently unavailable. Any additional information obtained during the verification, such as performance, the reason for departure, and rehire status, is included in the report.

The Work Number

ESR submits all employment verifications electronically to Equifax's The Work Number (TWN). If the verification cannot be successfully completed by TWN, ESR will undertake a traditional verification as described under our standard process below.

Where the employer outsources their employment verification to a third party record keeper, such as Equifax, ESR has access to the information held by those sources and will complete the verification electronically.

Standard Process

ESR's standard process includes four attempts over four days to complete the verification, which exceeds the industry standard. If no response is received by the fourth day, the verification is closed as not performable including a reason code. Where the verification source's process is exclusively by facsimile, ESR adds 24 hours before closing the search.

Custom Directives

ESR has the ability to support a multitude of configuration preferences and custom directives to ensure our clients get exactly what they need as part of their program through a set of repeatable instructions and if/then business rules to increase the rate of successful completion.

Information Returned

Dates of employment, job title, and where possible, ending rate of pay, the reason for leaving, and rehire eligibility. Additional questions are available as options.

Search Scope & Methodology

Updated February 2021

	<p>Recommended Use</p> <p>To determine if current and previous employment provided is factual for any job class, role, or position where demonstrated knowledge in a particular area or discipline and/or ability to learn and retain information is required.</p>
<p>Personal & Professional Reference Checks</p>	<p>Description</p> <p>ESR personal reference checks include information about the type and length of the subject's relationship to the reference. A series of open-ended questions designed to elicit information about a person's traits, character, reliability, and shortcomings are directed to the reference during the call. As with employment verifications, ESR makes three attempts before closing the reference on the fourth day as not performable</p> <p>Information Returned</p> <p><u>Personal Reference</u></p> <p>Questions related to task performance, greatest strength, team interaction, propensity for violence or dishonesty, would you hire this person, length of the personal relationship with the applicant, and character traits that would help an employer know about the subject's communication skills and dependability.</p> <p><u>Professional Reference</u></p> <p>Questions related to the length of the professional relationship, the subject's job and the nature of their duties, follow-through, greatest strength, areas needing improvement, initiative, leadership, dependability, team interaction, propensity for violence or dishonesty, and hire-ability.</p> <p>Recommended Use</p> <p>In situations where more than a basic employment verification is required, such as positions that require good character, sound judgment, reliable performance, trust, and dependability.</p>

Search Scope & Methodology

Updated February 2021

Professional License Verification

Description

ESR's professional license verifications are available for any license issued by a state or federal licensing board or agency. ESR conducts primary source verifications of license held, current status, and expiration date with the licensing board in question. Besides primary license verification, any additional certifications, restrictions, reprimands, or other license-related information are also reported. Typical license verifications include but are not limited to:

- CPA, Attorney, Teacher, Registered Nurse, Licensed Practical Nurse, Physician, Psychologist, Pharmacist.

Information Returned

State where issued, issuing agency, type of license, license number, from and to effective dates, license status, license restrictions, and actions taken against the licensee.

Recommended Use

Any company that has a federal, state, or contractual mandate or business practice to check for possession of a current license.

Search Scope & Methodology

Updated February 2021

Education Verification

Description

Education verifications are available for GED certificates, high school diplomas, trade school certificates, special skills certifications, junior college associate degrees, four-year college/university degrees, and post-graduate degrees. All verifications are undertaken at the primary source, such as the school(s) they attended, state GED boards, or third party primary record-holders such as The National Student Clearing House. Reports include:

- Dates attended
- Major/minor
- Year graduated
- Degree, diploma, or certificate received
- Any special achievements or awards

Third Party Record Keepers

Where the educational institution has outsourced education verifications to a third party record keeper, such as National Student Clearinghouse (NSCH), ESR has access to the information held by those sources and will complete the verification electronically.

Standard Process

ESR's standard process includes four attempts over four days to complete the verification, which exceeds the industry standard. If no response is received by the fourth day, the verification is closed not performable with a reason code. Where the verification source's process is exclusively by facsimile, ESR adds 24 hours before closing the search.

Custom Directives

ESR has the ability to support a multitude of configuration preferences and custom directives to ensure our clients get exactly what they need as part of their program through a set of repeatable instructions and if/then business rules to increase the rate of successful completion.

Search Scope & Methodology

Updated February 2021

Information Returned

Dates of attendance, major course of study, degree(s) earned, and honors received.

Recommended Use

To determine if education claimed is factual for any job class, role, or position where demonstrated knowledge in a particular area or discipline and/or ability to learn and retain information is required.

DOJ Sex Offender Registry Search

Description

ESR performs real-time sex offender searches via an online service provided by the U.S. Department of Justice as a cooperative effort between the federal government and all 50 state jurisdictions that host sex offender registries. ESR verifies all potential matches at the state level for relatedness, accuracy, and completeness before being included in a report. ESR makes clients aware of those states having restrictions on using sex offender information for employment purposes when it affects their screening program.²

Information Returned

Personal information and physical description – sometimes with photograph – last known address, offense information including code and description, level of sex offender, and registration status. Some states provide additional information.

Recommended Use

Any position where the subject would have unsupervised access to or control of vulnerable persons.

² Nevada: (NRS 179B.270), a person shall not use information obtained from the community notification website for any purpose related to employment. California: (CA PENAL § 290.46) limits the use of sex offender status for employment purposes to protect vulnerable persons, as well as for employers required by law or authorized to request criminal history from the California Department of Justice. Examples of businesses that meet this standard may include child care centers, financial institutions, and governmental agencies. C.A. sex offender data cannot be used for any other employment purpose.

Search Scope & Methodology

Updated February 2021

State & Federal Civil Records

Description

ESR performs civil case searches through the federal judiciary's Public Access to Court Electronic Records electronic access system and state-level civil case searches at the county's primary courthouse. ESR provides, where available, the date of filing, case type, case number or file record, jurisdiction, plaintiff and defendant information, and case outcomes.

Information Returned

- Case number
- File Date
- Plaintiff
- Defendant
- Cause of Action
- Finding Date
- Finding

Recommended Use

When hiring C-level executives who may have a history of civil litigation related to their profession and/or professional activities, and any job class, roles, or positions that provide independent, unsupervised access to cash, assets, and/or books and records of the company open to potential embezzlement.

Search Scope & Methodology

Updated February 2021

System for Award Management (SAM) Federal Excluded Parties System (Previously GSA)

Description

The System for Award Management (SAM) is the official U.S. Government database that consolidates excluded parties and sanctions databases from the Excluded Parties Listing System (EPLS), Central Contractor Registration (CCR/FedReg), and Online Representations and Certifications Application (ORCA). The list of contributing federal agencies includes: Agency for International Development; Appalachian Regional Commission; Broad-casting Board of Governors; Bureau of Industry and Security; Commission on Civil Rights; Consumer Product Safety Commission; Corporation for National Service; Customs and Border Protection; Defense Information Systems Agency; Defense Logistics Agency; Defense Logistics Agency DLA-DG; Defense Threat Reduction Agen- cy; Departments of Agriculture, Commerce, Defense, Education, Energy, Health and Human Services, Home- land Security, Housing and Urban Development, Housing and Urban Development, Interior, Justice, Labor, Navy, State, Air Force, Army, Transportation, Treasury, and Veterans Affairs; Environmental Protection Agency; Equal Employment Opportunity Commission; Export-Import Bank of the United States; Farm Credit Admin- istration; Federal Aviation Administration; Federal Communications Commission; Federal Deposit Insurance Corporation; Federal Election Commission; Federal Emergency Management Agency; Federal Highway Admin- istration; Federal Labor Relations Authority; Federal Mediation and Conciliation Service; Federal Motor Carrier Safety Administration; Federal Railroad Administration; Federal Trade Commission; Federal Transit Administra- tion; Federal Law Enforcement Training Center; General Services Administration; Government Printing Office; Government Accountability Office; Headquarters Procurement Operations; Immigration and Customs Enforce- ment; Institute of Museum and Library Services; Maritime Administration; National Aeronautics and Space

Search Scope & Methodology

Updated February 2021

Administration; National Archives and Records Administration; National Endowment for the Arts; National Endowment for the Humanities; National Highway Traffic Safety Administration; National Imagery Mapping Agency; National Labor Relations Board; National Nuclear Security Administration; National Science Foundation; Nuclear Regulatory Commission; Office of Foreign Assets Control; Office of Personnel Management; Office of the Secretary/Department of Transportation; Overseas Private Investment Corporation; Panama Canal Commission; Peace Corps; Pipeline and Hazardous Materials Administration; Postal Service; Railroad Retirement Board; Research and Special Programs Administration; Research and Innovative Technology Administration; Small Business Administration; Social Security Administration; Transportation Security Administration; U.S. Secret Service; United States Coast Guard; United States International Trade Commission; and United States Trade and Development. Note: This search includes the OIG Health and Human Services List of Excluded Individuals/Entities (LEIE).

Information Returned

Individual or Business Name, Address, DUNS#, Exclusion Program, Excluding Agency, Exclusion Type, Active Date, and Termination Date.

Recommended Use

Any company doing business with the federal government or that has a federal, state, or contractual mandate to check SAM as well as those wishing to check the Treasury Department OFAC database of those involved in or supporting terrorism and/or narcotics trafficking.

Search Scope & Methodology

Updated February 2021

U.S. Health & Human Services Office of the Inspector General (OIG) List of Excluded Individuals/Entities (LEIE)

Description

A search of the Office of the Inspector General, U.S. Department of Health and Human Services, List of Excluded Individuals/Entities database (LEIE). OIG has the authority to exclude individuals and entities for mandatory and permissive exclusions from participating in Federally-funded healthcare programs such as Medicare and Medicaid.

Mandatory

Criminal offenses for Medicare or Medicaid fraud, as well as any other crimes related to the delivery of items or services under Medicare, Medicaid, SCHIP, or other State healthcare programs; patient abuse or neglect; felony convictions for other healthcare-related fraud, theft, or other financial misconduct; and felony convictions relating to unlawful manufacture, distribution, prescription, or dispensing of controlled substances.

Permissive

OIG has the discretion to exclude individuals and entities on a number of grounds, including (but not limited to) misdemeanor convictions related to healthcare fraud other than Medicare or a State health program, fraud in a program (other than a healthcare program) funded by any Federal, State or local government agency; misdemeanor convictions relating to the unlawful manufacture, distribution, prescription, or dispensing of controlled substances; suspension, revocation, or surrender of a license to provide healthcare for reasons bearing on professional competence, professional performance, or financial integrity; provision of unnecessary or substandard services; submission of false or fraudulent claims to a Federal healthcare program; engaging in unlawful kickback arrangements; defaulting on a health education loan or scholarship obligations; and controlling a sanctioned entity as an owner, officer, or managing employee.

Information Returned

Generally includes subject demographics, national practitioner I.D., the type/kind of sanction or exclusion, and whether it is current or expired. If a name match is made, the database can verify the match using a Social Security Number (SSN) or Employer Identification Number (EIN).

Search Scope & Methodology

Updated February 2021

Recommended Use

Any healthcare provider that participates in Medicare and/or Medicaid federal and state programs. Also, excellent due diligence for non-participating healthcare providers.

FACIS Level 1M Healthcare Sanctions Search

Description

ESR's basic healthcare sanctions option includes federal and state-level databases. It is generally considered to be the baseline search for exclusions screening as outlined by the Department of Health and Human Services (DHHS) – Office of Inspector General (OIG) Guidance, DHHS – Centers for Medicare & Medicaid Services (CMS) Guidance to the State Medicaid Directors, and under The Patient Protection and Affordable Care Act (PPACA) of 2010.

Searches are performed against the federal OIG, GSA, DEA, FDA, PHS, ORI, TRICARE, OFAC-SDN databases, and Medicare Opt-Out plus state Medicaid sanctions, 42 HEAT sources, and 51 A.G. Notice and Release sources, and state-level procurement/contractor debarment sources. This includes information such as state offices of the Medicaid Inspector General or equivalent (26 states), state's Attorneys' General, the Medicaid task force ("HEAT") content, and any state-level contractor or procurement debarment data.

This is considered the minimal "best practice" due to recent changes in the federal guidelines and (FHEP) under some states regulatory schemes.

Information Returned

Varies by data source but generally includes the federal or state agency that issued the sanction, subject demographics, type/kind of sanction or exclusion, and whether it is current or expired.

Recommended Use

Any healthcare provider that participates in Medicare and/or Medicaid federal and state programs. This search has ongoing monitoring available. May also provides additional due diligence for non-participating healthcare providers.

Search Scope & Methodology

Updated February 2021

<p>FACIS Level 3 Healthcare Sanctions Search</p>	<p>Description</p> <p>ESR's FACIS Level 3 healthcare sanctions search includes the data sources included in FACIS Level 1M and disciplinary findings from every healthcare licensing board or agency in the United States from all regulated professions within those jurisdictions. This is the most comprehensive healthcare exclusions and sanctions search available in the United States and is considered the "Gold Standard" for sanction screening. This search includes over 3,000 sources.</p> <p>Information Returned</p> <p>Varies by data source but generally includes the federal or state agency that issued the sanction, subject demographics, type/kind of sanction or exclusion, and whether it is current or expired, and whether it is current or expired.</p> <p>Recommended Use</p> <p>Any healthcare provider that participates in Medicare and/or Medicaid federal and state programs. Also, excellent due diligence for non-participating healthcare providers. This search has ongoing monitoring available.</p>
<p>U.S. Government Sources and Sanction Lists</p>	<p>Description</p> <p><u>Office of Foreign Assets Control – Specially Designated Nationals List (SDN)</u></p> <p><i>Specially Designated Nationals List</i> includes Individuals, groups, and entities, such as terrorists and narcotics traffickers designated under various programs that are not country-specific. Collectively, such individuals and companies are called "Specially Designated Nationals" or "SDNs." U.S. persons are prohibited from working with these persons and entities in any way.</p> <p><u>Consolidated Screening List – U.S. Departments of Treasury, State and Commerce</u></p> <p>The Consolidated Screening List (CSL) is a database consisting of the consolidation of multiple export screening lists of the Departments of Commerce, State, and Treasury. It is a list of parties for which the United States government maintains restrictions on certain exports, reexports, or transfers of items.</p>

Search Scope & Methodology

Updated February 2021

Department of State – Bureau of International Security and Non-proliferation

Nonproliferation Sanctions database includes parties that have been sanctioned under various federal statutes related to the nonproliferation of nuclear weapons.

Department of State – Directorate of Defense Trade Controls

AECA Debarred List A database of entities and individuals prohibited from participating directly or indirectly in the export of defense articles, including technical data and defense services under the Arms Export Control Act (AECA) and the International Traffic in Arms Regulations (ITAR). The AECA Debarred List includes persons convicted in a court of violating or conspiring to violate the AECA and subject to "statutory debarment" or persons established to have violated the AECA in an administrative proceeding and subject to "administrative debarment."

Department of Commerce – Bureau of Industry and Security (BIS)

Denied Persons List A database of countries, foreign government agencies, and individuals denied export privileges. Any dealings with a party on this list are prohibited and violate the terms of its denial order. This database is used to check the parties to a transaction (including freight forwarders, intermediate consignees, and the ultimate consignee) against key U.S. Government Lists to identify parties subject to denial orders or otherwise restricted or prohibited from engaging in U.S. export transactions.

Unverified List A database of End-users who BIS has been unable to verify in prior transactions. The presence of a party's name on BIS's Unverified List, which identifies parties whose bona fide BIS has been unable to determine in End-Use Checks, is considered a "Red Flag" calling for you to exercise due diligence

Entity List A database of parties whose presence in a transaction can trigger a license requirement supplemental to those elsewhere in the Export Administration Regulations (EAR). The list specifies the license requirements and policies that apply to each listed party.

Search Scope & Methodology

Updated February 2021

	<p>Information Returned</p> <ul style="list-style-type: none">• Individual or Business Name• Address• DUNS#• Exclusion Program• Excluding Agency• Exclusion Type• Active Date• Termination Date <p>Recommended Use</p> <p>Any company that has a federal, state, or contractual mandate to check any of the above databases, as well as those wishing to separately check the Treasury Department OFAC database of those involved in or supporting terrorism and/or narcotics trafficking.</p>
<p>Global Terrorist Database Search - Level 1</p>	<p>Description</p> <p>Global Screening - Level 1</p> <p>An extensive database search that contains sources from various countries on the following areas of concern:</p> <ul style="list-style-type: none">• Financial Security (Fraud, money laundering, enforcement actions)• Sanctions Lists (financial, criminal, terrorism funding)• Politically Exposed Persons• Watchlists (most wanted, fugitives, international and domestic)• Debarment lists (financial, real estate, banking, government, drug, medical)• This source contains hundreds of sources that are updated regularly.

Search Scope & Methodology

Updated February 2021

Global Terrorist Database Search – Level 2

Global Screening – Level 2

Government Sanction Lists:

Check for worldwide sanctions, enforcements, and warnings from over 300 government agencies, criminal courts, and investigative news sources. The database includes detailed information on more than 600,000 individuals and companies known or suspected to be affiliated with terrorism, animal rights, money laundering, drug trafficking, arms dealing, war crimes, white-collar fraud, or other illegal activities, as well as "Politically Exposed Persons" (PEPs), their family members and close associates.

Media Sources Database:

It consists of over 15,000 sources, including newspapers, periodicals, digital media wikis, blogs, press releases, podcasts, and other similar sources.

Public Court Records:

Regularly updated open-source information, including public records, judicial transcripts and orders, cross border judicial requests, and other public sector materials.

Information Returned

Varies by the reporting agency.

Recommended Use

Any company that has a federal, state, or contractual mandate to check these foreign databases as well as those wishing to check the broadest range of international excluded parties and sanctions databases of those involved in or supporting terrorism and/or narcotics trafficking.

Search Scope & Methodology

Updated February 2021

<p>Financial Institution Sanctions (FISS) Search</p>	<p>Description Included Government Databases</p> <ul style="list-style-type: none">• Financial Industry Regulatory Authority (FINRA)• Board of Governors of the Federal Reserve System (FRB)• Federal Deposit Insurance Corporation (FDIC)• National Credit Union Administration (NCUA)• Office of the Comptroller of the Currency (OCC)• Office of Thrift Supervision (OTS)• SEC Sanctions Database• Investment Adviser Registration Depository (IARD®) <p>Information Returned Varies by the agency but may include some or all of the following: Sanctions or excluded party status, license information, current registrations, previous registrations, exams are taken and passed, related state registrations.</p> <p>Recommended Use Any company with a federal, state or contractual mandate to check any of the above databases.</p>
<p>Substance Abuse Testing Services</p>	<p>Description ESR offers both Department of Transportation (DOT) and Non-DOT drug screening collection and testing including MRO services. ESR has access to over 10,000 lab Patient Service Centers (PSCs) and clinics.</p> <p>Mediums of Testing Hair, Oral Fluid, and Urine</p>

Search Scope & Methodology

Updated February 2021

Programs

Regulated (DOT) and non-Regulated Testing for:

- Pre-Employment, Random, Post Accident, Reasonable Suspicion, Return to Duty

Standard Urine Testing Panels

Custom panels for unique workplace requirements are also available.

Drug Name	5 Panel	DOT	9 Panel	10 Panel	Medical Professional
Amphetamine	✓	✓	✓	✓	✓
Cocaine	✓	✓	✓	✓	✓
Marijuana	✓	✓	✓	✓	✓
Phencyclidine	✓	✓	✓	✓	✓
Opiates	✓	✓	✓	✓	✓
Ecstasy		✓			
Methadone			✓	✓	✓
Propoxyphene			✓	✓	✓
Barbiturates			✓	✓	✓
Benzodiazepines			✓	✓	✓
Methaqualone (no longer standard)				✓	✓
Fentanyl					✓
Merperidine					✓
Oxycodone					✓
Tramadol					✓

Search Scope & Methodology

Updated February 2021

Electronic Chain of Custody

ESR can provide a paper or electronic process for DOT and Non-DOT drug screening programs through Quest and Labcorp and participating third party preferred sites.

Information Returned

A statement that no substances related to the drug screen in question were found, or where substances are found, the name of the substance and standard cut-off levels, collection date, and location.

Recommended Use

Any company that has a Drug Plan and Policy for a Drug-Free Workplace.

Policy Development

ESR provides single, multi-state, DOT, and non-DOT policy writing and reviews at a discounted rate. It is recommended that your policy be reviewed at least annually to ensure compliance with ever-changing requirements.

Search Scope & Methodology

Updated February 2021

Occupational Health Screening Services

Description

Occupational health testing/screening services used by employers to determine suitability for the position being sought or held.

Information Returned

Common Occupational Health Tests

Vision Testing, Audiometric Testing, Pulmonary Function Testing, Strength Testing, Immunity Testing and Vaccinations.

Physical Abilities Tests Post-Offer

Grip strength, static push and pull strength, dynamic lifting at specified heights and frequencies, and a carry component. The Post-Offer PAT can be customized to the employer's requirements.

Physical Abilities Tests Post-Injury

Baseline tracking and monitoring reported to medical provider so plans can be made for the employee's transitional duty or full-duty return-to-work.

Physical Abilities Tests Return-To-Work

The test is based on the employee's job description and can be modeled after the Post-Offer PAT.

DOT Medical Exams

Physical exam, Vision test, Hearing test, Urinalysis, Physical exam interpretation.

Immunity Testing & Vaccinations

MMR Immunity Testing or Vaccination, HEP-B immunity Testing or Vaccination, Varicella Immunity Testing or Vaccination, Clear PPD Skin Test, PPD Chest X-Ray single or dual view.

Recommended Use

Any employer with legal, insurance, or contract-based occupational health testing requirements will determine suitability for the position applied for.

Search Scope & Methodology

Updated February 2021

International Services

Below are the most common international services ESR provides. Other services outside of the United States are available, but are not as common.

International Criminal Search	<p>Description</p> <p>ESR provides international criminal searches in over 244 countries and territories utilizing a highly-specialized network of in-country sources that undertake the physical work in the jurisdiction in question. ESR's in-country network ensures that clients receive accurate, primary source international criminal data obtained and transmitted in a process that complies with the privacy laws of the country where the information is obtained.</p> <p>The following are the criminal searches offered by ESR. Availability and best practice sources vary by country.</p> <p>Local Criminal Search</p> <p>This criminal search provides criminal conviction information from government authorities and covers a jurisdiction related to an address. The scope may involve the entire state/province, a specific court, or a specific police jurisdiction.</p> <p>Nationwide Criminal Search</p> <p>This criminal search provides criminal conviction information from government authorities and covers an entire country within a single search.</p> <p>Criminal Certification Validation</p> <p>This search is a validation of the subject obtained Criminal Certificate document. In a few countries, the search also includes validation of the Certificate with the issuing authorities. This service requires the subject to obtain and pay (if payment is required) for their Criminal Certificate.</p>
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Search Scope & Methodology

Updated February 2021

	<p>Illicit Activity Database</p> <p>This search is sourced from a criminal database, which may include government sources, proprietary databases, and other sources listing criminal history information. The search is focused on criminal record activity utilizing the available sources within a country.</p> <p>Information Returned</p> <p>Varies by country but usually includes most of the following: Defendant, Identifiers, Court of Record, Filing Date, Charge(s), Defendant's Plea, Disposition, Disposition Date, and Sentence.</p> <p>Recommended Use</p> <p>Where the background check subject is a foreign national or has lived outside of the United States for a year or more, depending on the job class, role, or position, companies may search for international criminal records appropriate for the associated risk.</p>
<p>International Education Verifications</p>	<p>Description</p> <p>ESR makes direct contact with the school, employer, licensing agency, or designated record keeper when performing international verifications and uses native speaker translators, when needed, to complete the verification.</p> <p>Information Returned</p> <p>All verifications are undertaken at the primary source, such as the school(s) they attended or third party primary record-holders. Information returned usually includes:</p> <ul style="list-style-type: none">• Dates attended• Major/minor• Year graduated• Degree, diploma, or certificate received• Any special achievements or awards

Search Scope & Methodology

Updated February 2021

	<p>Applicant information required to complete the verifications is only supplied to known and trusted sources protecting the applicant from inappropriate access or use of their data.</p> <p>Recommended Use</p> <p>To determine if education claimed is factual for any job class, role, or position where demonstrated knowledge in a particular area or discipline and/or ability to learn and retain information is required.</p>
<p>International Employment Verifications</p>	<p>Description</p> <p>ESR performs primary source verifications through direct contact with the employer or designated record keeper when performing international employment verifications and uses native speaker translators, when needed, to complete the verification.</p> <p>Information Returned</p> <p>Dates of employment, job title, and where possible, ending rate of pay, the reason for leaving, and rehire eligibility. Additional questions are available as options.</p> <p>Applicant information required to complete the verifications is only supplied to known and trusted sources protecting the applicant from inappropriate access or use of their data.</p> <p>Recommended Use</p> <p>To determine if current and prior work history is factual for any job class, role, or position where demonstrated knowledge in a particular area or discipline and/or ability to learn and retain information is required.</p>

Search Scope & Methodology

Updated February 2021

<p>International Professional Reference</p>	<p>Description</p> <p>ESR personal reference checks include information about the type and length of the subject's relationship to the reference. A series of open-ended questions designed to elicit information about a person's traits, character, reliability, and shortcomings are directed to the reference during the call.</p> <p>Information Returned</p> <p>Questions related to the length of the professional relationship, the subject's job and the nature of their duties, follow-through, greatest strength, areas needing improvement, initiative, leadership, dependability, team interaction, propensity for violence or dishonesty, and hire-ability.</p> <p>Recommended Use</p> <p>In situations where more than a basic employment verification is required, such as positions that require good character, sound judgment, reliable performance, trust, and dependability.</p>
<p>International Driving Records</p>	<p>Description</p> <p>This search provides information a subject's driver's license and/or driving history. In some countries it may only be an indication that the driver's license is valid.</p> <p>Information Returned</p> <p>Varies by country, but may include some or all of the following: Name, Date of Birth, Address, License number, License Status, License Class, Violations, Suspension/Revocation the license or operating privilege and license restrictions.</p> <p>Recommended Use</p> <p>When class, role, or position requires driving on behalf of the company by job applicants in their own, a company owned or rented vehicle.</p>

Search Scope & Methodology

Updated February 2021

International Professional License	<p>Description</p> <p>ESR's professional license verifications are available for any license issued by a state or federal licensing board or agency. ESR conducts primary source verifications of license held, current status, and expiration date with the licensing board in question. Besides primary license verification, any additional certifications, restrictions, reprimands, or other license-related information are also reported.</p> <p>Information Returned</p> <p>License type, issue date, current status and expiration, as applicable.</p> <p>Recommended Use</p> <p>Any company that has a contractual mandate or business practice to check for possession of a current license.</p>
International ID Check	<p>Description</p> <p>Confirmation of provided identity document through available sources based on the country. Sources can be various governmental entities (Ministry of Justice, Electoral Roll, etc.) or basic identity verification through MRZ (Machine Readable Zone) on a candidate's passport.</p> <p>Information Returned</p> <p>Varies based on country and type of identification check being conducted.</p> <p>Recommended Use</p> <p>Important for confirming identity documentation of a candidate utilizing government issued identification.</p>

Search Scope & Methodology

Updated February 2021

International Credit Check	<p>Description</p> <p>This search may result in a full credit abstract report being returned as a result, or it may only provide a summary of financial irregularities such as bad payment history, an individual's civil court judgements related to debt, insolvency, or bankruptcy history. A full credit report is rarely available for employment screening purposes.</p> <p>Information Returned</p> <p>Varies based on country.</p> <p>Recommended Use</p> <p>It should only be used when credit standing has a direct relationship and a demonstrated risk that is business related to the job class, role, or position being sought. Access to credit reports in some countries may granted by the source based on acceptable permissible purpose.</p>
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