

Restricted Party Screening **User Guide**

University Export Control

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Why Does UA Conduct RPS?

- Restricted Party Screening (RPS) is a part of UA's due diligence to remain compliant with export regulations. RPS is performed *in addition to* background checks.
- Various U.S. government agencies maintain lists of individuals, companies, and organizations (foreign and domestic), whose U.S. export privileges are restricted, blocked, or revoked.
- Other governments and the Australian Unitracker also list entities of concern.
- RPS should be conducted *before* engaging in any transaction or activity with parties external to U of A that involve research, collaborations, procurement, visiting scholars, employment/DCC candidates, etc.)
- Risk-based decision making must occur when entities of concern are identified.
- An entity of concern may also be referred to as:
 - Party of concern
 - Prohibited party
 - Specially Designated National (OFAC)
 - Denied party or entity
 - Restricted party, etc.



Screening Responsibilities

Screening and subsequent match clearance should take place *before* further action or engagement

JA Engagement or Activity	Who Should be Screened?	Screening Responsibility
Foreign Visiting Scholars	<ul style="list-style-type: none"> • Individual • Current and previous* institutions of study/employment 	Department/College
Employment candidates	<ul style="list-style-type: none"> • Individual • Current and previous* institutions of study/employment 	Department/College
Designated Campus Colleagues (DCCs)	<ul style="list-style-type: none"> • Individual • Employer 	Department/College
International Graduate Students	<ul style="list-style-type: none"> • Individual • Current and previous* institutions of study/employment 	Department/College
International MOUs	<ul style="list-style-type: none"> • Institutions • Companies • Individuals 	Department/College, AZ International
Informal international research collaborations or partnerships	<ul style="list-style-type: none"> • Associated Individuals • Institutions • Organizations 	Department/College
Partnership/sponsorship of conferences	<ul style="list-style-type: none"> • Foreign institutions or organizations 	Department/College
Sending/sharing items, materials, or technology abroad	<ul style="list-style-type: none"> • Institutions • Companies • Individuals 	Department/College
Proposals/Contracts/Agreements	<ul style="list-style-type: none"> • Sponsors 	SPCS
Subcontractors	<ul style="list-style-type: none"> • Institutions • Companies • Individuals 	SPCS
Vendors	<ul style="list-style-type: none"> • DV and PO vendors 	FSO
Export-controlled activities and projects	<ul style="list-style-type: none"> • Associated personnel 	Export Control

*For candidates from sanctioned/restricted countries, screen previous institutions/organizations for the past 10 years. For non-sanctioned/restricted countries, screen for the past 6 years.

Using Visual Compliance

Visual Compliance is the web-based software tool used by the University. The system quickly screens the various lists for: Restricted Parties, Denied Parties, as well as Blocked, Unverified, and Sanctioned Parties lists.

The screenshot shows the Descartes Visual Compliance Research Edition web interface. The header includes the logo and navigation links: (Log Off), Contact Us, and Online Help. The main navigation bar contains links for Home, Screening, Listings, Batch Screening, US Regulations, and EU Regulations. The left sidebar lists options: Restricted Party Screening, Standard Search, Administrative Screening, Multi-Party Search, and Batch Screening Upload. The right sidebar features a welcome message for the University of Arizona, a New List Alert, and a Training section. Annotations include a red box pointing to Standard Search with the text 'Start with Standard Search (you can use Multi-Party Search if you will be screening multiple entities for the same reason)' and another red box pointing to the Training Center link with the text 'Online training videos'.

DESCARTES
Visual Compliance Research Edition™

(Log Off) Contact Us Online Help

[Home](#) [Screening](#) [Listings](#) [Batch Screening](#) [US Regulations](#) [EU Regulations](#)

Restricted Party Screening

[Standard Search](#) ← Start with **Standard Search** (you can use **Multi-Party Search** if you will be screening multiple entities for the same reason)

[Administrative Screening](#)

[Multi-Party Search](#)

[Batch Screening Upload](#)

Welcome - UNIVERSITY OF ARIZONA

New List Alert!
Please note the addition of new restricted party screening lists

Best Practices

Want some tips and tricks to get the most out of your Descartes Visual Compliance™ solutions? Visit our [Best Practices](#) forum for guidance on increasing your organization's d

Training

Whether you're new to Descartes Visual Compliance™ or simply need a refresher on how to best use the modules to which you subscribe, look no further than our [Online Training Center](#). It's your source for on-demand training —24/7.

Online training videos →

Screening Fields

Standard Search

Use full names and include middle initial for individuals, if known

Name

Insert name of individual (preferably as it appears on passport)

Company

Insert name of entity (do not use "DBA" in this field)

Address

Include as much of the address as is known

extension

Street No.

Street Name

City

city

State

state

Country

Select country if applicable ...

Zip Code

Always include a brief description* of screening purpose in **Comment** Field

Comment

Reason for RPS

Partial addresses are acceptable; a country name may be enough to clear an alert

Normal screens are ongoing ("dynamic"). For a one-time search use **Exclude** option

ECCN for country controls check

ECCN

Exclude search from Dynamic Screening

The **Exact** feature helps focus results and minimize false-positives (use for single-word entities or double words)
Using **Fuzzy** broadens the search (preferred in most cases)

Exact

Phonetic

Fuzzy

2

Weighted

Combined

SCREEN

Stemming / Thesaurus / Field Specific Remove business words

- *Pro Tip - Restricted Party Screening is ongoing (unless the Exclude option is selected), and future alerts are entirely possible. The purpose listed in the **Comment** field should allow *any* user to identify the entity and determine means of clearance, or if screening can be stopped entirely (see [Dynamic Screening Alerts](#) for more information).

➤ Pro Tip: The more details you enter in the screening record, the easier it is to evaluate potential matches.

NAME: Use for individuals. Enter middle name or initial if known.

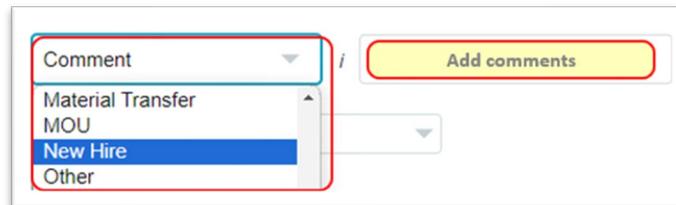
COMPANY: Use for companies, organizations, institutions, etc.

ADDRESS: Not required, but helpful for identification and clearance purposes. If the full address is not known, city, state, and/or country are also helpful.

COMMENT: Use the drop-down menu to select the type of screen, (e.g., “New Hire”) and enter purpose of screening in the “add comments” field.

Examples:

- New Hire / ECE RA candidate (include candidate’s name in related screens)
- Travel / Jane Smith / Feb 2024
- Sponsor / for [name and/or identifying number]



EXCLUDE: Use this option for a one-time screen *only* if you are certain there is no reason to have ongoing screening, e.g., employment candidate institutions, one-time visitors, etc.

SEARCH PARAMETERS:

- The preferred setting is “**Fuzzy Level 2**”
- Use “**Exact Match**” for screening single words (minus business words such as “company” or Inc” or double words (e.g., Mohamed Mohamed)
- Large organizations: Always include a department/division name (e.g., **Chinese Academy of Sciences** has over 150 branches, research institutes, and facilities, but not all are sanctioned).
- Acronyms: Enter different ways, e.g., ABC, A B C, A.B.C., etc.
- **DOUBLE CHECK SPELLING!**



Example 1 - No Match Results

Standard Search

Name: John Doe

Company: company

Address: street number, street name, extension
Street No. Street Name Extension

City: Plainview State: CA

Country: United States Zip Code: zip code

Comment: Training example

ECCN for country controls check ECCN

Exclude search from Dynamic Screening

Exact Phonetic Fuzzy 2 Weighted Combined

➤ Pro tip: To download a record of the RPS results, choose **PDF Results** from the Screening Quicklinks menu

Screening Quicklinks

- [New Search](#)
- [Email Results](#)
- [PDF Results](#)
- [Authorities Searched](#)

➤ Action needed

- When a screening results in “0 records returned” it means there are no potential matches.
- If there is no “Country Notes” icon (+ ⚠) on the results page:
 - ✓ No further action required

Standard Search

+ Search Criteria

FUZZY ADDRESS SEARCH

0 records returned

- Resolve Match Results

- Clear
- Action
- Escalate

Save Only

Save and Notify

Attach File

Add notes if required.

- No Match Results (alerts)
- No Country Notes

Example 2 – Country Notes

A Country Note is a warning that appears for a *country* with restrictions (e.g., China, Iran, Syria, Russia). Provided the transaction does not involve activities listed in the Country Notes, Export Control does not need to review.

➤ Action needed

- Review Country Notes and determine if activities are subject to listed restrictions.
- Scroll past Country Notes to find **Resolve Match Results**
- If activities are confirmed as *not* subject to restrictions listed, and there are no potential matches:
 - ✓ No action needed, okay to proceed

Standard Search

- ⚠ Country Notes

The following conditions apply to the country supplied for this entity. See the [U.S. Sanctions and Embargoes Programs Summary](#) for more information.

Risk Status	Jurisdiction	Notes
Risk	US	Prohibited as an export destination for defense articles and defense services under the ITAR (126.1) including denial policy and U.S. Arms Embargo countries.
Risk	US	Restricted as an export destination under Department of State U.S. Arms Embargoes.
Risk	US	Restricted as an export destination under EAR Part 736 General Prohibition Eight (In transit shipments and items to be unladen from vessels or aircraft).

0 records returned

-Resolve Match Results

Clear
 Action
 Escalate

Save Only
Save and Notify
Attach File

Add notes if required.

- **Country Notes** – Transaction does not involve controlled activity
- **No Match Results** (alerts)

The Country Notes on this slide display a partial list of the risk status and notes for ITAR and EAR restrictions and prohibitions. These notes are always shown for this country, regardless of the screened entity's activity.

Potential Matches

When an alert looks like it may be a match (“potential” match), what comes next?

At times it is immediately obvious that the alert is not a positive match, but sometimes it’s more difficult to determine. Use the following steps to review the alert(s):

- Check spellings, middle names/initials, and location*
- Click on the reference link for additional details, such as birth date, address, job title, etc. (there may be several links that contain differing information)
- If name is on a healthcare-related list (OIG, HHS, GSA reciprocal references) individual is NOT involved in healthcare related activities, it is likely not a match and low risk to clear.
- If you believe it is a positive match (aka “hit”), or you are still unsure, escalate to export@arizona.edu for review

**Use caution when looking at the address for an individual*



Example 4 – False Match Results

- Pro tip: It is important to pay close attention to spelling in the search results and compare to what you typed in the **search criteria**.

Standard Search

Name

Company

Address
Street No. Street Name Extension

City State

Country Zip Code

Comment

ECCN for country controls check

Exclude search from Dynamic Screening

Standard Search

+ Search Criteria

FUZZY

ADDRESS SEARCH

3 records returned

List ID	
REL008456	Susan KROEGER EVANSVILLE IN United States
NEL004598	Samuil KROL BROOKLYN NY United States
REL084862	Laurie Beth KREGER GREENBELT MD United States

- Resolve Match Results

Clear
 Action
 Escalate

Save Only

Cleared by name
Cleared by entity type

Save and Notify

Attach File

➤ Action needed

- Determine if any of the alerts are a “positive” match by checking full names, AKAs, locations, and additional details of *each alert*
- If you can verify it is not a match, clear the alert before exiting the record:
 - ✓ Select Clear (*default*) > enter [clearance criteria] > Save Only

- **Match Results** – these are all *false* match results
- *In this example, the screened entity is a company, but the results are for individuals, and the names don't match exactly*

Example 5 – Verifying Potential Match Results – *false match*

Standard Search

Name Alexis Flores

Company company

Address street number street name exten
Street No. Street Name Extensi

City city State state

Country Select country if applicable ... Zip Code zip c

Comment Training Example

ECCN for country controls check ECCN

Exclude search from Dynamic Screening

Exact Phonetic Fuzzy 2 Weighted Combined

Clear
Action
Escalate

Save Only
Save and Notify
Attach File

Add notes if required.

Match Results
Even though the name in one of the alerts is exactly the same, is it a *positive* match?

- Let's assume the "Alexis Flores" you are screening is female. Is there anything in the results that would confirm this?

List ID	Name	Match
SDN056196	FLORES CACHO, Alejand AKA BOLANOS CACHO, A AKA CACHO FLORES, Ale AKA ROBLES VALDEZ, Ab AKA "Alejandro Labasti AKA "Guillermo Labastida" Ojos Negros	
ETF000017	FLORES, Alexis AKA FLORES, Mario AKA FLORES, Mario Roberto AKA ROBERTO, Mario F. AKA CONTRERAS, Alex AKA CONTRERAS, Alexis	1
REL101116	Flores ALEX MCALLEN TX United States	1
REL1		1
REL1		1

Pro tip: Alert numbers indicate how many screening criteria match (name, address, etc.). A higher number indicates greater risk.

➤ Action needed

- Determine if any of the alerts are a "positive" match by checking full names, AKAs, locations, and additional details of *each alert*

(see next page for additional actions)

(continued from previous page)

- Click on the **List ID** hyperlink
A dialog box will appear with additional details that may help determine whether the results are connected to the individual or entity you are screening.

This alert includes the individual's DOB and description. It is *not* a positive match.

- ✓ You may clear this alert before exiting the record

➤ Pro tip: *Hover over the List ID* to identify the list name

List ID	
FTF000017	FBI Ten Most Wanted Fugitives
REL101116	
REL101114	
REL101113	
LEIE25381	
REL101115	

List ID	Description
FTF000017	FLORES, Alexis AKA FLORES, Mario AKA FLORES, Mario Roberto AKA ROBERTO, Mario F. AKA CONTRERAS, Alex AKA CONTRERAS, Alesis
	Notes Wanted for: Unlawful flight to avoid prosecution, kidnapping, murder. DOB: (07/18/1975)(07/18/1982)(09/15/1980)(07/17/1982) POB: (HN).  ; White (Hispanic) male, 5 feet 4 inches, 130 to 140 lbs., black hair, brown eyes;
	Reference N/A
	Source FBI Ten Most Wanted Fugitives

PDF E-MAIL THESE RESULTS

Example 6 – Verifying Potential Match Results – *positive match*

Standard Search

Name

Company

Address

City State

Country Zip Code

Comment

ECCN for country controls check

Exclude search from Dynamic Screening

Exact Phonetic Fuzzy Weighted Combined

Standard Search

+ Search Criteria

FUZZY

5 records returned.

List ID	Name	Reference	Alert
REL080989	ZORSECURITY LUZHNETSKAYA EMBANKMENT 2/4, BUILDING 17, OFFICE 444 MOSCOW Russia		
REL080438	ZORSECURITY LUZHNETSKAYA EMBANKMENT 2/4, BUILDING 17, OFFICE 444 MOSCOW Russia		
	GSA Excluded Parties - Reciprocal		
SDN070392	ZORSECURITY AKA TSOR SECURITY FKA ESAGE LAB Luzhnetskaya Embankment 2/4, Bldg 17 Moscow Russia		
NPO067870	ZORSECURITY Russia	82 FR 57325	
ELT069000	ZORSECURITY CENTER AKA TSOR SECURITY FKA ESAGE LAB Office 444 Building 17 Luzhnetskaya Embankment 2/4 Moscow Russia	82 FR 722-25	

Match Results

- The name and location are the same. These alerts appear to be positive matches (“hits”)

• Hover over List ID to identify list name

• Click on List ID for additional alert details

➤ Action needed

- Determine if any of the alerts are a “positive” match by checking full names, AKAs, locations, and additional details of *each alert*
 - ✓ If it is a positive match, or you are unsure, escalate to export@arizona.edu

Managing Match Results

When a Restricted Party Screening (RPS) results in a potential match, the Screener can elect one of three options to help manage the results:

- **Clear**
- **Action**
- **Escalate**

Clear: is used when a potential match is confirmed as not being a match.

Action: is used to note an activity that needs to be taken, such as 'check date of birth' or 'verify address' or other criteria to affirm if the result is a positive match.

Escalate: is used to promote the results for review by another individual or department (e.g., Export Control).

The screenshot displays a web interface for 'Standard Search'. It features a search criteria section with a plus sign and a 'Country Notes' section with a plus sign and a warning icon. Below these is a 'FUZZY' search result section showing '0 record returned.' Underneath, there is a 'Resolve Match Results' section with three radio button options: 'Clear' (selected), 'Action', and 'Escalate'. To the right of these options is a text input field with the placeholder text 'Add notes if required.'. At the bottom of the interface are three buttons: 'Save Only', 'Save and Notify', and 'Attach File'.

Clear False Match Results

Clear: Use when all potential matches have been checked, and it is verified there is not a positive match.

To clear alerts at time of screening:

1. Select **Clear** (default setting)
2. Enter clearance criteria in notes field

Notes examples:

- Cleared by first or last name
- Cleared by gender
- Cleared by address*

3. Select **Save Only**

To clear alerts after the record has been closed:

- See [Compliance Manager Workflow](#)

11 records returned.

- Resolve Match Results

Clear **1** Add notes if required.

Action **2**

Escalate

Save Only **3**

Save and Notify

Attach File

List ID	Name	Reference	Alert
SDN056186	FLORES CACHO, Alejandro AKA BOLANOS CACHO, Alejandro AKA CACHO FLORES, Alejandro AKA ROBLES VALDEZ, Abel AKA "Alejandro Labastida" AKA "Guillermo Labastida" Ojos Negros		
FTF000017	FLORES, Alexis AKA FLORES, Mario AKA FLORES, Mario Roberto AKA ROBERTO, Mario F. AKA CONTRERAS, Alex AKA CONTRERAS, Alesis		
REL101116	Flores ALEX MCALLEN TX United States		

- *Pro tip: Addresses are generally used for clearing companies or institutions, as people can move. In some circumstances, an address may be used to clear individuals. Contact export@arizona.edu to verify.

Action Potential Match Results

Action: Use when the Screener needs to take additional action, such as check the date of birth, or verify an address or middle initial/name.

This helps the Screener record additional steps needed to determine if the result is a positive match. The step is stored for audit purposes to show due diligence in reviewing the potential match.

To set an 'action' status to results:

1. Select **Action**
2. Enter comments in the notes field

Notes examples:

- Verify middle name
- Verify DOB

3. Select **Save Only**

11 records returned.

- Resolve Match Results

Clear

Action **1**

Escalate

Add notes if required.

2

Save Only **3**

Save and Notify

Attach File

List ID	Name	Reference	Alert
SDN056186	FLORES CACHO, Alejandro AKA BOLANOS CACHO, Alejandro AKA CACHO FLORES , Alejandro AKA ROBLES VALDEZ, Abel AKA "Alejandro Labastida" AKA "Guillermo Labastida" Ojos Negros		
FTF000017	FLORES, Alexis AKA FLORES, Mario AKA FLORES, Mario Roberto AKA ROBERTO, Mario F. AKA CONTRERAS, Alex AKA CONTRERAS, Alesis		
REL101116	Flores ALEX MCALLEN TX United States		

Escalate Potential Match Results

Escalate: Use when the Screener is unable to clear the results directly and needs a supervisor or Export Control to review the match.

To escalate results:

1. Select **Escalate**
2. Enter action taken in the notes field
3. Select **Save and Notify** – a Send Notification popup will appear
4. Enter email address of reviewer
5. Enter comments in the “Notations to this results email” field to help the reviewer understand the reason for the escalation
6. Select **Mail**

- Resolve Match Results

Clear
 Action
 Escalate

Save Only

Save and Notify

Attach File

List ID	
REL100951	Flo MC Un
REL100949	Ale MC Un
REL100948	Ale MC Un

Escalated to Export control for review

Send Notification

Send to me.
 Send to this address:
export@arizona.edu
Please type carefully. Email addresses with errors cannot be delivered.

Send to addresses on my list:
 Send to [Email Distribution Groups](#) on my list:

Notations to this results email:
Please review screen for AME Grad Research Assistant candidate

Mail Close

- Pro tip: To escalate a single alert, click on the individual alert's **List ID** to open, then select EMAIL THESE RESULTS and follow steps 4-6 above

Email Notifications

Descartes Visual Compliance Resolution Services

Report created by: MROCHON@ARIZONA.EDU, ARIZ SYS - UNIVERSITY OF ARIZONA
Date: JUN-29-2024 12:03:31 GMT

Please review screen for AME Grad Research Assistant candidate

Current record status

Name:	Alexis Flores
Company:	
Screener:	mrochon@arizona.edu
Screen Date:	Jun-28-2024 11:39:59 GMT
Alert:	_R
Current Status:	Escalated
Last Reviewer	Margaret Rochon
Last Review Date:	Jun-29-2024 12:03:31 GMT
Activity Log:	2024-06-29 - [Margaret Rochon] - [VEE3T] Escalated to Export control for review 2024-06-29 - Escalated [Margaret Rochon] - [VEE3T] New to Escalated

Top 10 of 11 Match Results

Reference:	REL100951	Type:
Source List:	GSA Excluded Parties - Reciprocal	Category:

The email notification will contain:

- Entity information entered by the screener (e.g., name, address, etc.)
- Comment entered when record was escalated
- Information contained in the alert(s)

When escalating a match to Export Control for review, please also email any pertinent information, (e.g., job description and CV for employment candidate)

To resolve the match, someone with Audit Access (administrative rights) will need to clear the alert.

Dynamic Screening Alerts

WHY DO I RECEIVE EMAILS ABOUT PREVIOUS SCREENINGS?

After an individual or entity is initially screened that name is automatically re-screened periodically (“dynamic screening”). If a new alert appears for the individual or entity, the person who conducted the screening will receive a “Daily RPS Dynamic Screening Alert” email indicating there is now a potential match.

When these emails are received, it is the initial Screener’s responsibility to verify that the emailed results are not an issue. This is where inserting a comment in the original search becomes especially helpful (refer to [Comment](#) section in slide 7).

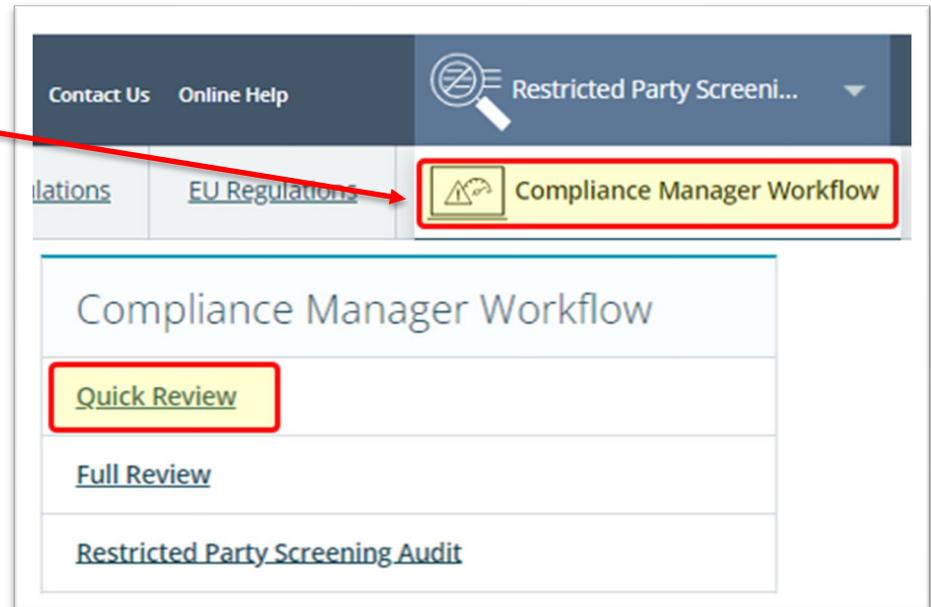
- If you determine the new alert is not a match, you can:
 - Clear the alert yourself using [Compliance Manager Workflow](#) (see next slide)
 - Forward the alert email to Export Control (export@arizona.edu) with an explanation as to why the results are not applicable to the original search (e.g., name does not match, address does not match, etc.).
- If the individual or entity is no longer affiliated with the University, forward the alert email to Export Control to stop screening on the individual or entity, explaining how they are no longer affiliated (e.g., employee terminated).
- If you believe the result is a positive match, forward the alert email to Export Control for further investigation before proceeding with any agreements/engagements.

Compliance Manager Workflow

Alerts can't always be cleared at the time of screening due to lack of information. Additionally, Dynamic Screening Alerts (DS New) may be received at any time after the initial screening that will require review (see [Dynamic Screening Alerts](#)).

To Clear Alerts After Exiting Initial Screening -
Click on Restricted Party Screening in the top ribbon and select **Compliance Manager Workflow** from the dropdown menu.

- **Quick Review** – Use to review and clear individual alerts.
- **Full Review** – Use to review multiple records (bulk).
- **Restricted Party Screening Audit** – recording tool for viewing previously completed restricted party screening searches. The records cannot be edited using this tool.



Please note: All users can see the records of their own screenings in Compliance Manager Workflow. For access to other records, please contact export@arizona.edu.

Quick Review Screen

Resolution Manager - Quick Review

Keywords **1** search keywords

Alert: All RPS Alerts **2** Screener: Select Screener From: 06/24/2024 **4**

Status: New **3** Reviewer: Select Reviewer To: 07/01/2024 **4**

Division: ALL DIVISIONS Assignee: Select Assignee Use: Screening Date **5**
 New Match Date

Only My Assigned Records Show multiple DS alerts since last cleared
 Display Name/Company Searches Display Address Searches

Records Displaying: 25

SEARCH
RESET
STOP SEARCH

- 1. Keywords** – Search for a specific record (dropdown allows searches by different methods)
- 2. Alert** – Search by various alert types (use **All RPS Alerts** for most searches)
 - Note: **All Records** will show every search, regardless of the results
- 3. Status** – Search by record status
 - **New** = Alerts created by new searches
 - **DS New** = Dynamic Screening Alerts
 - **All** = every search, regardless of the results
- 4. Date Range** – Default is one week
- 5. Use**
 - **Screening Date** = all new screens performed within the selected time frame
 - **New Match Date** = screens performed within that time frame *plus* any screens that received a match through Dynamic Screening during the time frame indicated

➤ Pro Tip: You can also search by screener, by division, widen the date range, etc.

"New" Alert Search

In this example, we are looking for an alert triggered during the initial screen. The screener didn't clear the alert at the time of the screening but now has the information to do so:

1. Screened entity: Enter entity name ("Resolutions LLC" in this example) in the **Keywords** field (the full name is not required, but spelling must match)
2. Search type: Select **All RPS Alerts**
3. Alert type: Select **New** in the **Status** field (if the alert was escalated, choose **Escalated** for the alert type)
4. Date of Search (when the alert was triggered): Enter the date in the **From** and **To** fields and select **Screening Date**

The screenshot shows the "Resolution Manager - Quick Review" search interface. It features several input fields and dropdown menus. Red boxes and arrows highlight specific elements corresponding to the numbered list items:

- 1:** Points to the **Keywords** field containing the text "resolutions".
- 2:** Points to the **Alert:** dropdown menu, which is set to "All RPS Alerts".
- 3:** Points to the **Status:** dropdown menu, which is set to "New".
- 4:** Points to the date selection area, which includes **From:** and **To:** fields both set to "09/17/2024", and the **Use:** radio button selection set to "Screening Date".

Other visible fields include **Screeener:** Select Screeener, **Reviewer:** Select Reviewer, **Assignee:** Select Assignee, and **Division:** ALL DIVISIONS.

Continue to [Search Results](#)

"DS New" Alert Search

In this example, we received a Daily RPS Dynamic Screening Alert email (a new alert on a previously run screen) and need to search for the record in VC:

[EXT] Daily RPS Dynamic Screening Alert (CSRPS17)



report@visualcompliance.com
To ○ VPR-export

External Email

NOTICE: Descartes Visual Compliance RPS Dynamic Screening has found a match for a previously screened party.

Attn: ARIZ SYS - UNIVERSITY OF ARIZONA – [DIVISION NAME]

Original Search

User: John Doe (DIVISION NAME)

Date of Search: Friday, September 24, 2021

Time of Search: 10:11:24 PM Coordinated Universal Time

Search Type: Exact [Export, Sanction, GSA, Police, PEP, International]

Company: Intel

Address: N/A

Comment: COM-Comment: Dr. Smith's project

Dynamic Screening Alert

Date of Search: Friday, September 20, 2024

Alert Type: YELLOW FLAG

MSR Reference Number: REL116097

Name: INTELLER LLC

Notes: Code: {/} Agency: TREAS-OFAC Status: Prohibition/

Source: GSA Excluded Parties – Reciprocal

1. Screened entity: Enter entity name (a company named "Intel" in this instance) in the **Keywords** field
2. Search type: Select **All RPS Alerts**
3. Alert type: Select **DS New** in the **Status** field
4. Date of Search (when the DS alert was triggered): Enter the date in the **From** and **To** fields and select **New Match Date**

Resolution Manager - Quick Review

Keywords: 1

Alert: 2

Status: 3

Division:

From: 4

To: 4

Use: Screening Date New Match Date 4

Records Displaying: 25

Search Results

Depending on the search parameters, you may get multiple results.

- To find the correct record in the **Entity** column, click on **Matched Entity** to open the record and scroll through the records by clicking on **Next Record** until the correct entry is found.

Search Results

Entity	Result
1	Matched Entity <ul style="list-style-type: none">• INFINITY RESOLUTION MARKETING LLC• INFINITY MULTI SPECIALTY CLINIC LLC• INFINITY DIAGNOSTICS CENTER BEAUMONT LLC• INFINITY SPINE MSO LLC• Ryan WOODSON• See Additional Results

Search Details

Comment:	VENDOR: 02834860-0	History Attach File Stop Dynamic Screen
Division:	FINANCIAL SERVICES OFFICE	RESOLUTIONS LLC (50)
Name:		Exact
Company:	RESOLUTIONS LLC	- Resolve Match Results
Address 1:		New
Address 2:		Select Assigned To
Address 3:		
City:	CONCORD	
State:	MA	
Country:	US	
Date:	Sep-17-2024 03:57:59	
Alert:	Red Alert	
Confidence Rating:		
Screener:	DSBATUOFA	
Secno:	BGZHE	
Settings:	EXT ST1 TH1 FS0 ECO	

RPS Details Latest Alert Alert History

Description	Notes
INFINITY RESOLUTION MARKETING LLC 3310 EDLOE ST. 77027 HOUSTON TX United States US	

There are multiple results for this entity.

Scroll through the individual results to review each one (the closest matches will be at the top)

This is not a match

Search Results

The results for New alerts and DS New alerts will look the same except for the Resolve Match Results status and comments in the New Notes field

Search Results

	Entity	Result
1	<p>Comment: Dr Jones Project</p> <p>Name :</p> <p>Company :Intel</p> <p>Address 1 :</p> <p>Address 2 :</p> <p>Address 3 :</p> <p>City :</p> <p>State :</p> <p>Country :US</p>	<p>Matched Entity</p> <p>• INTELLER LIMITED LIABILITY COMPANY</p>

In this example, the company name *and* the country names do not match.

Search Details

Comment : COM-Comment: Dr. Missouri's pro... [History](#) [Attach File](#) [Stop Dynamic Screening](#) [PDF](#)

Division : VICE PRESIDENT FOR RESEARCH

Name : INTEL (1)
Exact (Cleared)

Company : Intel

Address 1 :
Address 2 :
Address 3 :
City :
State :
Country :

Date : Sep-24-2021 22:11:24

Alert : Yellow

Confidence Rating :

Screeener : amyweber@arizona.edu

Secno : K1X6O

Settings : EXT|ST1|TH1|FS1|ECO|BUS

List : Groups 1,2,3,4,5,6 ,

Resolve Match Results

Cleared

Select Assigned To

Save Save and Next

New Notes:
Add notes if required.

2024-09-20 15:50:20.0 - DS New
[DYNAMIC SCREENING NORA MORIARTY] - [68581]
Cleared to Dynamic Screening New Match

RPS Details Latest Alert Alert History Confidence Rating

Alert	Reference	Match Date
Yellow	REL117973 GSA Excluded Parties - Reciprocal	Nov-02-2024
True Hit	<input type="checkbox"/>	Confidence Rating
Description	INTELLER LIMITED LIABILITY COMPANY UL SOVETSKAYA (PERVOMAISKII MKR), D. 31, POMESHCH. 2, KAB. 1 141069 KOROLEV MOSCOW OBLAST Russia RU	Notes
		Code: (/) Agency: TREAS-OFAC from view References: INTELLER LLC

Resolve Search Results

Follow the guidelines in [Potential Matches](#) to clear alerts.

The screenshot shows the 'Resolve Match Results' dropdown menu with the following options: New, New, Actioned, Escalated, Cleared (highlighted in blue), False Hit, Closed, and True Hit. The 'New Notes' field contains the text 'Cleared by name'.

The screenshot shows the 'Resolve Match Results' form for 'UNIVERSITY TEHRAN (1) Fuzzy (New)'. The form includes buttons for History, Attach File, Stop Dynamic Screening, PDF, and Next Record. The 'Resolve Match Results' dropdown menu is open, showing the 'Cleared' option selected. The 'New Notes' field contains the text 'Cleared by name'. The 'Save' button is highlighted in green.

- Select **Cleared** from the dropdown menu
- Enter clearance criteria in the New Notes field
- **Save**