SanctionCheck.com 5.0 User Instructions

Steps to Conduct a Single Search:

- Go to the following link – https://sc5.sanctioncheck.com/Login.aspx.
- Log on to the system – enter your username (email) and password.
- Click on the Single Search tab in the 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** field. First and Last Name fields are required. The other name fields are optional.
- Enter other identifying information. These fields are optional. However, the system can rule out by Date of Birth or NPI.
- Select 2 **– Mid-Range** for the **Search Level** (this should be the default).
- Click **Select all** next to the **Select Databases** field.
- You may enter additional information in the **Notes/Comments** field.
- Click **Single Search.**
- A Single Review page will display the search results. Each exclusion agency database with potential matches will be shown.
- 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, go to the **Search Results** tab and select **Search History.** Review the Status of the search to ensure the name searched is marked Complete.
- Report all positive matches to the University Integrity and Compliance Office.
- See the support tab in SC5.0 database for further details about how to conduct a single search.

Steps to Create and Upload a Prime List:

- Go to the following link – https://sc5.sanctioncheck.com/Login.aspx.
- Log on 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.

Individual Names:

Employee Unique Identifier (Employee ID)	First Name	Middle Name	Last Name	Maiden Name	Alternate Name	Date of Birth

Note: Yellow highlighted 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

Note: Yellow highlighted 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.
- Open the Prime List tab, select the prime list that you updating/editing. Refer to the support tab in the SC5.0 database for further details on prime lists, including how to create, add, edit, a prime list and upload it in CSV format.
- Name the Prime List. The name should reflect the contents of the file, such as "New Employees List 09/01/17," etc.
- Select the **Group** and **Type** (e.g., Employee, Vendor).
- Ensure that all available "exclusion agency" databases are selected.
- Click **Save**. The **Prime List** has been created.
- Complete the **File Upload** process to replace the contents of a **Prime List**.
- Click on the existing Prime List, select Upload Files, and browse to find the file to replace the existing Prime List. Choose it, click open to select it, and click next.
- Confirm that the information has populated and is in the correct columns. Click next. SC5 will complete a final validation check.
- Once the batch has been uploaded, you will receive an email from support@sanctioncheck.com indicating your batch upload for the **Prime List** has successfully uploaded and is ready to **Run List** to receive batch results. Note – confirm that the number of names submitted in the **File Upload** matches the number you submitted prior to **Run List**.
- Run the Prime List. Click **Run List**.
- A box will pop up to allow you to name the batch. Enter the name and click **Finish**. You will receive an email from support@sanctioncheck.com telling you that the batch has processed and is pending review.
- Go to **Search Results** tab and click on **Action Items** to see your batch pending review.

Steps to Conduct a Batch Search:

- Go to the following link – https://sc5.sanctioncheck.com/Login.aspx.
- Log on to the system – enter your username (email) and password.
- Go to **Action Items** page and **Click** on the batch pending review. In the box with red border, click the drop-down arrow next to "Select a status to view" and select Pending Review. Click Apply. 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 Complete for that specific name. **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 support tab in the SC 5.0 database 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 via SanctionCheck.com and supporting documentation.