Complete Visual Compliance Screening Instructions

The University of Illinois uses Visual Compliance® to expedite screening of several U.S. Government lists of individuals or entities that are barred or otherwise restricted from entering into certain types of transactions with U.S. persons. The lists, which may be found in Visual Compliance® under Authorities Consulted, are specifically applicable to export controls and must be screened to ensure that the University does not engage in a transaction with a barred entity.

Restricted party screening should be completed:

- Before initiating formal or informal collaborations
- Before discussing plans to engage in sponsored projects
- Before exchanging personnel, materials, data, confidential information, or money with foreign persons, academic institutions, governments, companies, or other foreign entities.
- Before considering research collaborations or appointments

Restricted party screening must be completed for:

- Foreign sponsors and vendors
- Foreign research collaborators
- Foreign sponsors of international travel and international conferences
- University-sponsored applicants on H1-B and J-1 Research Scholar, Professor, and Short-Term Scholar visas
- All personnel associated with export controlled research
- Foreign entities with whom the University has Confidentiality or Non-Disclosure Agreements
- Foreign visitors, visiting scientists, and visiting speakers
- Subcontractors and Subawardees to sponsored projects
- Recipients of Materials Transfer Agreements

You should keep a record of each restricted party screening you conduct. Visual Compliance allows for the creation of a pdf document or you can email the results. This document should be retained in printed or electronic (preferred) form for future access if needed. The Export Controls Compliance Officer can work with each unit on how and where each unit should retain search records.

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Dynamic Screening Alert

Visual Compliance maintains an audit trail of all restricted party screenings and has a dynamic screening function that rescreens all entries daily and provides a notification if there is ever a change in the status of a previously screened party.

If there is a change in the status of a previously screened party, you, as the original search registered user, will receive an email from Visual Compliance. The sender is **report@visualcompliance.com** and the subject line is **Daily RPS Dynamic Screening Alert**.

The body of the email will begin with:

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

Following that notice will be details on the original search and the status change.

If you ever receive a **Dynamic Screening Alert** email, please forward that to exportcontrols@illinois.edu. The Export Controls Compliance Officer will be able to assist you with next steps.

Getting Started

1. **Register**

   UIUC faculty and staff wishing to use Visual Compliance® will need to register. Registration instructions are also included in the Visual Compliance Quick Instructions document. If you have any questions, please contact the Export Controls Compliance Officer at exportcontrols@illinois.edu. Training is recommended before use and a link can be found on the log in page. The University of Illinois system has unlimited licenses for the official use of employees and departments, and utilizes a single sign-in portal to access Visual Compliance®.

2. **Login**

   Registered users will use the University of Illinois's single sign-in portal to access Visual Compliance. The link is: https://smo.uillinois.edu/visualcomp

   You will first be instructed to sign into the Tri-Campus Discovery Service Proxy. Log in using your UIUC NetID and password.

You will then be directed to the Visual Compliance login on page. Login to Visual Compliance using your UofI email as the username and the password you created.

RPS Search Page

Once logged in, Click on **RPS** at the top of the page; or click on **Restricted Party Screening** in the bulleted list.
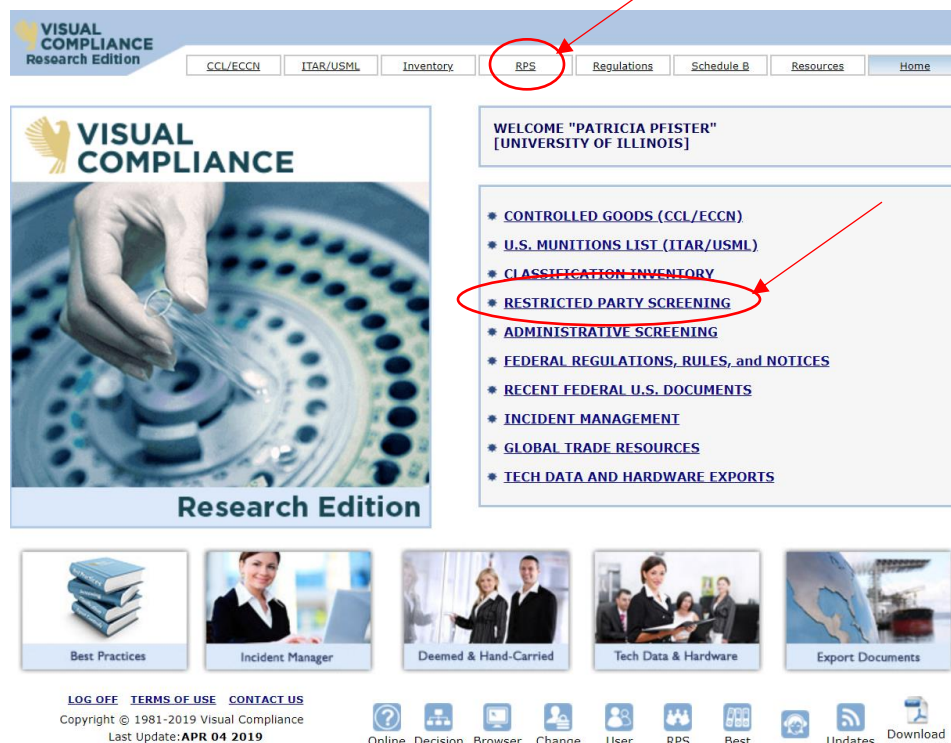
Note: Individuals (Name) and entities (Company or Institution) must be screened separately.

All words entered in the respective fields are evaluated in the search. This means that if all of the words you supply do not occur in a given target record, that record will not be returned in the results, the same as in an eBay or a Google search.

EXAMPLE: In a search for the University of Illinois, you might enter the words "University Illinois" You retrieve results, including the University of Illinois at Chicago. However, on your second try, you enter "University of Illinois at Chicago" Your results do not include the University of Illinois (the target record) because you added the word "Chicago" in your keywords, which does not occur in the target record.

Conduct a Name Search

1. Enter the **first name** and **last name** of the person you wish to search in the **Name** box. Do not include a middle name. You should conduct a search for each non-U.S. collaborator, official or key person listed in your documents or engaged in the activity.

    NOTE - Address, City and State fields are optional. When a country name is included in the search request, any risk country alerts for sanctions, embargoes, and other prohibitions and cautions are returned with the search results.

2. From the **comment** dropdown box, choose an item that describes your search.

3. Add additional comments in the **text** box. These comments will be displayed in the email reports and saved in the audit log for later reference or search.

4. Click **Fuzzy Level** box and choose **2** from the dropdown.

5. Ensure defaults for **Field Specific** and **Remove business words** boxes are checked.

6. Check **Thesaurus** box when doing a Name Search only.

7. Hit the **Screen** button.

Terms Found on Search Page

Exact – Returns records containing whole or partial exact matches to the spelling of the keywords entered, for all keywords supplied. (The keywords provided will be modified in the search with the use of stemming or thesaurus.)

Phonetic – Accounts for variations in the way a name can be spelled; looks for letter combinations that sound the same.

Fuzzy – Looks for words with letters that resemble those searched, compensating for minor spelling errors, with levels of sensitivity of 1 to 4.

Stemming – Automatically adjusts for word endings, (i.e. –ed, –ing), returning results containing the "root" of the word.

Thesaurus – Accounts for variations in form and style for geographic place names (United Kingdom, Great Britain, England, U.K.) and possible variations in proper names (Robert, Rob, Bob, Bobby).

Field Specific – Prevents name and company keywords from being searched in the 'Notes' field. Deselect to also search Notes.

Remove business words - Strips business declarations (i.e. LLC, Inc, GmbH). Recommended for all users.

ECCN for country controls check - Runs the ECCN number selected through the Commerce Country Chart license determination evaluation for the country entered in the RPS search.

Export, Munitions, GSA, Police, Banking, and/or International - You will generally want to check all of the lists which is how the default is set. However, you have the option of choosing the specific lists you want to check .

Name Search No Matching Records

If you conduct a Name Search and there are no matching records, click **New Search** and proceed to **Conduct a Company or Institution Search** instructions below.

Name Search Matching Records

If you conduct a Name Search and are ANY matching records for the person name, notify the Export Controls Compliance Officer (exportcontrols@illinois.edu) before proceeding any further. Visual Compliance allows you to email these via the **Email These Results** function.

Conduct a Company or Institution Search

1. Enter the company, institution, entity you wish to search in the **Company** box. Use a few descriptive words from the name. For example, if the name is University of Illinois at Chicago, you may want to enter "University Illinois" or "University Chicago." You should search each foreign collaborator, institution, company, business listed in your documents.

   NOTE - Address, City and State fields are optional.

2. Choose the appropriate country from the **Country** dropdown menu.

   NOTE - **Country** is not optional for a **Company or Institution Search**. When a country name is included in the search request, any risk country alerts for sanctions, embargoes, and other prohibitions and cautions are returned with the search results.

3. From the **comment** dropdown box, choose an item that describes your search.

4. Add additional comments in the **text** box. These comments will be displayed in the email reports and saved in the audit log for later reference or search.

5. Click **Fuzzy Level** box and choose **2** from the dropdown.

6. Ensure defaults for **Field Specific** and **Remove business words** boxes are checked.

7. Hit the **Screen** button.

Company or Institution Search No Matching Records If you conduct a **Company or Institution Search** and there are no matching records, you may proceed with the activity and/or processing your documents the same as the name search.

Company or Institution Search Matching Records

If you conduct a Company or Institution Search and are ANY matching records for the person name, notify the Export Controls Compliance Officer (exportcontrols@illinois.edu) before proceeding any further.

 PLEASE NOTE: In the search type field there are 29 results- only 7 have been copied here. ALL matches need to be investigated.

To expedite further screening, please forward the following information to exportcontrols@illinois.edu when a screening match occurs:

1. CV or resume of the visiting party
2. Job description or description of the scope of the visit
3. Any other relevant information regarding collaborations or affiliations