



## 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.

### **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](mailto: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](mailto: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](mailto: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.

The screenshot shows a login page with a dark blue header containing the Illinois logo and the word "Login". The main content area is white and contains the following elements:

- A heading: "You must log in to Tri-Campus Discovery Service Proxy to continue."
- Two input fields: "Enter your NetID:" and "Enter your password:".
- A "Login" button.
- A link: "Clear previous selection for automatically sharing my information with this service".
- Two sections with links:
  - "Forgot your password?" with a link to "Password Manager".
  - "Need to select a different campus?" with a link to "Clear your remembered campus" and the instruction "and log in again."
- A "Technical Information" box with the following text:
  - Service that has requested authentication:
  - Service Provider EntityID: `https://idproxy.illinois.edu/simplesam/module.php/saml/sp/metadata.php/default-sp`
  - Service Provider Name: Tri-Campus Discovery Service Proxy
  - IDP node: shib2
  - This login service uses the following server: `shibboleth.illinois.edu`
  - This page's URL should start with `https://` followed by the server listed above.
  - For most web browsers, the security padlock icon for this page should be closed/locked.
  - To maximize security, quit your browser when done using this application.

The footer is dark blue and contains:

- "Where to Get Help" with contact info: Technology Services Help Desk, `cosas@illinois.edu`, 217-244-7000.
- Links for "Copyright", "Accessibility", "Privacy", and "Feedback".

You will then be directed to the Visual Compliance login registration page. Enter and confirm your email address.

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**DESCARTES**  
Visual Compliance

## Visual Compliance User Self Registration

Enter your email address in the box below and click submit. The self-registration link will be sent to the email address entered.

WHAT IS YOUR EMAIL ADDRESS?

CONFIRM YOUR EMAIL ADDRESS

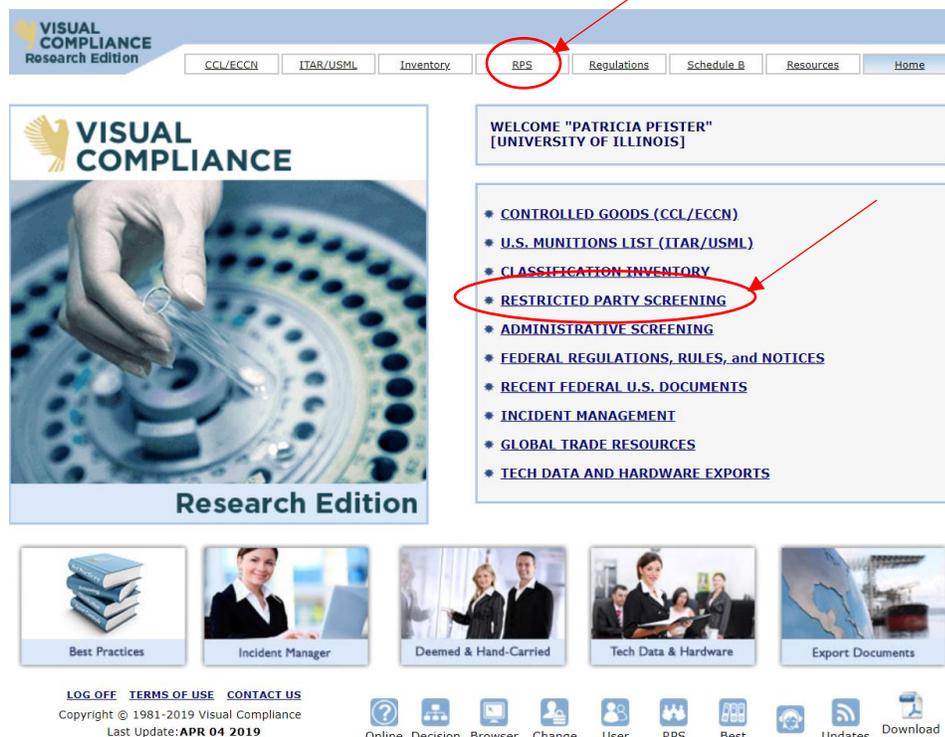
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You will then receive a confirmation email with instructions to complete the account set-up.

### 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.



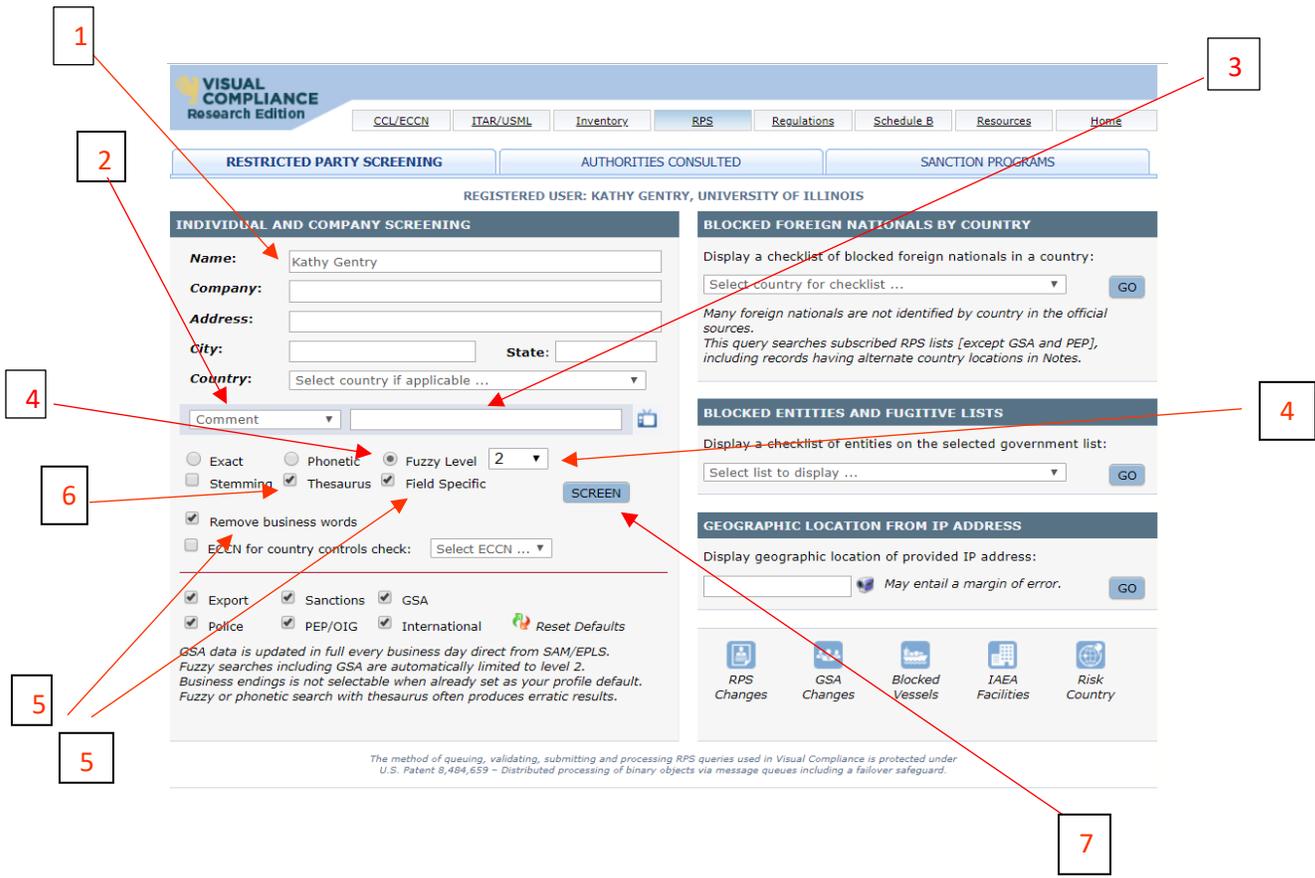
**Note:** Individuals (Name) and entities (Company or Institution) must be screened separately.

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

**VISUAL COMPLIANCE Research Edition**

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.

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

**Search type:** For Phonetic matches. 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, June 13, 2019  
**Time of search:** 10:15 AM EDT

PDF PRN

[E-MAIL THESE RESULTS](#)

Search same keywords again | **New Search**

**NO FINDING GOOD TO PROCEED**

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](mailto:exportcontrols@illinois.edu)) before proceeding any further. Visual Compliance allows you to email these via the **Email These Results** function.

**VISUAL COMPLIANCE Research Edition**

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

You searched for any records containing:

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

**Search type:** for Fuzzy [2] matches, which returned 2 results. 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, June 13, 2019  
**Time of search:** 10:57 AM EDT

PDF PRN EXCEL

Reference	Name	FRC [Click for PDF]	Alert
<a href="#">ELT000024</a>	<b>BEN-GURION</b> UNIVERSITY Israel	<a href="#">75 FR 29884</a>	
<a href="#">JFE049024</a>	<b>BEN-GURION</b> UNIVERSITY (OF THE NEGEV) Israel		

PDF PRN EXCEL

[E-MAIL THESE RESULTS](#)

[AUTHORITIES](#)

**RESTRICTION FOUND CONTACT EXPORTCONTROLS@ILLINOIS.EDU**

### 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.

The screenshot shows the 'VISUAL COMPLIANCE Research Edition' interface. At the top, there are navigation tabs: CCL/ECCN, ITAR/USML, Inventory, RPS (selected), Regulations, Schedule B, Resources, and Home. Below this is a header for 'REGISTERED USER: KATHY GENTRY, UNIVERSITY OF ILLINOIS' and three main sections: RESTRICTED PARTY SCREENING, AUTHORITIES CONSULTED, and SANCTION PROGRAMS.

The main search area is titled 'INDIVIDUAL AND COMPANY SCREENING'. It contains several input fields:
 

- Name:** (empty)
- Company:** Huawei
- Address:** (empty)
- City:** (empty)
- State:** (empty)
- Country:** China

Below the input fields is a 'Comment' dropdown menu. To the right of the comment field is a 'SCREEN' button. Below the comment field are search options:
 

- Exact (radio button)
- Phonetic (radio button)
- Fuzzy Level: 2 (dropdown menu)
- Stemming (checkbox)
- Thesaurus (checkbox)
- Field Specific (checkbox, checked)

Below the search options are additional checkboxes:
 

- Remove business words (checkbox, checked)
- ECCN for country controls check: Select ECCN ... (dropdown)

At the bottom of the search area are several checked checkboxes:
 

- Export (checked)
- Sanctions (checked)
- GSA (checked)
- Police (checked)
- PEP/OIG (checked)
- International (checked)

 There is also a 'Reset Defaults' button.

On the right side of the interface, there are three sections:
 

- BLOCKED FOREIGN NATIONALS BY COUNTRY:** Includes a dropdown for 'Select country for checklist ...' and a 'GO' button. Below it is a note: 'Many foreign nationals are not identified by country in the official sources. This query searches subscribed RPS lists [except GSA and PEP], including records having alternate country locations in Notes.'
- BLOCKED ENTITIES AND FUGITIVE LISTS:** Includes a dropdown for 'Select list to display' and a 'GO' button.
- GEOGRAPHIC LOCATION FROM IP ADDRESS:** Includes an input field for IP address, a note 'May entail a margin of error.', and a 'GO' button.

At the bottom of the interface, there are five icons with labels: RPS Changes, GSA Changes, Blocked Vessels, IAEA Facilities, and Risk Country.

Numbered callouts (1-7) point to the following elements:
 

- 1: Company field (Huawei)
- 2: Country dropdown (China)
- 3: Comment dropdown
- 4: Fuzzy Level dropdown (2)
- 5: SCREEN button
- 6: Remove business words checkbox
- 7: Field Specific checkbox

The method of queuing, validating, submitting and processing RPS queries used in Visual Compliance is protected under U.S. Patent 8,484,653 - Distributed processing of binary objects via message queues including a failover safeguard.

**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](mailto:exportcontrols@illinois.edu)) before proceeding any further.

**SEARCH CRITERIA:**  
 Name: n/a  
 Company: Huawei  
 Address: n/a  
 City: n/a  
 State: n/a  
 Country: PR China [CN] \*

**SEARCH TYPE:**  
 for Fuzzy [2] matches, which returned 29 results.  
 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, June 13, 2019  
**TIME OF SEARCH:** 12:18 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.

Risk Status	Jurisdiction	Notes
Risk	US	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.
Risk	EU	Subject to European Union Arms Embargoes or E.U. restrictive measures related to the export of arms based on political commitment
Risk	US	Restricted as an export destination under EAR Part 736 General Prohibition Three (Foreign-produced direct product re-exports) for ECCN 0A919 and 9x315 or '600 series' items in the Commerce Control List.
Risk	US	Prohibited as an export destination for defense articles and defense services under the ITAR (126.1), including denial policy and U.S. Arms Embargo countries.
Risk	US	Restricted as an export destination under Department of State U.S. Arms Embargoes.
Risk	US	Restricted as an export destination under EAR Part 736 General Prohibition Three (Foreign-produced direct product re-exports).

Reference	Name	FRC (Click for PDF)	Alert
ELT069197	HUAWEI TECHNOLOGIES CO., LTD. (HUAWEI) Bantian Huawei Base Shenzhen Longgang District China	84 FR 22961-68	2
ELT069204	BEIJING HUAWEI DIGITAL TECHNOLOGIES CO., LTD. Beijing China	84 FR 22961-68	2
ELT069205	CHENGDU HUAWEI HIGH-TECH INVESTMENT CO., LTD. Chengdu Sichuan China	84 FR 22961-68	2
ELT069206	CHENGDU HUAWEI TECHNOLOGIES CO., LTD. Chengdu Sichuan China	84 FR 22961-68	2
ELT069207	DONGGUAN HUAWEI SERVICE CO., LTD. Dongguan Guangdong China	84 FR 22961-68	2
ELT069209	GUI'AN NEW DISTRICT HUAWEI INVESTMENT CO., LTD. AKA GUIAN NEW DISTRICT HUAWEI INVESTMENT CO., LTD. Guiyang Guizhou China	84 FR 22961-68	2
ELT069210	HANGZHOU HUAWEI DIGITAL TECHNOLOGY CO., LTD. Hangzhou Zhejiang China	84 FR 22961-68	2

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](mailto: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