Screening Settings Summary Sheet

Alert Levels:
Alerts for **RPS official government list** matches are: **TR** (Triple Red - Name, Company, Address, and Country found), **DR** (Double Red - Name or Company and Address and Country found), **_R** (Red - Name or Company and Country found), **_Y** (Yellow – Name or Company found).

**Exact** – This search returns results containing exact matches to the spelling in the search criteria. An exact match finds the words supplied either together or in close proximity to one another.

**Phonetic** – this search takes into account variations in the way a name can be spelled by applying the "Soundex Algorithm Technology" to look for letters that sound the same. A phonetic search finds words that sound the same as the word entered, for all words supplied. Phonetic search does not, in general, work effectively with the thesaurus on. Phonetic matches for unrevealed synonyms can be returned, producing confusing results.

Phonetic searches finds matches that "sound" like the words supplied, like "Smythe" in a search for "Smith." Note that phonetic (which uses the universal "Soundex" algorithm) does not generally substitute first characters, so may not be completely reliable for transliterated names where, for example, one translator might use "Q" another "K" for the same sound at the beginning of the name.

**Fuzzy** – This search applies "Optical Character Recognition" that looks for letters that are shaped the same, with different levels of sensitivity (1 to 10). A fuzzy search finds words that are similar but misspelled, such as "Saddam Hussein" for "Sadam Husain". Fuzzy does not expand abbreviations, such as "Manufacturing" for "Mfg". In that example, a three letter word ("Mfg") will not be suspected to be a misspelling of a 13 letter word ("Manufacturing"). Similarly, a phonetic search finds words that sound the same as the word entered, for all words supplied. Phonetic search does not, in general, work effectively with the thesaurus on. Phonetic matches for unrevealed synonyms can be returned, producing confusing results.

You can specify to search for exact matches, one or four levels of fuzzy (fuzzier as the value increases), or, if you are uncertain of the spelling of the name, a phonetic match.

Fuzzy searching uses a proprietary algorithm to find search terms even if they are misspelled. Search fuzziness can be adjusted from 1 to 4 so you can fine-tune fuzziness to the level of optical character recognition or typographical errors in your lists. A search for "alphabet" with a fuzziness of 1 would find "alphaqet"; with a fuzziness of 2 it would find both "alphaqet" and "alpkaqet."

**Fuzzy and phonetic** modes are **not recommended** for automated EIM screening processes. Excessive results are often produced, and the system runs without the human supervision and interventions normal for individual screens operated through the browser.

**Stemming** – Selecting this function will automatically drop the word endings (i.e. –ed, –ing) to return results containing the "root" of the word. Stemming extends a search to cover grammatical variations on
a word. For example, a search for fish would also find fishing. While offered in case of particular user suitabilities, stemming has limited applicability to name and company searching and is usually left OFF.

**Thesaurus** – Selecting this function takes into account how a country or a company can be listed (i.e. U.S. = US = United States). It also takes into account possible variations in a name (i.e. Mike vs. Michael). *NOTE: This field is typically selected.* The default setting for Thesaurus warrants some thought, as Thesaurus ON adds significantly to individual record processing times. Thesaurus equates forms and styles for country names (England, U.K., Great Britain), business abbreviations (Ltd., Limited), and given names (Robert, Rob, Bob, Robby, Bobby). If your automated processes use a well-maintained database table including standard official country names (or, even better, two-letter ISO values), Thesaurus is unlikely to improve the accuracy of your search result alerts, and can be left OFF.

The profile setting for **business abbreviations strip** removes common business endings [Co., Company, Corp., Corporation, GmbH, Inc., Incorporated, Limited, Ltd., LLC, plc, Pty.] and is considered mandatory for good results. This filter is engaged through your profile setup.

**Field Specific** – Selecting this function will screen search criteria only within the data field in which it is entered. *NOTE: This field is typically selected to prevent returning too many false positives.

**RPS Screening Tips**

- The Restricted Party Screening tool does not recognize characters such as double quotation marks or other characters such as & # % * ~ ? which means these characters should NOT be used in the search criteria.

- If an individual's name is your target, use the name field. If a company name is the target, use the company field and do not supply any individual names. If you supply a name the search will stop if match is found for the name. The company information will not be considered. If a match is not found for name, then company is searched on a second pass for exact only and those results returned.

- **You cannot enter a Name and Company simultaneously because the Name will always occur first in the search, disregarding the Company. To effectively search the Name and Company, we recommend you screen them separately.**

- You cannot enter a Company in the Name field and vice versa – you will want to enter them into the proper field.

- The Name field is limited to a maximum of 5 words because there are no names on any government list longer than 5 words. The Company field is limited to a maximum of 10 words to reflect the long names of some companies, organizations and institutions.

- The keywords "and" or ":" are interchangeable. "And" is stripped from the search criteria, while "&" is accepted and treated like a word.