

# Visual Compliance

# A GUIDEBOOK FOR RESTRICTED PARTY SCREENING

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# **Table of Contents**

I.	About Descartes Visual Compliance	2
II.	Initiating a Screening and Emailing a Standard Search Screening to Export	
	Control	3
III.	Reviewing Returned Records & Understanding Alerts	8

## **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 <u>Restricted Parties and Visual Compliance</u>.

This tool utilizes both the <u>U.S. Department of Treasury Office of Foreign Assets Control</u> (OFAC) and the <u>U.S. Department of Commerce Bureau of Industry and Security (BIS)</u>, "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 <u>Export Control</u> <u>webpage</u>. You can also view the <u>University Export Compliance Manual</u>.

#### **Gaining Access**

If you would like to obtain access to Visual Compliance for your administrative unit, please <u>contact the Export Compliance office</u> 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

- Login to the <u>Descartes Visual Compliance website</u> using your designated Username and Password. **Result:** The Home page will appear.
- 2. Select Screening tab link or the Standard Search link.

Home	Screening	Listings	Batch Screening	US Regulations	EU Regulations	Resources	Settin	
Restricted Party Screening			Welcome			DESCARTES	-	
Standard Search			UNC SYS - UNIVERSITY OF NORTH CAROLINA CHAPEL HILL			KEEP AHEAD OF TH		
Administrative So	creening					GLOBAL SHIPPING CI		
Multi-Party Searc	h					The Most Up-to	o-Date Dat	
Batch Screening	Upload					- Analysis	o manapre	

Result: The Standard Search page will appear.

 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.

- 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.

Home	Screening	Listings	Batch Screening	US Regulations	EU Regulations	Resources	Settings
Standard	Search				-	Screening Quick	klinks
Mama	name					Authorities Con	sulted List
Name						Recent List Cha	nges
Company	company					Recent GSA List	Changes
Address	street number	street nan	e	extension			
	Street No.	Street Name		Extension		Descartes Visua	Compliance
City	city	St	ate state			Quicklinks	
Country	Select country if applica	ble	- Zip Cod	le zip code.		Best Practices	
	Comment		add co	omments		Training	
	D Frank					Compliance Blo	g
	ECCN for country co     Evolude search from	Dunamic Screening				Email Distributi	on List
	C Exclude search from				_	Help	
Exact O	Phonetic O Fuzzy 2	Weighted 🖸	Combined		SCREEN	and a second sec	
Stemming	🛛 Thesaurus i 🗳 Fi	eld Specific 🛛 Remo	e business words				
Europet -	Sanations R CC1		Internation -1				
Optional Lin	sancuons 🖾 GSA 🞑	Police PEP/OIG	<ul> <li>International</li> </ul>				

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

Home	Screening	Listings	Batch Screening	US Regulations	EU Regulations	Resources	Settings
Standard	Search					Screening Quick	links
Marrie	name	Authorities Consulted List					
Name						Recent List Chan	ges
Company	company					Recent GSA List	Changes
Address	street number	street r	ame	extension			
	Street No.	Street Nan	se .	Extension		Descartes Visual	Compliance
City	city		State state			Quicklinks	
Country	Select country if applicable	ð	Zip Code	zip code		<b>Best Practices</b>	
	Comment		- add con	nments		Training	
	-					Compliance Blog	i.
	ECCN for country cont	rols check ECC				Email Distributio	n List
	C Exclude search nome	ynamic screening				Help	
SExact O F	honetic O Fuzzy 2	• • Weighted	Combined		SCREEN	TURNE	
Stemming i	🗹 Thesaurus / 🗹 Field	i Specific 🗹 Rer	nove business words				
			5				
Export	Sanctions GSA P	olice PEP/OIO	International				

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>&gt;</b>
<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>~</b>	
<b>Stemming -</b> Automatically adjusts for words endings, such as -ed, -ing; and returns results containing the root of the word.		<b></b>
<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.		Ø
<b>Field Specific -</b> Prevents the Name and Company field keywords from being searched in the "Notes" field.	ø	<b>I</b>

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

8. Click the **Screen** button.

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

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

Search criteria				
	FUZZY		ADDRESS SEARCH	
) record returned	1.			
Resolve Match	Results			
Clear	Add notes if required.			
O Action				
O Escalate				
Save Only				
Save and Notify				
List ID		Name		Reference

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

Standard Search			
+ Search Criteria			
1	EXACT	ADDRESS SEARCH	
10 records returned.			
- Resolve Match Results			
Clear Add n     Action     Escalate	otes if required.		
Save Only Save and Notify			,
Save Only Save and Notify List ID	Name	Reference	Aler
Save Only Save and Notify List ID LL046529 LITE4405	Name	Reference	Aler 22 23
Save Only Save and Notify List ID R0545529	Name	Reference	Aler 23 23 23

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

E S C 🛃 R sual Comp	TES liance Research B	Edition™	Cortney Alsto	n ( <u>Log Off</u> ) Contact Us	Online Help	Restricted F	arty Screeni 📼	
Home	Screening.	Listings	Batch Screening	US Regulations	EU Regulations	Resources	Settings	
Standard Search							Screening Quicklinks	
+ Search Criteria						Search These Ke	ywords Again	
	EVACT					New Search		
	LIVET			ADDITED DEALETT		Email Results		
10 records return	ied.					PDF Results		
Resolve Match	Results					Authorities Sea	ched	
Clear	Add notes if require	d.				Sanction Programs Summary		
<ul> <li>Action</li> <li>Escalate</li> </ul>						OFAC Program	Summary	
Save Only						GSA Cause And	Treatment Codes	

**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 <a href="mailto:exportcontrol@unc.edu">exportcontrol@unc.edu</a>.



#### **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.

