

SanctionCheck 5 Prime List File Upload & Run

This tutorial will describe a "**Prime List**," explain how to upload a file with a list of names and additional information to a **Prime List**, and set it up for a batch run.

A **Prime List** in SC5 refers to a list of individuals or vendors (**Entities**) you want to update and check for **Sanctions** on a *regular basis*. This could be a list of employees, vendors, volunteers, etc. that work for or with your organization. You need a **Prime List** set up for each distinct list of names you search.

ction Item Batch ID T		Submitted Y	T	Status T	Ţ	ype T	Source 1	Submitted By	T	To Review T	Account Manager T
7287	qBatch use previous as masterbatch to test code	09/16/2017 13:04:47	8	Final Review	E		Batch	test test		0	
7284	qBatch Testing revision to master batch selection and status re	n 09/16/2017 12:52:39		Final Review	E		Batch	test test		0	
8 - • 1 •	(H)										1 of 1 pages (2 items)

1. After logging on you will be presented with your Action Items page. To view your Prime Lists click on the PRIME LISTS menu option at the top.

Creating a Prime List

Your prime lists may have already been set up as part of the SanctionCheck onboarding process. Please log on to SanctionCheck and click on the Prime List menu tab to see which, if any, prime lists are available to you.

If you do not see any prime lists, or you do not have a prime list set up for each of the lists you upload during a reporting cycle, please download, complete and <u>email</u> one of these worksheets:

- For all new users, and for SC4 users who did not use master batches: <u>Prime List / Batch</u> <u>Requests – New Client</u>
- For SC4 users who wish to import their master batch data to SC5: <u>Prime List / Batch</u> <u>Requests - with History</u>

Please enter a row of data for each list you will upload during a reporting period. If you occasionally run "one-offs" (non-repeating lists), include a row for an Ad-hoc prime list.

We will contact you once the prime list(s) have been set up.



Edit Prime List Page

All Prime Lists available to you are displayed on your Prime Lists page. Select the one you wish to use to display its Edit Prime List Page.

The **Edit Prime List Page** has two tabs. By default the Search Name tab is opened, showing the most recently uploaded data. If the List has not yet been used there will be no names displayed.

It is on this tab that you update the search entity information prior to running a **Batch**.

But let's first take a quick look at the **Details Tab**. It shows the information we entered for you when setting up the Prime List.

Edit Prime	e List - Facility 1 Emp	oloyees (4347	7)	RUN LIST	🛢 CANCEL 🕏
Details 9	SearchName				
1 Name: Group: 3 Type: 5 Description:	Facility 1 Employees TEST_Test_User_SC5 V Employee V	Last Run: Inactive Date: Auto Scheduling:	3/22/2018 Select date	€ 6 Please select a frequency ∨	SAVE
Databas ı Available Da			Scheduled Run Date	selected Databases:	
All availab	le Databases Selected			System for Award Manageme Office of Inspector General US Treasury OFAC Specially D US Treasury OFAC Consolidat	esignated Nationals

As you can see, many of the fields cannot be modified. If you need to have something changed, contact Support and include the List ID (in parentheses at the top) and what you need changed.

The most important fields on this tab are:

- 1. **Name**. This will be the default Batch Name when you run the list
- 2. Group. This determines who is able to see the Prime List and its associated batches.
- 3. **Type**. This is either Employee or Vendor.
- 4. Databases. This determines which sanction lists will be searched.



You are able modify the **Description** (5) field – you can use this if the List Name is not clear enough. You can also deactivate the list so that it no longer appears by putting a date in the **Inactive Date** (6) field.

t Prime List -	Facility 1 Employees (4347)	RUN LIST 🔹 CANCEL
etails SearchN	ame	
		NEW 🔒 UPLOAD FILES
ID 🔨	Search Name	Y Unique Identifier Y
13367698	ACHUSIM, PHILIP	1111
13367699	ALVAREZ, LUIS A	2222
13367700	Barry, Alice Johnson	3333
13367701	Bass, Harriston	4444
13367702	Bergen, Joellie	5555
12267702	Brown Jamos	6666

Now we can return to the **Search Name** tab to discuss the upload process.

The Search Name tab displays data from the most recent file you have uploaded. Note that there are two sets of buttons – one set for modifying the data, and the other for running the data as a batch.

There are two methods for modifying the **Search Entity** list linked to a **Prime List**. If you have a relatively small list with information that changes little each reporting cycle, you have the option of adding new records to your existing list by clicking the **New** button, and modifying and deleting existing records by opening them and making your changes on the **Search Entity Edit Page**.

File Upload

But since most lists are large and have significant changes over each reporting period we will demonstrate the **File Upload** process which is run every reporting cycle to replace the contents of the **Prime List** search list. When a file is uploaded to a **Prime List**, the previous data (i.e., list of names subsequently searched) in the Prime List is cleared. But the review work done on those names is preserved, so that names that persist across periods and list updates will retain prior **Sanction** decisions (e.g., Rule Outs) – *saving you time and work!*

- 1. Click on the UPLOAD FILES 🔒 button.
- 2. The **Upload Wizard** is started.



2	Please select the file you want to upload.
3	Source File: Choose File Sample_Empt_100.csv
4	NEXT PREVIOUS CANCEL X

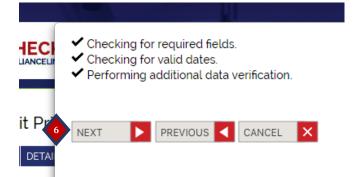
3. Click on the **Choose File** button to navigate to, select and **Open** your file.

4. Click Next.

Unique Identifier	First Name	Middle Name	Last Name	Maiden Name	Former Name/Nickname	DOB
597	Aldo		Battiste			
7777	Sam		Smith			
599	Aliyevich	Armiran	Abukov			
616	Ciro	Manuel	Calderin			
598	Chris	R.	Criswell			
601	Errol		Elrington			
569	Arnold		Aaron			
655673	KAREN	А	AARON	KIRCHNER		8/1/1940
655496	JULIE	J	ABAZAJ	KIRGAN		7/1/1961
550	Aase	Jrgensen	Abbarno			3-Nov
536	Abu		Abbas			10-Dec
647496	CHELSEA	А	ABBATANTUONO	KIRKENDALL		10/16/196
661220	PAMELLA	Ν	ABBOTT	KIRKER		7/26/1959
657014	KRISTEN	М	ABBOTT-ROOTES	KIRKPATRICK		12/8/1955
646425	BONNIE	А	ABBRUZZESE	KISSINGER		3/1/1960

5. Displayed is a preview of how the uploaded file will be imported into a **Batch**. Please ensure the data below the headers is consistent with the headers. In particular, check that the <u>Unique</u> <u>Identifier</u>, <u>First Name</u> and <u>Last Name</u> fields are all populated and look correct, and that the DOB column is blank or has only valid data. After confirming that all the data is in the correct columns, click **Next**.





6. SC5 will do one last validation check. Then you can click **Next**, then click **Finish**. You will be returned to the **Edit Prime List Page**, where the **Entities** you just uploaded will be listed (which will be searched against potential **Sanctions** listed by the **Agency** lists you selected for that **Prime List**).

From the Edit Prime List Page, as you can see, the **Names** in your file have been uploaded to the **Prime List** and are now displayed:

	Customer	Prime List	Search Results	Single Search	Reports	Support	SCLOG	
rime List - C	LI Test Employee List	(2666)						
s SearchNam	ue .						7 RINUST R CAN	EL
							NEW 🔂 UPLO	OAD FILES
^		Search Name				T Unique Ide		
3787		VAYUVEGULA M	D. BHARATHI			231008		
3788		BUSSELEN MD. 1	TEVEN			1000000472		
3789		RODRIGUEZ NP.	RODRIGUEZ NP. KATHLEEN			1000023397		
3790		NISHIOKA MD. I	NISHIOKA MD. LUCAS I			96719		
3791		KPADUWA MD.	KPADUWA MD. JULIUS C			704011		
3792		WESTOX LABS,				100000764		
3793		LAU MD. SUSIE	6			840143		
3794		MCKENZIE NP. A	DITA G			12077		
3795		PELEG MD. NEC	IEMIA B			2328		
3796		DURHAM MD. 8	RITT .		3002			
3797		PAPPAS MD. DE	UREE I			1000014408		
3798		LUNA MD. LELA	KE M			798021		
3799		EDGEWATER SK	LLED NURSING CENTER.			139536		
		ELA MD. THOM				4925		

Running the Prime List

A **Batch** is not created when your File Upload is complete. <u>You must **RUN**</u> the **Prime List** to start the **Batch Search**.

7. Click the **Run List** button. This displays a pop-up window that provides the opportunity to name the **Batch** you are about to run.



Customer	Prime List	tch run.	Support	SCLOG	2
Edit Prime List - CLI Test Employee I				RUN LIST	🖹 CANCEL 🔒
Details SearchName				NEW	UPLOAD FILES
ID A	Search Name		▼ Unique I	dentifier	T
7783787	VAYUVEGULA MD. BHARATHI		231008		
7702700	RUSSELEN MD. STEVEN		1000000	72	

8. The name field is auto-populated with the **Prime List** name, and it is best practice to name the **Batch Run** with a date stamp (e.g., Year-Month) as shown. This will allow for better organization and future reference of your **Batch Runs**. Enter the **Batch** name and click **Finish**.

This will upload your **Prime List** to SC5 for its **Batch Run**. You will see this message:

	Success.	×	
	Your list has been succesfully submitted for processing. You will receive an email when the search process is complete so that you may review your results.		
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You will receive an email once SC5 is done searching your **Prime List** for **Sanctions** that may match the **Names** you search. The email will have a link that will take you to the Batch Review Page to begin your review and will also summarize the results of the search.

Please see our **Batch Review Tutorial** (<u>video</u> or <u>PDF</u>) for instructions on reviewing the results of the Batch you have just created.

Thank you for using SanctionCheck 5.0!