



INSTITUTIONAL INTEGRITY  
AND RISK MANAGEMENT

# Visual Compliance

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A GUIDEBOOK FOR RESTRICTED PARTY SCREENING

Version 10.25.2022



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## About Descartes Visual Compliance

Descartes Visual Compliance is the primary tool used by the Export Compliance office for conducting a “restricted party screening” (RPS) for University-related international activities. Visual Compliance can be used by any administrative unit on campus that conducts international activities or hosts international scholars, students or employees. Also, for more information in Restricted Party Screening, please visit our website [Restricted Parties and Visual Compliance](#).

This tool utilizes both the [U.S. Department of Treasury Office of Foreign Assets Control \(OFAC\)](#) and the [U.S. Department of Commerce Bureau of Industry and Security \(BIS\)](#), “restricted parties” lists consisting of people, companies, institutions or foreign agencies the U.S. Government has identified as being of concern for the purposes of U.S. national security. All University-related activities involving restricted parties requires prior approval from the Export Compliance Office.

**Important:** Users are to only use this tool for University business only. All searches are rescreened continually for five years.

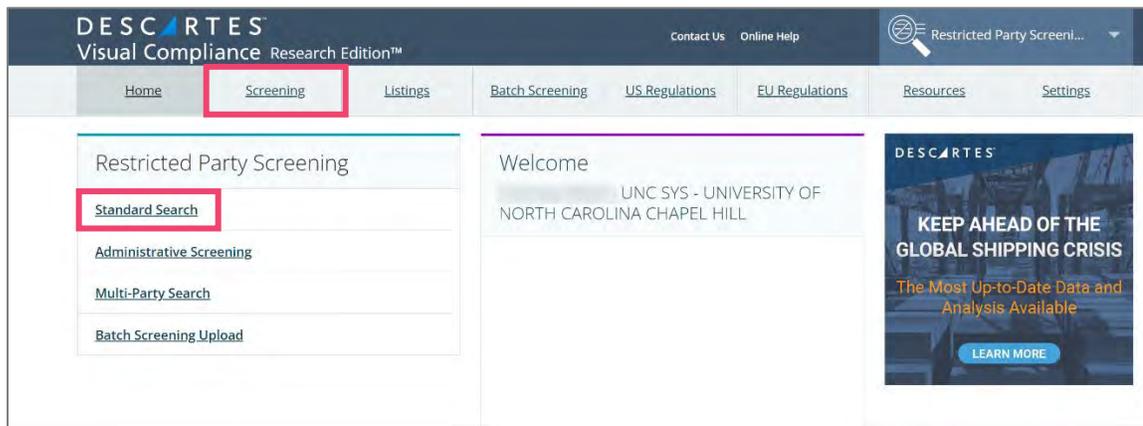
If you are wanting to know more about University export compliance visit the [Export Control webpage](#). You can also view the [University Export Compliance Manual](#).

### Gaining Access

If you would like to obtain access to Visual Compliance for your administrative unit, please [contact the Export Compliance office](#) to obtain access at no cost. Prior to obtaining access all users must complete the **Visual Compliance computer-based training (CBT)** and the post-test with a passing score.

# Initiating and Emailing a Standard Search Screening to Export Control

1. Login to the [Descartes Visual Compliance website](#) using your designated Username and Password. **Result:** The Home page will appear.
2. Select **Screening** tab link or the **Standard Search** link.



**Result:** The Standard Search page will appear.

3. Enter the name of the individual, if conducting a search for an individual person, in the **Name** field.  
**Note:** Do not enter any special characters. For the system to process your search for an individual, the name of the person must be typed into the Name field using no special characters.
4. Enter the company or business entity, if conducting a search for an entity or institution, in the **Company** field.  
**Note:** Do not enter any special characters. For the system to process your search for a business entity/institution, the English translation of the name must be typed into the Company field using no special characters. Also, when conducting a search, you should search for an individual person or a business entity/institution separately. Do not attempt to combine an individual person and a business entity/institution in one search.
5. Select the Country associated with the business entity or individual in the **Country** field.  
**Note:** Additional address information such as the street name, street number, city, state, and/or zip code is not required.
6. Enter a search title or phrase in the **Add Comments** field. This will help you differentiate this screening from previous screening results.

**Important:** This is essential for future reference and can impact potential Export Control concerns involved with the person or entity you are screening. Therefore, it is important that you enter information in the comment box that your department will be able to use when referencing what it is you are screening.

Standard Search

Name name

Company company

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

City city State state

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

Comment add comments

ECCN for country controls check ECCN

Exclude search from Dynamic Screening

Exact  Phonetic  Fuzzy   Weighted  Combined

Stemming /  Thesaurus /  Field Specific  Remove business words

Export  Sanctions  GSA  Police  PEP/OIG  International  
 Optional Lists

SCREEN

7. Select the search parameters you would have applied to the search.

Standard Search

Name name

Company company

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

City city State state

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

Comment add comments

ECCN for country controls check ECCN

Exclude search from Dynamic Screening

Exact  Phonetic  Fuzzy   Weighted  Combined

Stemming /  Thesaurus /  Field Specific  Remove business words

Export  Sanctions  GSA  Police  PEP/OIG  International  
 Optional Lists

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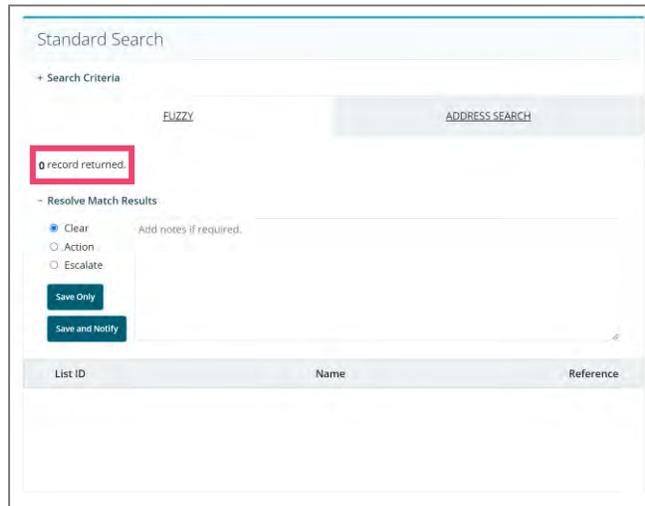
Search Parameters	Select these Parameters for Company Searches	Select these Parameters for Individual Searches
<b>Exact</b> - Returns search results containing the whole or partial exact matches to the spelling of keywords entered in the search fields.		
<b>Phonetic</b> - Looks for variations in the way a name can be spelled. It also looks for letter combinations that sound the same.		
<b>Fuzzy</b> - Looks for words with letters that resemble those entered in the search fields. This compensates for minor spelling errors. <b>Note:</b> The Fuzzy level should always be set to 2.		
<b>Stemming</b> - Automatically adjusts for words endings, such as -ed, -ing; and returns results containing the root of the word.		
<b>Thesaurus</b> - Accounts for variations in form and style for geographical place names and variations in proper names. For example, Robert, Rob, Bob, Bobby.		
<b>Field Specific</b> - Prevents the Name and Company field keywords from being searched in the "Notes" field.		

**Important:** All other fields should be left in their default state.

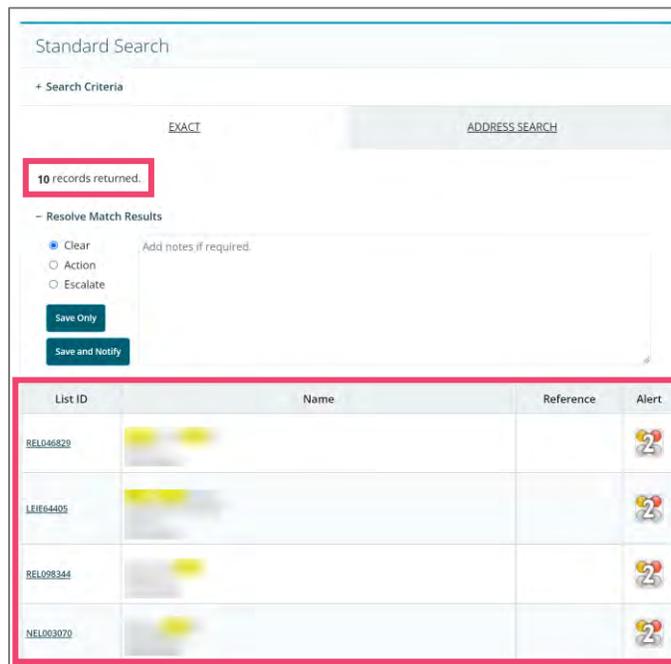
- Click the **Screen** button.

**Result:** The standard search result will appear.

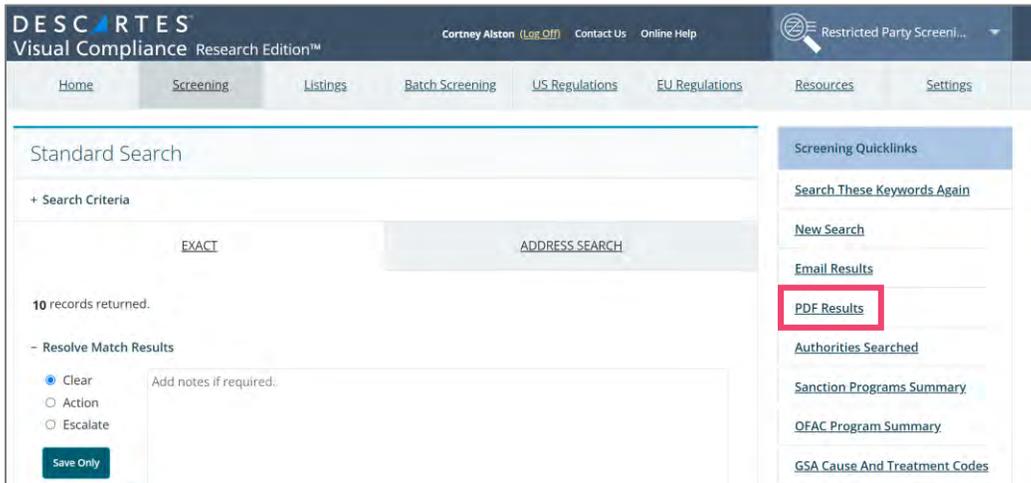
If no findings are returned, the search results will display zero records.



If findings are returned, the search will display the number of records, further details, and alerts.



9. Click the **PDF Results** link.

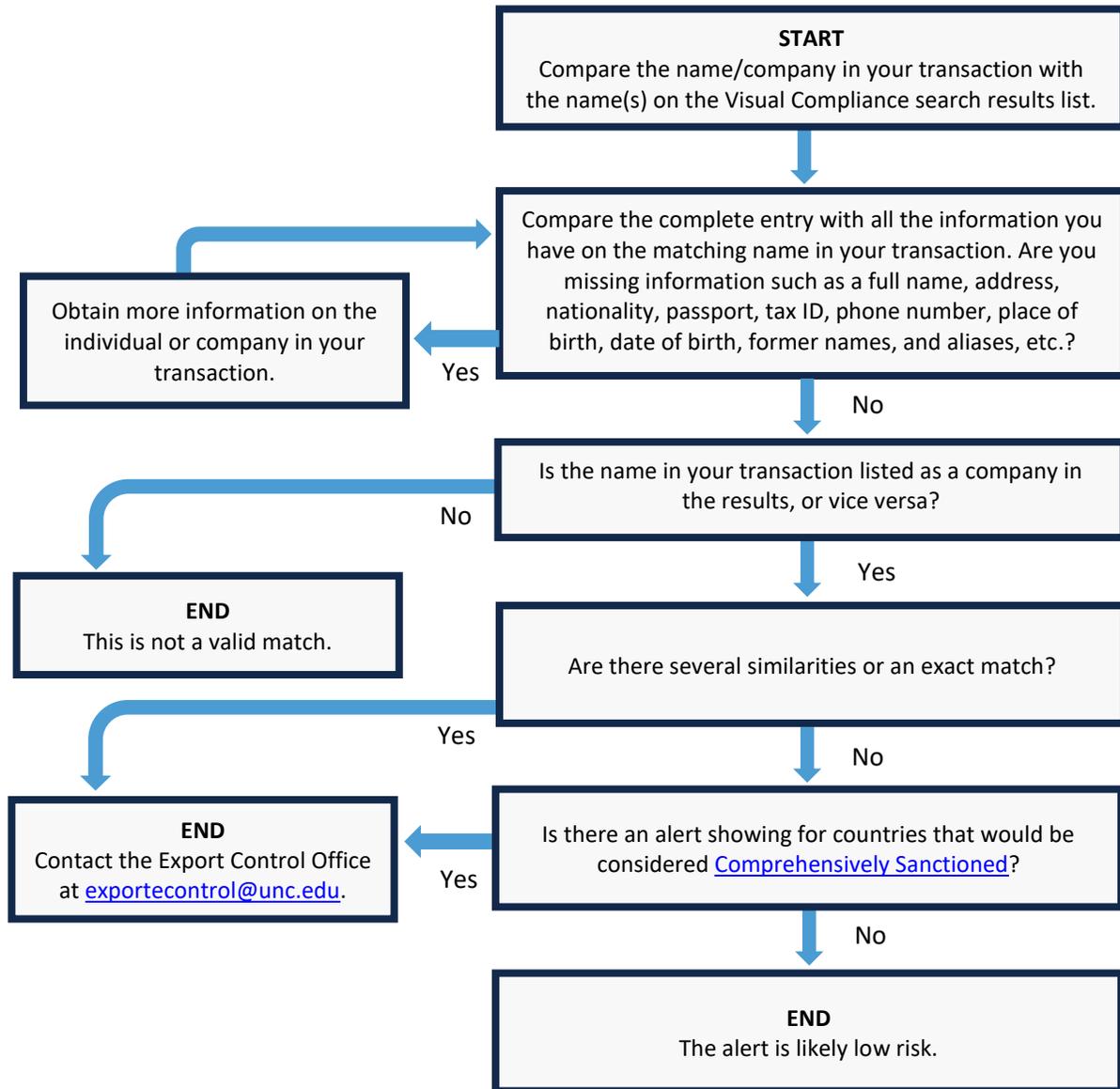


**Result:** Your device will download the PDF file.

10. Save the downloaded PDF file to your device.

# Reviewing Record Returned & Understanding Alerts

You will want to review the list if you Alerts returned and compare them to the name or company in your transaction. Follow the process and decision map below for guidance when reviewing the results. This workflow is to be used as a resource, for questions pertaining to alerts returned while using Visual Compliance contact Export Control at [exportcontrol@unc.edu](mailto:exportcontrol@unc.edu).



## Interpreting Dynamic Alerts

When a search is conducted using Visual Compliance it will continue rescreen for five years. Initial searches that produce alerts at a later date, as a result of the rescreening, are called Dynamic Alerts. If any changes ever occur for any previous search, Visual Compliance will automatically send a notification.

