

Name/DOB Batch File Upload Guide

CCHRS

Connecticut Criminal History Request System



**PREPARED BY
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Introduction

This document is intended for use by Registered Agencies using the Web Portal that will be doing batch uploads of Name/DOB background check applicants.

Instead of typing individual requests into the online form, batch file submission enables you to upload a single XML file that contains a set (batch) of Name/DOB background check requests.

Batch File Overview

The information that you provide for each Name/DOB entry in the batch file is the same information that you would provide for an individual background check. The same set of information is considered required, and the rest is optional.

There are three ways to create a batch file. You can:

- cut-and-paste your data into an XML template if you have only a few names; see page 19 for sample XML you can use as a template.
- export your file from Excel (see page 9).
- have your MIS/IT people write a program to put your Name/DOB information into valid XML.

Batch File Requirements

Each batch file must have the same structure:


- Between 1 and 100 individual name/DOB entries, with no blank lines. If you have more than 100 individuals to check, you'll need to create multiple files.
- The fields for first name, last name, and date of birth are required (and must not be blank).
- File must be in XML format and saved as a plain text file. Uploads of .rtf or .csv files will result in an error.

In addition to the three data items required for submitting a Name/DOB background check, your file should also have an optional ID column. The content of the ID column needs to be unique for each applicant. The ID item will be used to help identify where in the file any problems occur, and the ID item will be mentioned in the error messages. It's recommended that you use numbers (such as 1 to 100) since that may help you find the exact line in the batch file where an error occurs.

Uploading the File


Once your batch file has been prepared you can upload it. Only one batch file can be processed at a time. If you have multiple files, you'll need to perform the following steps as many times as you have files.

1. Log into the CCHRS Web Portal. Click the Name DOB Check button in the blue menu on the left. You'll see the Requestor Information page.



Connecticut Criminal History Request System

Name & DOB



REQUESTOR INFORMATION FORM:

The 'Requester Information Form' is used to establish your information. Submitting criminal history checks here can ONLY be done after submitting your information (below) and payment.

Please make sure all mandatory fields are completed (mandatory fields are in bold.)

Provide YOUR information below:

Last name*

First name*

Middle initial

Street address*

Address (cont.)

City*

State*


Zip/Postal code*

Phone*

NOTE: Please verify that the above information is correct.


Fill out your information and click Submit Form.

- On the Name & DOB Entry page you will click the Batch Upload link on the upper right.



Connecticut Criminal History Request System

Name & DOB



The Record Request Form is used to request criminal history checks on subjects. All requests will be processed in the order they are received. Please make sure all mandatory fields are completed. (Mandatory fields are in **bold**, with asterisk* & blue highlight)

[Batch Upload](#)

Enter Subject:

Last Name*

First Name*

Middle Name (No Punctuation)

Suffix

Street Address

Address (cont.)

City

Country v

Zip/Postal Code

Zip Extended

Date of Birth*

Date of Birth (Alias)

Race

Sex


SSN (no dashes)

Miscellaneous Identifying Number (MNU) v

Aliases or Maiden Name -- No nicknames:


Last: <input style="width: 60px;" type="text"/>	First: <input style="width: 60px;" type="text"/>	Middle: <input style="width: 60px;" type="text"/>	Suffix: <input type="text" value="v"/>
Last: <input style="width: 60px;" type="text"/>	First: <input style="width: 60px;" type="text"/>	Middle: <input style="width: 60px;" type="text"/>	Suffix: <input type="text" value="v"/>
Last: <input style="width: 60px;" type="text"/>	First: <input style="width: 60px;" type="text"/>	Middle: <input style="width: 60px;" type="text"/>	Suffix: <input type="text" value="v"/>

- You'll see the Batch Upload screen.



Connecticut Criminal History Request System

Name & DOB



Batch Upload

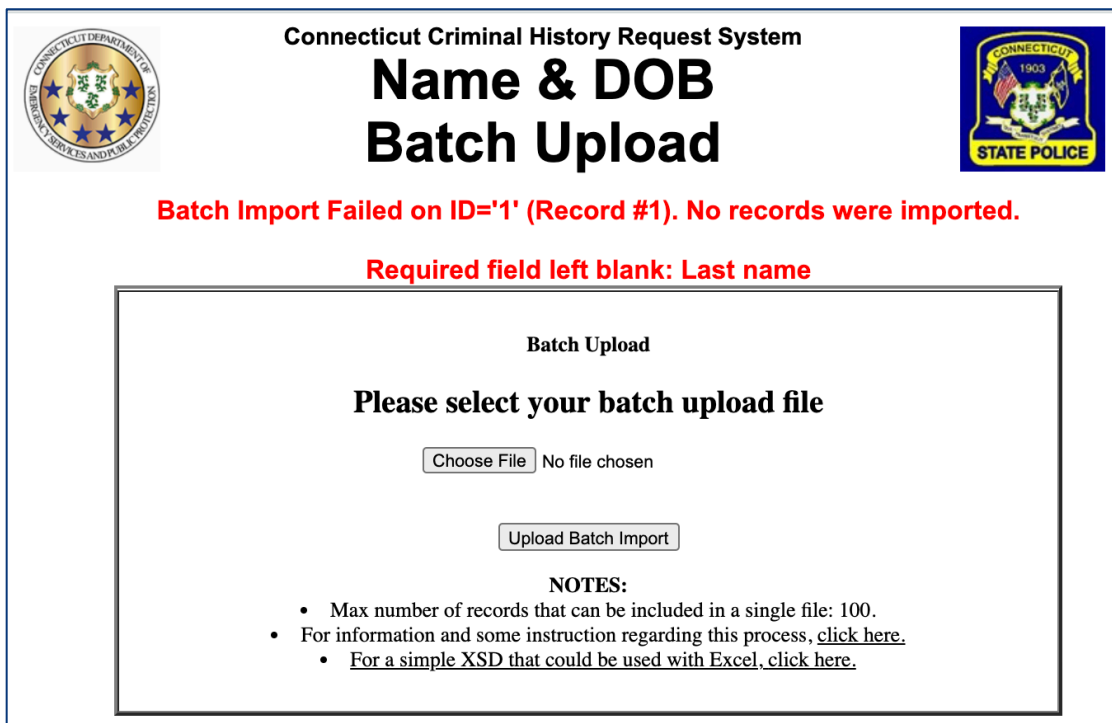
Please select your batch upload file

No file chosen

NOTES:

- Max number of records that can be included in a single file: 100.
- For information and some instruction regarding this process, [click here](#).
- For a simple XSD that could be used with Excel, [click here](#).


4. Click the Choose File/Browse button. You'll see a popup where you can browse for your file. Select the XML file you want to upload and click the Open button. The name of the file will be shown on screen.
5. Click the Upload Batch Import button.
6. The system uploads the file containing the Name/DOB requests. If there are any issues with the data in the file you'll see an error message and will need to fix the error before proceeding.



The screenshot displays the 'Connecticut Criminal History Request System Name & DOB Batch Upload' interface. At the top left is the Connecticut Department of Correction logo, and at the top right is the Connecticut State Police logo. The main heading reads 'Name & DOB Batch Upload'. Below this, a red error message states: 'Batch Import Failed on ID='1' (Record #1). No records were imported.' Underneath the error message, another red message says: 'Required field left blank: Last name'. The central area contains a 'Batch Upload' section with the instruction 'Please select your batch upload file'. This section includes a 'Choose File' button (which shows 'No file chosen') and an 'Upload Batch Import' button. Below the upload buttons, there is a 'NOTES' section with the following bullet points: 'Max number of records that can be included in a single file: 100.', 'For information and some instruction regarding this process, [click here](#).', and 'For a simple XSD that could be used with Excel, [click here](#).'


See XML Errors and Troubleshooting on page 9 for more information on troubleshooting typical errors.

- When your upload is successful you'll see the Name & DOB Batch Upload screen again, with the list of batch-imported applicants at the top. A batch import list looks the same as if you had input multiple names and information individually, clicking "save and add" between each subject.



Connecticut Criminal History Request System

Name & DOB Batch Upload



Already Entered Subjects		
PERSONNAME OTHERNAME	01/01/2000	Delete
BROWN BEAR	12/31/1999	Delete
BLACK BEAR	02/14/1979	Delete
BIGBAD WOLF	07/04/1976	Delete
HONEY BEAR	11/28/2002	Delete
RED RIDINGHOOD	01/01/1998	Delete
HONEY BADGER	11/28/1975	Delete
USERNAME LASTNAME	12/31/1970	Delete
USERNAMETWO OTHERNAMETWO	07/04/1990	Delete
TESTNAME TESTLASTNAME	02/14/1960	Delete
SOMENAME BEAR	02/27/2001	Delete
REALNAME FAKENAME	03/01/1995	Delete
NO ANOTHERNAME	04/10/1978	Delete
NAME LASTNAMETWO	08/24/1984	Delete
PROFESSOR NAME	10/31/1968	Delete
SOMEONE NAMETWO	09/21/1977	Delete
ANOTHER NAMETHREE	04/17/1993	Delete

Submit This List

- At this point you can scroll through the list to review it, use the Delete link to the right of an entry to remove it, or click on a name to confirm any details or edit the information. If you click on a name you'll see the form fields from the Subject screen filled out with the information for that applicant.

NO ANOTHERNAME	04/10/1978	Delete
NAME LASTNAMETWO	08/24/1984	Delete
PROFESSOR NAME	10/31/1968	Delete
SOMEONE NAMETWO	09/21/1977	Delete
ANOTHER NAMETHREE	04/17/1993	Delete

Submit This List

The Record Request Form is used to request criminal history checks on subjects. All requests will be processed in the order they are received. Please make sure all mandatory fields are completed. (Mandatory fields are in **bold**, with asterisk* & blue highlight)

Batch Upload

Enter Subject:

Last Name*

First Name*

Middle Name (No Punctuation)

Suffix

Street Address

Address (cont.)

City

Country

Zip/Postal Code

Zip Extended

Date of Birth*

Date of Birth (Alias)

Race

Sex

SSN (no dashes)


Miscellaneous Identifying Number (MNU) Number

Select Code

- Once you are ready to submit, click the "Submit This List" link.


10. If your agency is billed then go to the next step.

If your agency pays by credit card you'll see a payment summary screen showing the charges and the total.



Connecticut Criminal History Request System

Name & DOB



The charge is calculated based on your requests, detailed below.


Name (DOB)	Amount
ANOTHERNAME, NO (04/10/1978)	\$75.00
BADGER, HONEY (11/28/1975)	\$75.00
BEAR, BLACK (02/14/1979)	\$75.00
BEAR, BROWN (12/31/1999)	\$75.00
BEAR, HONEY (11/28/2002)	\$75.00
BEAR, SOMENAME (02/27/2001)	\$75.00
FAKENAME, REALNAME (03/01/1995)	\$75.00
LASTNAME, USERNAME (12/31/1970)	\$75.00
LASTNAMETWO, NAME (08/24/1984)	\$75.00
NAME, PROFESSOR (10/31/1968)	\$75.00
NAMETHREE, ANOTHER (04/17/1993)	\$75.00
NAMETWO, SOMEONE (09/21/1977)	\$75.00
OTHERNAME, PERSONNAME (01/01/2000)	\$75.00
OTHERNAMETWO, USERNAMETWO (07/04/1990)	\$75.00
RIDINGHOOD, RED (01/01/1998)	\$75.00
TESTLASTNAME, TESTNAME (02/14/1960)	\$75.00
WOLF, BIGBAD (07/04/1976)	\$75.00

The total charge for submitting your 17 Criminal History Record Requests: **\$ 1275.00**

NOTE: By clicking CONTINUE below, you will be directed to a secure checkout with NICUSA, the authorized payment vendor. You MUST complete the payment process to submit your name search requests.


Scroll to the bottom of the screen and click Continue to proceed to the external payment processing system. Input your credit card information and click Submit.

- You'll see the confirmation screen with a list of the submitted names, each with a transaction number.



Connecticut Criminal History Request System

Name & DOB



Thank you for using CCHRS - Name/DOB check. See below for a list of subjects submitted.

[Print](#)

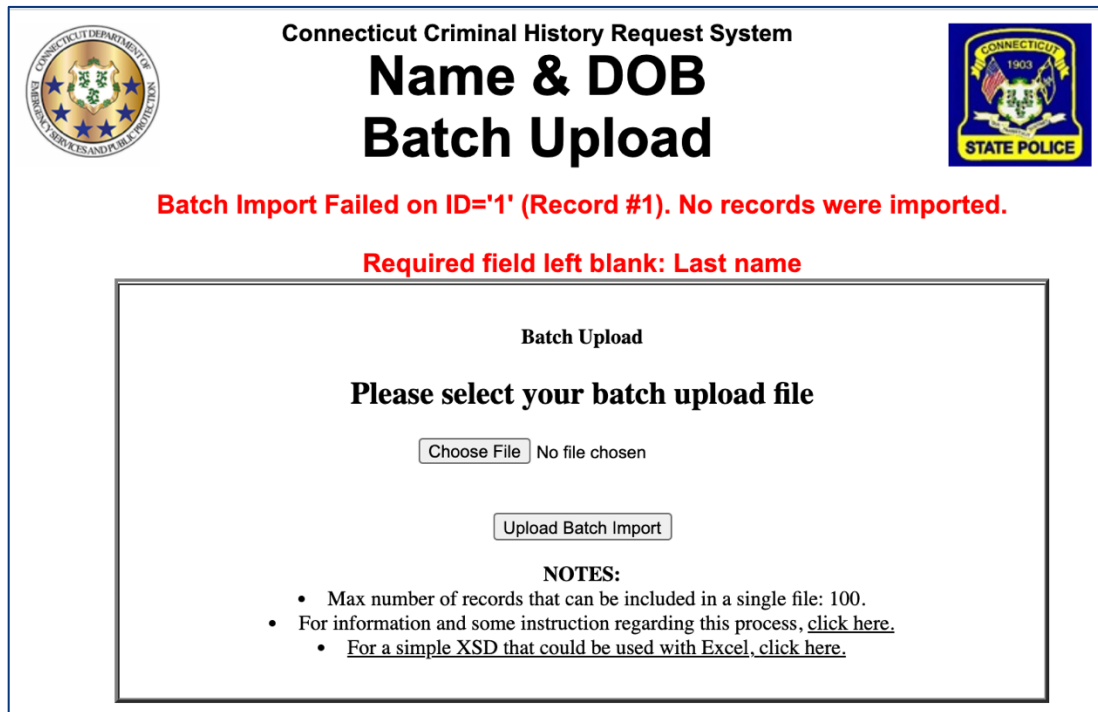
NOTE: Results may take up to 2 to 3 business days.
 Result (PDF Documents) may not be viewable on all devices. For best results, use a desktop or laptop.

Subjects Submitted		
Name	DOB	Transaction Number
PERSONNAME OTHERNAME	01/01/2000	21R0000612
BROWN BEAR	12/31/1999	21R0000613
BLACK BEAR	02/14/1979	21R0000614
BIGBAD WOLF	07/04/1976	21R0000615
HONEY BEAR	11/28/2002	21R0000616
RED RIDINGHOOD	01/01/1998	21R0000617
HONEY BADGER	11/28/1975	21R0000618
USERNAME LASTNAME	12/31/1970	21R0000619
USERNAMETWO OTHERNAMETWO	07/04/1990	21R0000620
TESTNAME TESTLASTNAME	02/14/1960	21R0000621
SOMENAME BEAR	02/27/2001	21R0000622
REALNAME FAKENAME	03/01/1995	21R0000623

At this point you can optionally use the “Print” link to print off the list with their transaction numbers.

XML Errors and Troubleshooting

If there are errors when you upload your XML file a message in red will be shown on the top of the page after you click Upload Batch Import.



The screenshot shows the 'Connecticut Criminal History Request System Name & DOB Batch Upload' interface. At the top left is the Connecticut Department of Public Safety logo, and at the top right is the Connecticut State Police logo. The main heading is 'Name & DOB Batch Upload'. Below this, a red error message reads: 'Batch Import Failed on ID='1' (Record #1). No records were imported.' Underneath the error message, another red message states: 'Required field left blank: Last name'. The central area contains a 'Batch Upload' section with the instruction 'Please select your batch upload file'. It features a 'Choose File' button (currently showing 'No file chosen') and an 'Upload Batch Import' button. Below the buttons, a 'NOTES:' section lists two points: 'Max number of records that can be included in a single file: 100.' and 'For information and some instruction regarding this process, [click here](#).' A sub-note under the second point says: 'For a simple XSD that could be used with Excel, [click here](#).'

One possible error is trying to upload a file with more than 100 applicant records, which is fixed by creating a file with only 100 applicants. Other common errors include having a blank (no data) field for First Name or Last Name.

Note: A blank line in the file will result in an error message of No Last Name, since the first error check is on that information.

You might also get an error message for having something wrong in the DOB field, such as too many digits or having a date that falls outside the normal parameters (a birth year of 1850 instead of 1950, for example).

The error message at the top of the Batch Upload screen will specify what line in the file the first error occurs on so you can go into the file and fix the problem.

Batch Import Failed on ID='1' (Record #1). No records were imported.

Required field left blank: Last name

If you are getting an error on a column that isn't one of the required ones you can either edit the individual applicant (deleting a social security number that has too few characters, for example), or remove the column from those included. See the steps on binding columns on page 14 for more information.

Please note that the error message shown on the screen only identifies the first error in a file, not all of the possible errors. Depending on your file you may fix one error and resubmit it and get an additional error message.

Creating XML from Excel

You can create your batch file from an Excel file by exporting the file using Excel's developer tools.

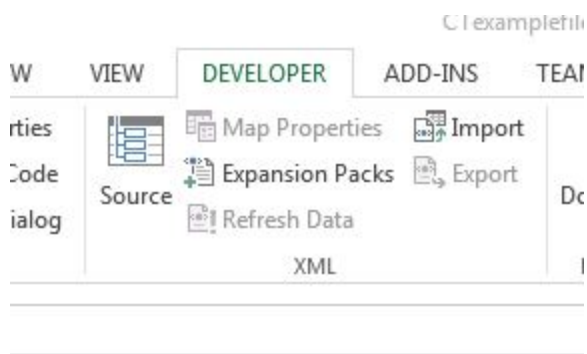
Note: You may want to start with a small test Excel file of just 10 or so entries. That way it will be faster both to upload/process and to fix any errors.

Make sure your Excel data has columns for last name, first name, & DOB. These are required. You can also have columns for the other elements shown in the example on page 19, but batch upload won't work if your file doesn't have those three columns. You also may want to review your Excel file for blank lines and for missing information in the required fields before beginning the export process.

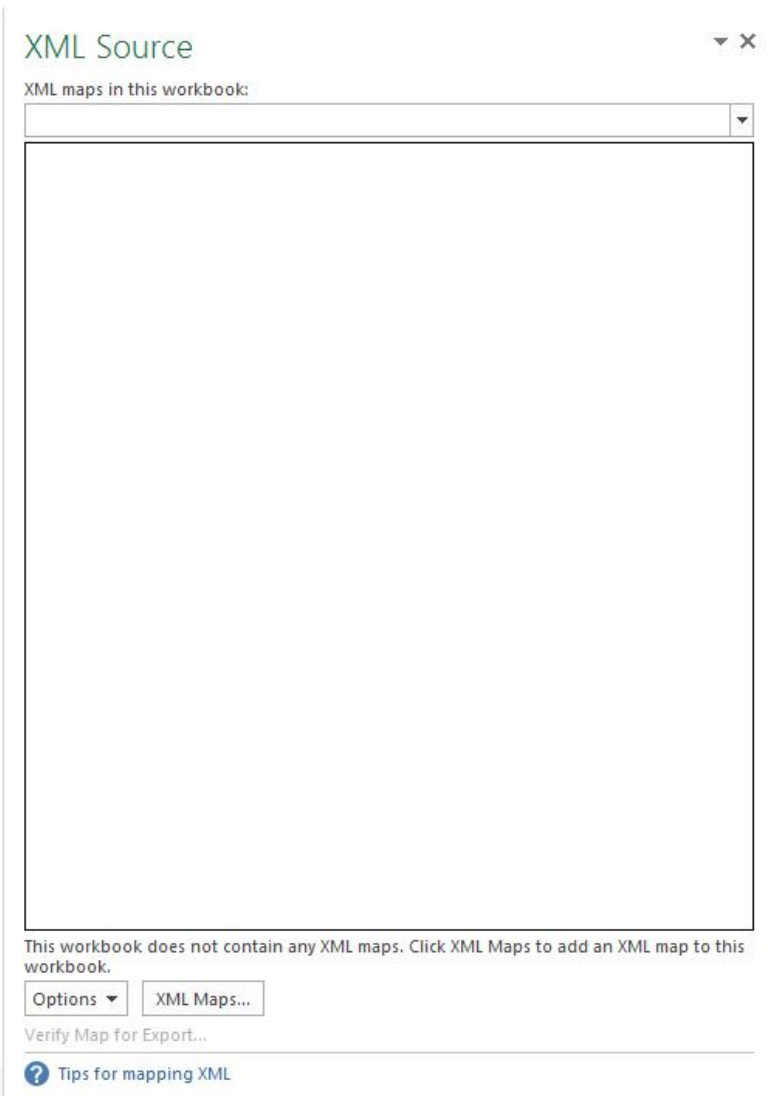
Start by making sure Excel has 'developer' selected for the main tab (see page 18).

Note: If your version of Excel is a limited version, you may not have access to the developer tools.

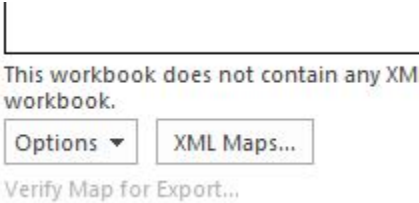
1. Open (or create) your Excel file containing the applicant information.
2. Download BatchFileUpload.xsd from the Batch Upload screen via the link in the Notes are. Be sure to remember where the file is saved on your computer.
3. In Excel, under the Developer Tab, click 'Source.'



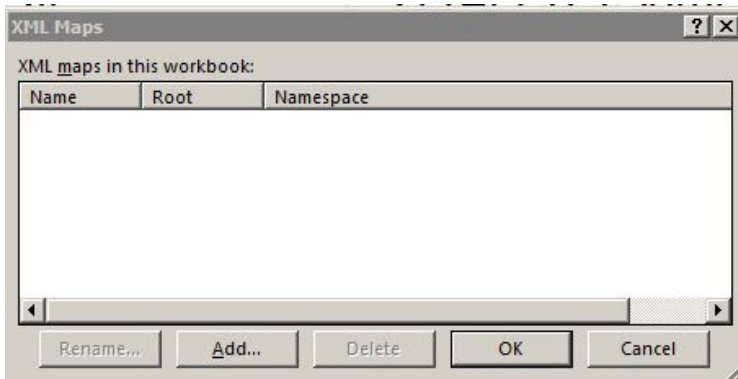
4. The 'XML Source' area will be displayed.



5. Click 'XML Maps....' at the bottom of the screen.

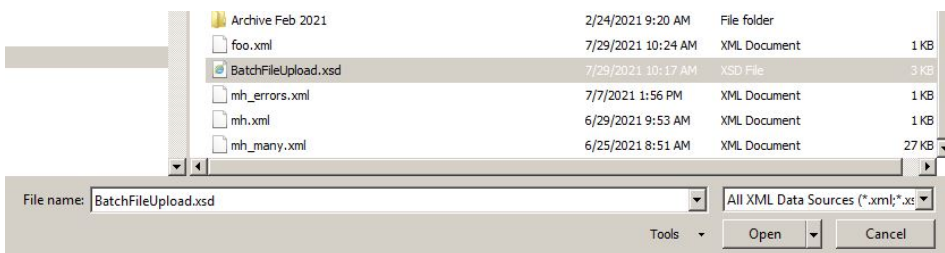


6. You'll see the XML Maps popup.

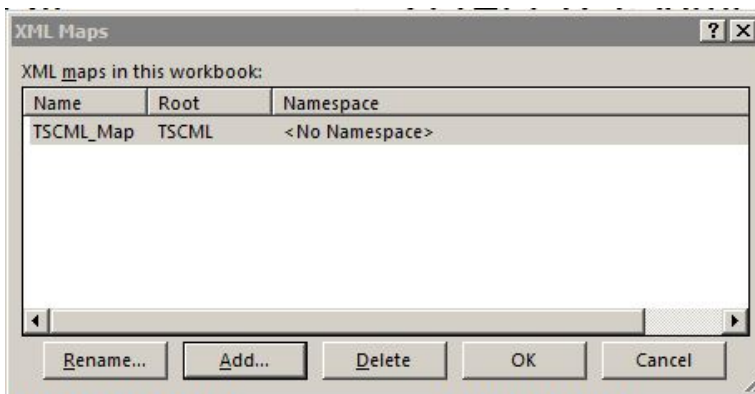


7. Click the 'Add' button.

8. Navigate to where you downloaded BatchFileUpload.xsd and select it and click Open.

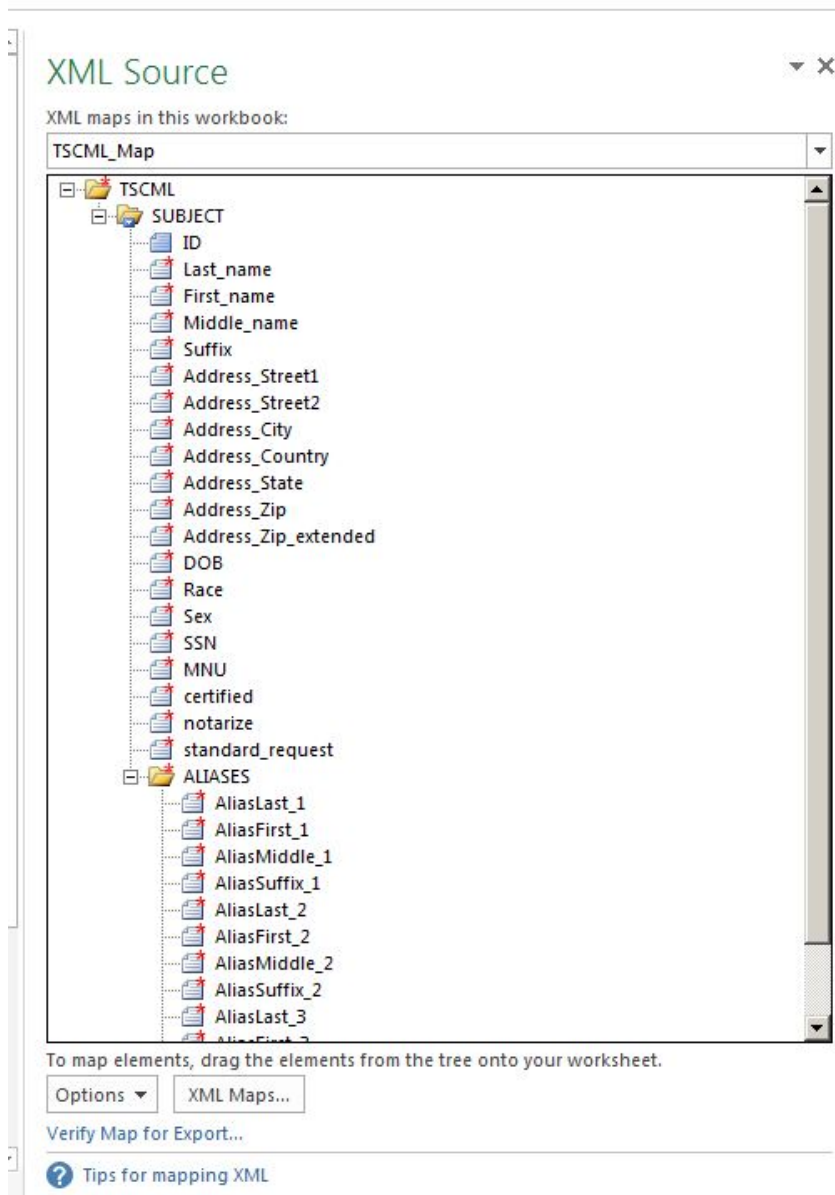


9. Select the file and click the OK button. The XML Maps will display TSCML_Map in the list.



Select it and click OK.

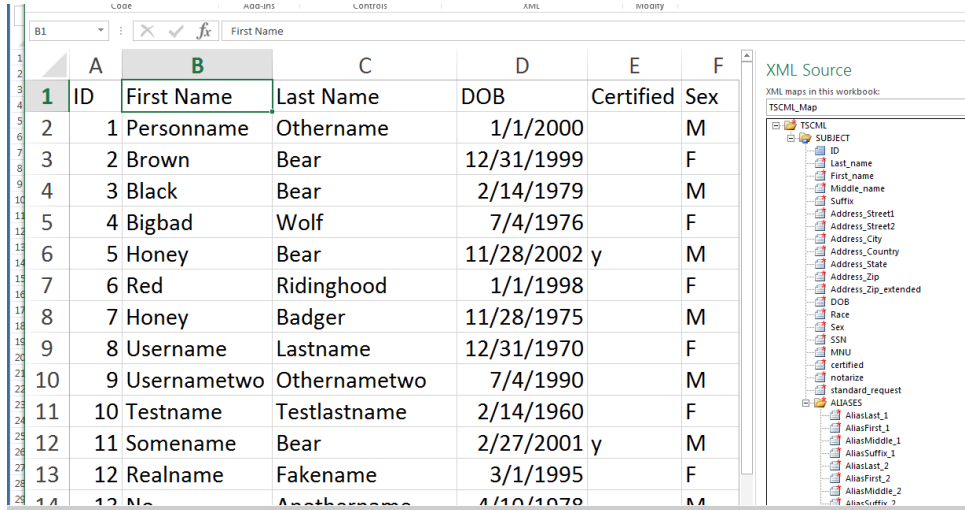
10. The XML Source panel will now show the XML elements, ready for you to bind them to your Excel columns.



Binding Your Data

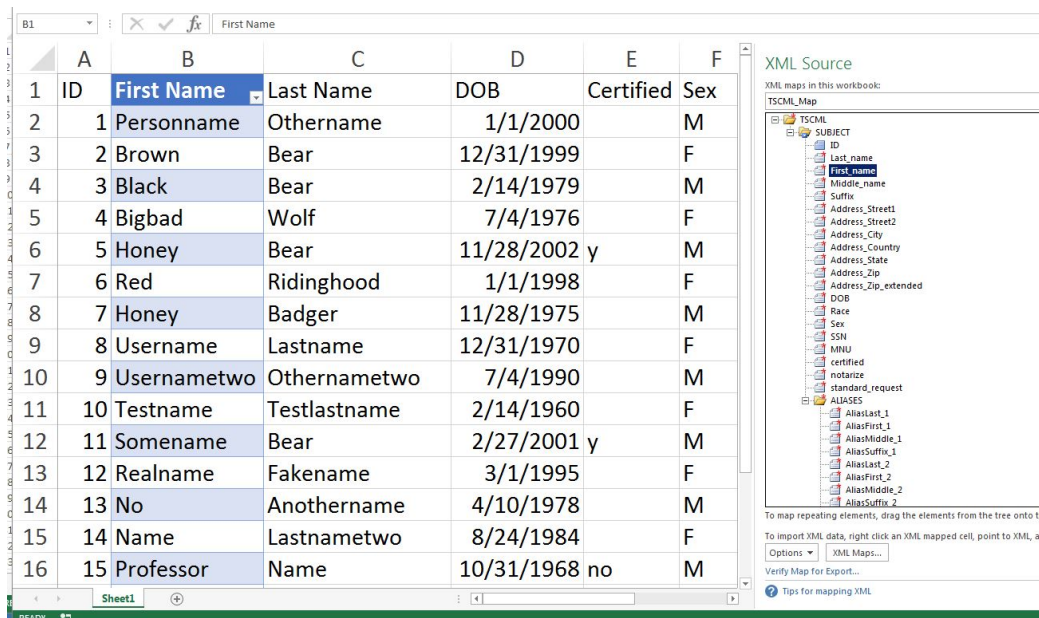
Next, you need to “bind” your Excel columns to the individual elements shown in that panel, which will map that data to XML.

1. On the left of your screen, select the column header for a column you want to bind.

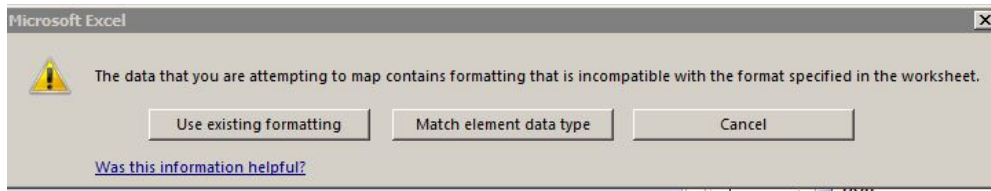


Note: You want to click the column header row, and not any of the cells, or only the column data from that cell down will be imported, resulting in an error.

2. With that column header selected, in the XML Source pane on the right double-click the element name to create the bind.



3. On some columns you'll see a warning about the format.



Click “Match Element Data Type.” The data in the column may visually change. Although it won’t look the same, it will be in the format that’s correct for XML processing.

4. Repeat for each column you want exported to XML. If there are columns you don’t want to export, don’t select that column header.

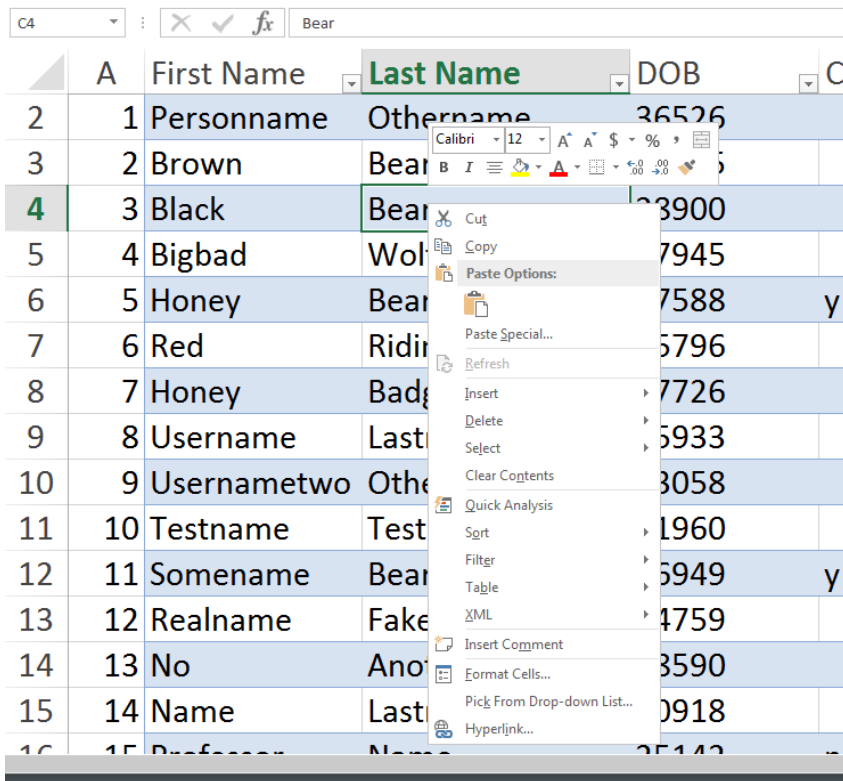
If you bind a column to the wrong data element you can right-click on the data element name in the XML Source pane and disconnect the binding.

Note: You need to be careful to bind your columns correctly. For example, if you bind the Last_Name element to the column containing the applicant’s First Name, your file may upload without errors but your background checks will fail.

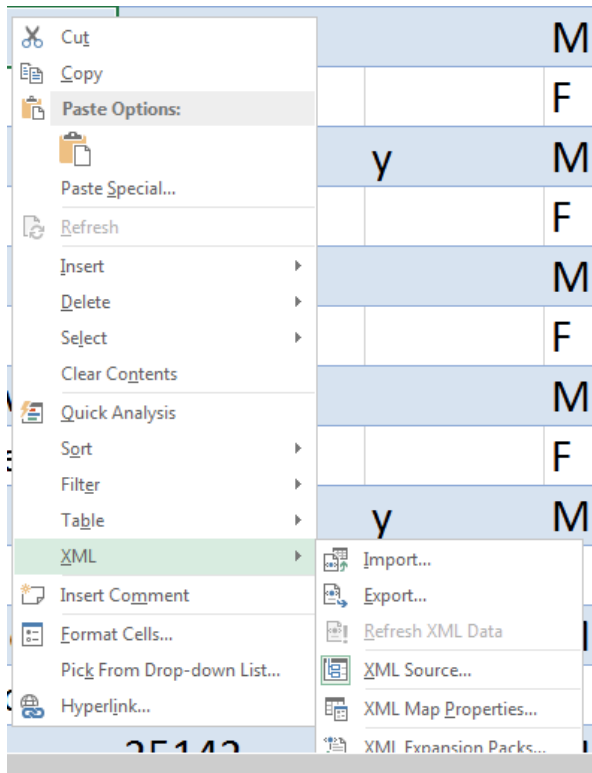
Export the XML

Once all of the columns you want to export have been bound, you can export the XML.

1. Move your cursor back to the left and right-click in any cells in a column that has been mapped to XML to see a menu.



2. Select XML, then select Export.



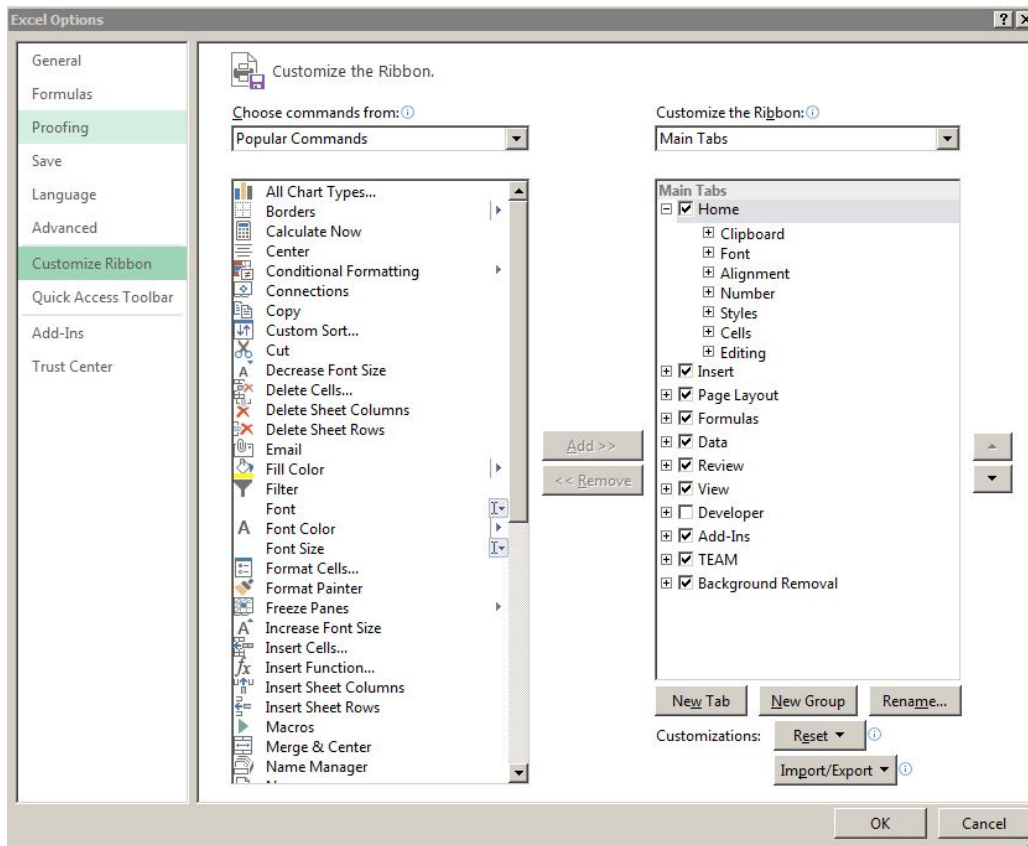
3. Choose a filename for the exported file, and make sure the extension is .XML, then click the Export button.
4. Turn to Uploading the File on page 2 and follow the instructions to upload your saved batch file.

Note: You may want to save this version of the Excel file (the one with any changed columns) under a new filename. If you get errors during upload you may need to change the file and re-export, and for anything except DOB changes it may be faster to work with this file than with your original Excel file since the columns are already bound.

Enabling Excel Developer Tools

To enable Developer tools for your main tab in Excel:

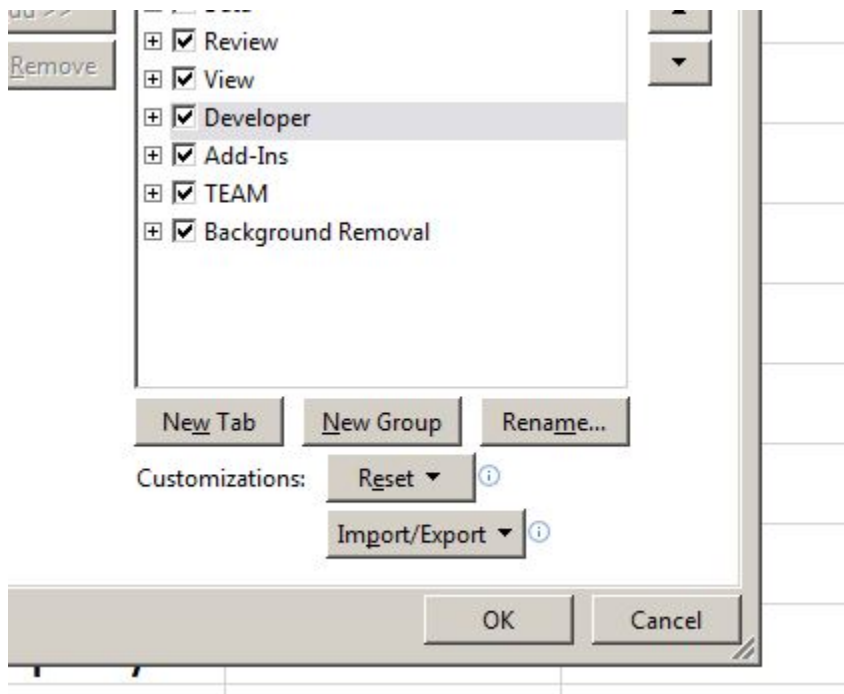
1. Click 'File' and then 'Options.'
2. Select 'Customize Ribbon' in the left pane.



3. In the right pane, under "Customize the Ribbon" select 'Main Tabs' from the drop-down at the top.



- Click the check-box for 'Developer'.



- Click the 'OK' button.
- You'll see a tab for 'Developer' listed across the top of the Excel window.



Batch File Example

The following text shows a sample XML template with entries for two applicants (two different ID elements). This shows the format and structure of the actual xml file used for batch upload even though no actual data is shown between the tags.

```
<?xml version="1.0" encoding="UTF-8" standalone="yes"?>
<TSCML>
  <SUBJECT ID="1">
    <Last_name></Last_name>
    <First_name></First_name>
    <Middle_name></Middle_name>
    <Address_Street1></Address_Street1>
    <Address_Street2></Address_Street2>
    <Address_City></Address_City>
    <Address_Country></Address_Country>
```

```

<Address_State></Address_State>
<Address_Zip></Address_Zip>
<DOB></DOB>
<Race></Race>
<Sex></Sex>
<SSN></SSN>
<MNU></MNU>
<certified></certified>
<notarize></notarize>
<standard_request></standard_request>
<ALIASES>
  <AliasLast_1></AliasLast_1>
  <AliasFirst_1></AliasFirst_1>
  <AliasMiddle_1></AliasMiddle_1>
  <AliasSuffix_1></AliasSuffix_1>
  <AliasLast_2></AliasLast_2>
  <AliasFirst_2></AliasFirst_2>
  <AliasMiddle_2></AliasMiddle_2>
  <AliasSuffix_2></AliasSuffix_2>
  <AliasLast_3></AliasLast_3>
  <AliasFirst_3></AliasFirst_3>
  <AliasMiddle_3></AliasMiddle_3>
  <AliasSuffix_3></AliasSuffix_3>
</ALIASES>
</SUBJECT>
<SUBJECT ID="2">
  <Last_name></Last_name>
  <First_name></First_name>
  <Middle_name></Middle_name>
  <Address_Street1></Address_Street1>
  <Address_Street2></Address_Street2>
  <Address_City></Address_City>
  <Address_Country></Address_Country>
  <Address_State></Address_State>
  <Address_Zip></Address_Zip>
  <DOB></DOB>
  <Race></Race>
  <Sex></Sex>
  <SSN></SSN>
  <MNU></MNU>
  <certified></certified>
  <notarize></notarize>
  <standard_request></standard_request>
  <ALIASES>
    <AliasLast_1></AliasLast_1>
    <AliasFirst_1></AliasFirst_1>
    <AliasMiddle_1></AliasMiddle_1>

```

```
<AliasSuffix_1></AliasSuffix_1>  
<AliasLast_2></AliasLast_2>  
<AliasFirst_2></AliasFirst_2>  
<AliasMiddle_2></AliasMiddle_2>  
<AliasSuffix_2></AliasSuffix_2>  
<AliasLast_3></AliasLast_3>  
<AliasFirst_3></AliasFirst_3>  
<AliasMiddle_3></AliasMiddle_3>  
<AliasSuffix_3></AliasSuffix_3>  
</ALIASES>  
</SUBJECT>  
</TSCML>
```