

SanctionCheck 5 CSV File Tutorial

The SanctionCheck 5.0 Batch Search process provides a quick and convenient way to compare a list of persons or businesses against several government sanction databases at one time. An integral part of the process is the CSV File Upload, which updates the list of entities to search for every reporting cycle.

“CSV” stands for Comma-Separated Values, and is a standard format used extensively for transferring data between two different applications. It can also be referred to as Comma-Delimited Text. All CSV files should have .csv at the end of their file name.

Many SanctionCheck clients get their data downloads from an internal source – their IT department or another department within their company. In these cases it is often possible to *request from that department that the file be shared in CSV format and in the order indicated by the template*, and thus eliminate the need for a template or for conversion of an Excel file to CSV format as described below.

Still other clients create their own lists in Excel, or can only receive downloaded files in Excel format. When this is the case the client must convert the Excel spreadsheet into CSV format prior to uploading data to SanctionCheck.

Here is an example of what a list of upload data looks like first in Excel, then in CSV format after conversion when opened in a text editor:

	A	B	C	D	E	F
4	201409	ADVANCED UROSCIENCE INC	BLYTHEWOOD	SC	101011000	Group F
5	SCEAdvant	Advantage Diabetic Supply			SCE	
6	201475	ADVENTURES IN ADVERTISING	NORFOLK	VA	101021941	Group E
7	201482	ADVOCATES FOR HOMELESS & THOSE	NORRISTOWN	PA	101022001	Group F
8	DCEAeolia	Aeolian Airlines			DCE	
9	201499	AERO ALL GAS	ATLANTA	GA		Group E
10	201504	AEROCOM SYSTEMS INC	NEW CASTLE	DE	101021121	Group E
11	201525	AF CAROSELLA ELECTRICAL SERVIC	BRENTWOOD	TN	101011393	Group E
12	201550	AFFILIATED VOICE AND DATA SYS	ATLANTA	GA		Group E
13	201557	AFPI, INC.	PHILADELPHIA	PA	101023262	Group F
14	201754	AIR REFRIGERANTS INC	SICKLERVILLE	NJ	101026034	Group E
15	201802	AIUM	AUDOBUN	NJ	101010139	Group F
16	SSIAK TRA	AK TRANSNEFT OAO			SSI	
17	202089	ALBERT HAMILTON	NEWARK	NJ	101021640	Group F
18	202107	ALCOHOLISM & SUBSTANCE ASAP	ATLANTA	GA		Group E
19	202109	ALCON LABORATORIES INC	ATLANTA	GA		Group F
20	202143	ALERE TOXICOLOGY SERVICES	ATLANTA	GA		Group F
21	TELAI-Ham	Al-Hamati Sweets Bakeries			TEL	
22	202222	ALI ALBERT ANAIM	WILMINGTON	DE	101029209	Group E
23	ARKA11 Th	All Things Possible Construction			ARK	
24	202415	ALLEN'S CARPET CLEANING	MEDIA	PA	101020063	Group E
25	202423	ALLERDICE BUILDING SUPPLY INC	MEDIA	PA	101020064	Group F
26	202470	ALLIED CARPET	AUDUBON	NJ	101010144	Group E
27	202483	ALLIED ELECTRONICS	ATLANTIC CITY	NJ	101010103	Group E
28	202493	ALLIED FIRE PROTECTION	ATLANTA	GA		Group E
29	202508	ALLIED MEDICAL SUPPLY INC	DEPTFORD	NJ	101014494	Group F
30	202535	ALLMED COMPREHENSIVE CARE CTR	NEWARK	DE	101021400	Group E

→

File	Edit	Format	View	Help
201409, ADVANCED UROSCIENCE INC, BLYTHEWOOD, SC, 101011000, Group F				
SCEAdvant, Advantage Diabetic Supply, , , , SCE				
201475, ADVENTURES IN ADVERTISING, NORFOLK, VA, 101021941, Group E				
201482, ADVOCATES FOR HOMELESS & THOSE, NORRISTOWN, PA, 101022001, Group F				
DCEAeolia, Aeolian Airlines, , , , DCE				
201499, AERO ALL GAS, ATLANTA, GA, , Group E				
201504, AEROCOM SYSTEMS INC, NEW CASTLE, DE, 101021121, Group E				
201525, AF CAROSELLA ELECTRICAL SERVIC, BRENTWOOD, TN, 101011393, Group E				
201550, AFFILIATED VOICE AND DATA SYS, ATLANTA, GA, , Group E				
201557, "AFPI, INC. ", PHILADELPHIA, PA, 101023262, Group F				
201754, AIR REFRIGERANTS INC, SICKLERVILLE, NJ, 101026034, Group E				
201802, AIUM, AUDOBUN, NJ, 101010139, Group F				
SSIAK TRA, AK TRANSNEFT OAO, , , , SSI				
202089, ALBERT HAMILTON, NEWARK, NJ, 101021640, Group F				
202107, ALCOHOLISM & SUBSTANCE ASAP, ATLANTA, GA, , Group E				
202109, ALCON LABORATORIES INC, ATLANTA, GA, , Group F				
202143, ALERE TOXICOLOGY SERVICES, ATLANTA, GA, , Group F				
TELA1-Ham, Al-Hamati Sweets Bakeries, , , TEL				
202222, ALI ALBERT ANAIM, WILMINGTON, DE, 101029209, Group E				
ARKA11 Th, All Things Possible Construction, , , ARK				
202415, ALLEN'S CARPET CLEANING, MEDIA, PA, 101020063, Group E				
202423, ALLERDICE BUILDING SUPPLY INC, MEDIA, PA, 101020064, Group F				
202470, ALLIED CARPET, AUDUBON, NJ, 101010144, Group E				
202483, ALLIED ELECTRONICS, ATLANTIC CITY, NJ, 101010103, Group E				
202493, ALLIED FIRE PROTECTION, ATLANTA, GA, , Group E				
202508, ALLIED MEDICAL SUPPLY INC, DEPTFORD, NJ, 101014494, Group F				
202535, ALLMED COMPREHENSIVE CARE CTR, NEWARK, DE, 101021400, Group E				
MNUAltern alternative Counseling Clinic MNU				

Before going into the conversion details, let's discuss the order of the data the Excel or CSV file must be in. We provide two template files (for each of a person/Employee and Vendor search) in Excel format with clear instructions on the order and structure of data in the upload file.

*Note: If you create and maintain your own data and the number of search entities is small you may choose to enter/modify your data directly through the SanctionCheck 5.0 website using the **New** and **Select Search Entity** tools on the **Prime List Edit Page's Search Names** tab. For more information on this feature please see the [Prime List Upload/Run Tutorial \(video or PDF\)](#), [Edit Prime List Page](#).*

Excel Template Files

There are 2 Search Types SanctionCheck recognizes, so we provide an Excel Template File for each.

Employee upload files include several Name columns for each Search Entity. At least two of these Name columns must have data: First Name and Last Name. The Employee template file can be used for any list of persons to search – Employees, Volunteers, Providers, etc.

Vendor upload files provide only one column for the Name of each Search Entity: Vendor Name. It must always have data. The Vendor template file can be used to search for any list of businesses.

You do not need to import your data into a template in order to create a CSV file. As said before, if you are given a file that is already in CSV format and in the correct data sequence (column name/order) then you may upload it directly into SanctionCheck. If you have or are given an Excel spreadsheet you can modify the column order directly in your spreadsheet and bypass the template. *But do compare the sequence of data in your spreadsheet or file to the template's sequence of data every reporting cycle, before uploading it into your Prime List to avoid rejected files and repeated upload attempts.*

Employee Template File

The **Employee Template Spreadsheet** can be used for any list of persons: Employees, Volunteers, Board Members, Providers, etc. You may download the spreadsheet [here](#).

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	SCS Employee and Physician upload file -- <i>this row and the header row should be removed before submitting to SanctionCheck.</i> * File Headers should NOT be included in your batch file. * The only REQUIRED FIELDS are "Employee Unique Identifier", "First Name" and "Last Name". * The "Employee Unique Identifier" (UID) field is used to rule out names that have been ruled out in previous runs. * An employee's UID CAN NOT change over time. If you do not have UIDs please leave the number 0 in the first cell of the first column (highlighted below). * The City, State, SSN and Miscellaneous fields WILL NOT be used to rule out names by the system. They are provided to enter information that may be helpful during the review process. * The Name fields, Date of Birth, NPI fields WILL be used by the system to rule out potential matches when provided. * SSN is not used by the system to rule out potential matches. It might be used by the reviewer to confirm or rule out a potential match. The SSN field is encrypted during import for security. * Once your spreadsheet is ready, save the file in .CSV format. An MS Excel file CANNOT be submitted to SanctionCheck. * You may then upload the file by logging onto SanctionCheck, opening your List and selecting Upload File to start the wizard.													
2	Employee Unique Identifier	First Name	Middle Name	Last Name	Maiden Name	Former Name	Date of Birth	City	State	SSN	NPI	License	Miscellaneous	UPIN
3	0													
4														

The first cell includes information and instructions for using the template to create a CSV template file. *This row (with instructions), and the row of cells below it, should be deleted prior to saving to a CSV file – your uploaded file should contain only your search entity information (not instructions or headers).*

The column headers in the second row indicate the order of the information you provide. SanctionCheck interprets your information based on the column in which it is listed (i.e., if you put an employee's last name in the second column it will be imported as a First Name).

The three column headers highlighted in yellow are required fields:

The **Employee Unique Identifier (UID)** is a number generated by your company or, if necessary, by you that will consistently remain associated with the searched name/Entity. SanctionCheck uses these values to link the names in this list to the last run of the **Prime List** and then to rule out automatically all search entities you have marked **Ruled Out** before. *To retain and leverage your*

ongoing screening work across reporting cycles, it is critical that each Unique Identifier be used for the same person in your list in each new upload.

If you are unable to use a company-wide UID like Employee number you may choose to generate your own. Last/First/Middle Names and Dates of Birth are useful values, but since two people can have the same name or the same date of birth it is best to combine several pieces of data in some way (SMITHJM030575 could represent John M. Smith born on 03/05/1975, for example). Phone numbers are unique and are sometimes used. You can generate a numeric UID either sequentially or randomly, but remember *not to generate a new number for an individual who has been on the list during previous reporting cycles.*

If for some reason you do not provide UIDs, *please ensure that a zero be included in the first cell of the first data row (Row 3), as shown.* Otherwise the CSV file you create may skip the first row and the import process will fail. Remember, without a UID the review work you do on a name will not be remembered by SanctionCheck the next time the name is searched.

First Name and **Last Name** are also required, since these are the only data that all sanction databases include. *Please make sure that the First Name is always in the second column and Last Name in the fourth column. If you do not have or wish to include Middle Name, leave it blank but do not remove the column.*

The remaining columns are optional, but entering information in them can either assist SanctionCheck in automatically ruling out potential matches it finds during its search or provide the reviewer helpful information during the Review process that follows.

The **Middle Name** (or Initial) is optional but can be very useful, since you may use it during the Review process to rule out a potential match.

Maiden Name and **Former Name** can be used to locate potential matches for individuals sanctioned under previous names. You can also put an alternate First Name in the **Former Name** column. More than one name can be entered in either field. But unlike other columns, *the more names you enter here the greater the number of potential matches which may be returned for review.*

Date of Birth will be used by the system during the search process to rule out a potential match under the following conditions:

- The Date of Birth is provided in the upload file,
-AND-
- The Date of Birth is provided in the Sanction Database for the potential sanction,
-AND-
- The two dates of birth do not match.

Entering the Dates of Birth for search entities can decrease the number of potential sanctions returned for review (based on this automatic rule out).

Never enter a default date like “01/01/1900” – leave DOB blank if you do not have an exact date value



City and **State** are informational only. They will be displayed on the Batch Review Page to assist the reviewer.

SSN is a special field in that it is encrypted in our database. It cannot be used by the system to automatically rule out sanctions since no sanction database provides SSN information. But it can be used during the Review process.

NPI is the National Provider Identifier for the person being searched, and it uniquely identifies certain medically licensed individuals. Like Date of Birth, SanctionCheck can automatically rule out a potential sanction if both searched entity and sanctioned entity have NPI values and they do not match. Entering the NPI for search entities can decrease the number of potential sanctions returned for review.

License, Miscellaneous and **UPIN** are for informational purposes only and are displayed on the Review Page.

Vendor Template File

	A	B	C	D	E	F	G
1	<p>SC5 Vendor upload file -- <i>this row and the header row should be removed before submitting to SanctionCheck.</i></p> <p><i>* File Headers should NOT be included in your upload file.</i></p> <p>* The only REQUIRED FIELDS are "Vendor Unique Identifier" and "Vendor Name".</p> <p>* The "Vendor Unique Identifier" (UID) field is used to rule out names that have been ruled out in the previous run.</p> <p><i>The Vendor UID should not change over time.</i> If you do not have a UID for the first Vendor please leave the number 0 in the first cell of the first column.</p> <p>* The Miscellaneous, City and State fields are NOT used to rule out names. They are provided to enter information helpful during the review process.</p> <p>* TIN is not used to rule out potential matches by the system. It may be useful during the review process. The TIN field is encrypted during import for security.</p> <p>* Once your spreadsheet is ready, save the file in .CSV format. An MS Excel file CANNOT be submitted to SanctionCheck.</p> <p>* You may then upload the file by logging onto SanctionCheck, opening your List and selecting Upload File to start the wizard.</p>						
2	Vendor Unique Identifier	Vendor Name	City	State	TIN	Miscellaneous	
3		0					
4							

The Vendor Template Spreadsheet has the same general purpose as the Employee Template Spreadsheet. You may use this template for a list of any kind of business, or any kind of search entity with a single compound name (like Best Healthcare of America, Inc.).

The **Vendor Name** column must have data. It is the only column by which SanctionCheck can rule out a name automatically.

The **Vendor Unique Identifier** follows the same rules as the Employee Unique Identifier. See above for detailed information on the creation and use of UIDs.

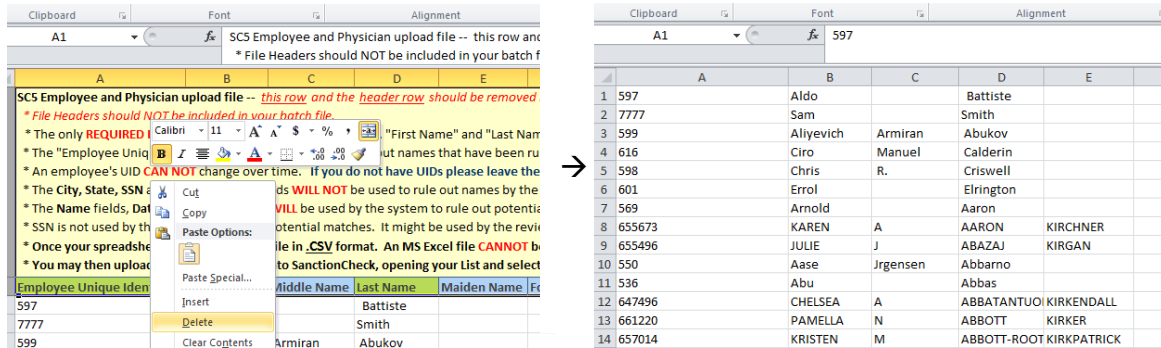
City, State, TIN and **Miscellaneous** are informational columns and are shown on the Review Page to assist in the rule out process.

TIN stands for Tax Identifier Number. Like **SSN** in the Employee Template, it is stored in encrypted format in our database, and only the last 4 digits of the TIN is displayed on the Review Page to assist in the rule out process.

Creating a CSV file from an Excel Spreadsheet

Once you have created a properly-sequenced Excel Spreadsheet with the same column order as the Employee or Vendor Template you are ready to create a CSV file.

Open your Excel file as you normally do and confirm that the data appears in the correct order. Then, if you used the template file, delete the first two rows (Instruction Row and Column Header Row), so that only your data appear (no column headings or labels).

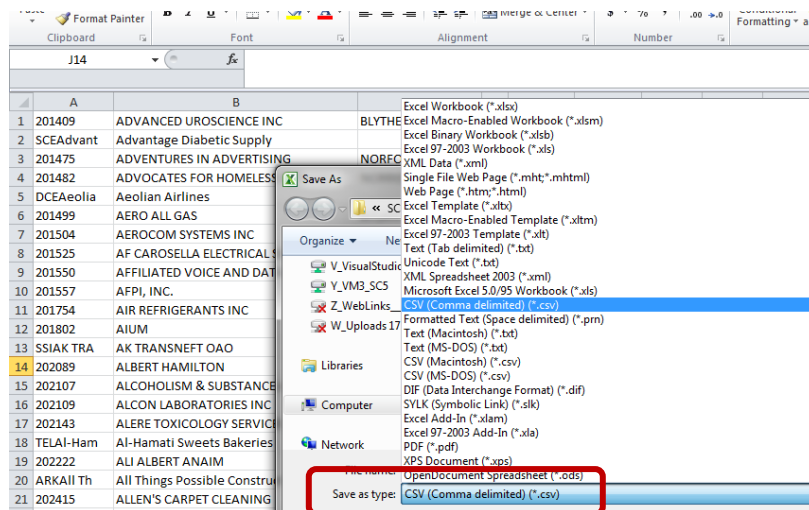


Click on the **File Tab**, then on **Save As** to open the File Dialog Box.

Navigate to the local or network file folder where you wish to save (and later open) the CSV file.

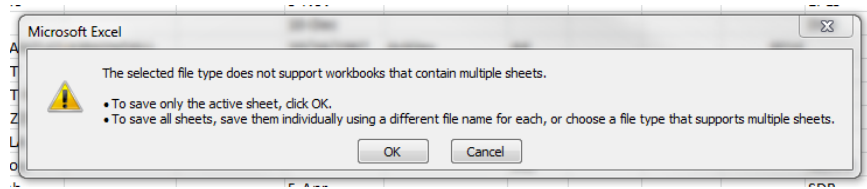
Change the **File Name** if you wish.

Below the File Name click on the **Save as Type** drop-down box to display the formats available for the file. Click on the **CSV (Comma delimited) (*.csv)** option.

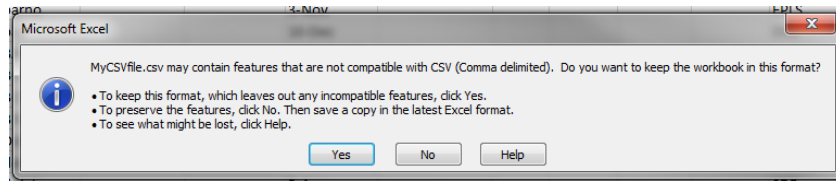


Click on the **Save** button.

You may receive two messages:



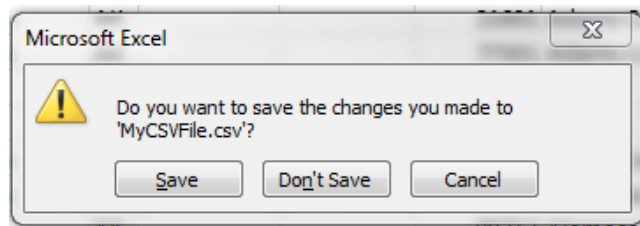
and



Click **OK**, then **Yes**. These are notices that the CSV file format has fewer formatting and other features than Excel (.xls or .xlsx) formats. These notices are expected and acceptable.

Your CSV file is now saved, in the location you specified.

*Note: When you close the spreadsheet you will be prompted to save your changes. As long as you completed the above process, select **Don't Save**. Otherwise you will be prompted to respond again to the messages just shown.*



You are now ready to log onto SanctionCheck 5.0 ([here](#)) and upload your CSV file.

Please see our [Prime List Upload and Run Tutorial](#) ([video](#) or [PDF](#)) for instructions on the upload process.

Thank you for using SanctionCheck 5.0!