

“Resolve Match” through Visual Compliance

University Export Control Program

<https://rgw.arizona.edu/compliance/export-control-program>

export@arizona.edu



THE UNIVERSITY
OF ARIZONA

Resolve Match Results

When Restricted Party Screening (RPS) is conducted, if there is a potential match resulted, the Screener can elect one of 3 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 true match.

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

The screenshot displays the eCustoms RPS interface. At the top, there are navigation tabs for CCL/ECCN, ITAR/USML, Inventory, RPS, Regulations, Schedule B, Resources, and Home. The search criteria for 'John Smith' are shown, including company, address, city, state, and country. A comment indicates the search was for 'Exact matches' and returned 15 results. The search date is Tuesday, July 25, 2017, at 11:46 AM EDT. A red arrow points to the 'RESOLVE MATCH RESULTS' button, which is circled in red. Below this button are three radio button options: 'Clear', 'Action', and 'Escalate', along with 'Save Only' and 'Save and Notify' buttons. A text box for 'Add notes if required.' is also present. Below the buttons are 'PDF', 'PRN', and 'EXCEL' options. The main table lists search results with columns for Reference, Name, FRC, and Alert. The results include entries for PRIDMORE-SMITH, JOHN D SMITH, JOHN PHILIP SMITH, JOHN WILLIAM SMITH, TIMOTHY JOHN SMITH, and JOHN BRIAN SMITHER.

Reference	Name	FRC [Click for PDF]	Alert
DPL000215	PRIDMORE-SMITH, John B. AKA PRIDMORE-SMITH, Bramwell J. Daventry United Kingdom		
LEIE57321	JOHN D SMITH PHILADELPHIA PA United States		
LEIE57322	JOHN PHILIP SMITH ROSEVILLE CA United States		
LEIE57323	JOHN WILLIAM SMITH NEW YORK NY United States		
LEIE57575	TIMOTHY JOHN SMITH CANON CITY CO United States		
LEIE57633	JOHN BRIAN SMITHER LA GRANGE		

To "Clear" Match Results

Clear:

is used when none of the potential matches is in question and can be eliminated as not a concern, the Screener can "clear" these results. This will prevent these results from appearing in a future automated re-screening of that name on the list it resulted in. Only if the name appears on a different list will the automated re-screening generate a report for that RPS record.

To clear results:

1. Click the box to the right of the result.
2. Add notes in the comment field, (i.e., name does not match).
3. Then click the "save only" button.

The screenshot displays the Visual Compliance Research Edition interface. At the top, there are navigation tabs for CCL/ECCN, ITAR/USML, Inventory, RPS, Regulations, Schedule B, Resources, and Home. The main content area shows search criteria for "John Smith" and a comment "TESTING". Below this, there are buttons for "Resolve Match Results", "Clear", "Save Only", "Action", "Save and Notify", and "Escalate". A table of results is shown below, with columns for Reference, Name, FRC, and Alert. The table contains four rows of results, each with a "1" in a red box next to the name field. A "2" in a red box is next to the "Add notes if required." field, and a "3" in a red box is next to the "Save Only" button.

Reference	Name	FRC [Click for PDF]	Alert
DPL000215	PRIDMORE-SMITH, John B. AKA PRIDMORE-SMITH, Bramwell J. Daventry United Kingdom	<input checked="" type="checkbox"/>	
LEIE57321	JOHN D SMITH PHILADELPHIA PA United States	<input type="checkbox"/>	
LEIE57322	JOHN PHILIP SMITH ROSEVILLE CA United States	<input checked="" type="checkbox"/>	
LEIE57323	JOHN WILLIAM SMITH NEW YORK NY United States	<input checked="" type="checkbox"/>	

To "Action" Match Results

Action:

is used 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 that need to be taken to affirm if the result is a true match. This step also is stored for audit purposes to show due diligence was taken in reviewing the potential match.

To set an 'action' to results:

1. Click the box to the right of the result.
2. Add notes in the comment field, (*i.e.*, verify middle initial).
3. Then click the "save only" button.

The screenshot shows the eCustoms Research Edition interface. At the top, there are navigation tabs: CCL/ECCN, ITAR/USML, Inventory, RPS, Regulations, Schedule B, Resources, and Home. The search criteria are: Name: John Smith, Company: n/a, Address: n/a, City: n/a, State: n/a, Country: n/a. The comment is: Comment: TESTING. The search type is: for Exact matches, which returned 15 results. The date of search is: Tuesday, July 25, 2017. The time of search is: 11:46 AM EDT. Below the search criteria, there is a section titled 'RESOLVE MATCH RESULTS' with three buttons: Action (circled in red), Save Only (with a red box containing the number 3), and Escalate. To the right of these buttons is a text input field with the placeholder text 'Add notes if required.' (with a red box containing the number 2). Below this section, there are three buttons: PDF, PRN, and EXCEL. At the bottom, there is a table with columns: Reference, Name, FRC [Click for PDF], and Alert. The table contains four rows of search results:

Reference	Name	FRC [Click for PDF]	Alert
DPL000215	PRIDMORE-SMITH, John B. AKA PRIDMORE-SMITH, Bramwell J. Daventry United Kingdom	<input checked="" type="checkbox"/>	
LEIE57321	JOHN D SMITH PHILADELPHIA PA United States	<input type="checkbox"/>	
LEIE57322	JOHN PHILIP SMITH ROSEVILLE CA United States	<input checked="" type="checkbox"/>	
LEIE57323	JOHN WILLIAM SMITH NEW YORK NY United States	<input checked="" type="checkbox"/>	

To “Escalate” Match Results

Escalate:

is used when the Screener is unable to clear the result directly and needs a supervisor or the UECP to review the match.

To set an ‘escalation’ to results:

1. Click the box to the right of the result that needs review.
2. Add notes in the comment field, (i.e., review reference #s DPL000215, LEIE57321, and LEIE57322).
3. Then click the “save and notify” button.

The screenshot shows the eCustoms Research Edition interface. The search criteria are: Name: John Smith, Company: n/a, Address: n/a, City: n/a, State: n/a, Country: n/a. The comment is: Comment: TESTING. The search type is: for Exact matches, which returned 15 results. The date of search is: Tuesday, July 25, 2017. The time of search is: 11:46 AM EDT.

The interface includes a 'RESOLVE MATCH RESULTS' section with options: Clear, Action, and Escalate. The 'Escalate' option is circled in red. A text field for notes is present, with a red box and the number 2 next to it. A 'Save and Notify' button is highlighted with a red box and the number 3.

Below the 'RESOLVE MATCH RESULTS' section is a table with columns: Reference, Name, FRC [Click for PDF], and Alert. The table contains four rows of match results:

Reference	Name	FRC [Click for PDF]	Alert
DPL000215	PRIDMORE-SMITH, John B. AKA PRIDMORE-SMITH, Bramwell J. Daventry United Kingdom	<input checked="" type="checkbox"/>	
LEIE57321	JOHN D SMITH PHILADELPHIA PA United States	<input type="checkbox"/>	
LEIE57322	JOHN PHILIP SMITH ROSEVILLE CA United States	<input checked="" type="checkbox"/>	
LEIE57323	JOHN WILLIAM SMITH NEW YORK NY United States	<input checked="" type="checkbox"/>	

To “Escalate” Match Results

Send Notification

Send to me.

Send to this address:
Please type carefully. Email addresses with errors cannot be delivered.

Send to addresses on my list: *There are no email addresses in your personal distribution list.*

Send to address groups on my list: *There are no email groups in your personal distribution list.*

Notations to this results email:

Your Selected Reference No.: DPL000215, LEIE57321, LEIE57322, LEIE57323, LEIE57575

Mail Close

Send Notification:

After clicking the “Send and Notify” button a dialog box will appear for entering the email address(es) that the Screener wants the notification to go to. Additional comments can be shared in the “notations” box. When ready, click the “Mail” button to send the message.

A “NOTIFICATION SENT” message will **briefly** appear to the right of the comment box for the “result match results” expansion box.

RESOLVE MATCH RESULTS

NOTIFICATION SENT

Clear

Action

Escalate

Check LEIE57321; I believe it is a true match.

PDF PRN EXCEL

Email Notification

Visual Compliance Resolution Services

Report created by: @EMAIL.ARIZONA.EDU, ARIZ SYS - UNIVERSITY OF ARIZONA

Date: JUL-25-2017 12:16:54 EDT

TESTING
Please review; potential match.

Current record status

Name:	John Smith
Company:	
Screener:	@EMAIL.ARIZONA.EDU
Screen Date:	Jul-25-2017 11:46:16 EDT
Alert:	_Y
Current Status:	Escalated
Last Reviewer	@EMAIL.ARIZONA.EDU
Last Review Date:	Jul-25-2017 4:15:52 EDT
Activity Log:	2017-07-25 - Escalated New to Escalated .. [ISWRO]

Top 5 of 15 Match Results

If the Screener selected only certain records, it will show the number of records selected out of the total number of potential matches resulted. The records selected are summarized below this header

Reference:	DPL000215	Type:	
Source List:	Denied Persons List [BIS]	Category:	
Name:	PRIDMORE-SMITH, John B. AKA PRIDMORE-SMITH, Bramwell J.	Alert Type:	_Y
Street1:	Malabar Fields	Created:	
Street2:		Start:	12/14/1984
City:	Daventry	End:	12/30/2099

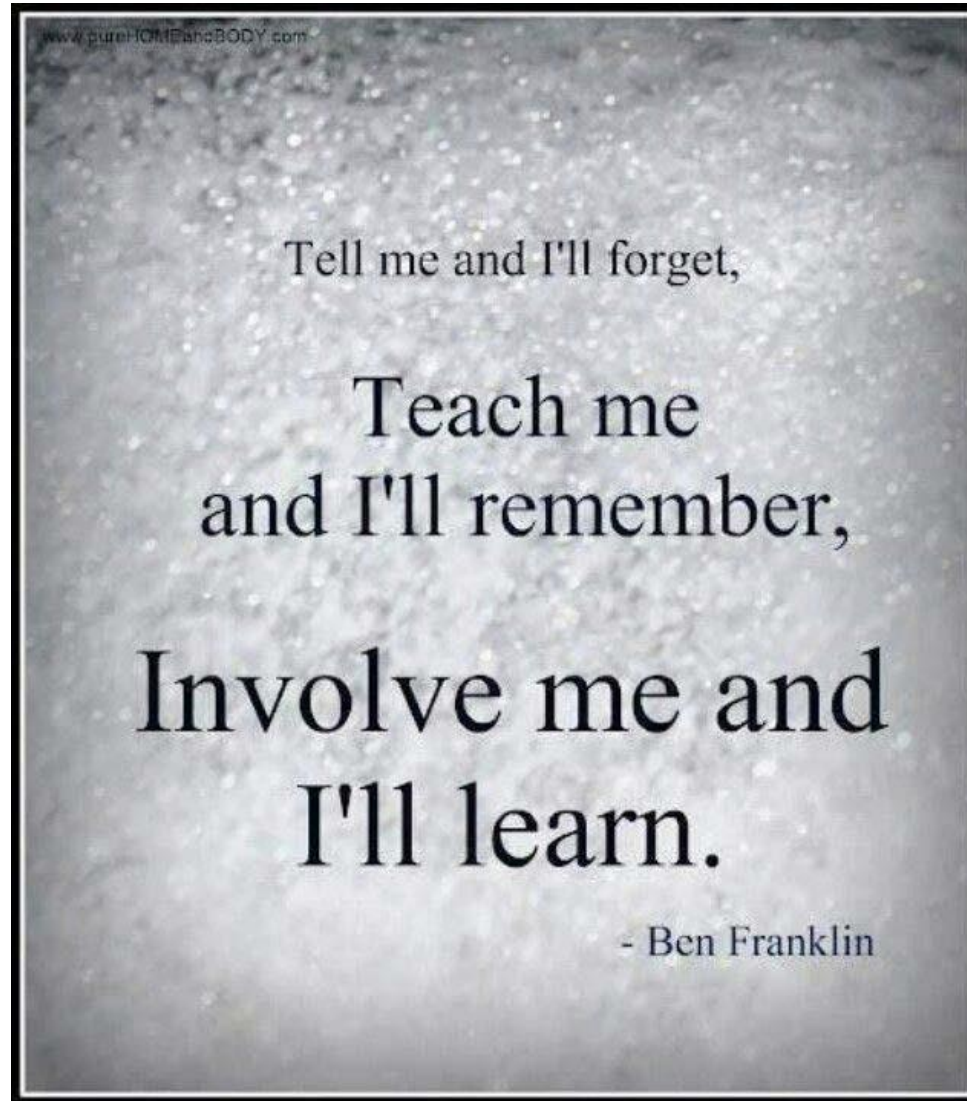
When the email notification is sent, the body of the email will appear like the screen capture to the left.

The subject line of the email will state "Resolution Services – Status Notification"

The from line will be the email address of the Screener.

The recipient will be able to briefly see the records selected in the email. However, to resolve the match someone with administrative rights to "Incident Manager" will need to 'clear' the hit.

Practice Makes Perfect!



RPS Example #1

INDIVIDUAL AND COMPANY SCREENING

Name:

Company:

Address:

City: **State:**

Country:

Comment:

Exact Phonetic Fuzzy Level

Stemming Thesaurus Field Specific

Remove business words Weighted

SCREEN

VISUAL Compliance RESEARCH EDITION eCustoms

CCL/ECCN ITAR/USML Inventory RPS Regulations Schedule B Resources Home

NO MATCHING RECORDS FOUND

Your search of the Visual Compliance Restricted Party Screening database failed to return any records.
Comment: **Comment: Training Example**

Search criteria:
Name: n/a
Company: **Huawei Technologies**
Address: **5700 Tennyson Pkwy**
City: **Plano**
State: **TX**
Country: **U.S.A. [US]**

Search type:
For **Exact** matches.
Stemming on, Thesaurus on, Field Specific on, Business words removal [Export, Sanctions, GSA, Police, PEP and International data groups.]*
GSA data is updated in full every business day direct from SAM/EPLS.

Date of search: **Friday, September 29, 2017**

Time of search: **05:44 PM EDT**
License Determination country screening was checked, but does not apply to United States

[PDF](#) [PRN](#)

[E-MAIL THESE RESULTS](#)

“No Matching Records”

✓ Okay to proceed with Agreement

Example #2

INDIVIDUAL AND COMPANY SCREENING


Name:

Company:

Address:

City: **State:**

Country:

Comment: 

Exact Phonetic Fuzzy Level

Stemming Thesaurus Field Specific

SCREEN

VISUAL Compliance RESEARCH EDITION eCustoms

CCL/ECCN ITAR/USML Inventory RPS Regulations Schedule B Resources Home

NO MATCHING RECORDS FOUND
Sanctions, embargoes, or risk alerts apply to the country supplied for this entity.

[Search same keywords again](#) [New Search](#)

Your search of the Visual Compliance Restricted Party Screening database failed to return any records.
Comment: Training Example

Search criteria:

Name: Vladimir Putin
Company: n/a
Address: n/a
City: n/a
State: n/a
Country: Russian Federation [RU] *

Search type: For Exact matches.
Stemming on, Thesaurus on, Field Specific on, Business words removal [Export, Sanctions, GSA, Police, PEP and International data groups.*]
GSA data is updated in full every business day direct from SAM/EPLS.

Date of search: Friday, September 29, 2017
Time of search: 04:44 PM EDT

***Country Notes:** The following conditions apply to the country supplied for this entity. For sanctions, see the U.S. Sanctions and Embargoes Programs Summary for more information.

ALERT

- Subject to sanctions or special controls on specified items under EAR Part 746, Embargoes and Other Special Controls (and requirements under General Prohibition Six, Part 736).
- Restricted as an export destination under EAR Part 736 General Prohibition Three (Foreign-produced direct product re-exports).
- Restricted as an export destination under EAR Part 736 General Prohibition Eight (In transit shipments and items to be unladen from vessels or aircraft).
- Subject to Government of Canada Economic Sanctions.
- Restricted as an export destination under Office of Foreign Assets Control (OFAC) Sanctions, or to Specially Designated Nationals under OFAC Sanctions. General Licenses may apply.
- Subject to Department of State Directorate of Defense Trade Control restrictions, limitations, denial policy, case-by-case basis, or delays on license applications for the export of U.S. Munitions List (USML) items.
- Subject to military end-user and/or end-use based control policy for specified ECCN dual-use items under EAR Part 744 or related policy, or policy of denial for CCL items that contribute to military capabilities.
- Subject to European Union Arms Embargoes or E.U. restrictive measures related to the export of arms based on political commitment
- Restricted as an export destination under EAR Part 736 General Prohibition Three (Foreign-produced direct product re-exports) for ECCN 0A919 and 9x515 or "600 series" items in the Commerce Control List.

[PDF](#) [PRN](#)

[E-MAIL THESE RESULTS](#)

*** Authorities:**

- AECA Debarred Parties [DDTC]
- AFOSI - Top Ten Fugitives
- ATF Most Wanted
- Australia Foreign Affairs Consolidated List
- Blocked Pursuant to EO 13599 [OFAC]
- Canada Economic Sanctions

“No Matching Records”
✓ Okay to proceed

Use Discernment – UECP Does Not Need to See All Country Warning Results

Example #3

INDIVIDUAL AND COMPANY SCREENING

Name:

Company:

Address:

City: **State:**

Country:

Comment:

Exact Phonetic Fuzzy Level

Stemming Thesaurus Field Specific **SCREEN**

Remove business words Weighted

ECCN for country controls check:

Export Sanctions GSA
 Police PEP/OIG International

GSA data is updated in full every business day direct from SAM/EPLS.
Fuzzy searches including GSA are automatically limited to level 2.
Business endings is not selectable when already set as your profile default.
Fuzzy or phonetic search with thesaurus often produces erratic results.

VISUAL COMPLIANCE RESEARCH EDITION **eCustoms**

CCL/ECCN ITAR/USML Inventory RPS Regulations Schedule B Resources Home

You searched for any records containing:

Search criteria: Name: Denise Blake
Company: n/a
Address: n/a
City: n/a
State: n/a
Country: n/a

Comment: Comment: Training Sample

Search type: for Exact matches, which returned 2 results.
Stemming on, Thesaurus on, Field Specific on, Business words removal
[Export, Sanctions, GSA, Police, PEP and International data groups.]*
GSA data is updated in full every business day direct from SAM/EPLS.

Date of search: Thursday, November 2, 2017
Time of search: 11:53 AM EDT

RESOLVE MATCH RESULTS

Clear

Action

Escalate

Reference	Name	FRC [Click for PDF]	Alert
LEIE08459	SHELIA DENISE BLAKES BATON ROUGE LA United States	<input type="checkbox"/>	
REL036607	Shelia Denise BLAKES BATON ROUGE LA United States	<input type="checkbox"/>	

Name does not match
Clear results

Example #4

INDIVIDUAL AND COMPANY SCREENING


Name:

Company:

Address:

City: **State:**

Country:

Comment: 

Location and AKA verified
100% Match
Escalate to UECP

VISUAL Compliance RESEARCH EDITION eCustoms

CCL/ECCN ITAR/USML Inventory RPS Regulations Schedule B Resources Home

You searched for any records containing:

Search criteria:
Name: n/a
Company: **Zorsecurity**
Address: n/a
City: n/a
State: n/a
Country: n/a

Comment: **Comment: Training Sample**

Search type: for **Exact** matches, which returned 5 results. Stemming on, Thesaurus on, Field Specific on, Business words removal [Export, Sanctions, GSA, Police, PEP and International data groups.*] GSA data is updated in full every business day direct from SAM/EPLS.





Date of search: **Thursday, November 2, 2017**

Time of search: **12:11 PM EDT**

RESOLVE MATCH RESULTS

Clear Action Escalate

Add notes if required.

Reference	Name	FRC [Click for PDF]	Alert
ELT069000	ZORSECURITY CENTER AKA TSOR SECURITY FKA ESAGE LAB Moscow Russia	<input type="checkbox"/> 82 FR 722-25	
NPO067070	ZORSECURITY Russia	<input type="checkbox"/>	
REL11299	ZORSECURITY MOSCOW Russian Federation	<input type="checkbox"/>	
REL11051	ZORSECURITY MOSCOW Russian Federation	<input type="checkbox"/>	
SDN0703	ZORSECURITY FKA ESAGE LAB AKA TSOR SECURITY Moscow RU	<input type="checkbox"/>	