OCR
GLOBAL TRADE MANAGEMENT

Watch List Screening User Guide

United States, 2021

REVISIONS

Date	Version	Description	Author
10 Nov, 2016	1.0	Document updated with latest screenshot and functionality as per R1-2016 release.	Rohit Manhas
20 Jan, 2017	2.0	Document updated with latest screenshot and functionality as per 2017 - R1 release.	Rohit Manhas
10 Jan, 2018	3.0	Document updated with latest screenshot and functionality as per 2018 - R1 release.	Rohit Manhas
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15 April, 2020	5.0	Document updated with latest screenshot and functionality as per 2020 release. Refer the "What Is New" section for more details.	Rohit Manhas
15 Aug, 2020	5.1	Document updated with latest webservices changes and document upload modifications.	Rohit Manhas
15 May, 2021	6.0	Document updated with latest screenshot and functionality as per 2021 release. Refer the "What Is New" section for more details.	Rohit Manhas/Subarshini Ramesh

Table 1: Revision History

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1. INTRODUCTION

Global EASE™ (herein referred to as System) is a web-based enterprise-wide solution used to automate and manage your business process for requesting and applying for Export and Import Licenses from various government agencies, managing the licenses, creating documents necessary for export and imports and sending these documents to your customers, vendors, freight forwarders, or brokers. The System also automates the filing of export and import information to customs and makes sure that your export and import processes comply with the countries' regulations where you do business.

The System leads directly to higher corporate-wide compliance standards, defined work processes, quality improvement in the entire business process and ease in license acquisition & license usages, exporting and importing goods with much less time and effort.

This document is a screen-by-screen User Guide of the product feature 'Watch List Screening'. It contains proprietary screen shots and descriptive text for the Watch List Screening features and reports implemented for U.S. installations. This User Guide will cover all aspects of the User Interface without regard to the type of user. Depending on your subscription or user privileges, some aspects of this guide might not be applicable.

1.1 Summary of Contents

The User Guide is structured as follows:

- Chapter 1 provides an introduction to this User Guide.

- Chapter 2 provides an overview of the Watch List Screening features, including the purpose, usage, functions and application configuration.

- Chapter 3 describes the features of the Watch List Screening.

    - Chapter 3.1 describes the procedural steps to use the Ad hoc Screening feature.

    - Chapter 3.2 describes the procedural steps to use the Re-screening feature.

    - Chapter 3.3 describes the procedural steps to use the Database Screening feature.

    - Chapter 3.4 describes the procedural steps to use the Upload Files feature.

    - Chapter 3.5 describes the procedural steps to use the Manage WLS feature.

    - Chapter 3.6 describes the procedural steps to use the Compliance Portal features.

- Chapter 4 describes the reports of the Watch List Screening.

    - Chapter 4.1 describes the procedural steps to generate Audit Reports.

    - Chapter 4.2 describes the procedural steps to generate Details Hits Report.

    - Chapter 4.3 describes the procedural steps to generate Job Status.

    - Chapter 4.4 describes the procedural steps to generate Status Reports.

    - Chapter 4.5 describes the procedural steps to generate Summary Hits Reports.

- Appendix A provides watch list agency lists.

- Appendix B provides watch list agency acronyms.

- Appendix C provides a screening options table.

- Appendix D provides details regarding the procedure of mailing and printing records or pages.

- Appendix E provides details of batch screening.

- Appendix F provides a listing of frequently asked questions.

- Appendix G provides a listing of new features in the System.

- Appendix H provides a listing of figures used in this User Guide.

- [Appendix I](#) provides a listing of tables used in this User Guide.

1.2 Readership

The intended audience for this User Guide is:

- A Business Person, Export Compliance Officer, or Various Industries User, who is responsible for screening entities.

- A typical user will be a Corporate Administrator (Corp Admin), Strategic Business Unit Administrator (SBU Admin), Compliance Manager (Privileged User), and User (Regular User).

1.3 How to Read this Document

Each System User Guide provides a simple step-by-step approach to help you understand and navigate the screen fields quickly and accurately. An example of each screen is provided, including information about navigating to the screen/process start point initially. Each step corresponds to a field within the screen and follows a horizontal path across the screen and then down to the row.

The User Guide makes extensive use of icons rather than rich descriptive text to describe the behaviors, validations, and requirements of the fields, screen responses, and user or System invoked navigations.

The following table describes the icons.

Icon	Name	Description
	User Action	Activities the user performs as a result of actions, such as clicking a button on the screen.
	System Action	Activities the System performs result from user actions such as clicking a button on the screen or choosing an option within a pop-up (dialogue box).
	Facts	This icon represents essential factual information that enables the user to determine the content, validation, and/or behavior of the field it is describing.
	Warning/Errors	This icon represents common reasons for errors commonly associated with incorrect completion of fields or missing mandatory information.

Table 2: Description of Icons

1.4 Glossary

The following table lists the terms and their description used in this User Guide.

Terms	Description
DPL	Denied Parties List
AKA	Also Known As
DBA	Doing Business As
SBU	Strategic Business Unit
WLS	Watch List Screening
ITW	International Trade Watch Lists
ECR	Entire Country Restrictions
AMC	Anti-Money Laundering Check List
FWL	Financial Watch Lists
LEA	Law Enforcement Agencies List
EPL	U.S. Excluded Parties List

Table 3: Glossary

2. OVERVIEW

The Watch List Screening (WLS) module enables corporations to implement a uniform and consistent corporate-wide comprehensive screening policy. The policy allows compliance officers to ensure that no business transaction occurs with an entity (person, corporation, association, partnership, etc.) prohibited by law. The benefits of the WLS module are:

- An efficient and consistent method of complying with government regulations with minimal disruption for businesses.
- Automatic update of Watch Lists (restriction, prohibition or license required for entities) from various governments and government agencies daily.
- Audit trails to show your due diligence in complying with the laws.

2.1 Purpose

WLS is a web application that provides user-friendly screens to enable you to check all individuals, businesses and countries involved in a transaction against the governments' most current restricted, denied, or prohibited party lists. You may screen an individual entity, an entire database, upload a file with names of entities, or make a real-time query from your ERP, Financial, or Order Entry systems.

We have compiled various government watch lists (restrictions, prohibitions, and denied parties) into an overall Watch List Screening module. These lists are updated and maintained regularly and grouped into the following seven categories:

- International Trade Watch List
- Entire Country Restrictions
- Pharmaceutical and Medical Lists
- Anti-Money Laundering Check List

- U.S. Federal Procurement Exclusion List
- Financial Watch Lists
- Law Enforcement Agencies Lists

Moreover, this module provides tools to manage your flagged entities – along with detailed reports of each flagged entity as part of your results and offers complete audit history for each screening that has taken place to record reasons for making your compliance determinations.

2.2 Features Available

The following figure illustrates the features available in the Watch List Screening module.
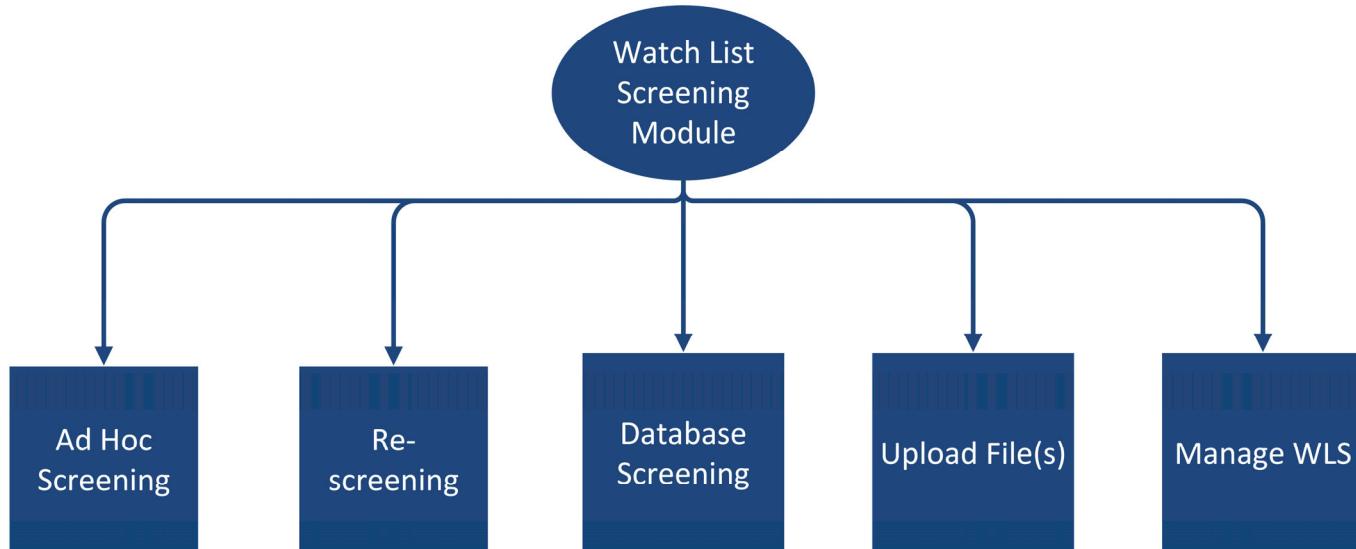

Figure 1: Watch List Screening Module – Features Flow Diagram

2.3 Reports Available

The Watch List Screening module offers a list of reports to keep an efficient log of your screenings with summary details and internal tracking through the process for any compliance decisions made.

The following table lists the available report types for the Watch List Screening module.
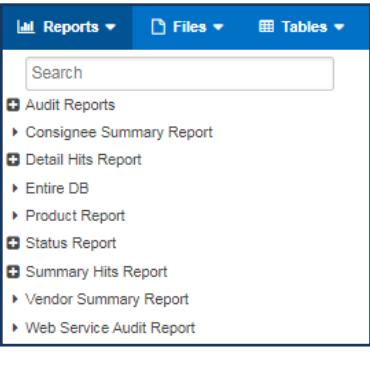
EASE™ UI	Report	Description
	Audit	Used for Ad hoc and Batch Screenings.
	Consignee Summary	Used to provide details of the Government or other sectors consignees or its contact number.
	Detail Hits	Used for any of the data entries a company has entered into the File Menu database.
	Entire DB Report	Used for Batch Screenings of the entire database.
	Product Report	
	Status	Used for the status of a particular entity stored in your Files databases.
	Summary Hits	Used for any of the data entries a company has entered into the File Menu database.
	Vendor Summary	Used to get details of the vendor added in the System and to know their status in System.
	Web Serice Audit	

Table 4: Report Types Available

2.4 Files Drop-down List

The **Files** drop-down list provides the ability to maintain SBU partitioned data, creating new, update or delete information. When entering data into a form, links are provided to access stored data from within a specific File (Hyperlink Fields).

Most of the Files listed are used to maintain party information that is to be screened daily. Data that is stored in Files can also be used across the System in different modules.

The following table lists the available files for the Watch List Screening module.

System UI	File	Description
	Bank	Used to keep information about the banks used by a company.
	Broker	Used to keep information about your broker profiles.
	Consignees	Used to keep all the information about your customers/partners, including foreign end-users, consignees, intermediate consignees and broker consignees.
	Employees	Used to keep information about a company's employees.
	Exporter	Used to keep information about your company's various exporter profiles.
	Freight Forwarders	Used to keep information about the freight forwarders used by a company.
	Ground Carrier	Used to keep information about your ground carriers used by a company.
	Partners	Used to keep all the information about your business partners other than consignees, freight forwarders, sellers, shippers, source/manufacturers, truckers, and vendors.
	Products	Used to store all the information related to your products, including the product catalog number, its ECCN/U.S. ML number, HTS, Unit, and others.
	Sellers	Used to keep information about sellers for your products.
	Shipper	Used to keep a list of suppliers/sellers sending goods to be imported by the company.
	Signatories	Used to keep information about Signatories.
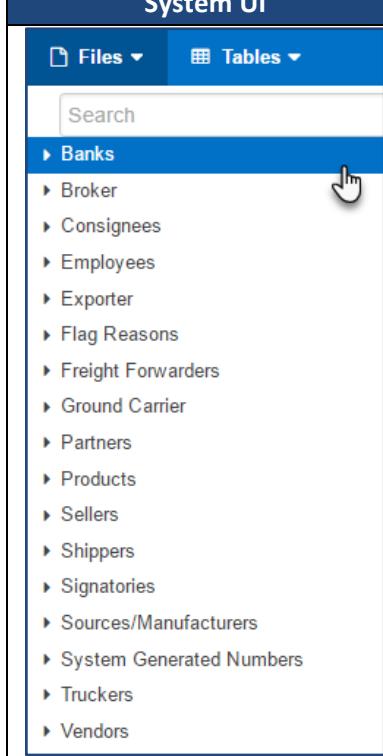
System UI	File	Description
	Source/Manufacturers	Used to keep information about source/manufacturers for your products.
	System Generated Numbers	Used to generate Auto Generate Shipper ID, license transaction numbers, unique consignee ID/Code, product codes, shipment and invoice numbers if desired.
	Truckers	Used to keep a list of Truck transporters that are shipping your goods.
	Vendors	Used to keep information about vendors from whom you purchased your supplies or goods.

Table 5: Files Drop-down List

Refer to the 'Files User Guide' for more information on the files fields and add records.

2.5   Tables Drop-down List

The Tables Drop-down List provides SBU-independent data. All information within these tables is industry standard and is used to help populate forms and requests throughout the System. Any information added in the various Tables is available to be used in other modules.

In general, OCR automatically updates the data daily. However, if you need to add information in a Table, you may do so with the appropriate privileges. OCR recommends that you provide the information to OCR so that, if appropriate, it may be included as part of OCR standard data.

The following table lists the available tables for the Watch List Screening module.

System UI	Table	Description
	Air/Ocean Carrier	Contains all the air/ocean carriers. For air carriers, IATA codes and three-digit codes ICAO are available. For ocean carriers, four-digit SCAC codes are available.
	Controlling Agency	Contains codes of agencies that control the exporting of commodities.
	Countries of Concern	Contains a list of embargoed or sanctioned countries with WLS Privileges.
	Country	Provides the names of countries used and their corresponding codes used by various agencies.
	DPL Agency	Contains the list of Group of Agencies available in Watch List Screening Defaults.
	DPL Stopwords	Contains the list of words that are automatically excluded during indexing of the DPL before screening. This means that these words are considered during the indexing of the DPL Lists and are omitted from the scoring of potential matches.

System UI	Table	Description
	DPL Type	Contains the list of DPL Types used by all the Agencies. You can create your DPL Type to create a User Defined List.
	Disposition Reason Matrix	Contains the list of reasons to deny and override an entity.
	Document Type	Contains the list of available Document Types categorized for attaching documents to a Request form.
	Excluded Words List	Contains words that will be excluded from screening.
	Export Items	Contains a list of all items which have been exported or are planning to be exported.
	HTS Codes	Contains lists of Harmonized Tariff Schedules and a brief description of each.
	HTS Reference Guide	Contains details about the Harmonized Tariff Schedule of Unites States published by the International Trade Commission (ITC) semi-annually (January 1 and July 1).
	Included Words List	Contains a list of words always used to flag a partner's name or address during screening.
	Authorization/License Exception	Contains all the license exceptions available for export from EAR regulations (15 CFR Part 710-774).
	Safe Country List	Contains the list of countries that would while screening and remove potential matches for those countries.
	Safe Word List	Contains the list of words that would omit those words while screening and remove potential matches for those words.
	Schedule B Codes	Contains all the valid U.S. Schedule B codes for export purposes.
	State/Provinces	Contains lists of the states of Canada, Mexico and the United States, respectively.
	Trade Program	Contains lists of descriptions and abbreviations of various Trade Programs/Agreements.
	Units	Contains lists of the valid values in the HTS or Schedule B (whichever one is being used by a company) and gives the conversion rate from one unit to another (ex. lbs. To KG).
	Watch List	Contains lists of all entities on record for each type of watch list.
	Watch List Debugger	Contains lists of individual score matrix and results of stopword and Clean up logic.

Table 6: Tables Drop-down List

Refer to the 'Tables User Guide' for more information on the table fields and add records.

2.6 Watch List Screening Process

There are four main actions available within the Watch List Screening module:

- Ad hoc Screening
- Re-screening
- Database Screening
- Upload File(s)

You need to decide on the values of various screening parameters to perform each of these screenings. The System allows each Strategic Business Units (SBU) to have its own set of parameter values. OCR recommends that all SBUs within a company use the same screening parameters for all methods of screening. Only SBU and Corporate Administrators can specify the parameters for all methods of screening.

Corporate-wide Defaults: If you decide to use the same set of screening parameters for all of your SBUs, you need to specify the defaults only once. The same set will automatically apply to all of your SBUs. The parameters specified for the Primary SBU of the System Administrator are the defaults for all SBUs. You can define the 'User Name' of the system administrator at the time of installation. The default user name for the system administrator is '**OCR**'. All SBUs are automatically assigned the same set of values unless you define a new set of values for a particular SBU.

The pre-set defaults will be used for Ad hoc Screening, Manual Database Screenings, and Automatic Database Screenings when updating the Watch Lists. Only a Corporate Administrator can change the default set of screening parameters. However, a normal user can manually change the parameters used for a specific Ad hoc Screening, File Upload or Database Screening.

2.6.1   Configure WLS Default Screening Parameters

The following steps describe how SBU or Corporate Administrator users can set the defaults for screening parameters for each SBU.

1. Select **Watch List Screening Defaults** from the Tools ( ) icon drop-down to configure the default screening parameters.

 The Watch List Screening Defaults screen is displayed.
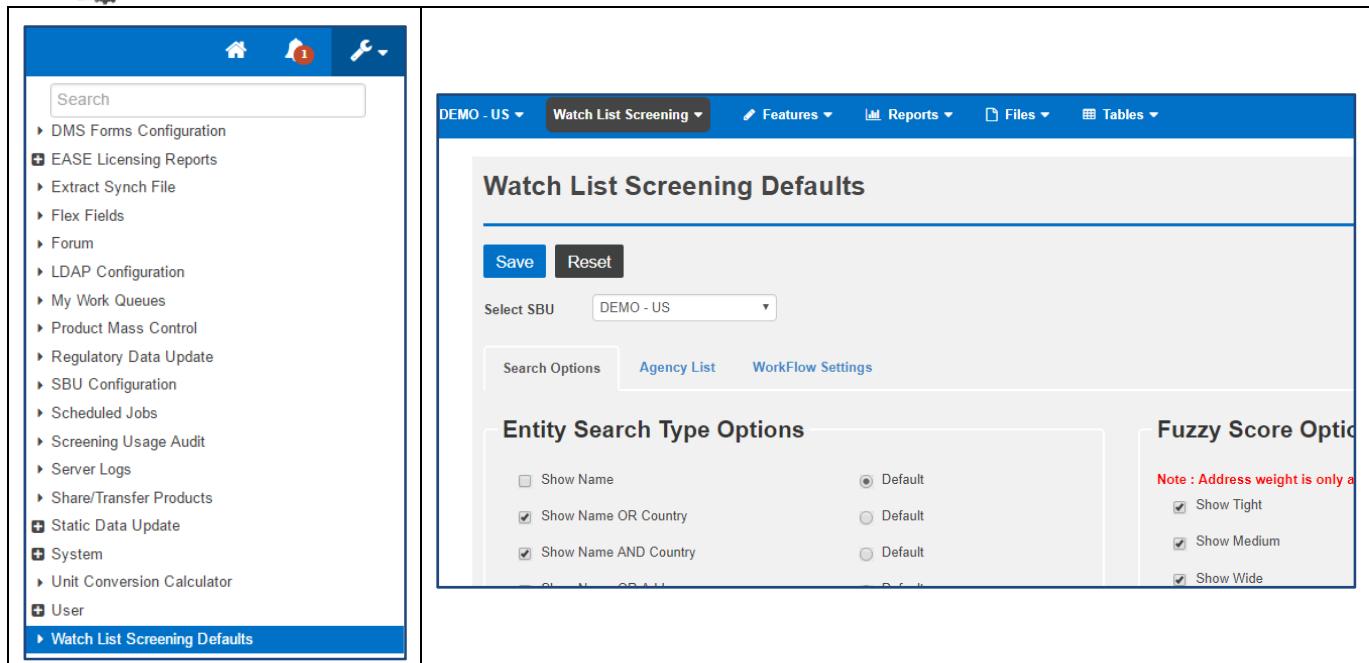
Figure 2: Watch List Screening Defaults Screen

2. On the **Watch List Screening Defaults** screen, select a required SBU.

 The active SBU is selected by default.

3. On the **Search Option** tab, select the required default search and email parameters.

 All options are selected by default.

 In the 'Search Method options' block, select the 'Exact' option to get results based on the complete accuracy of the Name/Address information and an entity listed by the Agencies. Select 'Fuzzy' options to get results based on variations and 'Soundex' principles, guided by the Search Type Range Score.

 In the 'Fuzzy Score Options' block, define the search weight score as default. This score is based on the selected Search Type option in the 'Search Type Options' block, and if Entity Search Type includes 'Name and Address' search, you can also specify the 'Address Weight' score for matching the address.

The Email parameters are used to send the Ad hoc Screening results to a designated compliance officer for further review. This set consists of:

- *Email Address*
- *Email Subject – the default text for the subject of the Email*
- *Email Body – the default text for the body of Email.*

You may modify these values at the time of Emailing the screening results for further review. The Email address is also used to send an automatic email summarizing the automated database screening results daily. You may enter multiple email addresses separated by ';'.

4.   On the **No Screening Flags** block, select the desired check-box(es) to reduce the hits during daily incremental screening.

No Screening Flags

☑ Agency / Category Change

☑ Effective / Expiry Date Change

☐ Other Information Change (FR Citation, Privileges)

Figure 3: No Screening Flags

These are new options available in the default settings. These three flags allow the organization to reduce Hits caused during re-screening due to three types of changes found in the various DP Lists. Some OCR Clients do not want to reevaluate a record if the change is simply the Expiry or Effective Date. Less common, but some clients prefer to ignore FR Citation or Privileges changes while others may choose to ignore changes in Agency. Administrators should consider carefully the ramifications of these changes given the specific lists and search criteria common to their business

At any given time while you are on the screen, you can click the Reset *button to reset the fields to their default values.*

5.   Once you are satisfied that all default parameters are selected, click the Save button.

The Watch List Screening Defaults screen is redisplayed with the saved default parameters.

6.   Click the **Agency Lists** tab to select the government and user-defined watch list or denied party lists for screening.

The Agency Lists tab is displayed with the list of agencies. All agencies are selected by default.

The 'Show' check-box allows Corp and SBU Admin users to decide whether they want to allow any of these parameters to be changed by normal users by deselecting the 'Show' check-box for each of the parameters. The parameter that is de-selected does not appear on any of the screens associated with screening. As a result, a user cannot change the value of the parameter. However, the parameter value specified as default is always used for screening.

For a user with access to multiple SBUs, the defaults for Ad hoc Screening are based on the Active SBU at the time of screening.

Each SBU can add its watch lists. You need to provide your watch lists to your customer support representative to be added to the OCR-provided watch lists. Your custom lists are used by your SBU users only. System client cannot use the custom list from another System client.
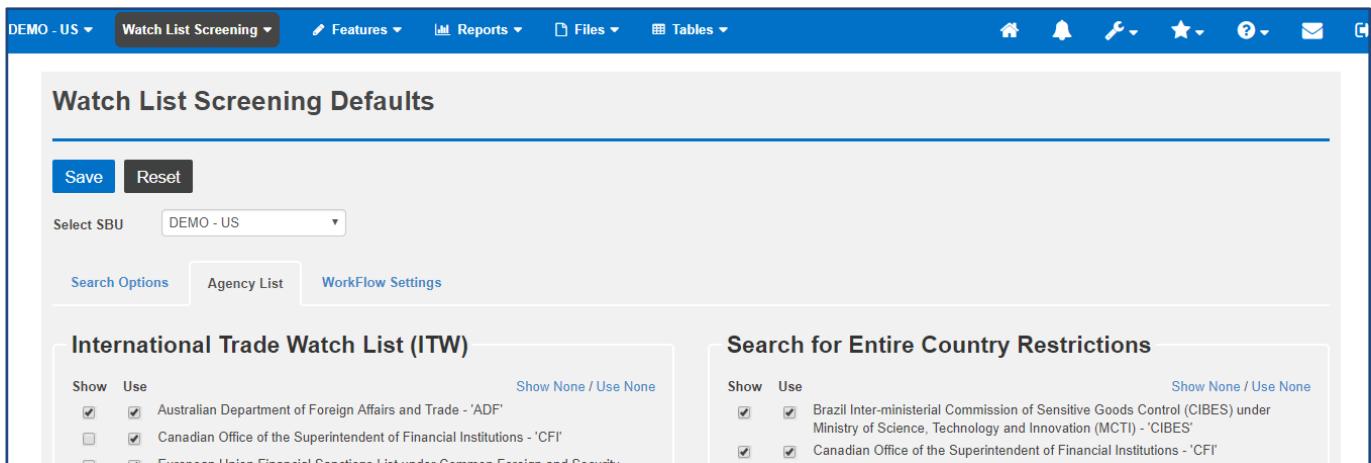
Figure 4: Agency List Default

7. On the **Agency Lists** tab, select the required agencies whose list you want to use for screening.

8. Once you are satisfied that all default agencies are selected, click the [Save] button.

The Watch List Screening Defaults screen is redisplayed with the saved default for screening.

9. Click the **Work Flow Settings** tab to set the workflow to save or review the screened entities.

The Work Flow Settings screen is displayed.
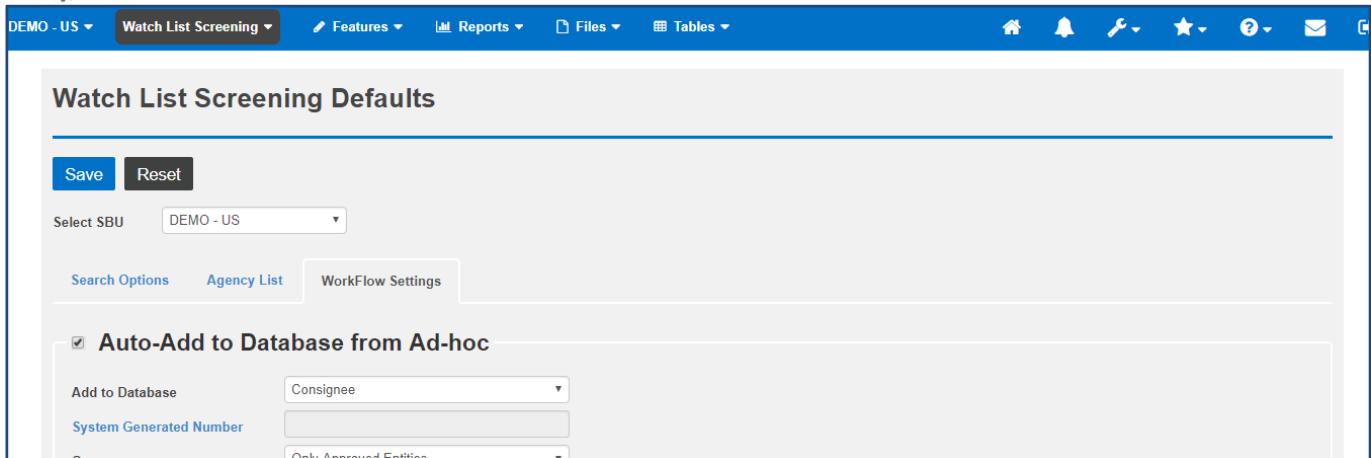
Figure 5: Work Flow Settings Tab

10. On the **Work Flow Settings** screen, select the **Auto-Add to Database from Ad Hoc** check-box to add screened entities automatically in the database.
    a. From the **Add to Database** drop-down list, select the desired option. For example, Consignee.
    b. From the **Cases** drop-down list, select the desired option. For example; Only Approved Entities.
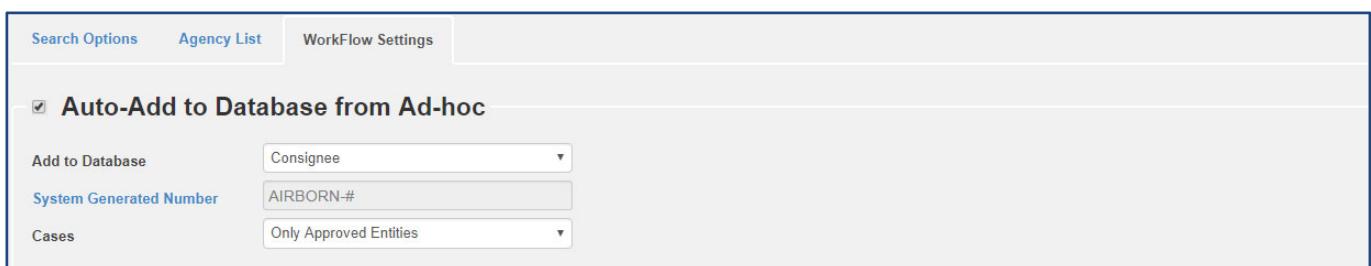
Figure 6: Added Details

11. Select the **Work Flow Routing** check-box to send on-hold entities details for review to the reviewer. Automatically an email will be sent to the selected user for review.
12. In the **Email** block, enter the subject, body, etc., details of the automatic email.

Figure 7: Work Flow Routing Block

2.6.2 SBU Defined Lists

SBU Defined Lists allow you to add your company-specific multiple watch lists. The screening engine will use these lists to perform Watch List Screening against specific entities listed by your company. To include these lists in your screening, provide this list to OCR through your customer support representative. The default format for the Watch List is shown below:

- DPL_NAME – char (255)
- DPL_SEE_ALSO – char (2000) (Names separated by a semi-colon (;)
- DPL_ADDRESS_1 – char (100) (House #, Apt #, Street Name etc. etc.)
- DPL_ADDRESS_2 – char (100) (City only)
- DPL_STATE – char (2) (2 letter state code)
- DPL_COUNTRY – char (2) (2 Letter code)
- DPL_COUNTRY_OF_ORIGIN – char (2) (2 Letter code)
- DPL_PRIVILEGES – char (2000)
- DPL_EFFECTIVE_DATE – date 'MM/DD/YYYY'
- DPL_EXPIRY_DATE – char (50)
- DPL_AGENCIES – char (20)
- DPL_TYPE – char (5)
- DPL_CATEGORY – char (25)

You can create your own User Defined List by first creating DPL type in the DPL Type table and then add desired entities by navigating to Table -> Watch List -> Add Denied Parties List.

2.6.3 Fuzzy Logic Search versus Exact Search

Any time a name is entered into any computer system or database, it can be subject to a degree of variation and error. These variations include typical spelling, typing and phonetic errors, nicknames, compound names, or even missing pieces. The system has built-in nick names and synonyms for most of the common names. For example:

- Will, Bill, Billy, etc., are nick names or synonyms for Williams.

- Roberto, Bob, Bobby etc., are nick names or synonyms for Robert.

- Caitlin, Caitlyn, Katelyn, Kate, Katie, etc., are nicknames for synonyms for Kathleen.

The exact and fuzzy logic search has built-in intelligence to match nick names. For example, 'Bob Almori' will match with 'Robert Almori' in both search logics. Moreover, both search logics have a feature to find matches independent of the order

of words. For example, 'Almori, Bob' will match with 'Robert Almori'. Despite these features, OCR still recommends Fuzzy Logic Search rather than Exact Search because:

- The exact search may not return a hit for spelling or typo errors. For example, 'Robert Almori' will not match 'Robart Almori' because the letter 'e' was mistyped as 'a' in Robert. In contrast, Fuzzy logic determines possible matches within the Watch List using phonics principles, nick names and acronyms. It looks for exact matches, as well as spelling or sounded variations for accurate and flexible results.

  For example, entries like 'Aquile', 'Aqulle' or 'Akuile' will return 'Aquilla, George A' as a possible match using fuzzy logic.

- Exact Search will not return a hit if there are missing words in either your partner's name or in the DPL. This is the case when your System may have included the middle initial or name, and the DPL does not have the middle initial or name or vice versa.

  For example, it is not unusual for a name such as: 'Sally Marie Johnston' to appear on various occasions or in different databases under variations such as: 'Sally Johnston', 'Sally M. Johnson', 'S Jonston', 'S. M. J.', 'Sally Marie Johnsen', and so on.

2.6.4   Fuzzy Logic Score

Fuzzy Search attempts to match your entity name with the names published in governmental lists using acronyms, nick names and phonetic variations in spellings. It compares every word in your entity with every word in a government entity. It assigns a score ranging from 0% to 100% for each word in your entity with words in a governmental entity. A score of 0% means no match, and a score of 100% means perfect match. The logic assigns a 100% score; if there is a match between a name and its nickname (for example, Bob will match Robert at 100%).

Once the scores are determined for each word in your entity, the logic calculates an overall score. For example, your partner's name is 'Sally Browning' and the Watch List may have published the same person as 'Browning, Sally'. In this example, Sally and Browning in your entity will match at 100% with Sally and Browning in the Watch List. The overall score is also 100%.

It is also possible that your entity may contain more words than the governmental list and vice versa. For example, the Watch List may have your partner's name as 'Sally Robinson Browning'.

Search Sally Robinsen – Fuzzy Results shows 'Browning, Sally Robinson' 90%.

Figure 8: Fuzzy Logic Search Results

To reduce red-flagged entries, you need to specify a threshold (cut-off) Fuzzy Score. Fuzzy logic will report a match only if the score is equal to or higher than the threshold score between your partner name and the watch list entity. For example, suppose you had specified a threshold score of 92%. In that case, the match between 'Sally Robinson Browning' and 'Sally

Robinsen' will not be reported because the Match Score of 90% is lower than the Screen Parameter Score of 92%. On the other hand, if you specify 80% as your threshold score, then the match between 'Sally Robinson Browning' and 'Sally Robinsen' will be reported.

OCR recommends a score of 85% to receive fewer false positives.

2.6.5 Name or/and Address Search Criteria

Name OR Address Screening enables users to screen the given entity when either the name or address criteria are satisfied. OCR recommends this option as the denied parties may change their address to circumvent their restrictions. The address weight field is not used in this option.

In addition to the Fuzzy Score, users can screen the given entity with specified name and address in the Name AND Address Screening. A weight of 50% gives equal weights to the name and address, and 75% gives more weight to the address than the name.

2.6.6 Entire Country Restrictions

The Entire Country Restrictions list imposes restrictions based on the country rather than restrictions for a specific entity. Therefore, the match reported is based on your export country rather than the name of your entity. You must select the appropriate country restrictions to obtain matches based on the Entire Country Restrictions.

If you specify a country name in the country field and do not select any agencies for the country restriction, no country restriction screening occurs.

There is no Fuzzy Logic for Country Restriction Screening because the countries are matched based on their ISO codes and not on the country's name.

2.6.7 Administrative 'Screening' Tables

There is a list of 'Screening' Tables made available for Admin Users to carry out tasks, such as:

- Review Watch List data entries and Country Restriction information
- Define custom DPL Override Reasons
- Tailor the DPL screening to exclude or include words and phrases during screening

The following Tables can be reviewed or configured by System Administrator and can be found under the Tables drop-down list.

Table	Description
Watch List	This table contains all the denied or restricted parties. A list of all denied party entities for a city, country, government agency, DPL type, category etc.
Override Reason Matrix	This table contains reasons that a compliance manager may use to override a red-flagged partner. You are allowed to specify up to 99 different reason codes and their description. The first 50 reason codes are reserved for OCR use. You are not allowed to delete any reason codes from 01-49. This allows OCR to provide standard reason codes that apply to all the clients.
Excluded Words List	Companies may specify a list of words to be excluded from a partner's name or address at the time of screening. Words added to this list will deduct points from the result scoring calculation of potential matches. For example; If 'Bank' has been added to the list – Whenever the word 'Bank' is mentioned in a DPL entry, this word will be excluded from the search algorithm of a potential match during screening. Thus, any match of an entity that contains 'Bank' would result in a lower score because this word is not to be used for screening. **Please Note:** OCR maintains a list of general **DPL Stop Words** automatically excluded during indexing of the DPL before screening. These words are considered during the indexing of the DPL Lists and are omitted from the scoring of potential matches. **Often there is no need to add Excluded words, as most of these would already be taken care of with the DPL Stop Words list.**
Included Words List	Companies may specify a list of words always used to flag a partner's name or address during screening. For example; If 'Libya' or 'Libyan' have been added to the list – Whenever the words 'Libya' or 'Libyan' are found during a partner screening, they will automatically be flagged and displayed as a match-based the 'Included Words' List.

Table	Description
	Please Note: No Fuzzy logic is used for the Included Words List, meaning the Word must match the screening, or you must add any additional variations. Therefore, using the example above – if 'Libya' has been added to the list and searched a customer name for 'Libyan', there would be no Match seeing as the variation of Libya as 'Libyan' has not been added.
Safe Words List	Any record that matches a name from the Safe List will not be placed on hold. For example, a Company's name will often appear as a Hit during screening due to red flagged words such as 'International' or 'Corporation'. Therefore, if you place your entire Company's exact name in the 'Safe List', this would omit your company from screening and remove those potential matches for your own company. **Please Note:** No Fuzzy logic is used for the Safe List, meaning the Word must precisely match the screening to be omitted.
DPL Agency/DPL Type	In the **DPL Agency** Table**,** a new Agency: **'User Defined List'**, was added to allow companies to define company-specific 'DPL Types' and associate any internally denied parties for screening. As a Corporate Admin, in the **DPL Type** Table**,** you can create your own company-specific 'DPL Types' under this 'User Defined List' Agency. Once the DPL Type(s) have been added, then under the **Watch List** Table**,** if you add a Denied Party, you can associate them to a company-specific DPL Type. Once the DPL Types have been configured, in the **Watch List Screening Defaults: Agency Lists section,** you can manage which company-specific **DPL Type** lists should be available for use during screening.

Table 7: Screening Tables

2.7 How To Create User-Defined List

2.7.1 Prerequisite

You should have user role SBU Administrator (To Select the agency on Watch List Screening Defaults) and Write Permission to below tables:

- DPL Type
- Watch List

Refer to the following steps to create the DPL type.

1. Log on to the System and select the Watch List Screening module.
2. Go to Tables -> DPL Type, the **Search DPL Type** screen is displayed.
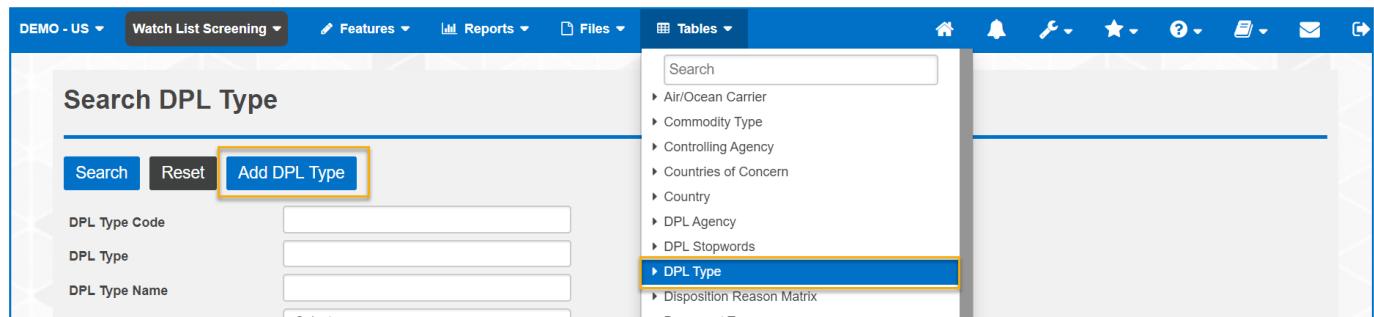
Figure 9: DPL Type Option

3. Click the **Add DPL Type** button and enter the DPL Type and DPL Type Name.
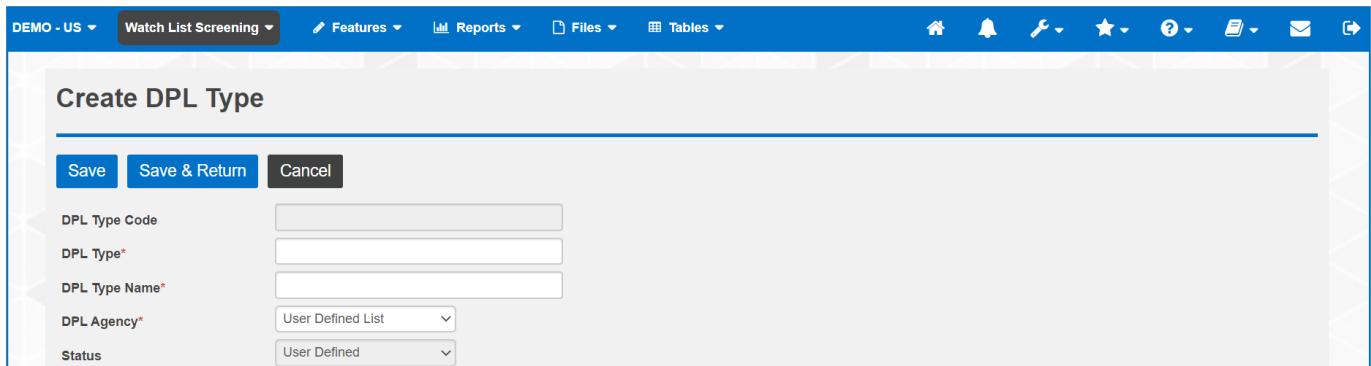
Figure 10: Create DPL Type Screen

4. Click the **Save** button.
5. Go to Table -> Watch List -> Add Denied Parties List, the **Search Watch List** screen is displayed.
6. Click the **Add Denied Parties List** button to add the DPL. The **Create Denied Party List** screen is displayed.
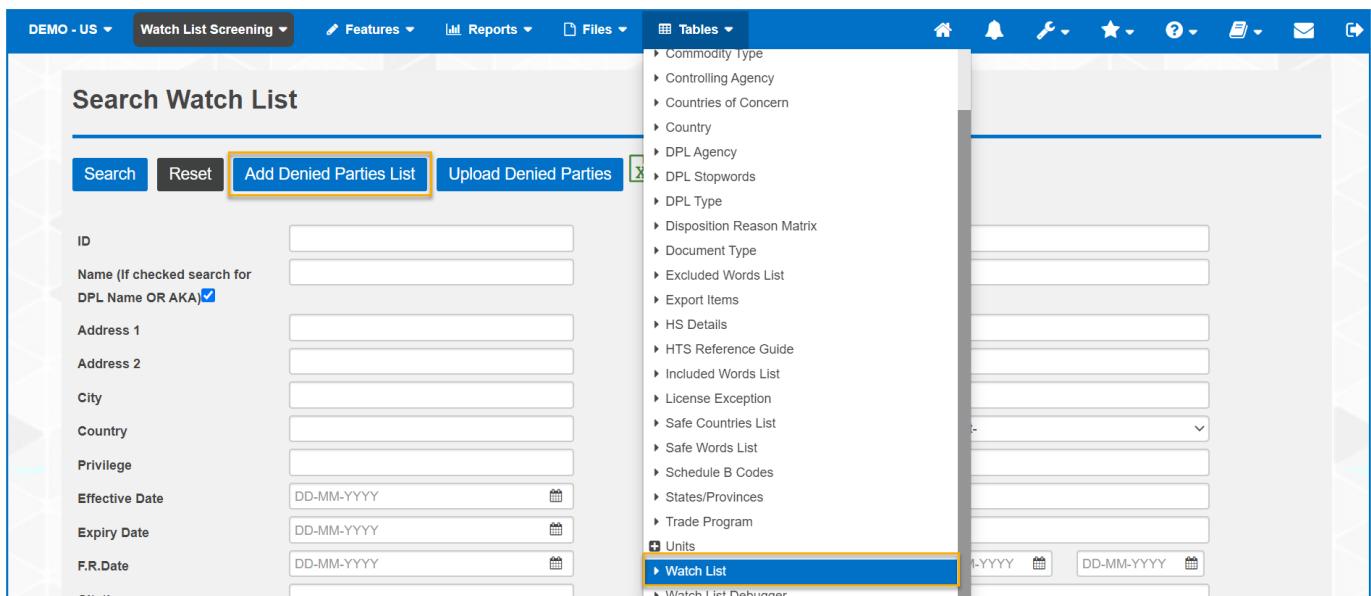
Figure 11: Watch List Option

7. On the **Create Denied Party List** screen, select the DPL Type from the Type dropdown.

Figure 12: Create Watch List

8. Enter Name and other information in the available fields.
9. Select the DPL Category and click the **Save** button to save the details.

2.7.2   Including List for Screening

1. To screen against the added List, go to Tools -> Watch List Screening Defaults select the SBU.
2. Click on Agency List and select the List under User Defined List and click the **Save** button.

Figure 13: Selecting Watch List

2.7.3   Create User Defined List

- To create the User Define List using file upload, Download the Excel Template from Table -> Watch List and upload Denied Parties List.
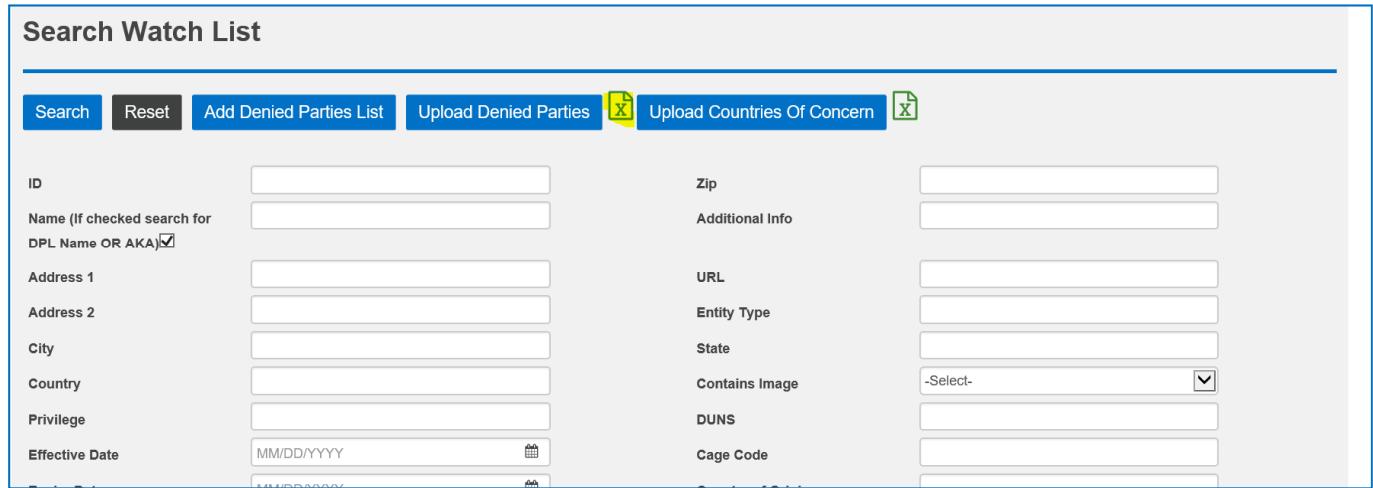
Figure 14: Upload Watch List

- Similarly, you can create your Country List after creating DPL Type for User Define Country Restriction.

2.8   Global Configuration Parameters

Global Configuration Parameters are used throughout the System and may be configured at any time. These parameters consist of various functionalities across all modules that help with standardizing the System for your needs. Only Corp Admins can set Global Configuration Parameters. Since the System allows multiple Corp Admins, you must decide on who has authority to set up and manage the Global Configuration Parameters

Refer to the following steps to view the Application configuration screen.

1. Navigation to **Configure Application** option under **System** from the Tools ( ) icon drop-down list to configure parameters.

    The Search Global Configuration screen is displayed.
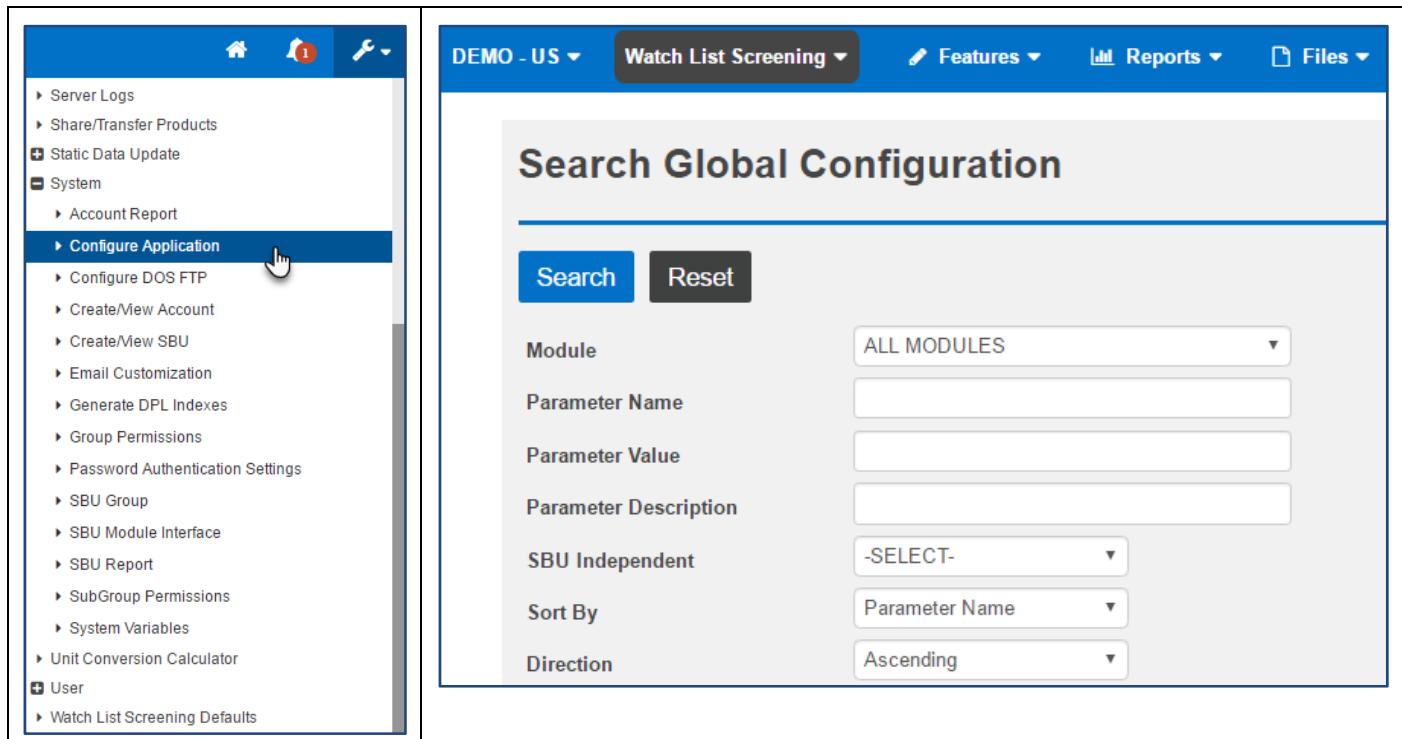
Figure 15: Search Global Configuration Screen

2. On the **Search Global Configuration** screen, from the **Module** drop-down list, select the desired module or **Watch List Screening** option.

3. On remaining fields, enter required search parameters, if required.

    In Sort By drop-down list, the "Parameter Name" option is selected by default.

    In the Direction drop-down list, the "Ascending" option is selected by default.

4. Once you are satisfied with entered parameters, click the Search button.

    The Global Configuration Parameters screen is displayed.
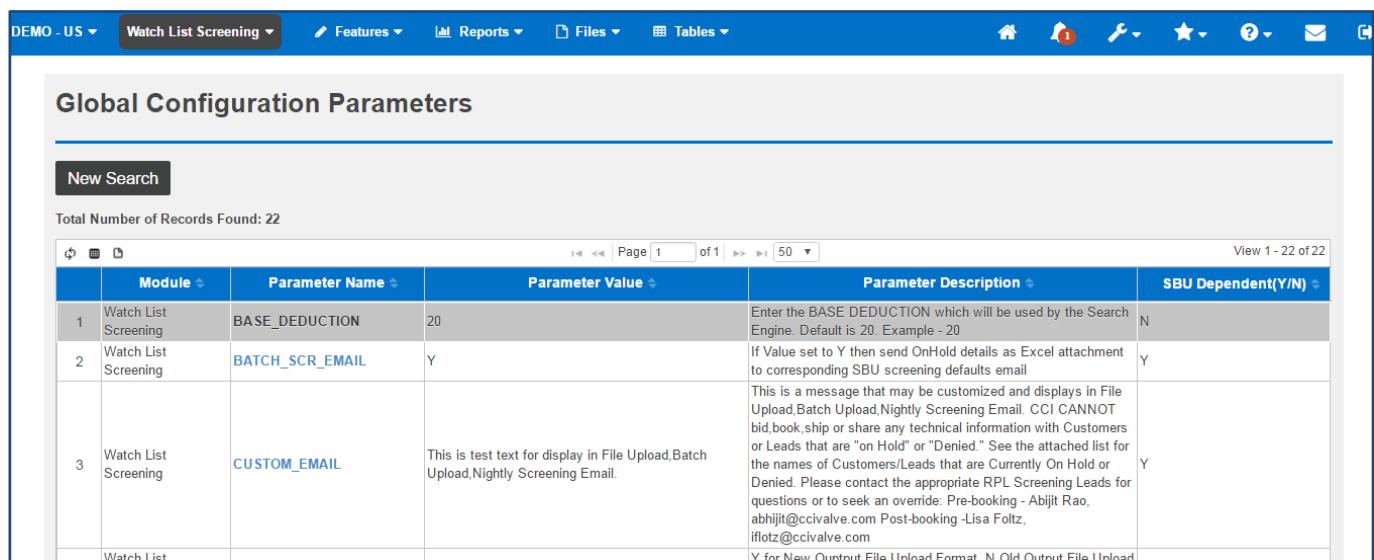
5. Under the **Parameters Name** column, select desired parameter to change its settings. For example, BATCH_SCR_EMAIL.

The Edit Global Configuration Parameters screen is displayed.
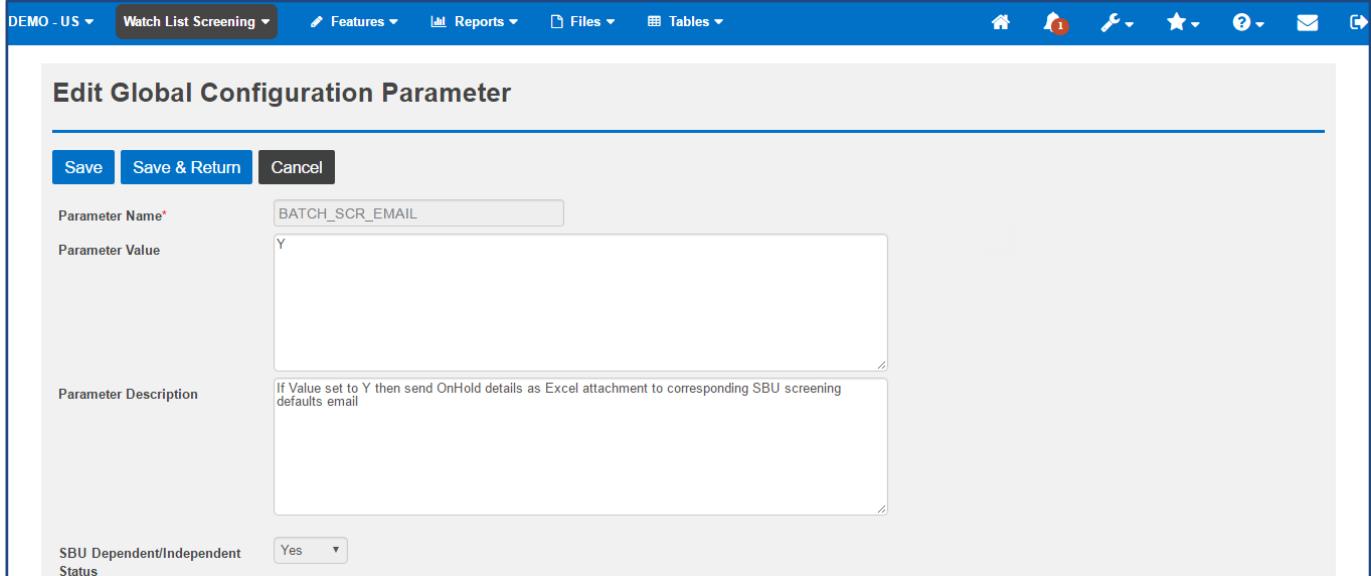
Figure 17: Edit Global Configuration Parameters Screen

6. In the **Edit Global Configuration Parameters** screen, do the desired modification in the **Parameter Value** field based on the instruction in the **Parameter Description** field.

7. Once you are satisfied with modifications, click the **Save** button to save the settings and click the **Save & Return** button to redirect to the **Global Configuration Parameters** screen.

The Global Configuration Parameters screen is redisplayed with the updated settings.

2.9 SBU Configuration Parameters

Like the Global Configuration Parameters, SBU Configuration Parameters are used throughout the System but for each separate SBU. These parameters consist of various functionalities across all modules that help standardize the System for your needs within your individual SBU. Only Corp and SBU Admins can set SBU Configuration Parameters. Since the System allows multiple Corp and SBU Admins, you must decide who has authority to set up the SBU Configuration Parameters.

Refer to the following steps to view the Application configuration screen.

1. Navigate to **SBU Configuration** from the Tools ( ) icon drop-down list to configure parameters.

The Search SBU Configuration screen is displayed.
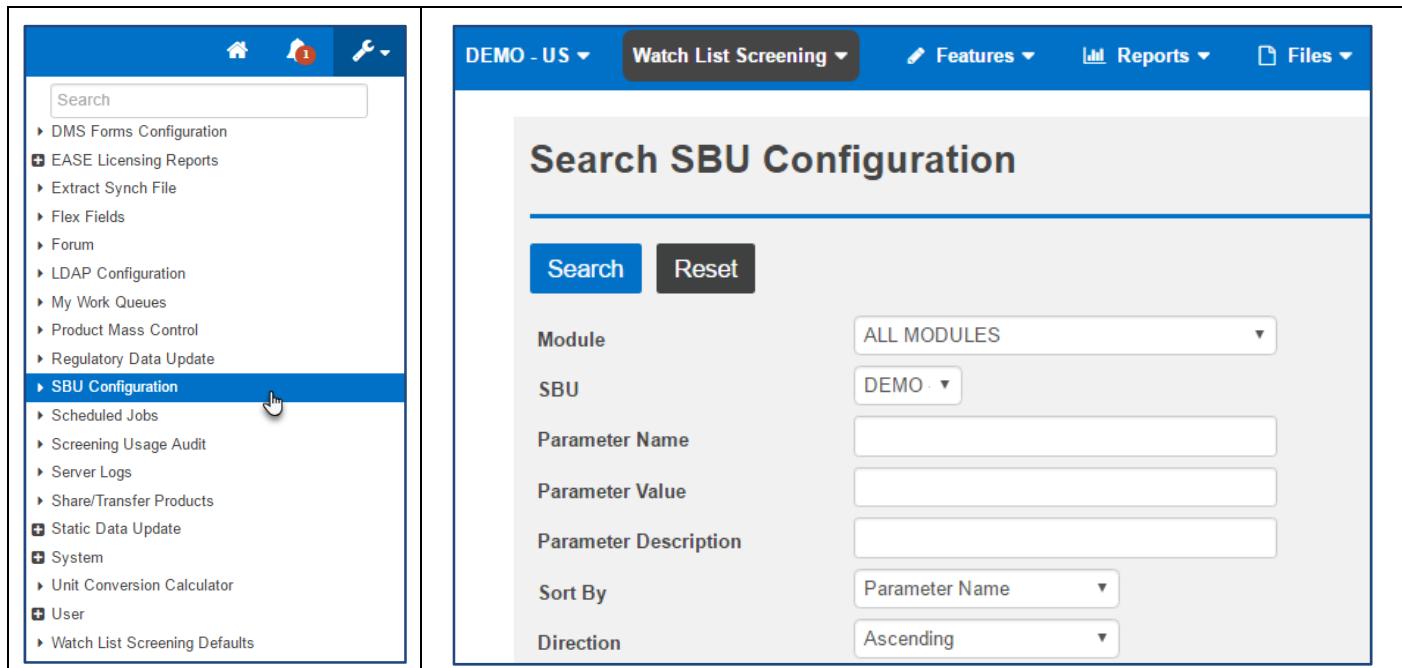
Figure 18: Search SBU Configuration Screen

2. On the **Search SBU Configuration** screen, from the **Module** drop-down list, select the desired module or **Watch List Screening** option.

3. On remaining fields, enter required search parameters, if required.

   In Sort By drop-down list, the "Parameter Name" option is selected by default.

   In the Direction drop-down list, the "Ascending" option is selected by default.

4. Once you are satisfied with entered parameters, click the **Search** button.

   The SBU Configuration Parameters screen is displayed.

Figure 19: SBU Configuration Parameters Screen

5. Under the **Parameters Name** column, select desired parameter to change its settings. For example, BATCH_SCR_EMAIL.

   The Edit SBU Configuration Parameters screen is displayed.

Figure 20: Edit SBU Configuration Parameters Screen

6. In the **Edit SBU Configuration Parameters** screen, do the desired modification in the **Parameter Value** field based on the instruction in the **Parameter Description** field.

7. Once you are satisfied with modifications, click the **Save** button to save the settings and click the **Save & Return** button to redirect to the **SBU Configuration Parameters** screen.

The SBU Configuration Parameters screen is redisplayed with the updated settings.

3. WATCH LIST SCREENING FEATURES

This section describes the step-by-step procedure to use the Watch List Screening module features to screen an entity against the government's most current restricted, denied, or prohibited party lists.

The following steps describe how to navigate to the Watch List Screening module home screen.

1. Go to the **Login** screen of the System.

Figure 21: Login Screen

2. In the **User Name** and **Password** fields, enter the login credentials provided to you.

Mandatory field, English text and numbers, the maximum length of 50 characters.

3. Click the **Login** button to login into the System.

The Watch List Screening module home screen or your default set module home screen is displayed.
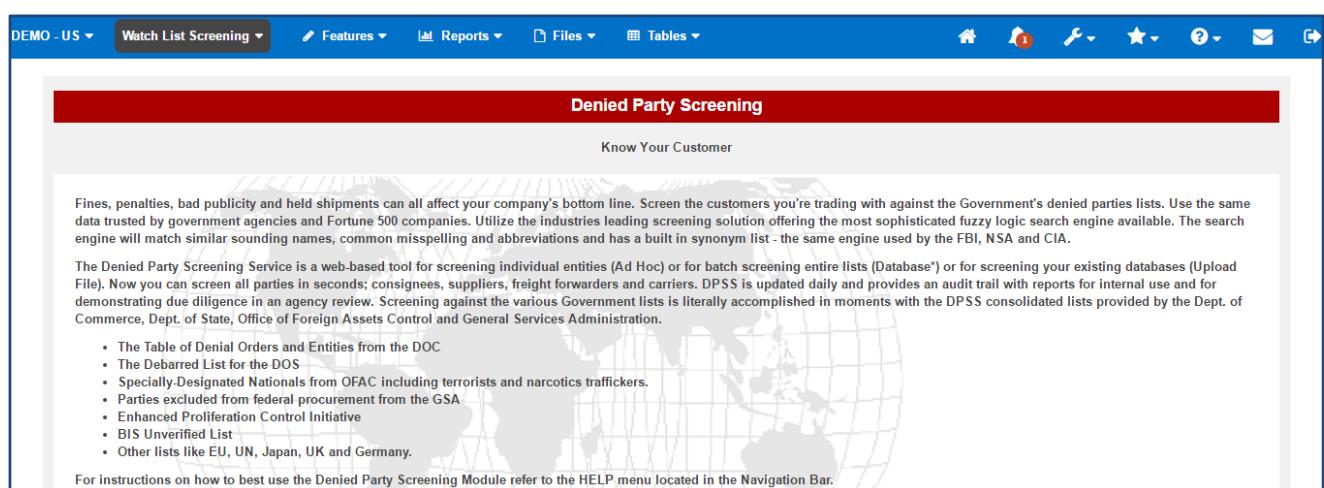
Figure 22: Watch List Module Home Screen

If the Watch List Screening is not your default module, select the Watch List Screening from the Module selection box to access the Watch List Screening module. You can also set Watch List Screening as your default module; refer to 'Getting Started User Guide' for more details on setting the default module.

If you have forgotten your User Name or Password, refer to 'Getting Started User Guide' to reset them.

3.1 Ad hoc Screening

The Ad hoc Screening functionality allows you to screen single or multiple entities and receive results right away. This screening process is critical to assure compliance with laws and regulations imposing foreign trade controls. Failure to comply with these laws and regulations can result in civil and criminal penalties.

The following figure illustrates the Ad hoc Screening workflow.
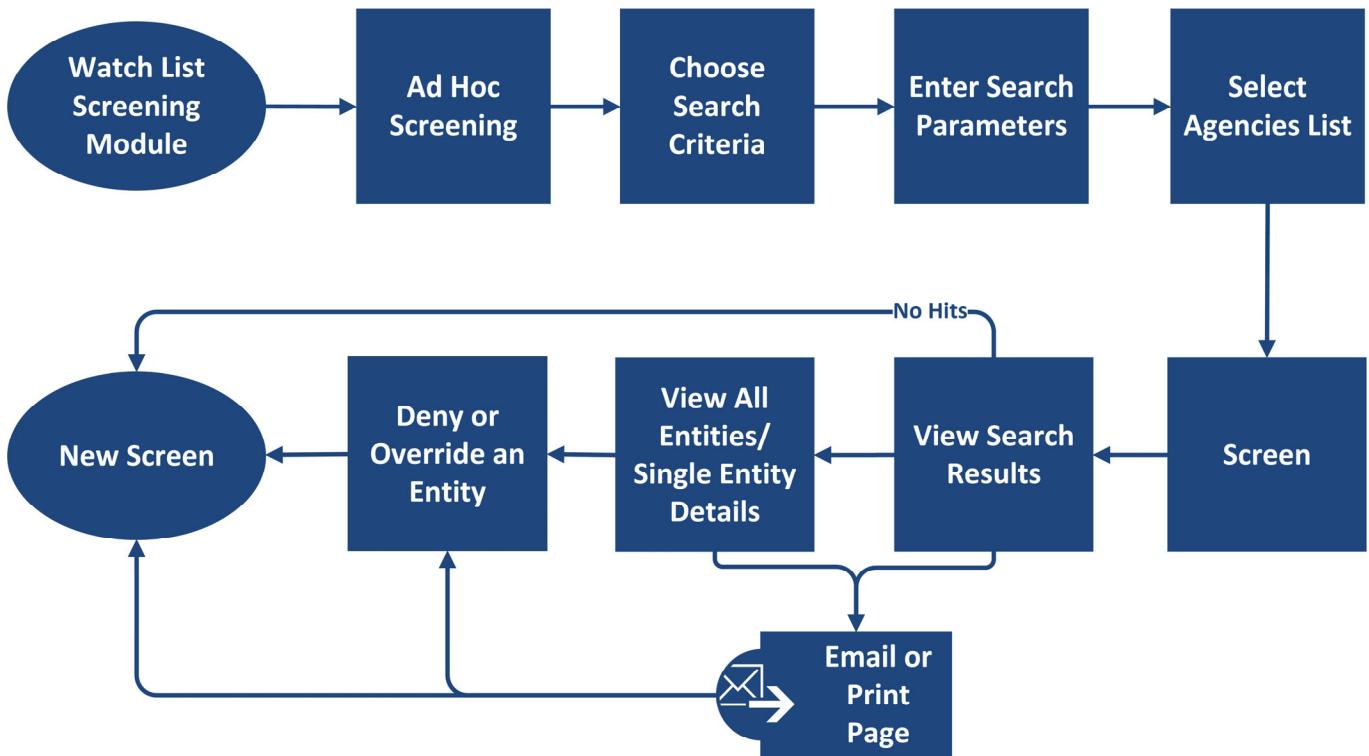
Figure 23: Ad hoc Screening Flow Diagram

The following steps describe how to screen an entity.

1. To screen an entity, you need first to view the **Ad hoc Screening** screen successfully. This can be achieved by the following:
   a. Navigating to the **Ad hoc Screening** feature of the **Watch List Screening** module (Watch List Screening -> Features -> Ad hoc screening).
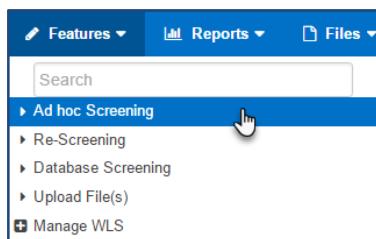
Figure 24: Ad hoc Screening Screen Navigation

You can also search the required feature from the Search Bar provided in the Features Menu drop-down list.

The Ad hoc Screening screen is displayed.
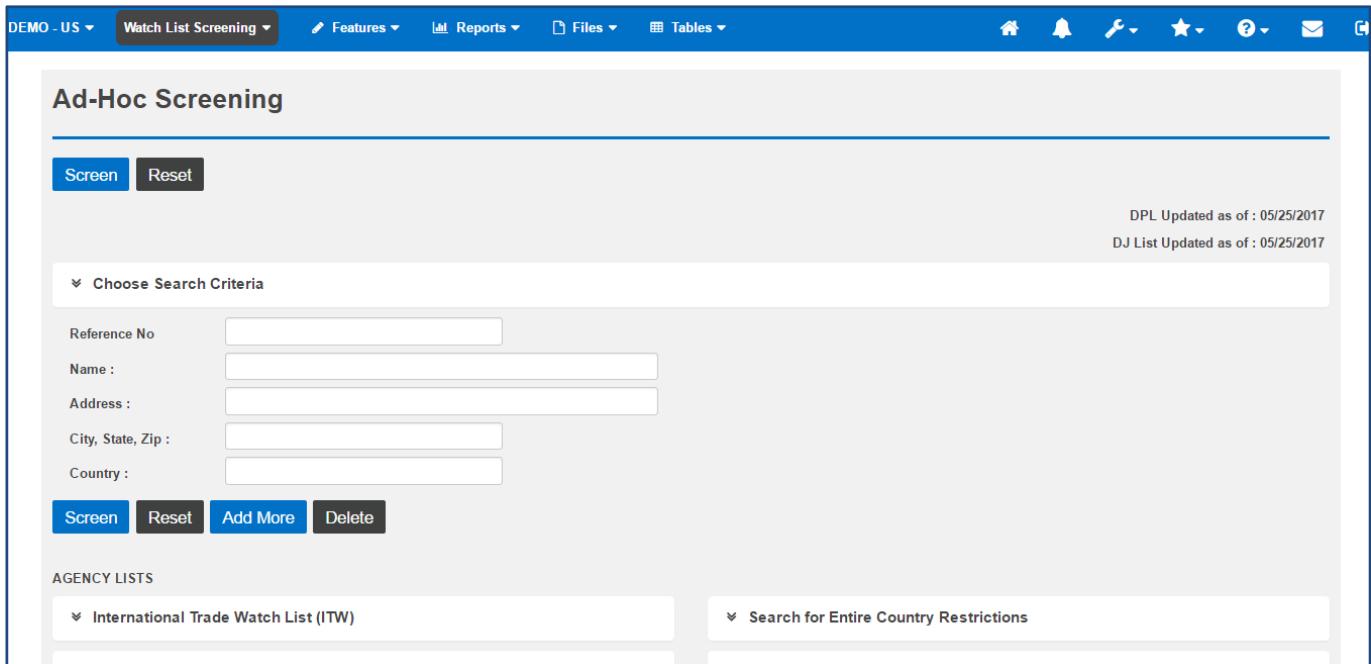
Figure 25: Ad hoc Screening Screen

At any given time while you are on the screen, you can click the Reset *button to reset the fields to their default values.*

On the top right side of the screen, DPL and DJ List update dates are displayed.

2. In the **Ad hoc Screening** screen, click the **Choose Search Criteria** drop-down panel if you want to define the search criteria or move to Step 3.

As per the user default setting, default search criteria are selected.
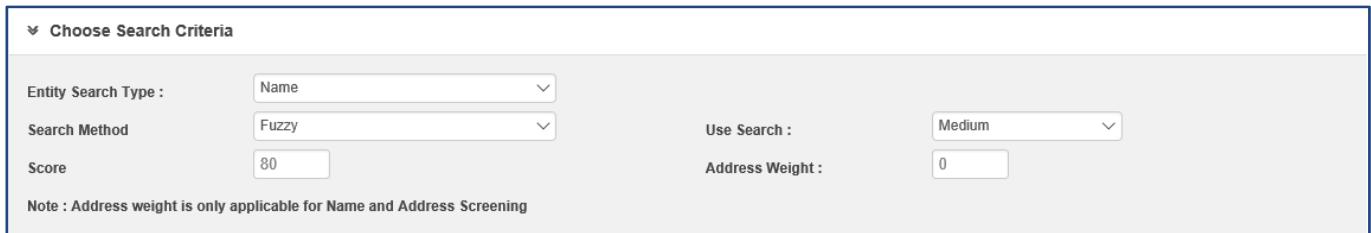
Figure 26: Choose Search Criteria Open Panel

a. From an **Entity Search Type** drop-down list, select the required search parameter (Refer Table 8).

As per the option selected from the Entity Search Type drop-down list, the corresponding fields will become a mandatory field.

Entity Search Type	Description
Name	Select this option to screen an entity by name only without being restricted to any specific country. The search results will contain those parties that match the name in the watch lists (based on the fuzzy logic search criteria specified). Specifying the address or country does not affect the screening. However, the address and country for an entity screened are shown with the results for ease of comparison.
Name OR Country	Select this option to screen a name without restriction to the specified country or get all the denied entities for the specified country. It is not to be used for database or file upload screening as you will get the entire restricted entries for a given country for each name in your database that has a country field specified.

Entity Search Type	Description
	This parameter is only available for Ad hoc Screening.
Name AND Country	Select this option to screen a name restricted to the specified country. The search results will contain those parties that match the name in the watch list within the country specified. However, if you do not specify the country, the search is the same as Name only screening. Also, if the name matches an entity in the watch list and no country is specified for an entity in the watch list, the search results will include such an entity so that you can make a conscious decision to reduce your risk.
Name OR Address	Select this option to screen a name or an address, or if you want to screen both but do not want any relation between the two. The search results will contain those parties that match either the name or the address given.
Name AND Address	Select this option to screen a company or a person at a particular address, and if you want results that match both the given name at the address. The search results will contain those parties that match both the name and the address specified.
(Name OR Address) AND Country	Select this option to screen a name with a country or an address with a country or if you want to screen both the name with the country but do not want any relation between the address. The search results will contain those parties where Name and Country or Address and Country are the same. If the country is missing either side, then the result will contain those records where Name is match or Address is a match.

Table 8: Entity Search Type Options

b. From the **Search Method** drop-down list, select the required type of searching method.

Search Method	Description
Exact	The System will search for the exact matching entity as per search parameters. *The name would have to be entered exactly as the government publishes it (including the punctuation marks to some degree).*
Fuzzy	The System will search relevant entities as per search parameters even when the parameters of an entity do not precisely correspond to the search parameters. *This option uses 'Soundex' principles to match similar-sounding names.*

Table 9: Search Method Options

c. If you have selected the '**Fuzzy**' search method from the **Use Search** drop-down list, select the required fuzziness score for the reported match. Along with the **Score** field, this field determines the confidence (fuzziness) of the reported match.

Once you have selected the option from the 'Use Search' drop-down list, the minimum matching value is automatically displayed in the 'Score' field.

Use Search	Description
Tight	This range will show matching scores from 90 to 100 (default minimum score: 90).
Medium	This range will show matching scores from 80 to 100 (default minimum score: 80).
Wide	This range will show matching scores from 1 to 100 (default minimum score: 70).

Table 10: Use Search Options

d. The **Score** field automatically displays the minimum score as per the option selected in **Use Search** drop-down list. Moreover, you can change the score as per your requirement.

Numeric field, the maximum length of 3 numbers.

e. In the **Address weight** field (if displayed), enter the required address weightage for the matching Name and Address of an entity with the parameters.

Numeric field, the maximum length of 3 numbers.

This field is active only if you have selected the 'Name AND Address' option from the 'Entity Search Type' drop-down list.

3. In the **Reference Number** field, enter the number to record as an identifier of the screening for future reference. For example, 98.

English text and numbers, the maximum length of 200 characters.

4. In the **Name** field, enter the name of an entity. For example, Robert Almori.

Mandatory or optional field, English text and numbers, the maximum length of 1000 characters.

If you want to screen multiple names, enter the required name separated by a colon (:). For example, Robert Almori: Rohit Manhas: Michel Martini.

5. In the **Address** field, enter the address of an entity. For example, 80-82 Rue Saint Dominique.

Mandatory or optional field, English text and numbers, the maximum length of 100 characters.

6. In the **City, State, Zip** field, enter the address details of an entity. For example, Paris 7.

Optional field, English text and numbers, the maximum length of 100 characters.

7. In the **Country** field, enter the country of an entity. For example, France.

Smart field, English text and numbers, the maximum length of 100 characters.

Once you start to enter the country name in the field, a smart look-up is displayed.

Figure 27: Country Smart Search Field

Enter the first three letters of the required country name and select the required country from the list.

The selected country name is displayed in the Country field.

If you want to screen an entity with multiple addresses, click the **Add More** *button. OCR recommends adding five blocks only.*

The extra block with Name, Address, City, State, Zip and Country fields is displayed.
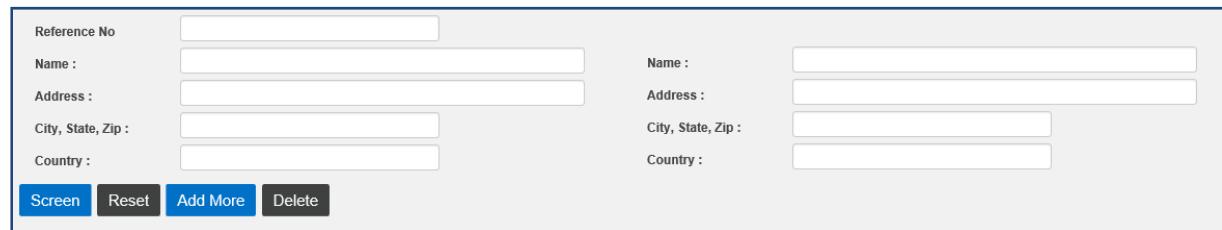
Reference No			
Name :		Name :	
Address :		Address :	
City, State, Zip :		City, State, Zip :	
Country :		Country :	

[Screen] [Reset] [Add More] [Delete]

Figure 28: Smart Look-up Example

Enter the parameters in the fields to search the required entity (refer to Step-4 to Step-7 for field descriptions).

If you want to delete the latest added block, click the [Delete] *button.*

8. From the **Agency Lists** block, select the agencies to modify the search results. For example, you can select the required agency drop-down panel and check or un-check the agency's check-box to add or remove them from search criteria, respectively.

Agencies are selected as per the user default settings. You can modify the default list of agencies through 'Watch List Screening Defaults' in the Tools menu (refer to Section 2.6.1).
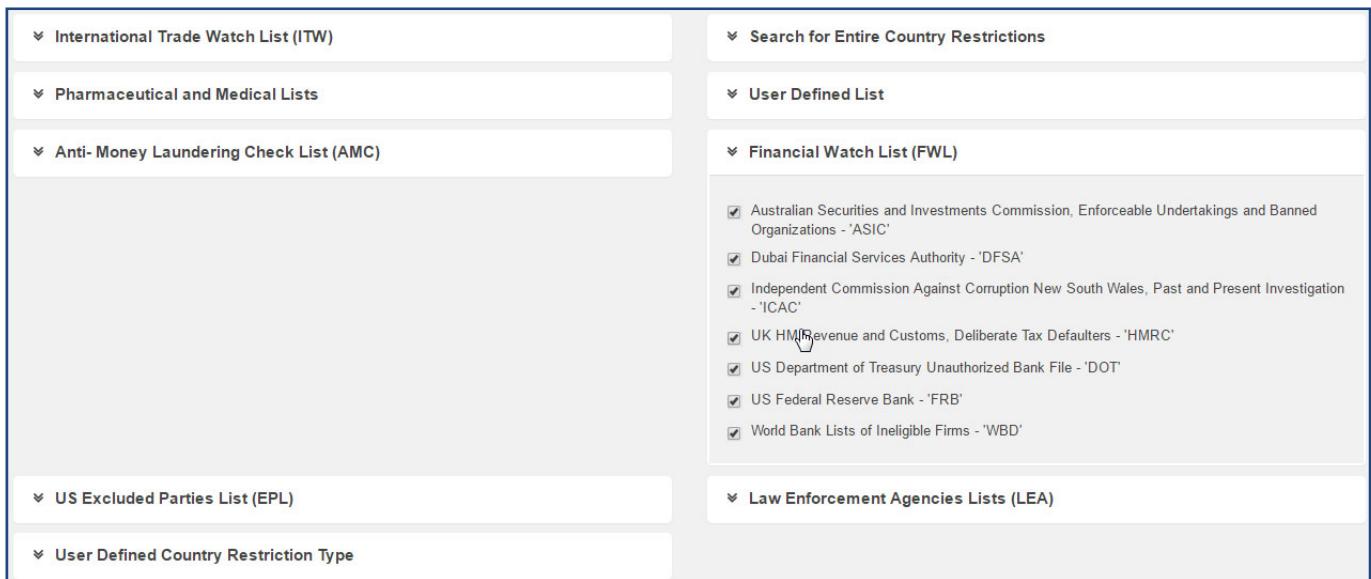
⌄ International Trade Watch List (ITW)

⌄ Pharmaceutical and Medical Lists

⌄ Anti- Money Laundering Check List (AMC)

⌄ Search for Entire Country Restrictions

⌄ User Defined List

⌄ Financial Watch List (FWL)

☑ Australian Securities and Investments Commission, Enforceable Undertakings and Banned Organizations - 'ASIC'
☑ Dubai Financial Services Authority - 'DFSA'
☑ Independent Commission Against Corruption New South Wales, Past and Present Investigation - 'ICAC'
☑ UK HM Revenue and Customs, Deliberate Tax Defaulters - 'HMRC'
☑ US Department of Treasury Unauthorized Bank File - 'DOT'
☑ US Federal Reserve Bank - 'FRB'
☑ World Bank Lists of Ineligible Firms - 'WBD'

⌄ US Excluded Parties List (EPL)

⌄ User Defined Country Restriction Type

⌄ Law Enforcement Agencies Lists (LEA)

Figure 29: Agency Lists Open Panel

9. Once you are satisfied with the entered parameters, click the [Screen] button.

If all fields are filled correctly, and there are no errors found, then the Ad hoc Screening Results screen is displayed with search results.

Whenever you find hits for an entity, an email will be sent to the reviewers configured in the Workflow settings under Watch List Screening Defaults.

Figure 30: Ad hoc Screening Results Screen

At any given time, while you are on the Ad hoc Screening Results screen, you can click the **New Screen** button to search for a new entity.

The DPL updated, DJ List updated, and DPL search dates are shown at the top-right side of the screen.

You can click the View Search Criteria drop-down panel to view the search criteria for shown results.

Figure 31: View Search Criteria Drop-Down Panel

10. The **Screened Entities** block shows the name of the entity or entities screened.

You can click the **View All Entities Detail Hits** button to view the details of all the entities screened with hits.

The Screening Details - View All Entities Details Hits dialogue box is displayed with the all entities detail.

Figure 32: Screening Details - View All Entities Details Hits Dialogue Box

The DPL updated, DJ List updated, and DPL search dates are shown on the screen's right side.

You can click the View Search Criteria drop-down list to view the search criteria.

Figure 33: View Search Criteria

You can click the ✕ *button to close the Screening Details - View All Entities Details Hits dialogue box and return to Ad hoc Screening Results Screen.*

11. On the **Searched Entity Name** block, the **Reference No** field displays the assigned reference number for the searched entity if any.

The block's name is the same as the name of the searched entity in the Screened Entities block.

Figure 34: Searched Entity Name Block

You can click the ⊕ icon to add screened entity in the Files database.
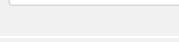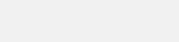
Figure 35: Add to File Database

You can click the 📄 icon to add notes.

Figure 36: Add/View Note

You can click the 🔗 icon to attach a document.

You can click the **View All Hits** button to view all the hits for a particular entity (if you screen more than one entity).
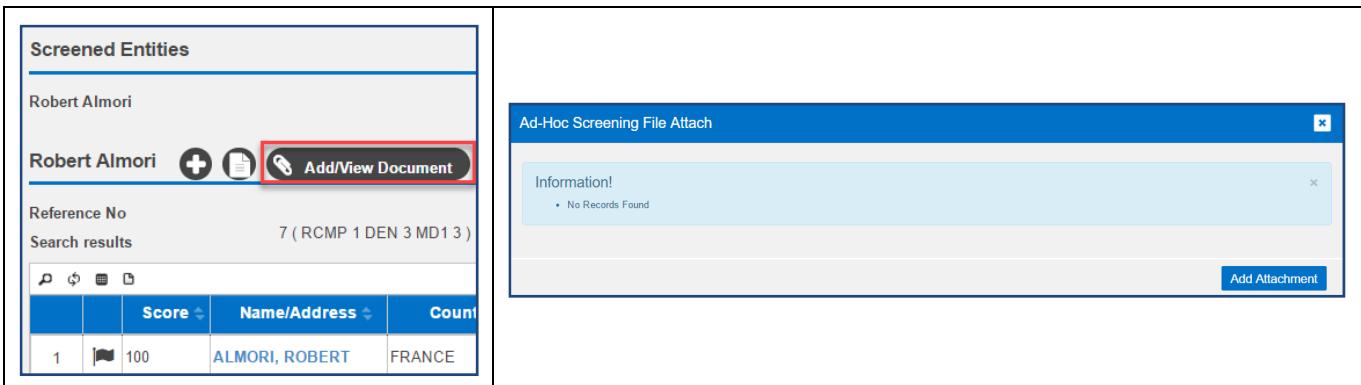
Figure 37: Add/View Document

You can click the **View All Hits** button to view all the hits for a particular entity (if you screen more than one entity).

The Screening Details - View All Hits dialogue box is displayed.
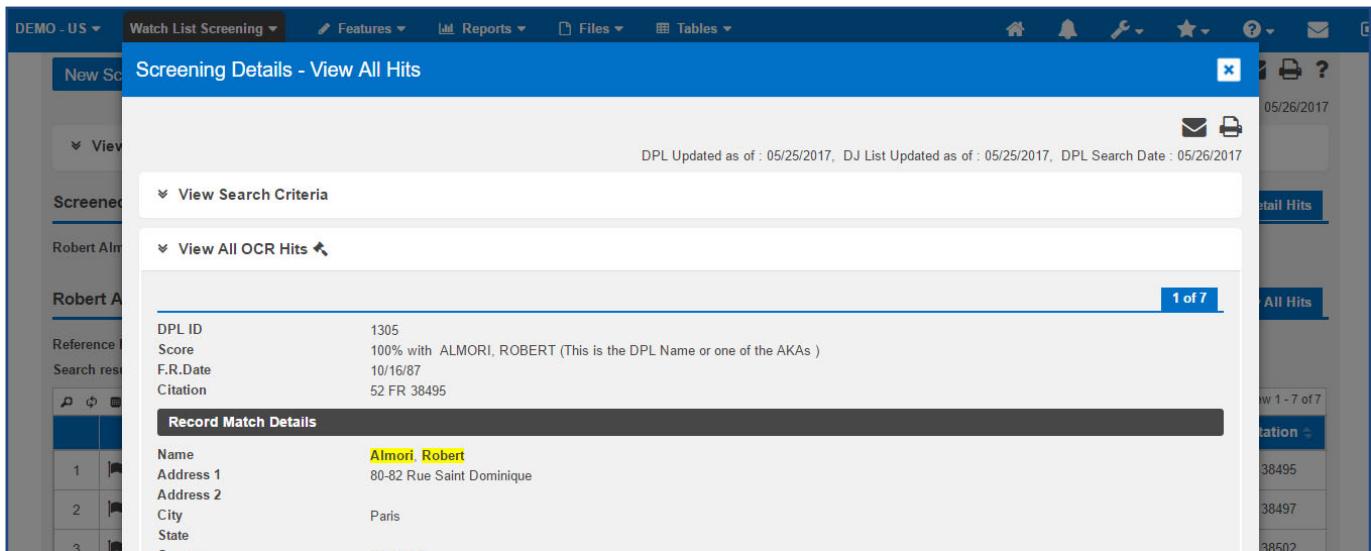
Figure 38: Screening Details - View All Hits Dialogue Box

12. The **Search Results** field displays the number of entities found, search type, and Entity name; as per the parameters given in the search criteria.

13. The **Search Results** table displays the list of entities.
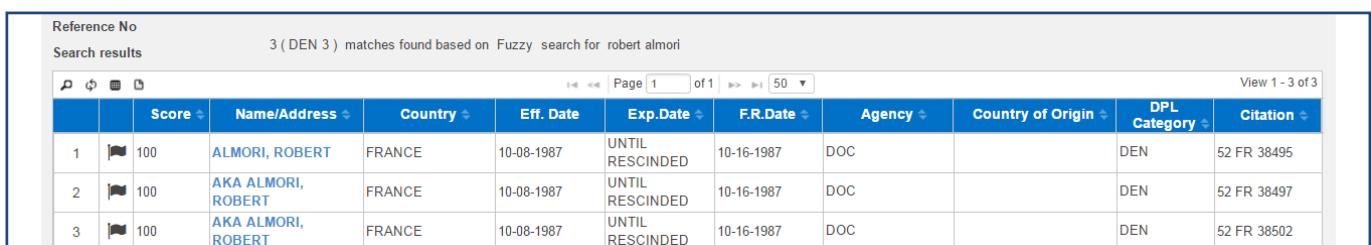
Figure 39: Search Results Table

You can click the icon to rearrange the search results by desired option.

a. The **First** column contains the serial number of the search results.

b. The **Second** column contains the flags.

You can give the desired color of the flag to highlight entities for Reviewer. For example, Red (**), Yellow (**) and Green (**).

c. The **Name/Address** column contains the name and address of an entity.

You can see the details of the particular entity by a mouse hover on the desired Name of an entity.
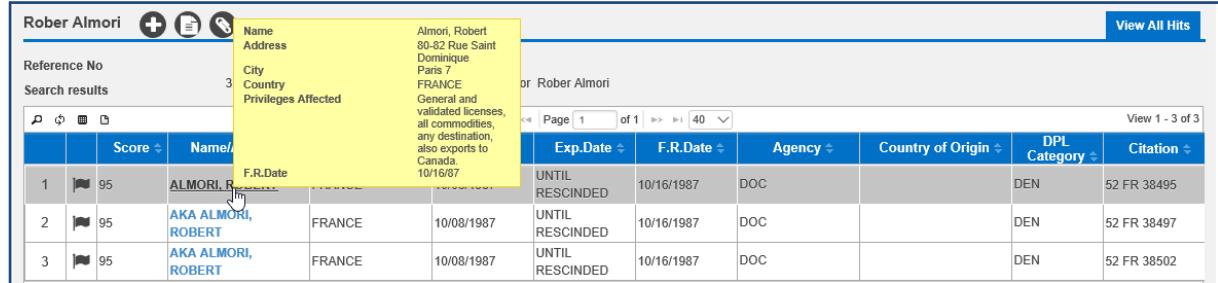
Figure 40: Mouse Hovering Results

You can click the desired Name and Address to view its details.

d. The **Country** column contains the country of an entity.

e. The **Eff. Date** column contains the date from when the respective entity comes under denied parties list.

f. The **Exp. Date** column contains the date or comment until the respective entity remains under the denied parties list.

g. The **F.R Date** column contains the agency's Federal Register date.

h. The **Agency** column contains the authority that puts an entity in the denied parties list.

i. The **Country of Origin** column contains the authority that puts an entity in the denied parties list.

j. The **DPL Category** column contains the name of the denied parties list under which entity is placed.

k. The **Citation** column contains the denied parties' list code.

You can see the details of the particular entity citation by clicking the Citation to view the details.

A tab is displayed with the Citation details.

Figure 41: Citation Details

14. Select the desired entity Name/Address cell to see the details of an entity.

 The Screening Details View dialogue box is displayed with the selected entity details.

Figure 42: Screening Details View Dialogue Box

 The search criteria on the dialogue box are highlighted with 'Yellow' color for ease of use.

 You can click the   button to mail the selected entity details to the desired recipient (Refer Appendix D).

 You can click the   button to print the selected entity details (Refer to Appendix D).

 You can click the *button to close the Screening Details View dialogue box, and the Ad hoc Screening Results screen is redisplayed.*

If you have Deny/Override privileges, refer to Step 15. Otherwise, click the New Screen *button to screen more entities.*

The Ad hoc Screening screen is redisplayed

15. After reviewing the details, decide whether you want to 'Deny' or 'Override' searched entity/entities. Refer to the following steps to deny entity/entities or refer to Step 16 to override entity/entities.

   This feature is only available to privileged users.

   a. Click the Deny button.

      The Disposition Reason Matrix dialogue box is displayed.

Figure 43: Disposition Reason Matrix Dialogue Box
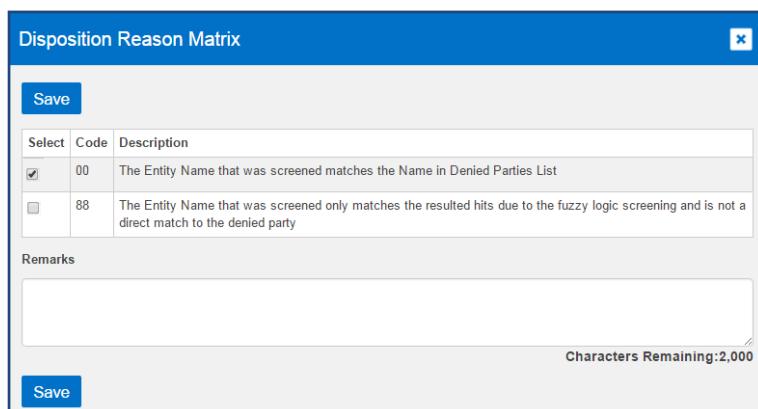
   b. In the **Disposition Reason Matrix** dialogue box, select the desired reason check-box and enter the remarks, if any.

Figure 44: Disposition Reason Matrix Dialogue Box – Reason Selection

   c. Click the Save button.

      The Ad hoc Screening screen is redisplayed.

16. To override entity/entities, refer to the following steps.

   This feature is only available to privileged users.

   a. Click the Override button.

      The Disposition Reason Matrix dialogue box is displayed.

Figure 45: Disposition Reason Matrix Dialogue Box

b.   In the **Disposition Reason Matrix** dialogue box, select the desired reason check-box and enter the remarks, if any.

Figure 46: Disposition Reason Matrix Dialogue Box – Reason Selection

c.   Click the Save button.

    The Ad hoc Screening screen is redisplayed.

3.1.1   Screening Details - View Entities Detail Hits Dialogue Box

This section describes the field descriptions of the Detail Hits dialogue box. Once you click **View All Hits** or **View All Entities Detail Hits** buttons or on the name of an entity in the **Search Result** table, the detail hits the dialogue box is displayed.
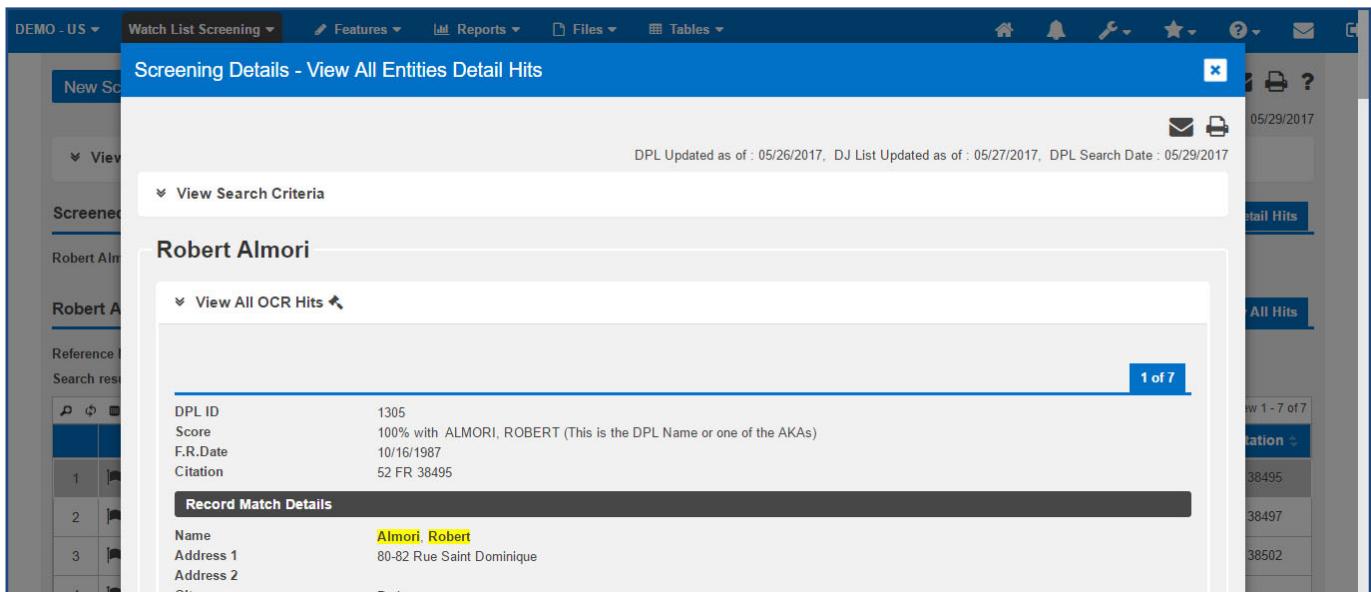
Figure 47: Screening Details - View All Entities Detail Hits Dialogue Box
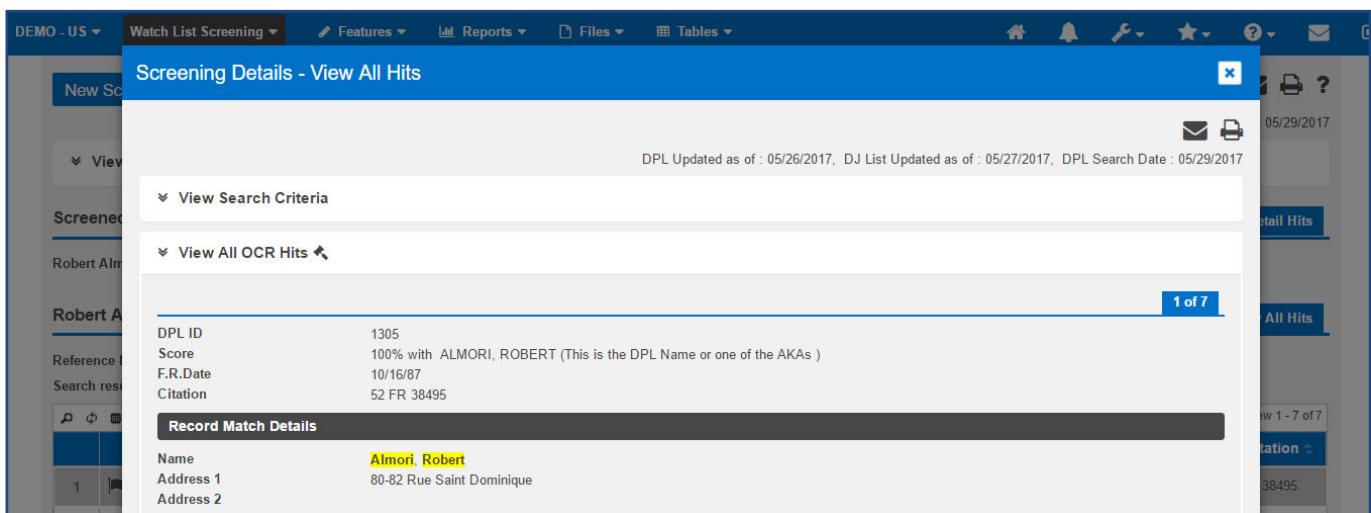
Figure 48: Screening Details - View All Hits Dialogue Box
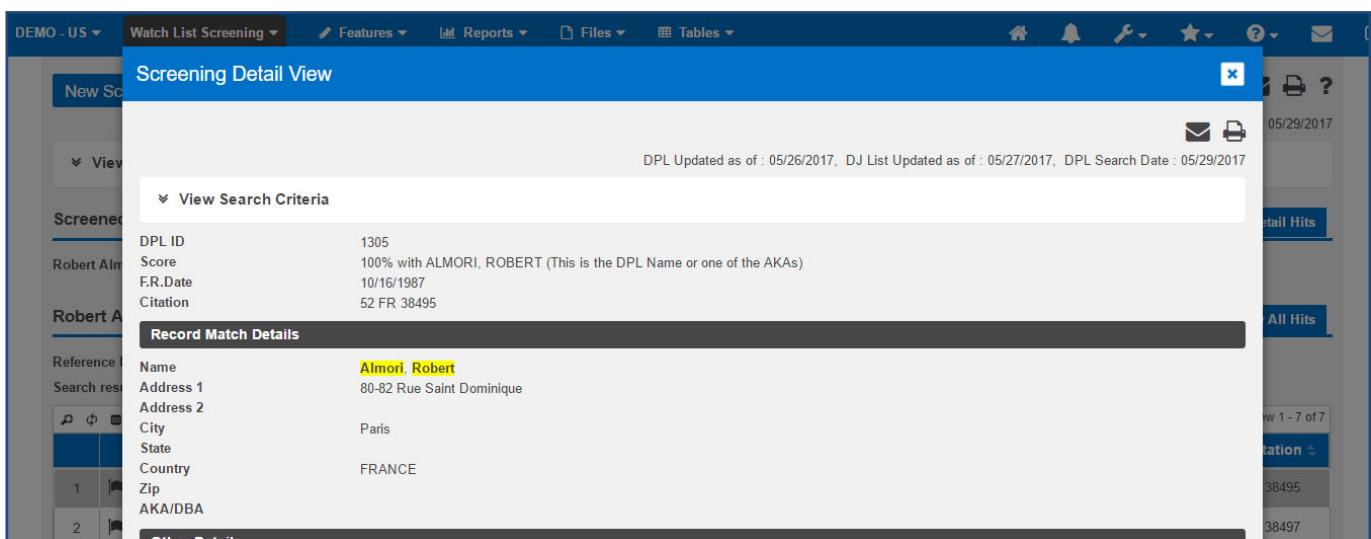
Figure 49: Screening Detail View Dialogue Box

1. In the **Details View** dialogue box, click the **View Search Criteria** drop-down list to view the search criteria.
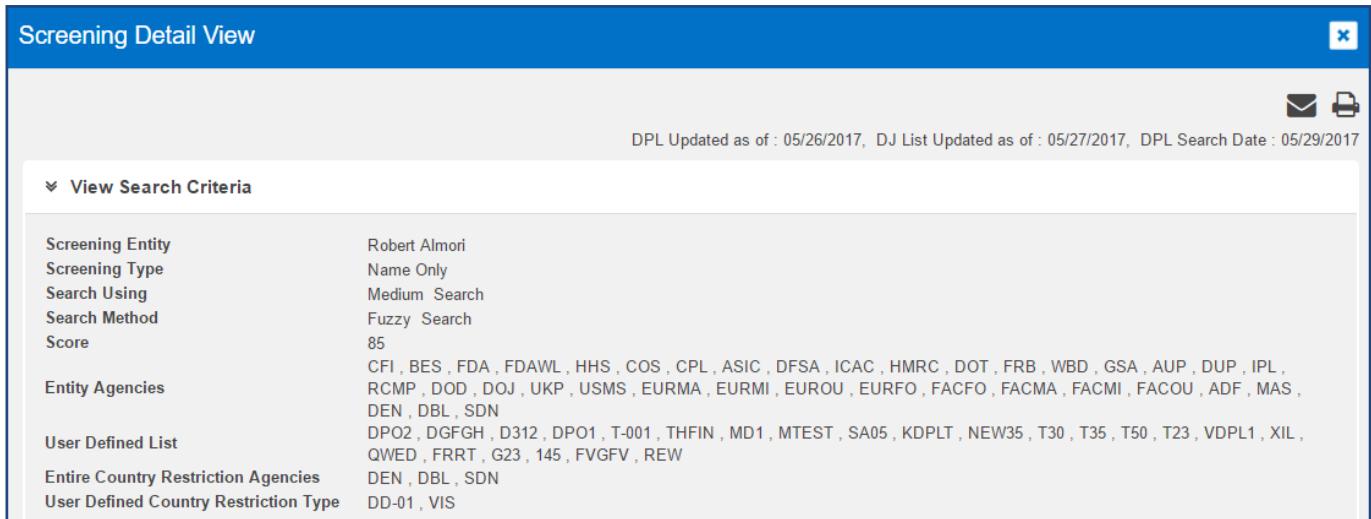
Figure 50: View Search Criteria

2. The **DPL ID** field displays the unique identification number for an entity in denied party lists.

3. The **Score** field displays the fuzzy logic score given in percentage (%). The higher the score, the better the match between your partner and an entity in the denied party list.

4. The **F.R date** field displays the EU/ U.S. agencies Federal Register date.

5. The **Citation** field displays the Federal Register number announcing the restriction.

   You can see the details of the particular entity citation by clicking the Citation link, if available.

   The Citation details are displayed in the new window.
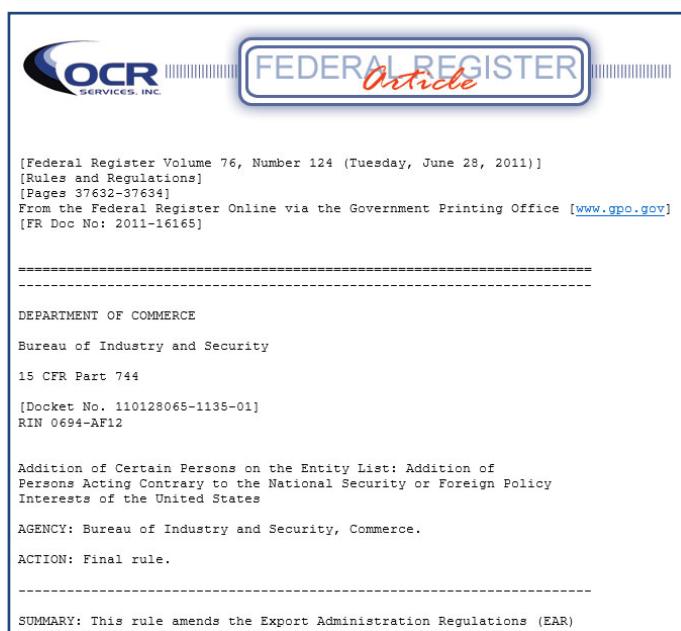
Figure 51: Citation Details

6. In the **Record Match Details** block, you can see the details of the selected entity.

a. The **Name** field displays the name of the selected entity.

b. The **Address 1, Address 2, City, State, Country** and **Zip** fields display the full address of the selected entity.

c. The **AKA/DBA** field displays the other names of the selected entity.

7. The **Other Details** block displays the details of the authority that put an entity in the denied parties list and its details.
   a. The **Effective Date** field displays the date from when the respective entity comes under denied parties list.

   b. The **Expiry Date** field displays the date or status until the respective entity remains under the denied parties list.

   c. The **Agency** field displays the authority that puts an entity on the denied parties list.

   d. The **Country of Origin** field displays the country of the authority that put an entity on the denied parties list.

   e. The **DPL Category** field displays the name of the denied parties list under which entity is placed.

   f. The **DPL Record Update Date** field displayed the date when the denied party list record was last updated.

   g. The Entity Type, URL, DUNS, Cage Code and Additional Details fields display the additional information of the entity.

8. The **Privileges Affected** block displays the details for what entity is denied and why the elected entity is put in the denied parties list.

> *Similar search criteria on the dialogue box are highlighted with 'Yellow' color for ease of use.*

3.2 Re-Screening - Available to Enhanced SBUs Only

Re-Screening allows you to re-screen an Ad hoc entity or reference number you had previously screened for any incremental changes made to the DPL; from the time you screened until now. This helps avoid re-typing the information and allows you to do your due diligence that any potential changes may have occurred from your last screening.

> *This feature requires a separate license, and the re-screening functionality is available only if the functionality is licensed for your SBU.*

> *Enhanced SBU: Created in System Tools when creating SBU.*

You can perform the following types of screenings:

- **Incremental Watch List Screening** screens the selected entities only for the newly added entities in the Watch List since the date it was previously screened.

- **Entire Watch List Screening** screens the selected entities against the entire Watch Lists.

The following figure illustrates the Re-screening functionality.
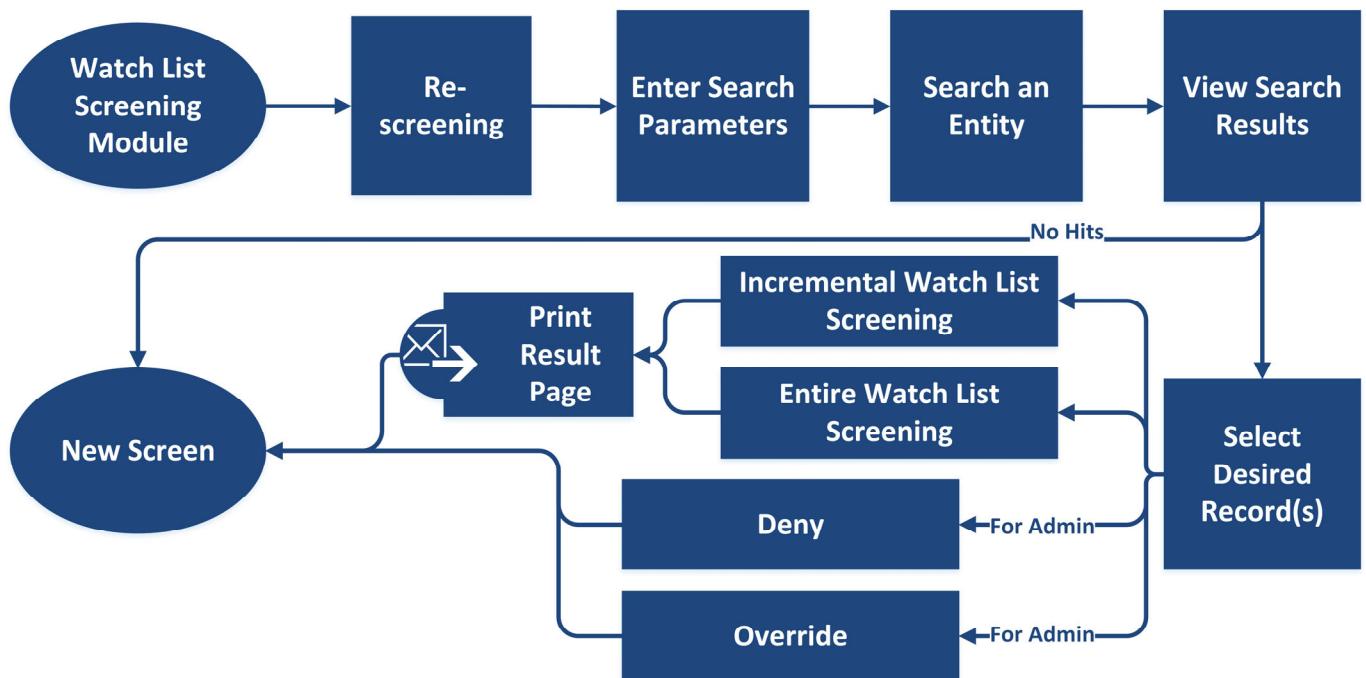
Figure 52: Re-screening Functionality

The following steps describe how to re-screen an entity in watch lists.

1. To re-screen an entity, you need first to view the **Search Re-screening** screen successfully. This can be achieved by the following:

    a. Navigating to the **Re-screening** feature of the **Watch List Screening** module (Watch List Screening -> Features -> Re-screening).
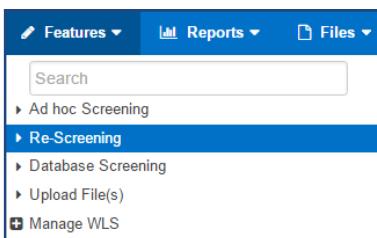
Figure 53: Re-screening Screen Navigation

You can also search the required feature from the Search Bar provided in the Features Menu drop-down list.

The Search Re-screening screen is displayed.

Figure 54: Search Re-screening Screen

At any given time while you are on the screen, you can click the Reset *button to reset the fields to their default values.*

2. In the **Search Re-screening** screen, enter the search parameters based on entity details, specific reference number from a past screening, screening dates, etc. and click the Search button.

    The Re-Screening Result screen is displayed.

Figure 55: Re-Screening Result Screen

The number of records found is displayed above the table.

3. In the **Re-screening Results** table, select the desired record(s) by selecting the respective check-box(es) in the table column.

Figure 56: Re-screening Result Table Check-box

You can select all entity records in the result table by selecting the check-box in the table header row.

4. After selecting the desired record(s) in the table, refer to the following steps to do the Incremental Watch List Screening or go to Step 5 to do the Entire Watch List Screening.

    a. Click the Incremental WLS button to do the Incremental Watch List Screening.

        The Re-screening Results screen is redisplayed with the Incremental Watch List Screening results.

Figure 57: Incremental Watch List Screening Results

You can click the 'View Search Criteria' panel to view the search criteria.

You can print the Re-screening Results by clicking   button (Refer Appendix D).

b.   Click the **New Search** button to re-direct to the **Search Re-Screening** screen.

5.   After selection of the desired record(s) in the table, refer to the following steps to complete the Entire Watch List Screening.

a.   Click the **Entire WLS** button to do the Entire Watch List Screening.

The Re-screening Results screen is redisplayed with the Entire Watch List Screening results.

Figure 58: Entire Watch List Screening Results

You can click the 'View Search Criteria' panel to view the search criteria.

You can print the Re-screening Results by clicking   button (Refer Appendix D).

   b.   Click the [New Search] button to re-direct to the **Search Re-Screening** screen.

6.   You can print the Details hits after Re-screening from the available print type options.

Figure 59: Print Details Hits

3.3   Database Screening

The System automatically screens files (Bank, Carrier, Consignee, Freight Forwarder, Seller, Shipper, Source/Manufacturer, Trucker, etc.) daily, after the Watch List has been updated, and also when you add a new partner or modify the information of an existing partner. Moreover, you can do the database screening manually by selecting the required files and watch list agencies.
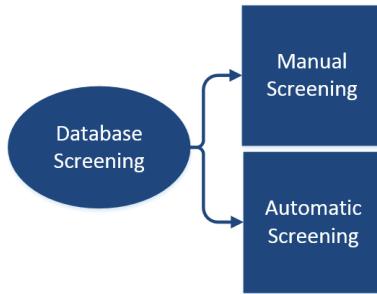
Figure 60: Database Screening Functionality

3.3.1 Automatic Database Screening

For automatic screening of a new partner or a modified partner, System uses the Entire Watch List Screening. However, for automatic screening of all your partners daily, System uses Incremental Screening.

The automatic incremental screening screens all the records against any newly added or modified entities in the Watch List for the day.

Make sure that the BATCH_SCR_EMAIL parameter value is set to 'Y'.

The System sends an email to the email addresses specified in the Watch List Screening Defaults for the SBU and to the system administrator for SBU Level users. The email summarizes the screening results and shows if any partner screening status changed because of the incremental screening.

Table 11 lists five different automatic screening statuses.

Status	Description
To Be Screened	This indicates that the partner has not yet been screened. You will see this status when you manually enter the information for your partner and modify the name and address information for an existing partner.
On Hold	This indicates that the System found a match with one or more entities in the Watch List.
Approved	This indicates that the System did not find any entity in the Watch List that matched the partner.
Overridden	Indicates that a user with appropriate privileges (compliance manager and above) reviewed the possible matches and decided that it is legal to continue doing business with the partner.
Denied	Indicates that a user with appropriate privileges reviewed the possible matches and decided that the company cannot do business with the partner. This status is also used if the company does not want to business with the partner for reasons other than legal.

Table 11: Automatic Screening - Status

Table 12 lists the change in screening status because of automatic screening.

Current Status of a Partner	Results	New Status	WLS Date	Remarks
To Be Screened/Blank	Match found	On Hold	Blank	This record is screened against the entire WLS because it is a new record to be screened.
To Be Screened/Blank	No match found	Approved	Blank	This record is screened against the entire WLS because it is a new record to be screened.
On Hold	Match found	On Hold	Blank	This record is screened against the changes in the WLS. The new matches are concatenated with the previous screening matches.
On Hold	No match found	On Hold	Blank	This record is screened against the changes in the WLS. Since no matches are found in the current screening, any matches presented are from previous screenings.
Approved	Match found	On Hold	From	This record is screened against the changes in the WLS. New results are reported.
Approved	No match found	Approved	Blank	This record is screened against the changes in the WLS.

Current Status of a Partner	Results	New Status	WLS Date	Remarks
Denied	Match found	Denied	Blank	This record is screened against the changes in the WLS. The new matches are concatenated with the previous screening matches.
Denied	No match found	Denied	Blank	This record is screened against the changes in the WLS. Since no matches are found in the current screening, any matches presented are from the previous screenings.
Overridden	Match found	On Hold	From	This record is screened against the changes in the WLS. The new matches are concatenated with the previous screening matches.
Overridden	No new Match found	Overridden	Blank	This record is screened against the changes in the WLS. Since no matches are found in the current screening, any matches presented are from the previous screenings.

Table 12: Automatic Screening - Screening Status

For Global level users, if other users from the same or different SBUs want to get an Email notification of Automatic Screening, then refer to the following steps to add the Email IDs of users.

1. To add the Email IDs of users, you need first to view the **Search System Generated Email** screen successfully. This can be achieved by the following:
   a. Navigating to the **Email Customization** option under **Tools** icon drop-down (Watch List Screening -> Tools -> Email Customization).
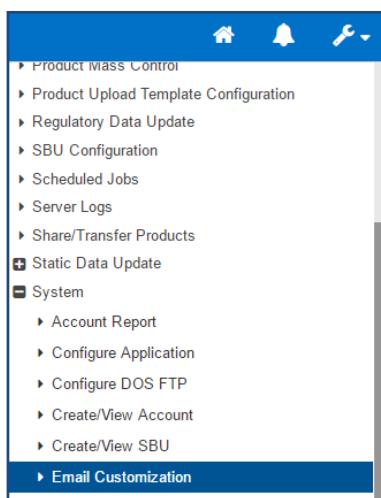
Figure 61: Email Customization Navigation

The Search System Generated Email screen is displayed.
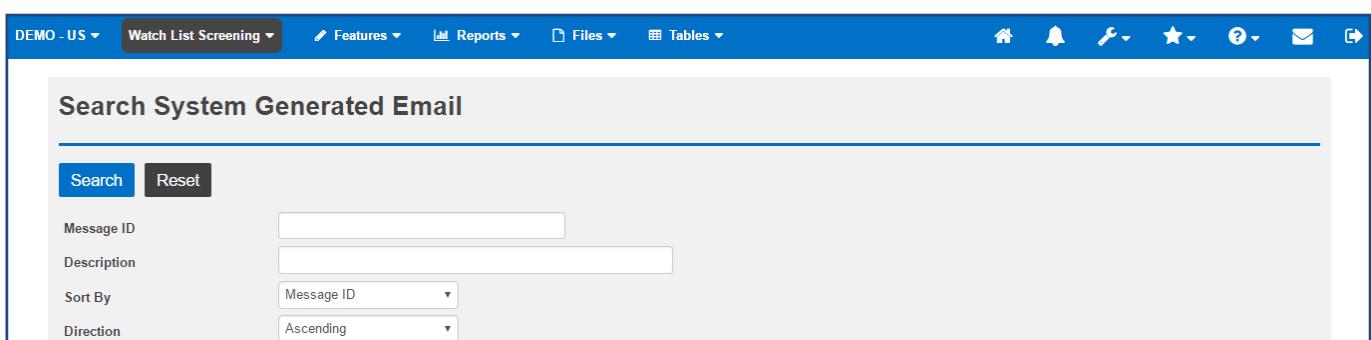
Figure 62: Search System Generated Email Screen

2. On the **Search System Generated Email** screen, enter the desired search parameters to narrow down the results. For example; In the **Description** field, enter 'Batch Screening'. After search parameters are entered, click the Search button.

The View System Generated Email screen is displayed with search results.

Figure 63: View System Generated Email Screen

3. Select the number under the **Message ID** column.

The Edit System Generated Email screen is displayed with message details.
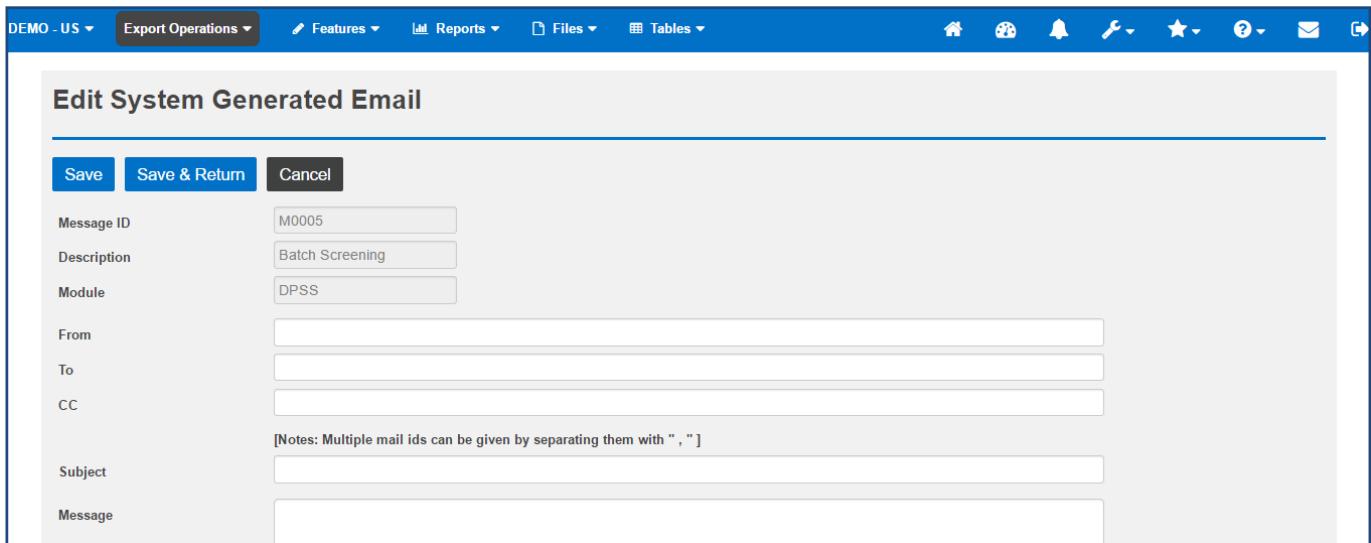
Figure 64: Edit System Generated Email Screen

4. On the **Edit System Generated Email** screen, the **Message ID** field displays the Unique identification of the message.

5. The **Description** field displays the description of the message ID.

6. The **Module** field displays the name of the module associated with the message ID.

7. In the **From** field, enter the Email of the sender or admins.

8. In the **To** field, enter the Email(s) of the user(s), receiving email notifications of the Automatic Screening.

9. In the **Subject** field, enter the default subject of the Email.

10. In the **Message** field, enter the Email bod text.

Figure 65: Populated Fields

11. Once you are satisfied with the entered details, click the Save button to save the details or the Save & Return button to save the details and return to the **View System Generated Email** screen.

3.3.2   Manual Database Screening

The Manual Database Screening is generally done for the first time at the time of implementation. It may also be performed after implementation if you decide later to screen against additional agencies or as part of the process to screen your databases against the entire list once every six months or on an annual basis.

You may screen all of the Files at one time for all SBUs or perform screening for a particular File for one SBU at a time. Screening is performed using the default parameters specified for the SBU.

Figure 66 illustrates the Manual Database Screening functionality.
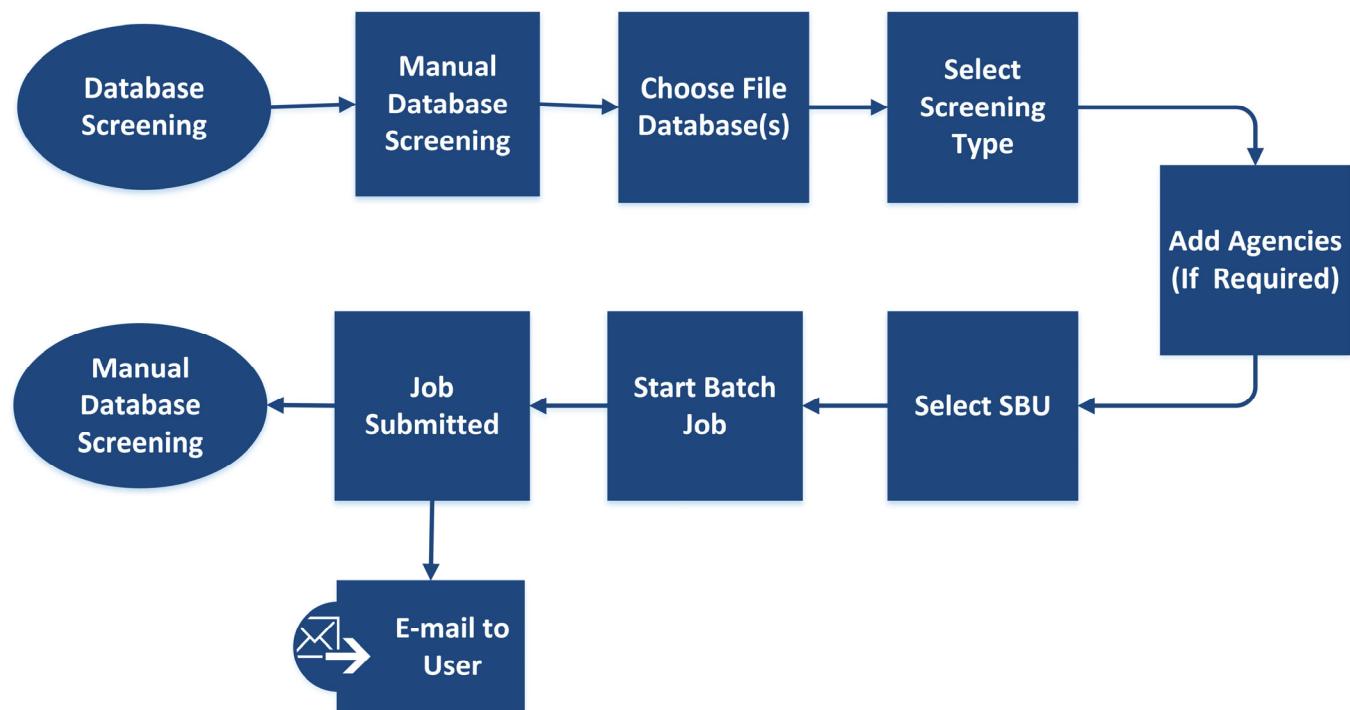
Figure 66: Manual Database Screening Functionality

The following steps describe how to perform manual database screening.

1. To screen an entity, you need first to view the **Search Database Screening** screen successfully. This can be achieved by the following:
   a. Navigating to the **Database Screening** feature of the **Watch List Screening** module (Watch List Screening -> Features -> Database Screening).
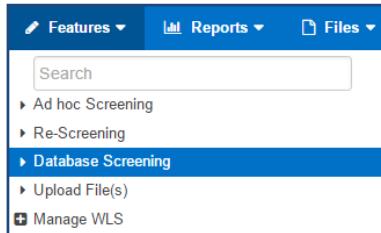
Figure 67: Database Screening Navigation

You can also search the required feature from the Search Bar provided in the Features Menu drop-down list.

The Database Screening screen is displayed.
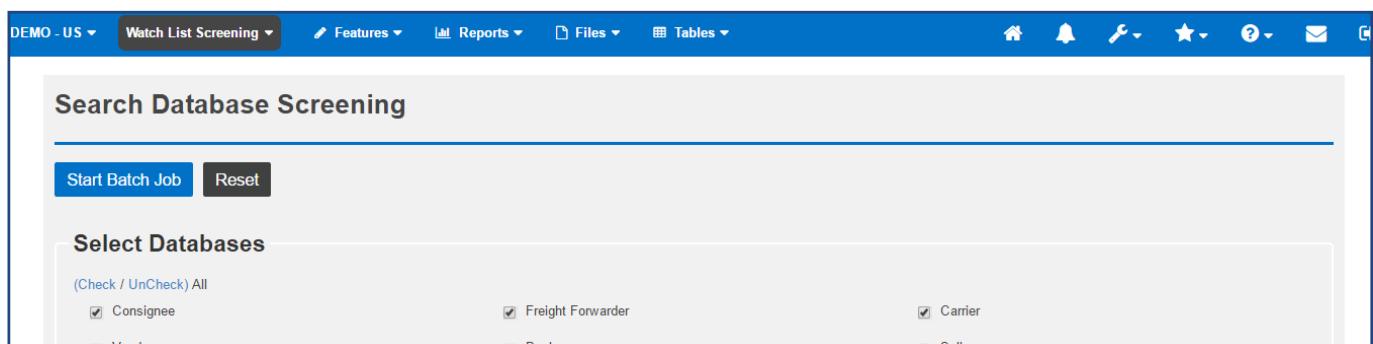
Figure 68: Manual Database Screening

At any given time while you are on the screen, you can click the **Reset** *button to reset the fields to their default values.*

If you want Incremental screening of all files as per screening defaults, click the **Start Batch Job** *button.*

2. In the **Search Database Screening** screen, on the **Select Databases** block, uncheck the file check-box(es) which you do not want to add in screening.

All check-boxes are selected by default.

3. In the **Select Type** block, select the desired screening type option (Refer to Table 13).

The incremental screening type is selected by default.

Screening Type	Description
Entire	Performs screening using the entire Watch List but maintains any history of prior compliance manager decisions on matches. That is, it will report only new matches that the compliance manager has not reviewed. You would choose this option for your six-monthly or annual re-screening.
Incremental	Performs screening using only the entities that were added in the Watch List since the latest screening.
Refresh	Ignores any prior screening and performs the screening from scratch.

Add Agencies	Allows you to screen all your partners against agencies that you did not use for initial screenings. You can add agencies for screening by clicking the [Add Agencies] button. Once new agencies are added, all later screenings will automatically use the newly added agencies.

Table 13: Screening Type Options

4. The **User Notification** field displays the emails of the default reviewers.

5. From the **SBU Code** drop-down list, select the desired SBU.

All SBUs are selected by default.

At any given time while you are on the screen, you can click the [Screening Defaults] button to view the default screening criteria.

6. Once you are satisfied with the selected screening parameters, click the [Start Batch Job] button.

The Entire Database Screening Job Submitted screen is displayed.
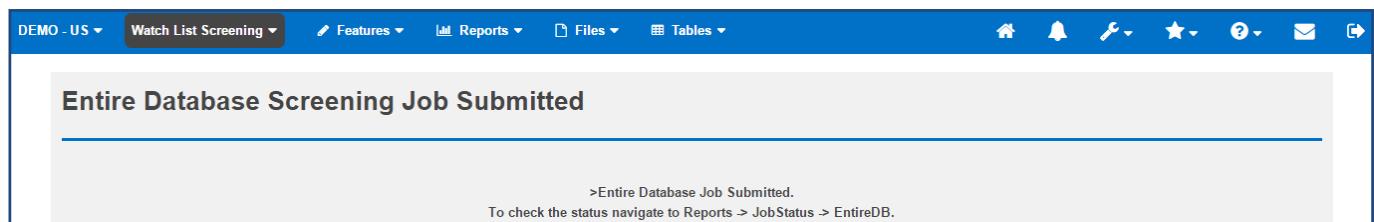
Figure 69: Job Submitted Confirmation Message

*To check the status of the Batch Screening, access the Job Status Report for the Entire Database under the Reports menu (refer to Section **Error! Reference source not found.**).*

The System will notify you via email when the screening is completed.
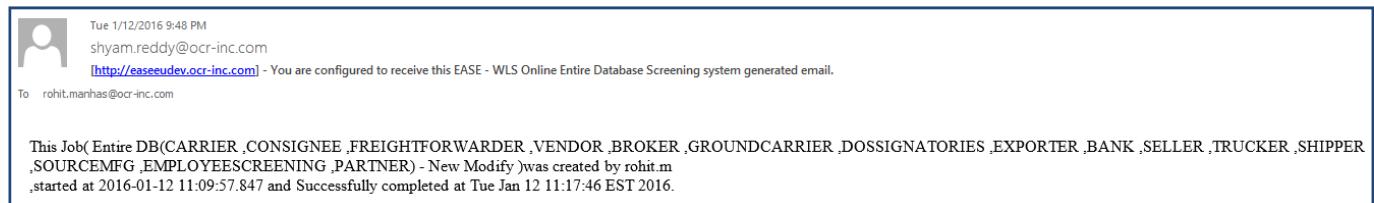
Figure 70: Email Notification

3.4 Upload File(s) Screening

The Denied Party File Batch Screening process acts as an efficient and convenient way for numerous file data to be uploaded into the database and screened. Files may be uploaded from within the System or via FTP. You may upload a set of names with or without addresses for screening and save the information to any database files.

The following figure illustrates the Upload File(s) Screening functionality.
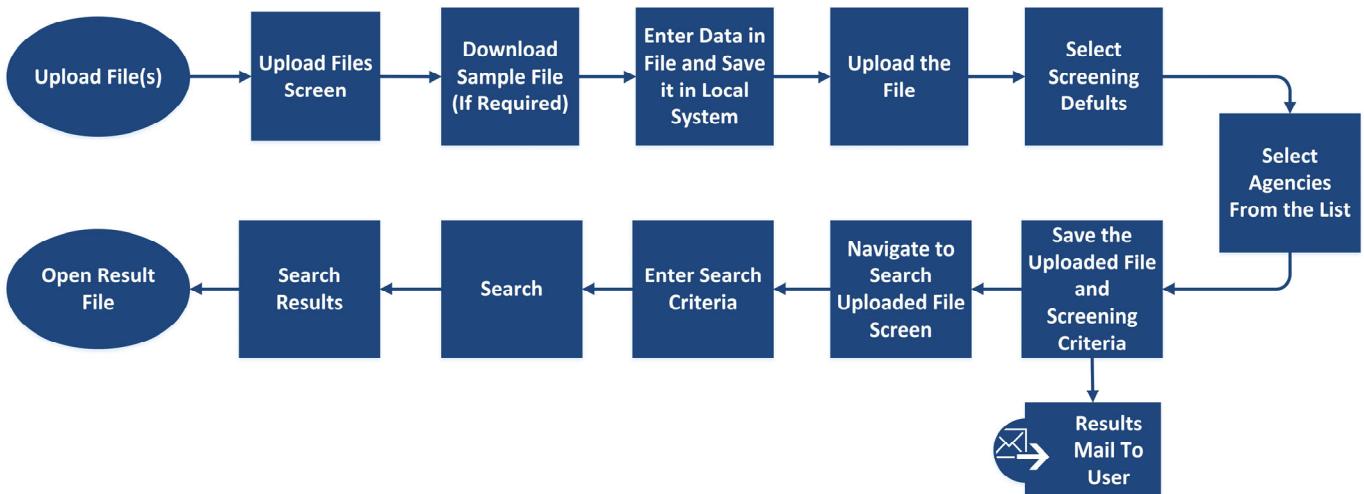
Figure 71: Upload File(s) Screening Functionality

The following steps describe how to perform Denied Party File Batch Screening.

1. To screen an entity, you need first to view the **Upload Files** screen successfully. This can be achieved by the following:
   a. Navigating to the **Upload File(s)** feature of the **Watch List Screening** module (Watch List Screening -> Features -> Upload File(s)).
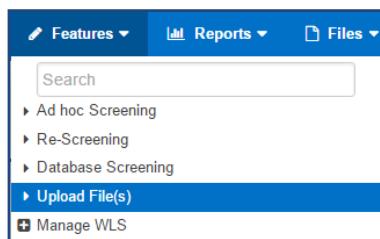
Figure 72: Upload Files Screen Navigation

You can also search the required feature from the Search Bar provided in the Features Menu drop-down list.

The Search Uploaded File Screening screen is displayed.
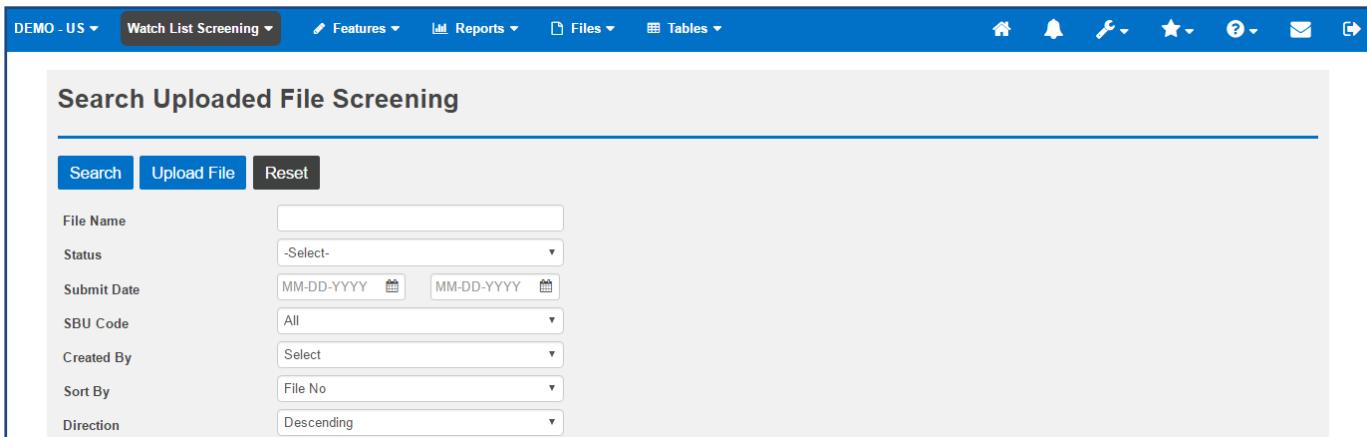
Figure 73: Search Uploaded File Screening Screen

2. Click the **Upload File** button to navigate the **Upload Files** screen.

The Upload Files screen is displayed.
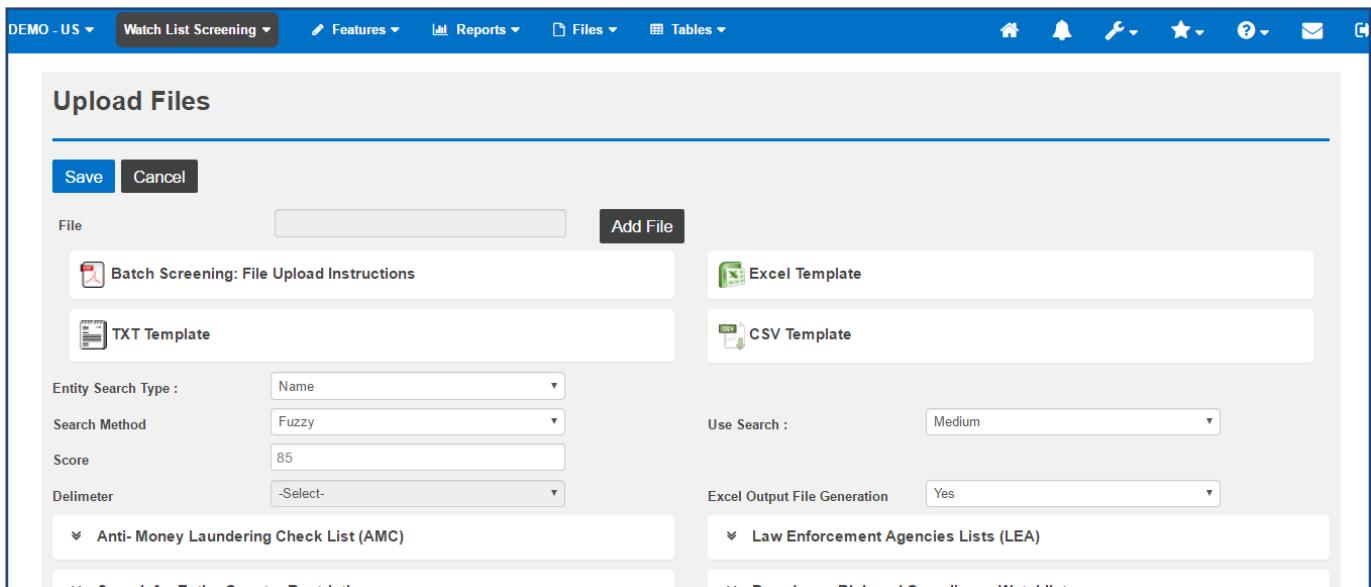
Figure 74: Upload Files Screen

*You can download the sample files from the **Excel**, **Text** and **CSV** open panels. Each of these sample files contains the correct format for the corresponding Batch Files to be uploaded into the System. Click the file link in the desired drop-down panel to download the file.*

The sample file is downloaded in the local System.

3. In the **Search Criteria** block, select the desired search criteria.

    Default search criteria are displayed.

4. From the **Agency Lists** block, select the agencies to modify the screening criteria. For Example, you can select the required agency drop-down panel and check or un-check the agency's check-box to add or remove them from search criteria, respectively.

    Agencies are selected as per default set search criteria.

5. Once you are satisfied that the required search criteria are set, click the Add File button to upload the file.

    The Upload and Validate File dialogue box is displayed.

Figure 75: Upload and Validate File Dialogue Box

6. Click the Upload files... button to open the local storage path.

    The Choose File to Upload dialogue box is displayed.
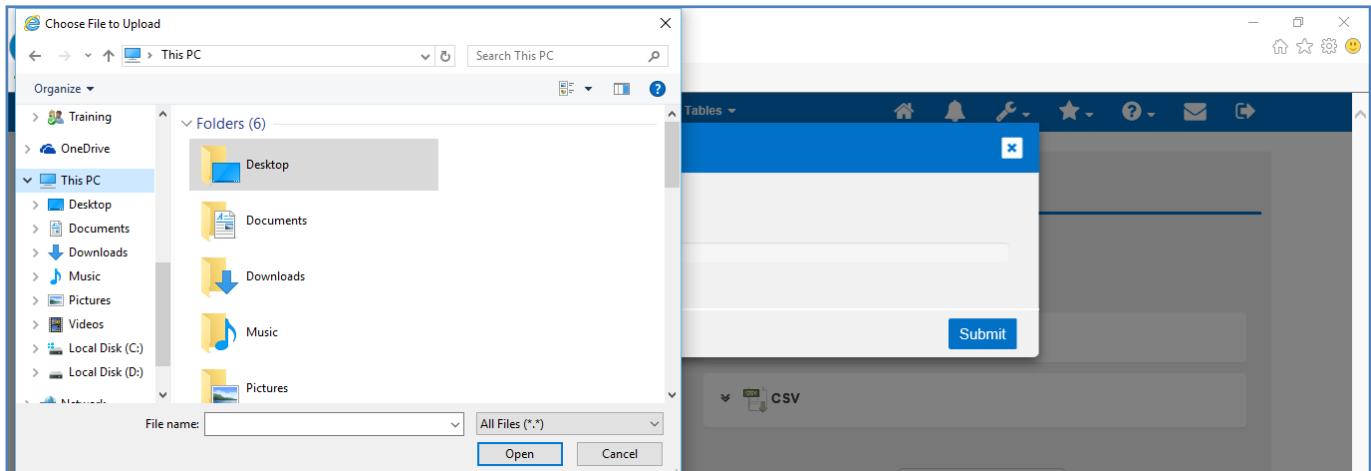
Figure 76: Choose File to Upload Dialogue Box

7. Select the desired file from your local system and click the Open button.

The Upload and Validate File dialogue box is redisplayed.
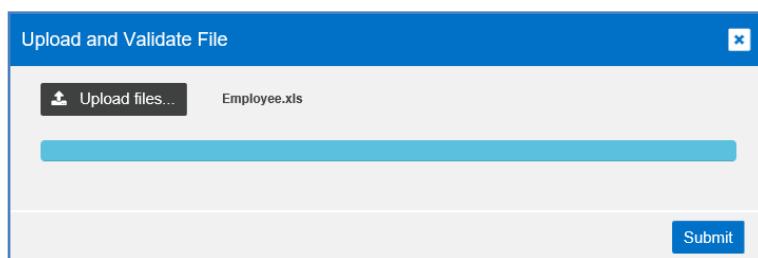
Figure 77: File Uploaded Confirmation and Validation

8. If there are no errors displayed in the **Upload and Validate File** dialogue box, click the Submit button.

The Upload Files screen is redisplayed.

If an error is displayed, correct the data in the file and re-upload.
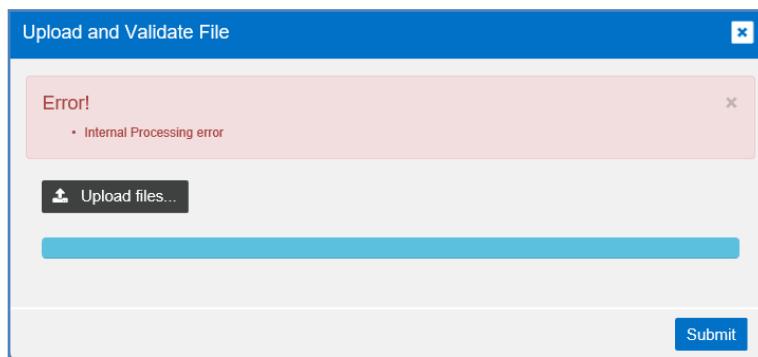
Figure 78: Upload Error

9. On the **Upload Files** screen, click the Save button to submit the file for screening.

The Upload File Confirmation screen is displayed.
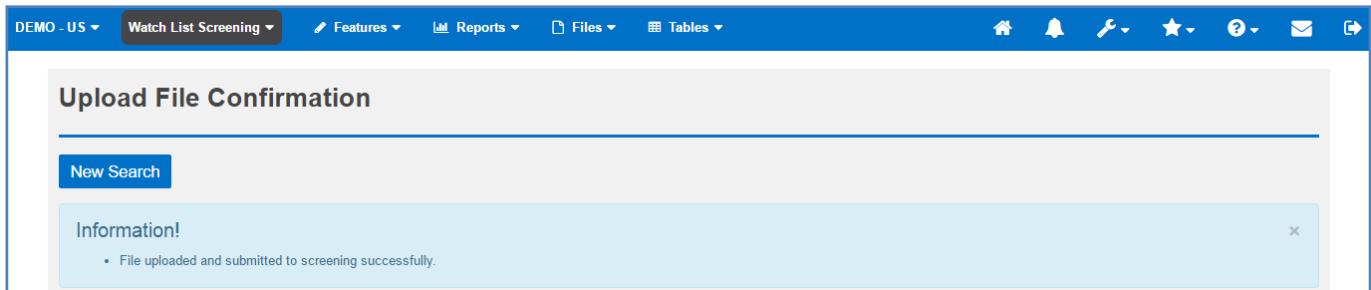
Figure 79: Upload File Confirmation Screen

The screening parameters are defaulted based on your Active SBU, and the file will be uploaded and saved in the Active SBU. If you desire to save the information in another SBU, you must first change the Active SBU and then upload the file.

After screening is completed, the system will automatically send the result file to your Email. Moreover, you can view the same file by searching it in the **Search Uploaded File Screening** screen.

Figure 80: Result File Email

10. To check the uploaded file status or view the screening result file, click the New Search button on the **Upload File Confirmation** screen.

The Search Uploaded File Screening screen is displayed.

Figure 81: Search Uploaded File Screening Screen

11. On the **Search Uploaded File Screening** screen, enter the desired search parameters in available fields to search the uploaded file.

Figure 82: Search Parameters

12. Click the Search button.

> The File Upload Result screen is displayed.

Figure 83: File Upload Result Screen

13. In the **File Upload Result** table, in the **Result File** column, click the **File** link to view the screening results.

> The Result file is downloaded in the local system.
>
> Go to the folder where you have downloaded the result file and open it to view the screening results.

Figure 84: Screening Result File

The resulting file contains four sheets to display screening details (refer to **Table 14**).

Sheet	Description
Screening Summary Details	This sheet is in the same format as the input format, with the status and WLS field updated based on the current screening. You may resubmit the same file for periodic screening, for example, quarterly or semi-annually etc.
On Hold Summary Details	Provides the summary of the red-flagged partners and the name, country and AKA/DBA field of the red-flagged entity names.
Hits Details	Provides the details of an entity such as an address, the Federal Register Date, Privileges affected etc.
Error Details	Provides a log of errors encountered while uploading the file.

Table 14: Result File – Sheet Description

If the input file is .TXT (for example, source.txt) file, then there will be two output files:
1) Result_source.txt file with updated dpl_date and status
2) Results will be available in an Excel workbook, with four Sheets as follows:

- Screening Summary Details (Summary of results that has partner Id, Name, Address, city, screening status, the date of the DPL database, and the number of hits). You may use this sheet for periodic screening.
- On Hold Summary Details (has partner name, ID, address, DPL Name, DPL Country, AKA, and Agency that restricted the party).
- Hit details (Detail hits including all the information in DPL database).
- Error Details (If there are any errors while processing the file).

If the input file is .CSV (for example, source.csv) file, then there will be two output files:
1) Result_source.csv file with updated dpl_date and status
2) Results will be available in an Excel workbook, with four Sheets as follows:

- Screening Summary Details (Summary of results that has partner Id, Name, Address, city, screening status, the date of the DPL database, and the number of hits). You may use this sheet for periodic screening.
- On Hold Summary Details (has partner name, ID, address, DPL Name, DPL Country, AKA, and Agency that restricted the party).
- Hit details (Detail hits including all the information in DPL database).
- Error Details (If there are any errors while processing the file).

3.5 Manage WLS (Review)

There are multiple ways that you can deny or override a partner depending upon whether you prefer to decide for one partner at a time or you want to override or deny in batches. Irrespective of the method you prefer, you must review the potential entity matches and record your decision regarding reason codes and a comment. You may choose more than one reason code to record your decision.

Before making these compliance decisions – you must make sure that your User Profile has been configured with the ability to Deny/Override Parties.

3.5.1 Admin Configuration: Setting Up Deny/Override Users

This section describes how SBU/Corporate Admin Users change the roles of the normal user in the System.

The following steps describe how to create and manage Users with Deny/Override Parties privileges placed 'On Hold'.

1. As an **SBU/Corporate Admin User** within System, go to the Tool (   ) icon drop-down (Tool Icon -> Users -> Create/View User).

2. On the **Search User Profile** screen, click the **Add User Profile** button or search and select the desired user to access the **User Profile** screen.

3. Use the **User Profile** screen to assign appropriate **Roles and User Interface** options for the Reviewers. Enter all other required information to save the User Profile.

3.5.2 Deny/Override - Single Entity/Multiple Entities at Master File Level

This section describes how to deny or override an entity or multiple entities in the various file databases.

3.5.2.1 Ad hoc File Database

The following steps describe how to deny or override an entity in the Ad hoc file database.

1. To deny or override an entity, you must first view the **Search Ad hoc (Deny/Override)** screen in the **Manage WLS** feature successfully. This can be achieved by the following:
   a. Navigating to the **Ad hoc** in **Manage WLS** feature of **Watch List Screening** module (Watch List Screening -> Features -> Manage WLS -> Ad hoc).

   You can also search the required file database from the Search Bar provided in the Features Menu drop-down list.

   The Search Ad hoc (Deny/Override) screen is displayed.
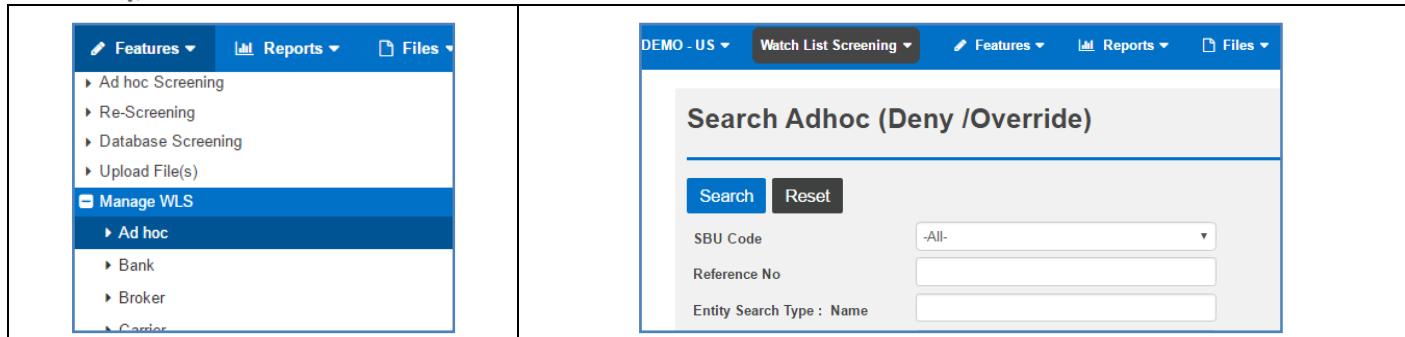
Figure 85: Search Ad hoc (Deny/Override) Screen

You can click the **Search** *button to view the all 'On Hold' status entities available in all SBUs.*

2. In the **Search Ad hoc (Deny/Override)** screen, select the required SBU from the **SBU Code** drop-down list and enter the search parameters in other fields to search the required entity.

   In Status drop-down list, by default the 'On Hold' option is selected.
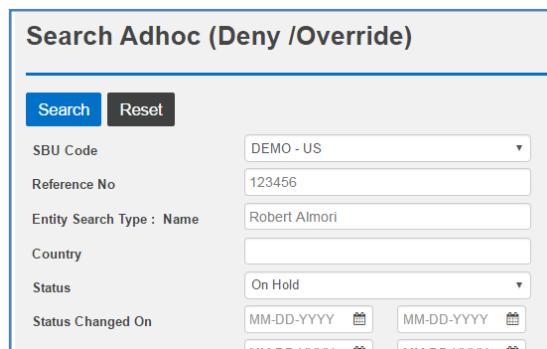
Figure 86: Search Parameters

3. Once you are satisfied that the entered search parameters are correct, click the **Search** button.

The Ad hoc screen is displayed.

Figure 87: Ad hoc Screen

The number of records found is displayed above the table.

4. In the **Adhoc** screen, from the **Filter By** drop-down list, you can select the "**Assigned to Me**" option.

The Adhoc screen is redisplayed with the search result which are assigned to you for review.

5. In the **Result** table, **Hits** column, click the **Number** link to view the hit details of an entity.

In the Hits column, the number of hits for particular entity is displayed.

Figure 88: Result Table – Hits Column

The View Details Hits dialogue box is displayed.
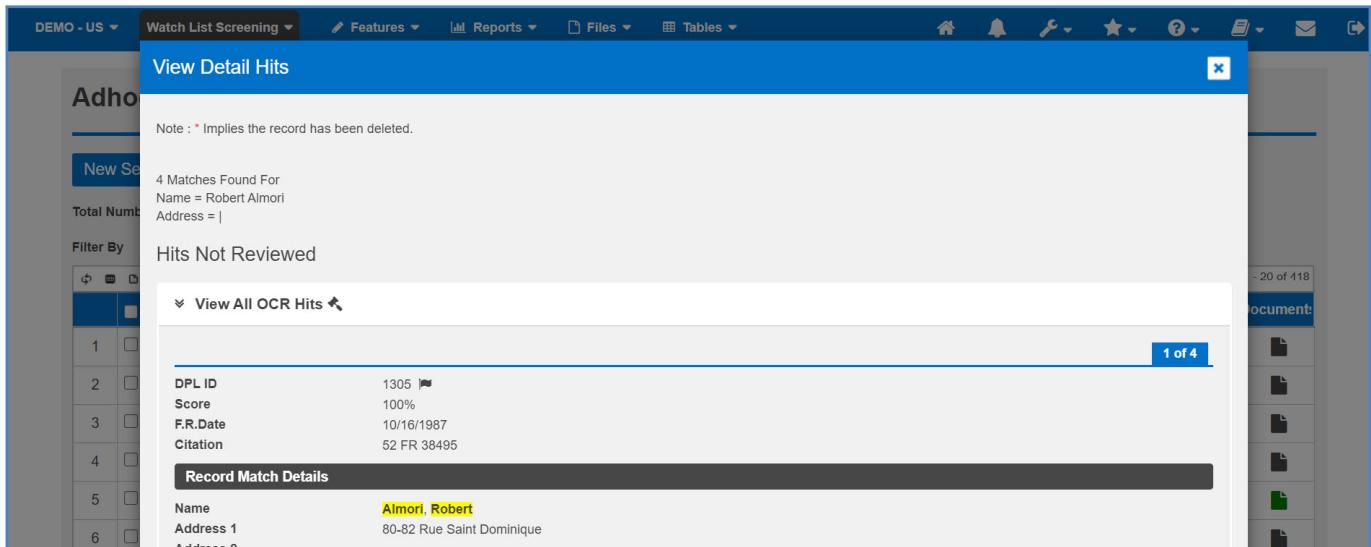
Figure 89: View Details Hits Dialogue Box

In the View Detail Hits dialogue box, hits and entity details are displayed at the left upper corner.

To view the field description of the fields in the View Details Hits dialogue box, refer to Section 3.1.1.

6. After review of hits, close the **View Detail Hits** dialogue box by clicking [X] button available at top-right side of the dialogue box.

The Ad hoc Result screen is redisplayed.

View the hit details of the multiple entities, if required.

7. Once you have reviewed required entity/entities hit details, select the required entity/entities by selecting the respective check-box(es) in the result table.
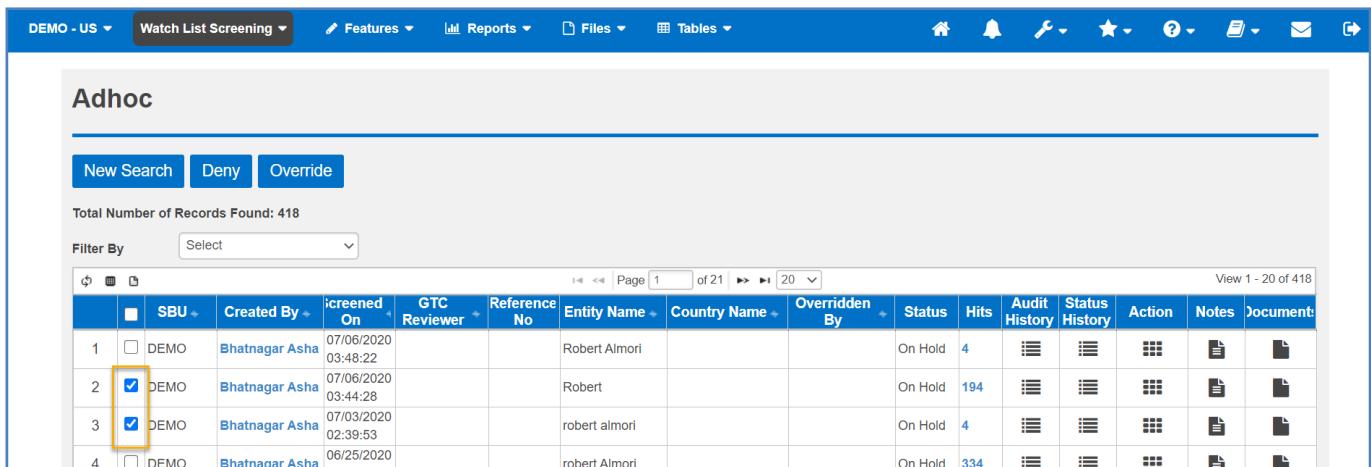
Figure 90: Select Entity/Entities

You can select all displayed entities by selecting the check-box in the table Header row.

8. Refer the following steps to deny an entity(ies) or go to Step 8 to override an entity(ies).

   a. After selection of required entity/entities, click the [Deny] button.

   The Disposition Reason Matrix dialogue box is displayed.

Figure 91: Disposition Reason Matrix Dialogue Box

b. In the **Disposition Reason Matrix** dialogue box, select the desired reason check-box and enter the remarks, if any.

Figure 92: Reason Selection

c. Click the Save button.

The Ad hoc Result screen is redisplayed with the remaining entity/entities.

Figure 93: Remaining Entity/Entities

The deny reason is also shared on user and admin emails.

Figure 94: Deny Reason Email

9. To override entity/entities, refer to the following steps.

    a. After selection of required entity/entities, click the Override button.

    ⚙ The Disposition Reason Matrix dialogue box is displayed.

Figure 95: Disposition Reason Matrix Dialogue Box

10. In the **Disposition Reason Matrix** dialogue box, select the desired reason and enter the remarks, if any.

Figure 96: Reason Selection

    a. Click the Save button.

The Ad hoc Result screen is redisplayed with the remaining entity/entities.

Figure 97: Remaining Entity/Entities

The override reason is also shared on user and admin emails.

Figure 98: Override Reason Email

Click the New Search button to search more entities.

The Search Ad hoc (Deny/Override) screen is displayed

3.5.2.2 Bank and Other File Databases

The following section describes the steps to deny or override an entity in following databases:

- Bank
- Broker
- Carrier
- Consignee
- Employee
- Exporter
- Freight Forwarder
- Ground Carrier

- Partner
- Seller
- Shipper
- Signatories
- Source manufacturer
- Trucker
- Vendor

Steps to deny or override an entity in all above listed file databases are same.

The following steps describe how to deny or override an entity in the Bank file database.

1. Navigating to the **Bank** in **Manage WLS** feature of **Watch List Screening** module (Watch List Screening -> Features -> Manage WLS -> Bank).

   The Search Bank (Deny/Override) screen is displayed.

Search Bank (Deny /Override)

Search   Reset

SBU Code	-All- ▼
Id	
Name	
Country	
Status	On Hold ▼
Created On	From DD/MMM/Y\ To DD/MMM/YYYY
Status Changed On	From DD/MMM/Y\ To DD/MMM/YYYY
Screened By	-Select- ▼
Sort By	Id ▼
Direction	Ascending ▼

Figure 99: Search Bank (Deny/Override) Screen

You can click the **Search** *button to view the all 'On Hold' status entities available in all SBUs.*

2. In the **Search Bank (Deny/Override)** screen, select the required SBU from the **SBU Code** drop-down list and enter the search parameters in other fields to search the required entity.

In Status drop-down list, by default the 'On Hold' option is selected.

3. Once you are satisfied with the entered search parameters, click the **Search** button.

The Bank Result screen is displayed.

Bank

New Search   Deny   Override

Total Number of Records Found: 1375

		SBU	Code	Name	Country	Status	Detail Hits	Audit History	Status History
1	☐	DEMO	02102012-12	CLARK, DADE W.		On hold	🔨		☰
2	☐	DEMO	02102012-13	EHLEN, MATTHEW		On hold	🔨		☰
3	☐	DEMO	02102012-14	KORENAK, VALENTINE A		On hold	🔨		☰
4	☐	DEMO	02102012-15	MAGPANTAY, JOHN	UNITED STATES	On hold	🔨		☰

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Figure 100: Bank Result Screen

4. In the **Bank Result** table, **Detail Hits** column, click the link icon (🔨) to view the hit details of an entity.

The View Detail Hits dialogue box is displayed.

Figure 101: View Details Hits Dialogue Box

Review the desired number of entity records and make a decision to deny or override them.

For a field description and the procedure to deny or override entity/entities, refer to Step 7 in Section 3.5.2.1.

3.5.3 Assigning to Other Reviewer

This section describes the procedure to assign the entity record for review to another reviewer or if review workflow is not configured and you want to assign a reviewer to a record.

Refer the following steps to assign the record to another reviewer:

1. On the **Adhoc** screen, under the Action column, click the   icon and select the **Assign** option.

Figure 102: Assign Reviewer

The Assign Case dialogue box is displayed.

Figure 103: Assign Case Dialog-box

2.   In the **Assign Case** dialog-box, select the reviewer from the list and in the **Assign Case CC Users** enter the email address of other additional reviewers.

3.   Once you are satisfied with the added reviewers, click the [Assign] button.

The Assign Case dialogue box is redisplayed with added reviewer details.
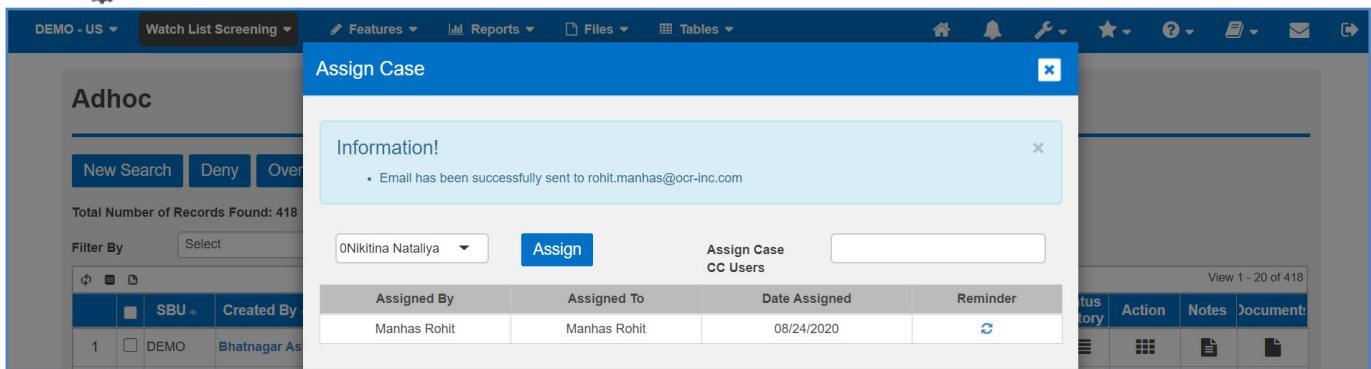
Figure 104: Added Reviewer

You can click the   icon to send as reminder email for review to added reviewer.

The selected reviewer name is displayed under the GTC Reviewer column.

Figure 105: GTC Reviewer

4.   In case reviewer is not able available or not able to review the record, you can re-assign the case to another reviewer by selecting the **Re-assign** option.
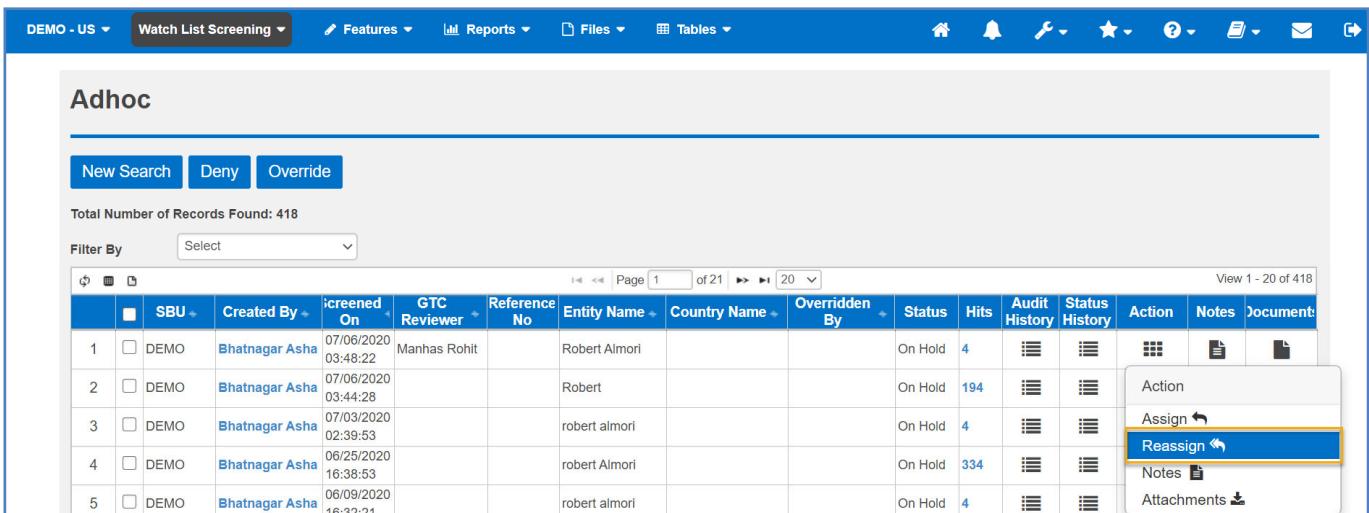
Figure 106: Re-Assign Case
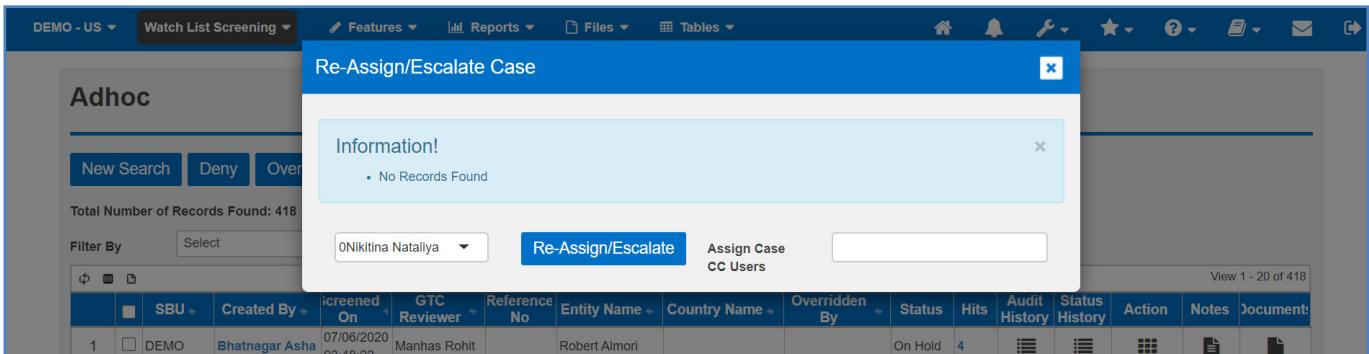
The Re-Assign/Escalate Case dialogue box is displayed.

Figure 107: Re-Assign/Escalate Case Dialog-box

5. In the **Re-Assign/Escalate Case** dialog-box, select the reviewer from the list and in the **Assign Case CC Users** enter the email address of other additional reviewers.

6. Once you are satisfied with the added reviewers, click the Re-Assign/Escalate button.

The Re-Assign/Escalate Case dialogue box is redisplayed with added reviewer details.

Figure 108: Added Reviewer

You can click the   icon to send as reminder email for review to added reviewer.

The selected reviewer name is displayed under the GTC Reviewer column.

Figure 109: GTC Reviewer

3.6 Business Entity Search (Only for portal users)

Target Audience: Portal User
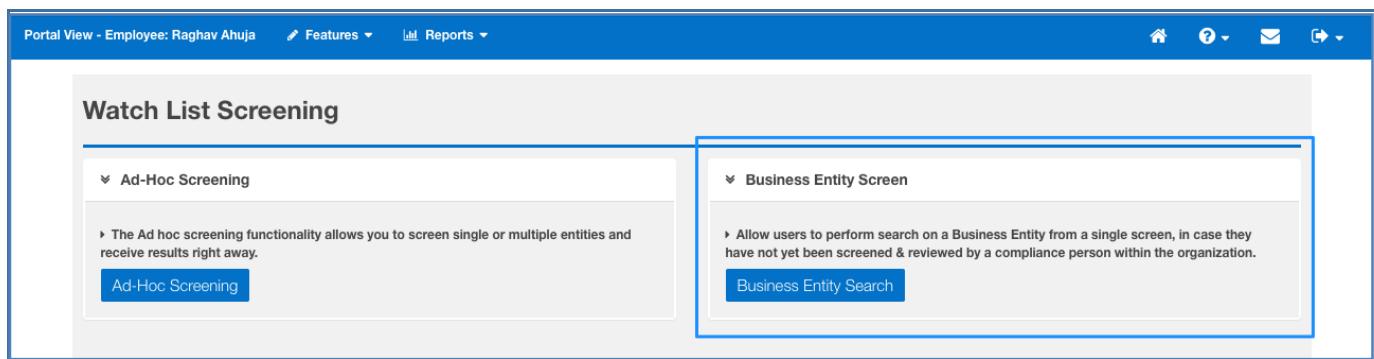
Name of the feature: Business Entity Screen

Figure 110: Business Entity Search

Enabling this feature: This feature can be enabled from the module interface list for the portal user. Once enabled, it will be visible to the portal user along with Adhoc Screening.

Functionality: This feature would allow the portal user to make better-informed decisions. It allows the portal user to see if the searched entity has been screened as a part of the database/Adhoc screening and if a decision is made for that entity.

Search Screen: The search screen for this functionality is as below:

Figure 111: Search Screen

Portal user needs to enter the mandatory fields: Name of the Entity, City and Country.

Result Screen: The result screen is as below:

Figure 112: Search Results

It allows the portal user better visibility of entities already screened and decisions are taken, if any. It will mark entities Overridden/Denied.

Suppose the entity was not searched earlier/anything found. In that case, it will do an Adhoc screening and show the same result, which is shown via the Adhoc Screening feature.

4. WATCH LIST SCREENING REPORTS

This section describes how to generate reports to keep an efficient log of your screenings with summary details and internal tracking through the process for any compliance decisions made.

Following are the list of available report type categories.

- Audit Reports
- Detail Hits Report
- Job Status

- Status Report
- Summary Reports
- Summary Hits Report

All Reports can be exported to Excel or PDF format files.

4.1 Audit Reports

These reports help in managing flagged parties along with detailed reports of each flagged entity as part of results and offers complete audit history for each screening taken place, to record reasons for making your compliance determinations. You can generate following reports:
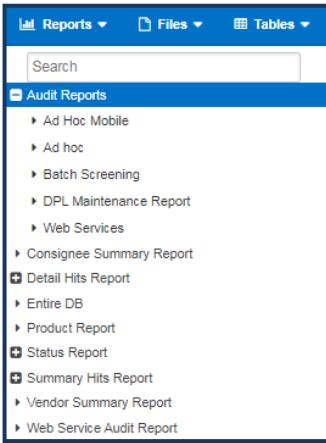
EASE™ UI	Report	Description
	Ad Hoc Mobile	
	Ad Hoc	This report provides a list of all the ad-hoc screenings conducted, along with details of the user conducting the search, the number of hits received, the search critera, the status of the screened entity and the agency lists used.
	Batch Screening	
	DPL Maintenance Report	This report provides a date and timestamp of when all the updates to the DPL's were run successfully
	Web Services	

Table 15: Report Types Available

 Steps to generate all the available reports are same. This section describes mostly used reports only.

4.1.1 Ad hoc Report

The following steps describe how to generate Ad hoc Audit reports.

1. To generate a report, you need to first view the **Ad hoc Screening Report** screen successfully. This can be achieved by the following:
   a. Navigating to the **Ad hoc** option in **Audit Reports** under **Reports** of **Watch List Screening** module (Watch List Screening -> Reports -> Audit Reports -> Ad hoc).

    You can also search the required option from the Search Bar provided in the Reports Menu drop-down list.

    The Ad hoc Screening Report screen is displayed.
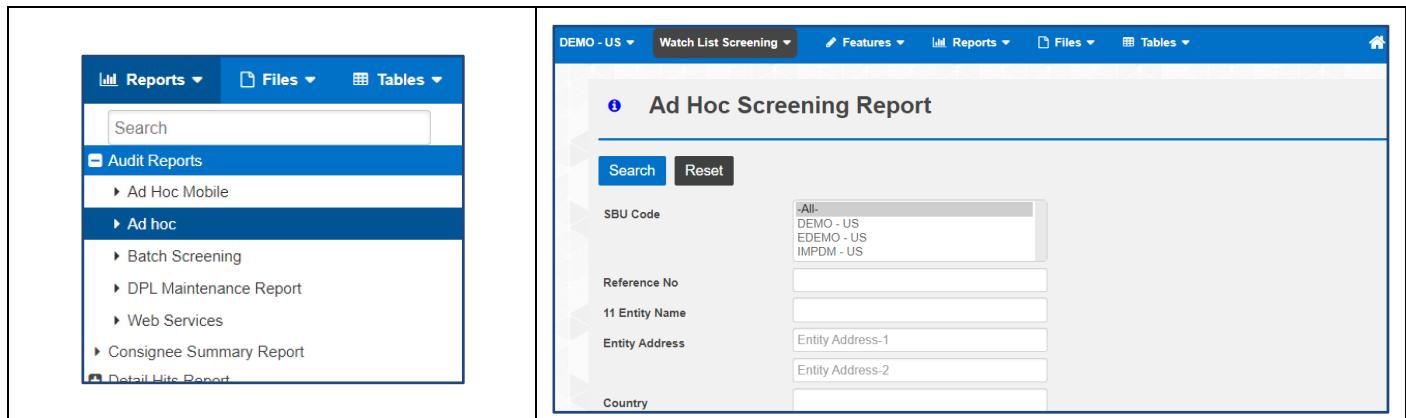
Figure 113: Ad hoc Screening Report Screen

At any given time while you are on the screen, you can click the Reset button to reset the fields to their default values.

2. In the **Ad hoc Screening Report** screen, select the required SBU from the **SBU Code** drop-down list. Enter the search parameters based on an entity details, specific reference number from a past screening, screening dates, etc. and click the Search button.

The Result screen is displayed.
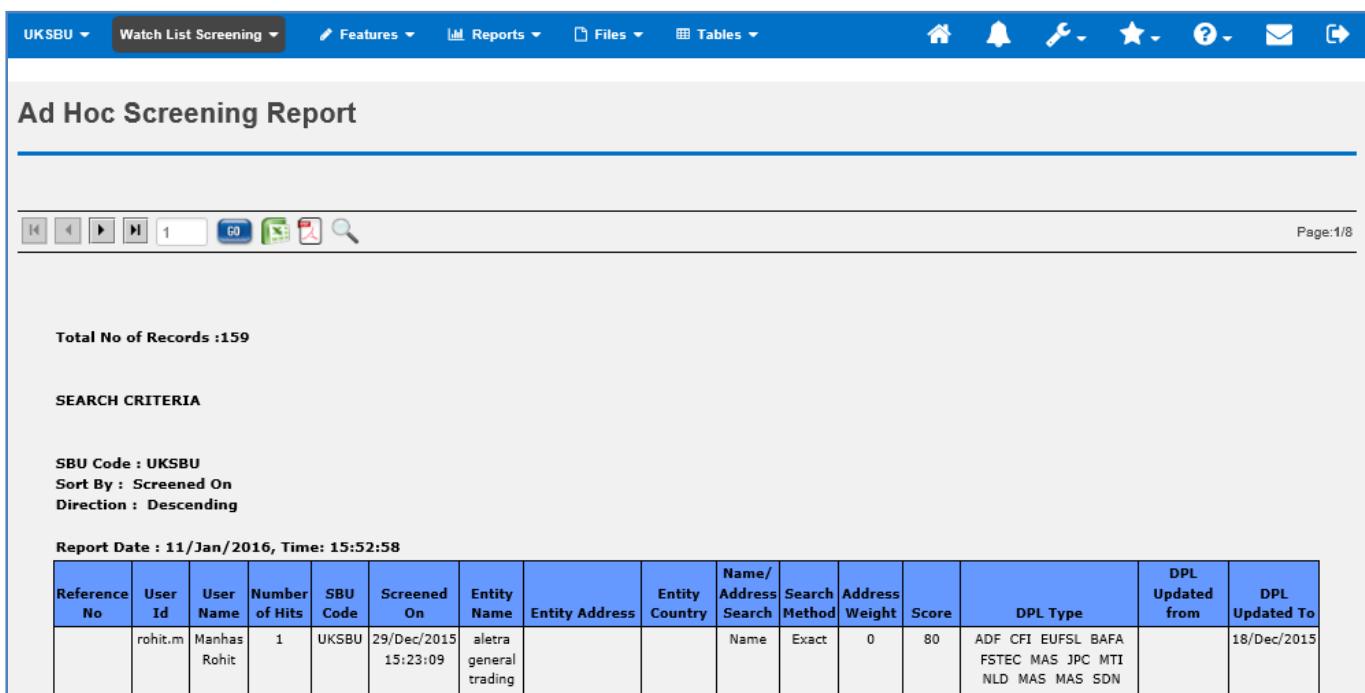
Figure 114: Result Screen

The total number of records, search criteria, and report generated date and time are displayed above the table.

You can export the report to '.xls' or '.pdf' file by clicking or button, respectively.

3. Click the icon to generate the new report.

4.1.2   Batch Screening

The following steps describe how to generate Batch Screening Audit reports.

1. To generate a report, you need to first view the **Search Batch Screening Report** screen successfully. This can be achieved by the following:
    a. Navigating to the **Batch Screening** option in **Audit Reports** under **Reports** of **Watch List Screening** module (Watch List Screening -> Reports -> Audit Reports -> Batch Screening).

    You can also search the required option from the Search Bar provided in the Reports Menu drop-down list.

    The Search Batch Screening Report screen is displayed.
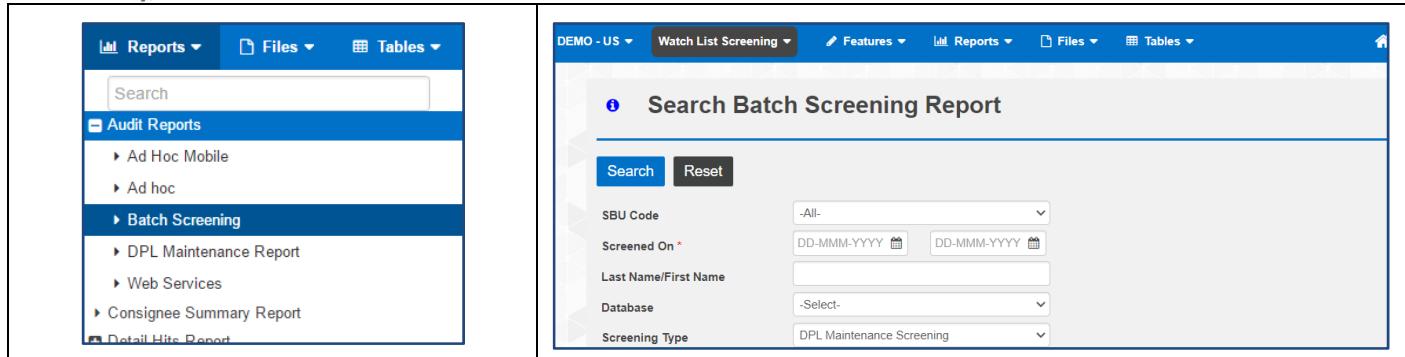
Figure 115: Search Batch Screening Report Screen

At any given time while you are on the screen, you can click the Reset *button to reset the fields to their default values.*

2. In the **Search Batch Screening Report** screen, select the required SBU from the **SBU Code** drop-down list. Enter the search parameters based on screening dates, file database, screening type, etc. and click the Search button.

    The Result screen is displayed.
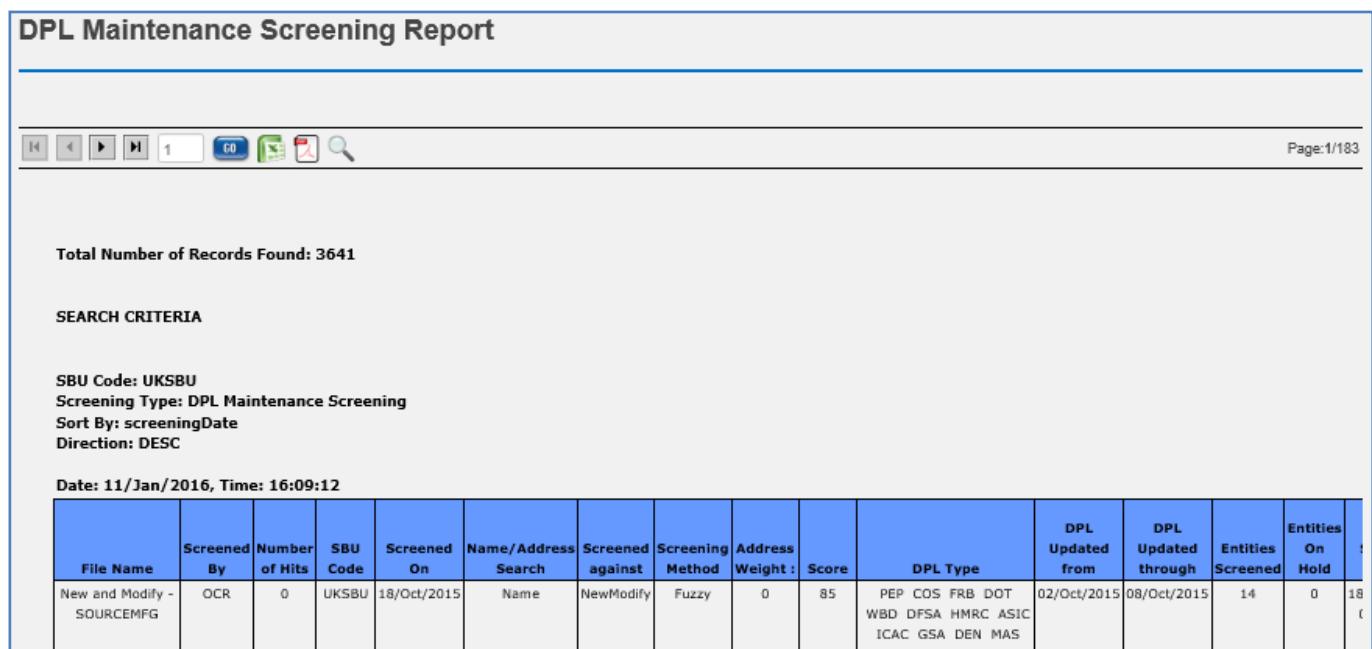
Figure 116: Result Screen

The total number of records, search criteria, and report generated date and time are displayed above the table.

You can export the report to '.xls' or '.pdf' file by clicking [xls icon] *or* [pdf icon] *button, respectively.*

3. Click the [search icon] icon to generate the new report.

4.1.3 DPL Maintenance Report

The following steps describe how to generate DPL Maintenance Report.

1. To generate a report, you need to first view the **Search DPL Maintenance Report** screen successfully. This can be achieved by the following:
   a. Navigating to the **DPL Maintenance Report** option in **Audit Reports** under **Reports** of **Watch List Screening** module (Watch List Screening -> Reports -> Audit Reports -> DPL Maintenance Report).

   You can also search the required option from the Search Bar provided in the Reports Menu drop-down list.

   The Search DPL Maintenance Report screen is displayed.

Figure 117: Search DPL Maintenance Report Screen

At any given time while you are on the screen, you can click the [Reset] *button to reset the fields to their default values.*

2. In the **Search DPL Maintenance Report** screen, **DPL Maintenance From** field, enter the required dates and click the [Search] button.

   The date format is DD/MM/YYYY.

   The Result screen is displayed.

DPL Maintenance Report

Audit Number	DPL Maintenance Complete Date and Time
1365	19/12/15 04:20:46 GMT
1364	15/12/15 14:32:50 GMT
1363	11/12/15 12:13:17 GMT
1362	09/12/15 12:07:40 GMT
1361	03/12/15 11:44:13 GMT

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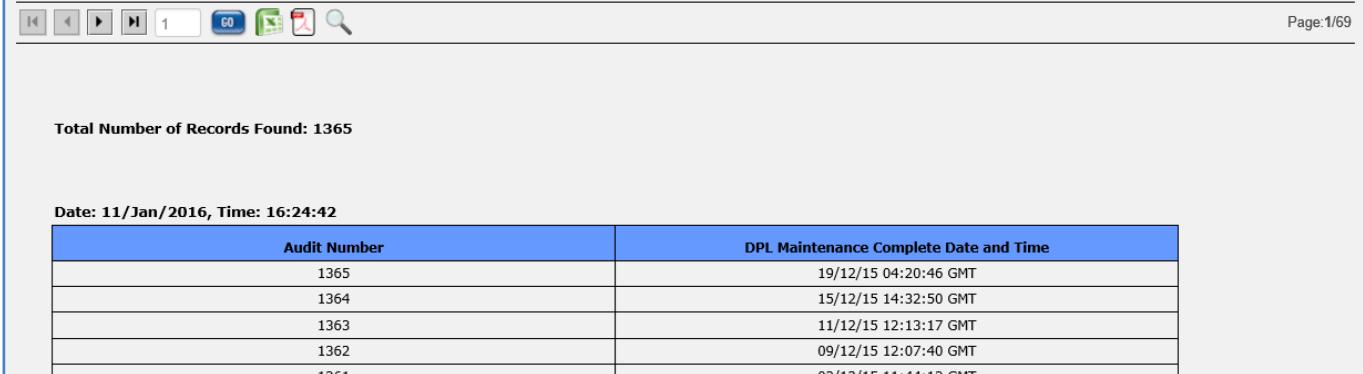
Total Number of Records Found: 1365

Date: 11/Jan/2016, Time: 16:24:42

Figure 118: Result Screen

The total number of records, and report generated date and time are displayed above the table.

You can export the report to '.xls' or '.pdf' file by clicking [icon] *or* [icon] *button, respectively.*

3. Click the [icon] icon to generate the new report.

4.2 Detail Hits Report

The Detail Hits Report is very useful for the compliance manager review process. For most of the red flagged partners, the compliance manager can view the entites that resulted in one or more Hits, and have a status on 'On Hold', thereby allowing them to easily make the decision based on this report. You may filter the reports on SBU, Country, Name of your partner and the user.

You can create the Details Hits report for the following file databases:

- Banks
- Carriers
- Consignees
- Employees
- Freight Forwarders
- Partners
- Sellers
- Shippers
- Source/Manufacturers
- Truckers
- Vendors

The screening status options are:
- **Denied**: These are the partners that a compliance manger has decided that your company cannot do business with.
- **On Hold**: These are the partners that System has red flagged for possible matches with denied parties based on fuzzy logic match criteria.
- **Overridden**: These are the partners that a compliance manager has decided that your company can do business with after reviewing the matched denied party list entries.

The procedure to generate the Detail Hits report for all file databases is same.

The following steps describe how to generate Detail Hits report of desired file database. For Example: Bank File Database.
1. To generate a report, you need to first view the **Bank Detail Hits Report** screen successfully. This can be achieved by the following:
    a. Navigating to the **Bank** option in **Detail Hits Reports** under **Reports** of **Watch List Screening** module (Watch List Screening -> Reports -> Detail Hits Reports -> Bank).

    You can also search the required option from the Search Bar provided in the Reports Menu drop-down list.

The Bank Detail Hits Report screen is displayed.
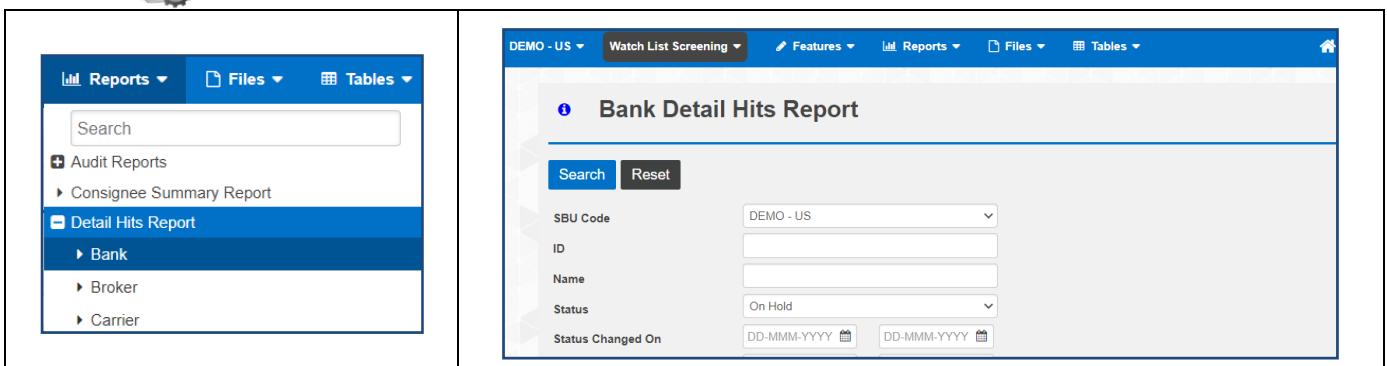
Figure 119: Bank Detail Hits Report Screen

At any given time while you are on the screen, you can click the Reset *button to reset the fields to their default values.*

2. In the **Bank Detail Hits Report** screen, select the required SBU from the **SBU Code** drop-down list. Enter the search parameters based on Identification number, status, creation date, user, etc. and click the Search button.

The Result screen is displayed.
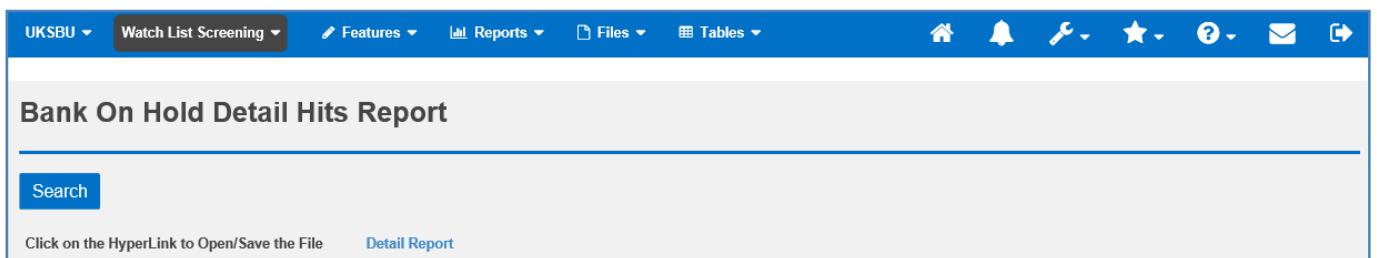
Figure 120: Result Screen

Click the 'Details Report' link to download the report.

The Detail Report file downloaded in the local system.

3. Click the Search button to generate the new report.

4.3   Entire DB

The Entire DB report provides the status of all the manual database or batch screening jobs, along with a date and timestamp. You can filter the report on SBU, Job Name, Status (Completed, In Progress, Submitted, Cancelled and Completed with Errors).

The following steps describe how to generate Job Status report*.*

1. To generate a report, you need to first view the **Search Job Status** screen successfully. This can be achieved by the following:

    a. Navigating to the **Entire DB** under **Reports** of **Watch List Screening** module (Watch List Screening -> Reports -> Entire DB).

    You can also search the required option from the Search Bar provided in the Reports Menu drop-down list.

    The Search Job Status screen is displayed.
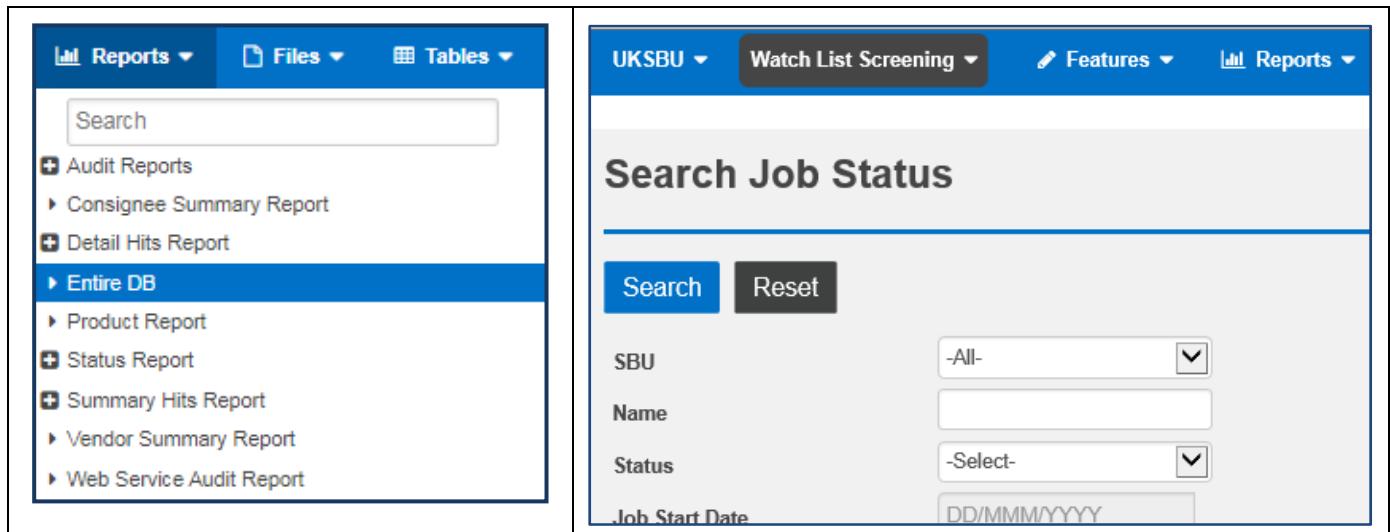
Figure 121: Search Job Status Screen

 At any given time while you are on the screen, you can click the Reset *button to reset the fields to their default values.*

2. In the **Search Job Status** screen, select the required SBU from the **SBU** drop-down list. Enter the search parameters based on screening status, dates, user, etc. and click the Search button.

 The Result screen is displayed.

Figure 122: Result Screen

 The total number of records found is displayed above the table.

3. Click the New Search button to generate the new report.

4.4   Status Report

The Status report provides the details of all the automated screening jobs that screen all the data within the Files database on a nightly basis. You may filter the report on SBU, Job Name, and Status. You can generate the following status report.

- Ad hoc
- Bank

- Consignee
- Employee

- Exporter
- Freight Forwarders
- Partners
- Sellers
- Shippers

- Signatories
- Source/Manufactures
- Truckers
- Vendors

The procedure to generate the Status report for all file databases is same.

The following steps describe how to generate Status Report. For example; Ad hoc.

1. To generate a report, you need to first view the **Ad hoc Status Report** screen successfully. This can be achieved by the following:

    a. Navigating to the **Ad hoc** option in **Status Report** under **Reports** of **Watch List Screening** module (Watch List Screening -> Reports -> Status Report -> Ad hoc).

    You can also search the required option from the Search Bar provided in the Reports Menu drop-down list.

    The Ad hoc Status Report screen is displayed.
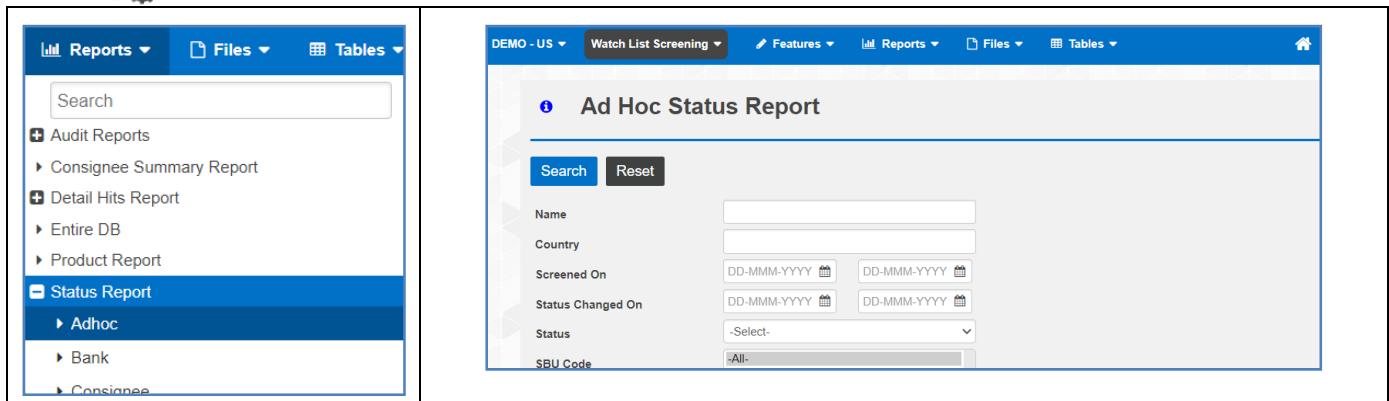
Figure 123: Ad hoc Status Report Screen

At any given time while you are on the screen, you can click the Reset *button to reset the fields to their default values.*

2. In the **Ad hoc Status Report** screen, select the required SBU from the **SBU Code** drop-down list. Enter the search parameters based on an entity details, screening dates, etc. and click the Search button.

    The Result screen is displayed.

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Figure 124: Result Screen

The total number of records, number of records for particular status, search criteria, and report generated date and time are displayed above the table.

You can export the report to '.xls' or '.pdf' file by clicking ⬚ or ⬚ button, respectively.

3. Click the ⬚ icon to generate the new report.

4.5   Summary Hits Report

The Summary Hits Report is similar to the Detailed Hits report, but contains less information for each hit returned. The compliance manager can view the entites that resulted in one or more Hits, and have a status on 'On Hold'. You may filter the reports on SBU, Country, Name of your partner and the user

You can create the Summary Hits report for the following file databases:

- Banks
- Broker
- Carrier
- Consignee
- Employee
- Exporter
- Freight Forwarder
- Ground Carrier

- Partners
- Sellers
- Shippers
- Signatories
- Source/Manufacturers
- Truckers
- Vendors

The screening status values are:

- **Approved**: These are the partners that were not red flagged as potential matches with denied party list.

- **Denied**: These are the partners that a compliance manger has decided that your company cannot do business with.

- **On Hold**: These are the partners that System has red flagged for possible matches with denied parties based on fuzzy logic match criteria.

- **Overridden**: These are the partners that a compliance manager has decided that your company can do business with after reviewing the matched denied party list entries.

You may filter the reports on SBU, Country, and Name of your partner and the User.

The procedure to generate the Summary Hits report for all file databases is same.

The following steps describe how to generate Summary Hits report for Bank file database.

1. To generate a report, you need to first view the **Bank Summary Hits Report** screen successfully. This can be achieved by the following:

    a. Navigating to the **Bank** option in **Summary Hits Report** under **Reports** of **Watch List Screening** module (Watch List Screening -> Reports -> Status Report -> Ad hoc).

    You can also search the required option from the Search Bar provided in the Reports Menu drop-down list.

    The Bank Summary Hits Report screen is displayed.
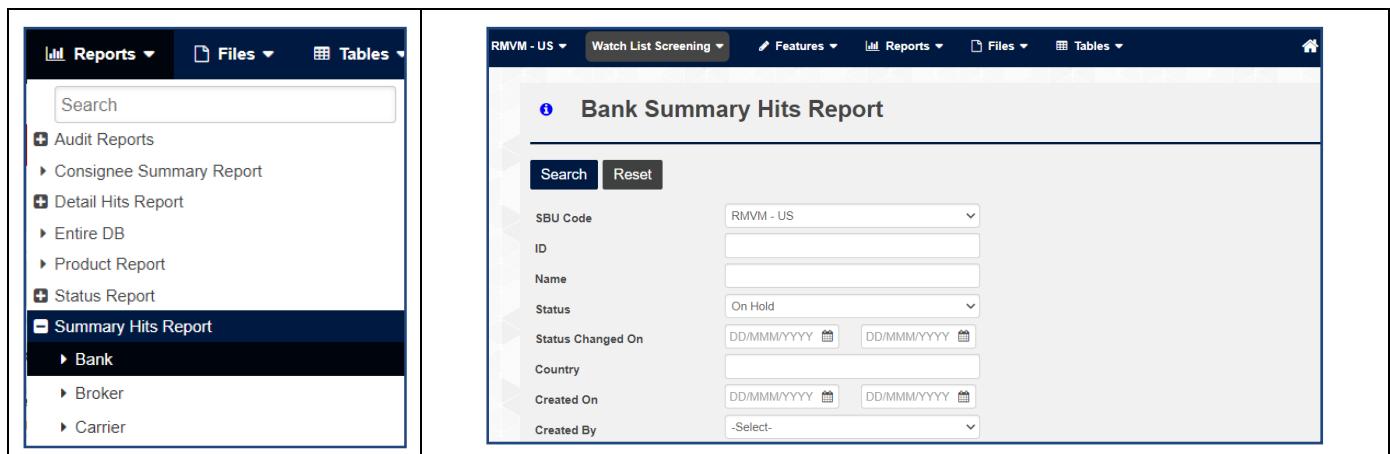
Figure 125: Bank Summary Hits Report Screen

At any given time while you are on the screen, you can click the Reset *button to reset the fields to their default values.*

2. In the **Bank Summary Hits Report** screen, select the required SBU from the SBU Code drop-down list. Enter the search parameters based on an entity details, screening status, dates, user, etc. and click the Search button.

    The Result screen is displayed.
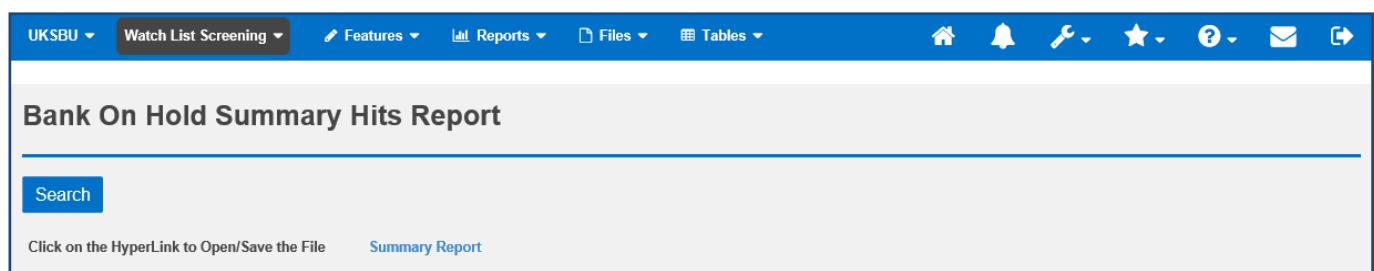
Figure 126: Result Screen

Click the 'Summary Report' link to download the report.

The Summary Report file downloaded in the local system.

3. Click the Search button to generate the new report.

APPENDIX A – WATCH LIST AGENCY LISTS

OCR has compiled various government watch lists (restrictions, prohibitions, and denied parties) into an overall Watch List. These lists are updated and maintained on a regular basis. OCR has grouped watch lists into six categories:

- International Trade Watch Lists
- Entire Country Restrictions
- Pharmaceutical and Medical Lists
- Anti-Money Laundering Check Lists

- Financial Watch Lists
- Law Enforcement Agencies Lists
- U.S. Federal Procurement Exclusion List
- Dow Jones Risk & Compliance Watch List (DJ)

International Trade Watch Lists (ITW)

This group comprises of lists from various countries (U.S., Australia, Canada, European Union, Japan and Singapore) based on their export laws and regulations.

Australia: Department of Foreign Affairs and Trade (DFAT) publishes a consolidated list of names consistent with regulation 8 of the Charter of the United Nations (Terrorism and Dealings with Assets) 2002 Regulations. The Australian Minister for Foreign Affairs may list a person or entity on a case-by-case basis if he is satisfied that they are associated with terrorism. The moment an individual or entity is placed on the UN list, its assets must be frozen under Australian law. These names are automatically incorporated onto the consolidated list. Once an individual or entity is listed on the DFAT Consolidated List, it becomes a criminal offence to deal with their assets. The penalty for these offences is five years' imprisonment.

Bank of England: Bank of England, as an agent of the HM treasury, publishes a consolidated list of names that are sanctioned by UNSC and the European Union in pursuit of the specific objectives of the Common Foreign and Security Policy (CFSP). These regulations apply to any person in the UK and to any person elsewhere who is a British citizen, a British Overseas Territories citizen, a British Overseas citizen, a British subject, a British National (Overseas), or a British protected person; or is a body incorporated or constituted under the law of any part of the UK or a Scottish partnership, including banks, financial institutions, charitable organizations and non-governmental organizations, in the UK or established under UK law. Violation of these regulations is an offence under UK law.

Canada: The Canadian Office of Superintendent of Financial Institution (OSFI) publishes lists of names subject to the regulations establishing a list of entities made under subsection 83.05(1) of the criminal code or the United Nations suppression of terrorism regulations. Banks, Foreign Bank Branches, Trusts and Loan Companies, Cooperatives, Insurance Companies and Pension plans are subjected to the Canadian Criminal code subsection 83.05(1).

Japan: Japan Ministry of Economy, Trade & Industry (METI) publishes list of entities that the government consider as a concern for nuclear proliferation. This list is published once a year on April 1.

Singapore: Monitory Authority of Singapore (MAS) publishes an anti-terrorism schedule based on the United Nations (Anti-Terrorism measures) Regulations 2001 (Act 44 of 2001) since 13th November 2001. As per Singapore laws, it is an offense for any person in Singapore and offense for citizen of Singapore outside Singapore to provide or to collect funds or to deal in any property directly or indirectly that is owned or controlled by or on behalf of any terrorist.

United States: In U.S. export privileges of an entity are regulated by three agencies: The Bureau of Industry and Security (BIS) within the Department of Commerce (DOC), Office of Foreign Assets Control (OFAC) with the Department of Treasury, and Office of Defense Trade Control (ODTC) with Department of State (DOS). Each of these agencies publishes several lists with the names of entities (individuals or companies or organizations) that have been denied or have restrictions on their export privileges or have Enhanced Proliferation Control Initiative (EPCI) concerns. These agencies also publish the privileges that are affected as well as the period of restriction (denial).

Department of Commerce: The Export Administration Regulations (EAR Part 736 describes General Prohibition 4 (Denial Orders). Part 736 states that an exporter may not engage in actions prohibited by a denial order issued under this part. These orders prohibit many actions in addition to direct exports, including some transfers within a single country (whether in the United States or abroad) by listed entities and individuals. An exporter is responsible for ensuring that any transaction involving a person or entity that has been denied privileges (or needs to be reviewed for Enhanced Proliferation Control Initiative (EPCI) concerns) does not violate the term of the order.

In addition, Part 744 of EAR requires an export license to ship goods to certain entities in various countries as part of non-proliferation concern initiative for nuclear and relates technologies.

The OCR list from <u>Department of Commerce</u> comprises of:

a) <u>Denied Persons</u> List: (Supplement No. 2 to Part 764 of the Export Administration Regulations (EAR)): It consists of list of individuals and entities that have been denied export privileges. Any dealings with a party on this list that would violate the terms of its denial order are prohibited.

b) <u>Entities</u> List: Parties requiring an export license for any transaction listed on the Entities List (Supplement No. 4 to Part 744 of the EAR): A list of parties whose presence in a transaction can trigger a license requirement under the Export Administration Regulations. The list specifies the license requirements that apply to each listed party. These license requirements are in addition to any license requirements imposed on the transaction by other provisions of the Export Administration Regulations.

c) <u>Unverified</u> List: A list of parties where BIS has been unable to verify the end use in prior transactions. The presence of a party on this list in a transaction is a "red flag" that should be resolved before proceeding with the transaction.

<u>Department of State:</u> The defense trade policy of the United States authorizes sales of defense articles by the United States Government to friendly countries in furtherance of the security objectives of the United States and of the purposes and principles of the United Nations Charter. The United States policy goal is to exert leadership in the world community to bring about arrangements for reducing the international trade in implements of war and to lessen the danger of outbreak of regional conflict and the burdens of armaments.

Directorate of Defense Trade Controls oversees matters relating to licensing or other authorization of defense trade, including references under parts 123, 124, 125, 126, 129, and 130 and the commodity jurisdiction under part 120 of The International Traffic in Arms Regulations (ITAR); matters relating to violations of law or regulation and compliance, including references under parts 127, 128, and 130 and the portion of part 129 of the ITAR; and general policies of defense trade under parts 120 and 126 of ITAR.

The OCR list from <u>Department of State</u> comprises of:

a) <u>Debarred</u> List: A list compiled by the State Department of parties who are barred by §127.7 of the International Traffic in Arms Regulations (ITAR) (22 CFR §127.7) from participating directly or indirectly in the export of defense articles, including technical data or in the furnishing of defense services for which a license or approval is required by the ITAR.

b) <u>Nonproliferation Sanctions:</u> Several lists such as Foreign Terrorist Organization (FTO), Specially Designated Terrorist (SDT) and Terrorist Exclusion List (TEL); compiled by the State Department of parties that have been sanctioned under various statutes. The Federal Register notice imposing sanctions on a party states the sanctions that apply to that party. Some of these sanctioned parties are also subject to BIS's license application denial policy described in §744.19 of the EAR (15 CFR §744.19).

<u>Office of Foreign Assets Control (OFAC)</u> of the U.S. Department of the Treasury administers and enforces economic and trade sanctions based on U.S. foreign policy and national security goals against targeted foreign countries, terrorists, international narcotics traffickers, and those engaged in activities related to the proliferation of weapons of mass destruction. OFAC acts under Presidential wartime and national emergency powers, as well as authority granted by specific legislation, to impose controls on transactions and freeze foreign assets under U.S. jurisdiction. Many of the sanctions are based on United Nations and other international mandates, are multilateral in scope, and involve close cooperation with allied governments.

The sanctions imposed as contained in OFAC sanctions list may include specially designated nationals (SDN) and blocked persons, sanctions programs designed to combat the proliferation of weapons of mass destruction (WMD), Specially Designated Narcotics Traffickers (U.S. persons are prohibited from engaging in any transaction or dealing in property or interests in property of (SDNTK)s and from engaging in any transaction that evades or avoids the prohibitions of the Kingpin Act), sanctions against designated hostile countries and other sanctions programs.

The OCR list from <u>Office of the Foreign Assets Control</u> (OFAC) of the Treasury Department consists of specially designated National List (SDN). This list comprises of several different kinds of sub lists. OFAC's regulations may prohibit a transaction if a party on this list is involved. In addition, the Export Administration Regulations require a license for exports or re-exports to any party in any entry on this list that contains any of the suffixes "SDGT", "SDT", or "FTO".

Entire Country Restrictions

This category consists of six lists as described below.

Financial Action Task Force (NCCT): Financial Action Task Force (FATF) is an inter-governmental body whose purpose is the development and promotion of national and international policies to combat money laundering and terrorist financing. It has published several recommendations to combat terrorist financing, and regularly reviews countries to see whether they have implemented its recommendation. It publishes a list of countries that it finds on review have not implemented its recommendation as Non-Cooperative Countries and Territories (NCCT). This list indicates financial institutions should give special attention to business relations and transactions with persons, including companies and financial institutions, from jurisdictions that do not adequately apply the FATF Recommendations. It should be noted that FATF has not reviewed all the countries to see whether they are following its recommendations.

Organization of Economic Cooperation and Development (OECD) Tax Haven List: The OECD is a group of about 30 countries (including U.S.) sharing a commitment to democratic government and the market economy. It has active relations with about 70 other countries. The OECD plays a prominent role in fostering good governance in the public service and the corporate activity. It publishes a list of jurisdictions (uncooperative tax havens) that have not yet made commitments to transparency and effective exchange of information. This list indicates the financial institution to be more diligent in dealing with these countries.

Department of Commerce Anti-Boycott Countries: U.S. enacted anti-boycott laws to encourage, and specifically required U.S. firms to refuse to participate in foreign boycotts that the United States does not sanction. They have the effect of preventing U.S. firms from being used to implement foreign policies of other nations, which run counter to U.S. policy. The Arab League boycott of Israel is the principal foreign economic boycott that U.S. companies must be concerned with today. The anti-boycott laws, however, apply to all boycotts imposed by foreign countries that are unsanctioned by the United States. The anti-boycott provisions of the Export Administration Regulations (EAR) apply to all 'U.S. persons,' defined to include individuals and companies located in the United States and their foreign affiliates. These persons are subject to the law when their activities relate to the sale, purchase, or transfer of goods or services (including information) within the United States or between the U.S. and a foreign country. This covers U.S. exports and imports, financing, forwarding and shipping, and certain other transactions that may take place wholly offshore. Conduct that may be penalized under the Tax Reform Act (TRA) and/or prohibited under the EAR includes:

- Agreements to refuse or actual refusal to do business with or in Israel or with blacklisted companies.

- Agreements to discriminate or actual discrimination against other persons based on race, religion, sex, national origin or nationality.

- Agreements to furnish or actual furnishing of information about business relationships with or in Israel or with blacklisted companies.

- Agreements to furnish or actual furnishing of information about the race, religion, sex, or national origin of another person.

- Implementing letters of credit containing prohibited boycotted terms or conditions.

TRA does not 'prohibit' conduct but denies tax benefits ('penalizes') for certain types of boycott-related agreements.

Department of Commerce Embargoes and Other Special Controls: EAR Part 746 imposes two categories of controls to implement U.S. government policies as per 15 CFR Chapter VII, subchapter C.

a) *Comprehensive Control*: This part contains or refers to all the BIS licensing requirements, licensing policies, and License Exceptions for countries subject to general embargoes, currently Cuba and Iran. This part is the focal point for all the EAR requirements for transactions involving these countries.

b) *Sanction on Selected categories of items to specific destinations*: BIS controls the export and re-export of selected categories of items to certain countries consistent with United Nations Security Council Resolutions. This category also contains description of controls maintained by Office of Foreign Assets Control in the Treasury Department and by the Directorate of Defense Trade Controls in the Department of State. Comprehensive embargoes and supplemental controls implemented by BIS under the EAR usually also involve controls on items and activities maintained by these agencies. This part sets forth the allocation of licensing responsibilities between BIS and these other agencies.

Department of State Countries of Concern: The International Traffic in Arms Regulations (ITAR) prohibits exports and sales to certain countries (22CFR126.1), which the Secretary of State has determined to have repeatedly provided support of acts of international terrorism that are contrary to the foreign policy of the United States. It is the policy of the United States to deny destined for or

originating in such countries. This policy applies to certain Group D countries. This policy also applies to countries with respect to which the United States maintains an arms embargo or whenever an export would not otherwise be in furtherance of world peace and the security and foreign policy of the United States. In general, it is the policy of the United States to deny licenses, other approvals, exports and imports of defense articles and defense services destined for or originating in some of the designated countries of Group D.

Office of Foreign Assets Control (OFAC) of the U.S. Department of the Treasury administers and enforces economic and trade sanctions based on U.S. foreign policy and national security goals against targeted foreign countries. OFAC places sanctions on certain Group D countries. Some of the sanctions are monetary in nature, and other sanctions may either prohibit shipping or require a license to ship.

European Union: European Union (EU) under the Common & Foreign Security Policy (CFSP) impose sanctions on various countries to:

- Safeguard the common values, fundamental interests, independence and integrity of the Union;

- Strengthen the security of the Union in all ways;

- Preserve peace and strengthen international security;

- Promote international co-operation;

- Develop and consolidate democracy and the rule of law, and respect for human rights and fundamental freedoms.

Each union member is responsible for implementing the sanctions and imposing penalties in case of violations. A member state may also at the national level impose individual sanctions which are not provided for by the EU.

Anti-Money Laundering Check Lists (AMC)

This category comprises of two lists from U.S. Central Intelligence Agency as described below.

U.S. CIA chief of State List (COS): The CIA publishes and updates the list of *Chiefs of State and Cabinet Members of Foreign Governments* weekly. This list is helpful to comply with United States Foreign Corrupt Practices Act (FCPA). FCPA prohibits making or offering of any payment to any foreign official to induce that official to influence any government act or decision to assist or to grant the company an unfair commercial advantage in obtaining or retaining business. The penalties for violation of the FCPA include large fines and/or imprisonment.

U.S. Politically Exposed Persons List: The CIA publishes a world fact book that contains a list of political parties and their leaders for all countries and it is updated on a quarterly basis. This list is also helpful to comply with United States FCPA.

Pharmaceutical and Medical Lists

U.S. Food and Drug Administration - 'FDA' covers the list of firms or persons debarred pursuant. FDA is responsible for Protecting the public health by assuring that foods (except for meat from livestock, poultry and some egg products which are regulated by the U.S. Department of Agriculture) are safe, wholesome, sanitary and properly labelled; ensuring that human and veterinary drugs, and vaccines and other biological products and medical devices intended for human use are safe and effective. FDA also protecting the public from electronic product radiation, assuring cosmetics and dietary supplements are safe and properly labelled, and regulating tobacco products.

U.S. Food and Drug Administration Warning Letters- 'FDAWL' covers the list of companies to who FDA issued warning letters. There are three types of warning letter issued by FDA; General FDA Warning Letters, Tobacco Retailer Warning Letters, and Drug Marketing and Advertising Warning Letters.

Financial Watch Lists (FWL)

U.S. Department of Treasury Unauthorized Bank File (DOT) covers the list of such banks that are not federally regulated entity. Such banks may be operating in the without authorization or permission to conduct banking business in the country.

U.S. Federal Reserve Bank (FRB) is responsible for formulation and lawful implementation of country's monetary policies. FRB list includes numerous individuals, who have defrauded borrowers and investors in the United States and abroad or have been involved

in bank scams or are presently in the process of investigating, wrongdoers who have defrauded individuals and entities. The list is meant for alerting the banks transacting business with the individuals and entities.

World Bank List of Ineligible Firms (WBD) includes the firms and individuals, who have violated the fraud and corruption provisions of the procurement or the consultant guidelines of World Bank. In the case of a debarred firm, ineligibility extends to any firm or individual who directly or indirectly controls the debarred firm or any firm, which the debarred firm directly or indirectly, controls.

Law Enforcement Agencies List (LEA)

Interpol Most Wanted List (IPL) includes individuals involved in crime areas of fugitives, public safety and terrorism, drugs and organized crime, trafficking in human beings and financial and high-tech crime. Interpol is the world's largest international police organization, with 184 member countries (includes U.S.).

U.S. Department of Defense List (DOD) contains the names of top 55 wanted people holding positions of influence in pre-war Iraqi government, responsible for terrorism and inflicting discriminatory atrocities on Iraqi public.

U.S. Department of Justice List (DOJ) includes alleged terrorists who have been indicted or are under investigations in connection to terrorist incidents or activities.

U.S. Excluded Parties List (EPL) (Accessible via SAM- System for Award Management)

This list contains parties excluded from the Federal Procurement and Non-Procurement programs published by the General Services Administration. This list is a collection of entities from all the U.S. government agencies that have been placed on the exclusion list. For example, the list will include entities that may have violated EPA regulations, medical doctors who may have defrauded the Medicare system, etc. No federal government agency can contract, and no government contractor can sub-contract part of the government contract with the entities listed in this list.

Dow Jones Risk & Compliance Watch List

Dow Jones Watch List, from Dow Jones Risk & Compliance is a structured risk screening solution used by 12 of the top 15 global financial institutions for more effective compliance with Anti-Money Laundering and Counter-Terrorist Financing regulation. Easily and accurately identify high-risk clients with detailed, up-to-date profiles on more than 650,000 individuals and entities. DJ comprehensive database includes.

- Global coverage of senior Politically Exposed Persons, their relatives, close associates, and the companies they are linked to

- National and international government sanction lists

- Persons officially linked to, or convicted of, high-profile crime

APPENDIX B – WATCH LIST AND AGENCIES ACRONYMS

Following table lists the available watch list grouping.

Grouping Acronym	Description
ITW	International Trade Watch Lists
AML	Anti-Money Laundering Check Lists
ECR	Entire Country Restrictions
PML	Pharmaceutical and Medical Lists
FWL	Financial Watch Lists
LEA	Law Enforcement Agencies Watch Lists
GPL	Government Procurement Watch Lists
EPL	U.S. Excluded Parties List
UDL	User Defined List

Table 16: Watch List Grouping Table

Following table lists the WLS Lists by Agency

Agency Acronym	Description
ATS	Monetary Authority of Singapore (Anti-Terrorism Schedule)
AU	Australian Department of Foreign Affairs and Trade
CA	Canadian Office of the Superintendent of Financial Investigations
CIA	US Central Intelligence Agency
DOC	US Department of Commerce
DOS	US Department of State
UK-DTI	United Kingdom Department of Trade and Industry
EU	European Union
FAC	US Office of Foreign Assets Control
FATF	Financial Action Task Force on Money Laundering
FRB	US Federal Reserve Bank
GSA	US General Services Administration
HKMA	Hong Kong Monetary Authority
JP	Japanese List
OCC	Office of the Comptroller of the Currency
OECD	Organization for Economic Corporation
TREAS	US Treasury Department
UK	United Kingdom -Bank of England List
UN	United Nations
US-DOD	US Department of Defense
US-DOJ	US Department of Justice
US-DOT	Department of Treasury

Agency Acronym	Description
Various US agencies	If the type is GSA, please see the document 'US Government agencies and their Contact Information' under the Help menu.
WBK	World Bank List of Ineligible Firms

Table 17: Agency Acronym

Following table lists the available agency types.

Grouping Acronym	Agency Type	Description
AMC	COS	U.S. Central Intelligence Agency Chief of State Lists
AMC	PEP	U.S. Politically Exposed Persons Lists
ECR	U.S. TR	U.S. Trade Representative - Special 301 Report on Intellectual Property Rights
ECR	ABL	U.S. Treasury Anti-Boycott Lists
ECR	BIS	Enhanced Proliferation Control Initiative (EPCI) from BIS
ECR	EPCI	Enhanced Proliferation Control Initiative (EPCI) from BIS
ECR	FATF	NCCT under Financial Action Task Force for Money Laundering
ECR	MCTI	Ministry of Science, Technology and Innovation (MCTI)
ECR	NCC	NCCT under Financial Action Task Force for Money Laundering
ECR	OEC	Organization for Economic Co-operation and Development Tax Haven Lists
ECR	US-DOT	U.S. Treasury Anti-Boycott Lists
ECR	USTR	U.S. Trade Representative - Special 301 Report on Intellectual Property Rights
EPL	EPL	U.S. General Services Administration (GSA) Excluded Parties List System
FWL	ASIC	Australian Securities and Investments Commission, Enforceable Undertakings and Banned Organizations
FWL	DFSA	Dubai Financial Services Authority
FWL	DOT	U.S. Department of Treasury Unauthorized Bank File
FWL	FHFA	Federal Finance Housing Agency
FWL	FRB	U.S. Federal Reserve Bank
FWL	HMRC	U.S. HM Revenue and Customs, Deliberate Tax Defaulters
FWL	ICAC	Independent Commission Against Corruption New South Wales, Past and Present Investigation
FWL	WBK	World Bank Lists of Ineligible Firms
ITW	AU	Australian Department of Foreign Affairs and Trade
ITW	DFAT	Australian Department of Foreign Affairs and Trade
ITW	FDFA	SWISS - Federal Department of Foreign Affairs - FDFA
ITW	FPSF	Belgium Federal Public Service Finance - National Financial Sanctions
ITW	FSTEC	Federal Service for Technical and Export Control of Russia
ITW	JP	Japanese Proliferation Concern
ITW	JPC	Japanese Proliferation Concern
ITW	MAS	Singapore - Monetary Authority Anti-Terrorism Schedule
ITW	MAS, SDN	Switzerland (UN)

Grouping Acronym	Agency Type	Description
ITW	MFA	Netherlands, Ministry of Foreign Affairs
ITW	MOF	Ministry of Finance Japan - Economic sanctions and target list
ITW	NLD	Netherlands, Ministry of Foreign Affairs
ITW	SECO	SWISS - State Secretariat for Economic Affairs - SECO
ITW	UN	Singapore - Monetary Authority Anti-Terrorism Schedule/UN Security Council Sanction, Hong Kong
ITW	US-DOT	US Department of Treasury - Office of the Comptroller of the Currency
ITW/ECR	BAFA	Federal Office of Economics and Export Control (German Proliferation List)
ITW/ECR	BES	U.S. HM Treasury Sanction List
ITW/ECR	CA	Canadian Office of the Superintendent of Financial Institutions
ITW/ECR	CFI	Canadian Office of the Superintendent of Financial Institutions
ITW/ECR	DBL	U.S. Department of State (DDTC) Debarred Lists
ITW/ECR	DEN	U.S. Department of Commerce BIS Denied Persons, Entity Lists and Unverified End Use
ITW/ECR	DIT	HMT - Department for International Trade
ITW/ECR	DOC	U.S. Department of Commerce BIS Denied Persons, Entity Lists and Unverified End Use
ITW/ECR	DOJ-CA	Department of Justice – Canada; Special Economic Measures Regulations
ITW/ECR	DOS	U.S. Department of State (DDTC) Debarred Lists
ITW/ECR	EU, UK, UN	U.S. HM Treasury Sanction List
ITW/ECR	EU-CFSP	European Union Financial Sanctions List under Common Foreign and Security Policy (CFSP)
ITW/ECR	EUFSL	European Union Financial Sanctions List under Common Foreign and Security Policy (CFSP)
ITW/ECR	FAC	U.S. Office of Foreign Assets Control - Specially Designated Nationals
ITW/ECR	FINCEN	Financial Crimes Enforcement Network – US Dept. of The Treasury
ITW/ECR	FOEEC	Federal Office of Economics and Export Control (German Proliferation List)
ITW/ECR	MTI	Malaysia Trade and Industry
ITW/ECR	OFAC	U.S. Office of Foreign Assets Control - Specially Designated Nationals
ITW/ECR	SDN	U.S. Office of Foreign Assets Control - Specially Designated Nationals
ITW/ECR	UK, UN	U.S. HM Treasury Sanction List
LEA	U.S. MS	United States Marshals Service
LEA	U.S. P	United Kingdom Police Lists
LEA	AFP	Australia Federal Police - Australian Police Lists including Crime Stoppers Australia
LEA	ATF	Bureau of Alcohol, Tobacco, Firearms and Explosive
LEA	AUP	Australian Police Lists including Crime Stoppers Australia
LEA	CA	Royal Canadian Mounted Police
LEA	CENTCOM	U.S. Central Command
LEA	DOD	U.S. Department of Defense Lists
LEA	DOJ	U.S. Department of Justice Lists
LEA	DUP	Dubai Police Lists

Grouping Acronym	Agency Type	Description
LEA	HAMPSHIRE	Hampshire Constabulary (Police) – United Kingdom
LEA	IPL	Interpol Most Wanted
LEA	LANCASHIRE	Lancashire Constabulary (police) – United Kingdom
LEA	NOTTINGHAM	Nottinghamshire Police – United Kingdom
LEA	NSW	New South Wales - Australian Police Lists including Crime Stoppers Australia
LEA	NTP	Northern Territory - Australian Police Lists including Crime Stoppers Australia
LEA	POLICE	Dubai Police Lists
LEA	QLD	Queensland - Australian Police Lists including Crime Stoppers Australia
LEA	RCMP	Royal Canadian Mounted Police
LEA	SA	South Australia - Australian Police Lists including Crime Stoppers Australia
LEA	SURREY	Surrey Police – United Kingdom
LEA	TAS	Tasmania - Australian Police Lists including Crime Stoppers Australia
LEA	US-DOD	U.S. Department of Defense Lists
LEA	US-DOJ	U.S. Department of Justice Lists
LEA	US-DOJ	United States Marshals Service
LEA	VIC	Victoria - Australian Police Lists including Crime Stoppers Australia
LEA	WA	Western Australia - Australian Police Lists including Crime Stoppers Australia
LEA		United Kingdom Police
PML	FDA	U.S. Food and Drug Administration
PML	FDA	U.S. Food and Drug Administration Warning Letters
PML	FDAWL	U.S. Food and Drug Administration Warning Letters
PML	HHS	US Department of Health and Human Services (OIG List)

Table 18: Agency Types Table

The following table lists the DPL Category

Country	OCR Type	Agencies	Category	Description
		US Lists – Trade Embargo/Sanctions Lists		
United States	"DBL" – Department of State (DOS Debarred List)	DOS	DBL	Debarred List
		DOS	BELARUS	Economic sanctions against Belarusian state-owned enterprises
		DOS	BURMA	Burma Sanctions under Department of State
		DOS	DPRK	Korea Sanctions under Department of State
		DOS	IRAN	Iran Sanctions under Department of State
		DOS	SYRIA	Syria Sanctions under Department of State
		DOS	JADE	Junta's Anti-Democratic Efforts (Burma) Sanctions under Department of State. Burmese JADE (Junta's

			Anti-Democratic Efforts) (JADE Act); Sanctions under Pub. L. 110-286, 122 Stat. 2632
	DOS	FTO	Foreign Terrorist Organization
	DOS	SDT	Specially Designated Terrorist
	DOS	TEL	Terrorist Exclusion List
	DOS	INPA	Iran and Syria Nuclear Proliferation Act
	DOS	CBWS	Chemical and Biological Weapons List
	DOS	CAATSA	CAATSA Section 231(d) List regarding the Intelligence Sector of the Government of the Russian Federation
	DOS	CAATSA - RUSSIA	Designated pursuant to section 224(a)(1)(B) of the Countering America's Adversaries Through Sanctions Act
	DOS	UKRAINE-EO13685	financial sanctions on individuals and entities that are supporting Russia's attempt to integrate the Crimea region of Ukraine
	DOS	GLOMAG	The United States government sanctioned individuals from Nicaragua who have been involved in serious human rights abuse or engaged in corruption
	DOS	POD	Pursuant to section 126.7 of the ITAR, the DOS is providing notice of a presumption of denial (also referred to as a policy of denial)
	DOS	CRL	List of Restricted Entities and Sub-entities Associated with Cuba (Cuba Restricted List (CRL))
	DOS	INKSNA	Iran, Syria, North Korea Nuclear Proliferation Act
	DOS	ISNNPA	Iran, North Korea, and Syria Nonproliferation Act
	DOS	ISA	Iran Sanction Act
	DOS	IRAN-HR	Sanctions under human rights abuses in Iran
	DOS	IRAN-TRA	Iran Threat Reduction and Syria Human Rights Act of 2012
	DOS	MAGNIT	Sanctions under Sergei Magnitsky Rule of Law Accountability Act of 2012
	DOS	SDGT	Specially Designated Global Terrorist
	DOS	NPWMD	Nuclear Proliferation – Weapons of Mass Destruction
	DOS	VESSEL	Designations Related to Sanctions Evasion pursuant to E.O. 13645 for providing material support to NITC

		DOS	WCRP	War Crimes Rewards Program under Department of State
United States	"DEN" – Department of Commerce (BIS Denied Parties List)	DOC	DEN	Denial Order (Cannot do business)
		DOC	ENT	Entity List (Need export license)
		DOC	UEU	Unverified End Use List (Need to be more diligent)
United States	"SDN" - Dept. of Treasury (Office of Foreign Assets Control)	OFAC	561LIST	The List of Foreign Financial Institutions Subject to Part 561
		OFAC	AIRCRAFT	Aircraft
		OFAC	BALKANS	Sanctions under Western Balkans Stabilization Regulations, 31 C.F.R. part 588; Executive Order 13304, 68 FR 32315
		OFAC	BELARUS	Sanctions under Executive Order 13405, 71 FR 35485
		OFAC	BURMA	Sanctions under Burmese Sanctions Regulations, 31 C.F.R. part 537; Executive Order 13448, 72 FR 60223; Executive Order 13464, 73 FR 24491
		OFAC	BPI-PA	Blocked Pending Investigation – US Patriotic Act.
		OFAC	BURUNDI	Executive Order 13712 Blocking Property of Certain Persons Contributing to the Situation in Burundi
		OFAC	CAR	Sanctions under Executive Order 13667 for Conflict in the Central African Republic
		OFAC	COTED	Ivory Coast; Sanctions under Cote d'Ivoire Sanctions Regulations, 31 C.F.R. part 543
		OFAC	CAATSA-RUSSIA	Countering America's Adversaries Through Sanctions Act of 2017 (CAATSA) - Section 224
		OFAC	CUBA	Sanctions under Cuban Assets Control Regulations, 31 C.F.R. part 515
		OFAC	CYBER2	Executive Order 13757
		OFAC	DARFUR	Sanctions under Darfur Sanctions Regulations, 31 C.F.R. part 546
		OFAC	DPRK	Sanctions under Executive Order 13551
		OFAC	DPRK2	Executive Order 13687
		OFAC	DPRK3	Executive Order 13722
		OFAC	DPRK4	Executive Order 13810
		OFAC	DRCONGO	Sanctions under Democratic Republic of the Congo Sanctions Regulations, 31 C.F.R. part 547

			OFAC	EO13622	Sanctions under Executive Order 13622
			OFAC	ECR	Entire Country Restrictions
			OFAC	EO13645	Sanctions under Executive Order 13645
			OFAC	UKRAINEEO13660	Sanctions under Executive Order 13660 Sectoral Sanctions Identifications List
			OFAC	UKRAINEEO13661	Sanctions under Executive Order 13661 Sectoral Sanctions Identifications List
			OFAC	UKRAINEEO13662	Sanctions under Executive Order 13662 Sectoral Sanctions Identifications List
			OFAC	UKRAINEEO13685	Sanctions under Executive Order 13685 Sectoral Sanctions Identifications List
			OFAC	FTO	Sanctions under Foreign Terrorist Organizations Sanctions Regulations, 31 C.F.R. part 597
			OFAC	FSE-IR	Sanctions under Foreign Sanctions Evaders Iran, Executive Order 13608
			OFAC	FSE-SY	Sanctions under Foreign Sanctions Evaders Syria, Executive Order 13608
			OFAC	GLOMAG	Executive Order 13818 - Global Magnitsky
			OFAC	HRIT	Executive Order 13606 - Grave Human Rights Abuses by the Governments of Iran and Syria via Information Technology
			OFAC	HRIT-IR	Executive Order 13606 - Grave Human Rights Abuses by the Governments of Iran via Information Technology
			OFAC	HRIT-SY	Executive Order 13606 - Grave Human Rights Abuses by the Governments of Syria via Information Technology
			OFAC	IFCA	Iran Freedom and Counter Proliferation Act
			OFAC	IFSR	Sanctions under Iranian Financial Sanctions Regulations, 31 CFR part 561
			OFAC	IRAN-HR	Sanctions under Executive Order 13553; Iran Human Rights sanctions
			OFAC	IRAN	Sanctions under Iranian Transactions Regulations, 31 CFR part 560
			OFAC	IRAN-TRA	Sanctions under Iran Threat Reduction and Syria Human Rights Act of 2012; Sanctions under Executive Order 13628
			OFAC	IRAQ2	Sanctions under Executive Order 13315, 68 FR 52315; Executive Order 13350, 69 FR 46055

			OFAC	IRAQ3	Sanctions under Executive Order 13438, 72 FR 39719
			OFAC	IRGC	Sanctions under Iranian Financial Sanctions Regulations, 31 CFR Part 561; Islamic Revolutionary Guard Corps Sanctions
			OFAC	ISA	Sanctions under Iran Sanctions Act, Executive Order 13574
			OFAC	LEBANON	Sanctions under Executive Order 13441, 72 FR 43499
			OFAC	LIBERIA	Sanctions under Former Liberian Regime of Charles Taylor Sanctions Regulations, 31 C.F.R. part 593
			OFAC	LIBYA2	Sanctions under Libyan Sanctions, 31 C.F.R. part 570
			OFAC	LIBYA3	Executive Order 13726 Blocking Property and Suspending Entry into the United States of Persons Contributing to the Situation in Libya
			OFAC	MAGNIT	Sanctions under Sergei Magnitsky Rule of Law Accountability Act of 2012
			OFAC	NICARAGUA	Blocking Property of Certain Persons Contributing to the Situation in Nicaragua
			OFAC	NPWMD	Sanctions under Weapons of Mass Destruction Proliferators Sanctions Regulations, 31 C.F.R. part 544
			OFAC	NS-PLC	Non-SDN – Palestinian Legislative Council List
			OFAC	SDGT	Specially Designated Global Terrorist; Sanctions under Global Terrorism Sanctions Regulations, 31 C.F.R. part 594
			OFAC	SDT	Specially Designated Terrorist; Sanctions under Terrorism Sanctions Regulations, 31 C.F.R. part 595
			OFAC	SDN	Specially Designated Nationals
			OFAC	SDNT	Specially Designated Narcotic Traders; Sanctions under Narcotics Trafficking Sanctions Regulations, 31 C.F.R. part 536
			OFAC	SDNTK	Specially Designated Narcotic Traders – Kingpins; Sanctions under Foreign Narcotics Kingpin Sanctions Regulations, 31 C.F.R. part 598
			OFAC	SOMALIA	Sanctions under Somalia Sanctions Regulations, 31 C.F.R. part 551
			OFAC	SOUTH SUDAN	Sanctions under Executive Order 13664 for South Sudan

		OFAC	SUDAN	Sanctions under Sudanese Sanctions Regulations, 31 C.F.R. part 538
		OFAC	SYRIA	Sanctions under Syrian Sanctions Regulations, 31 C.F.R. part 542; Executive Order 13399, 71 FR 25059; Executive Order 13460, 73 FR 8991
		OFAC	TCO	Sanctions under Transnational Criminal Organizations Executive Order 13581
		OFAC	VENEZUELA	Sanctions under Venezuela Sanctions Regulations under Executive Order 13692
		OFAC	VENEZUELA-EO13850	Sanctions under Executive Order 13850
		OFAC	VESSEL	All Ships and Vessels.
		OFAC	WMDTC	Weapons of Mass Destruction Trade Control Regulations.
		OFAC	YEMEN	Sanctions under Yemen Sanctions Regulations under Executive Order 13611.
		OFAC	HEU	Highly Enriched Uranium.
		OFAC	ZIMBABWE	Zimbabwe Sanctions Regulations, 31 C.F.R. part 541; Executive Order 13391, 70 FR 71201; Executive Order 13469, 73 FR 43841
		FINCEN	PMLC	Primary Money Laundering Concerns Under Office of the Comptroller of the Currency (OCC)
Country Embargoes & Restrictions Lists				
United States	"ABL" Anti-Boycott Lists	US-DOT	ABL	Bureau of Industry and Security Anti-Boycott Lists
Germany	"BAFA" (Federal Office of Economics and Export Control – Germany)	FOEEC	CE	Country Embargo – Federal Office of Economics and Export Control – BAFA Germany
Brazil	"CIBES" Brazil Inter-ministerial Commission of Sensitive Goods Control	MCTI	ECR	Brazil Inter-ministerial Commission of Sensitive Goods Control (CIBES) under Ministry of Science, Technology and Innovation (MCTI)
United States	"EPCI" (Enhanced Proliferation Control Initiative from BIS)	BIS	EPCI	Enhanced Proliferation Control Initiative from BIS

International	"NCC" (Financial Action Task Force on Money Laundering)	FATF	NCCT	Non-co-operative Countries and Territories (NCCT's) under Financial Action Task Force on Money Laundering
International	"OEC" (Organization for Economic Co-operation and Development)	OECD	THL	The Organization for Economic Cooperation and Development (OECD) - List of Uncooperative Tax Havens
United States	"USTR" (USTR's Office of Intellectual Property and Innovation)	USTR	USTR-PWL	US Trade Representative's Office of Intellectual Property and Innovation (IPN) Special 301 Priority Watch List.
		USTR	USTR-WL	US Trade Representative's Office of Intellectual Property and Innovation (IPN) Special 301 Watch List.
		USTR	USTR-PFC	US Trade Representative's Office of Intellectual Property and Innovation (IPN) Special 301 Priority Foreign Country List.
GSA Procurement List				
United States	"GSA" Agencies Lists of parties excluded from Federal and State (General Services Administration - EPLS) contracts.		All Federal EPL Procurement, Non-Procurement and Reciprocal	
US & International Law Enforcement Agency				
United States	"DOD" (US Department of Defense)	US-DOD	NCIS-MW	Naval Criminal Investigative Service Most Wanted List
		US-DOD	NCIS-MP	Naval Criminal Investigative Service Missing Persons List
		US-DOD	IRAQMW	Iraqi Most Wanted
		CENTCOM	SECTION 841	Enemies of the US in the CENTCOM theatre of operations under section 841 of the National Defense Authorization Act.
United States	"USMS" (United States Marshalls Service)	US-DOJ	USMS-MW	United States Marshalls Service Most Wanted
		US-DOJ	USMS-MFC	United States Marshalls Service Major Case Fugitives
Australia	"AUP" * (Australian Police Lists including Crime Stoppers Australia)	AFP	MISSING	Australian Federal Police Missing Persons List
		NSW	WANTED	New South Wales Police Wanted Persons List
		QLD	WANTED	Queensland Police Wanted Persons List

		SA	WANTED	South Australia Wanted Persons List
		TAS	WANTED	Tasmania Police Wanted Persons List
		VIC	WANTED	Victoria Police Wanted Persons List
		WA	WANTED	Western Australia Wanted Persons List
United Arab Emirates	"DUP" * (Dubai Police Lists)	POLICE	WANTED	Dubai Police Lists
United Kingdom	"UKP" * (United Kingdom Police Lists)	HAMPSHIRE	WANTED	Hampshire Constabulary (Police) – United Kingdom
		SURREY	WANTED	Surrey Police Wanted List – United Kingdom
		SURREY	ARREST	Surrey Police Arrest List – United Kingdom
		LANCASHIRE	WANTED	Lancashire Constabulary (Police) – United Kingdom
		NOTTINGHAM	WANTED	Nottinghamshire Police – United Kingdom
United States	"ATF" * (US Bureau of Alcohol, Tobacco, Firearms and Explosive)	ATF	ATFMW	Bureau of Alcohol, Tobacco, Firearms and Explosive – Most Wanted
United States	"DOJ" (US-Department of Justice)	US-DOJ	FBICA	FBI Most Wanted
		US-DOJ	FBICI	FBI Counterintelligence
		US-DOJ	FBIDT	FBI Domestic Terrorism
		US-DOJ	FBIMW	FBI Crime Alert
		US-DOJ	FBIMWT	FBI Most Wanted Terrorist
		US-DOJ	FBISI	FBI Seeking Information of individuals for War on Terrorism.
Financial & Anti-Money Laundering Lists				
Australia	"ASIC" * (Australian Securities and Investments Commission)	ASIC	BANNED	Australian Securities and Investments Commission Banned and disqualified organizations List
		ASIC	ENFORCE	Australian Securities and Investments Commission Enforceable undertakings register
United Arab Emirates	"DFSA" * (Dubai Financial Services Authority)	DFSA	REGULATORY	Dubai Financial Services Authority - Regulatory Actions List
United States	"TREAS" – Department of Treasury (US Unauthorized Bank File)	US-DOT	UBF	Dept. of Treasury - U.S. Regulatory Unauthorized Bank File
United States	"FRB" (Federal Reserve Bank)	FRB	FRB	Federal Reserve Bank List

United States	"FHFA" Federal Housing Finance Agency	FHFA	SCPP	Federal Housing Finance Agency - Suspended Counter Party Program
United Kingdom	"HMRC" * (HM Revenue and Customs)	HMRC	DEFAULTERS	UK HM Revenue and Customs, Deliberate Tax Defaulters List
Australia	"ICAC" * (Independent Commission Against Corruption)	ICAC	PAST	Independent Commission Against Corruption, New South Wales, Past Investigations List
		ICAC	PRESENT	Independent Commission Against Corruption, New South Wales, Present Investigations List

Health & Human Services Debarments and Exclusions				
United States	"FDA" (Food and Drug Administration)	FDA	DEBAR	FDA Debarment List (Inspections, Compliance, Enforcement, and Criminal Investigations)
		FDA	CI-NIDPOE	All clinical investigators who have received a Notice of Initiation of Disqualification Proceedings and
				Opportunity to Explain (NIDPOE) since 1998 are listed.
		FDA	CI-DIS	All clinical investigators who have been disqualified or totally restricted.
		FDA	CI-POR	All clinical investigators who have received a Presiding Officer Report.
		FDA	CI-RES	All clinical investigators who have agreed to certain restrictions with respect to their conduct of clinical investigations.
		FDA	CI-AAL	All clinical investigators who, under regulations in effect until 1987, have provided FDA with adequate assurances of their future compliance with requirements applicable to the use of investigational drugs and biologics
		FDA	FDA-MWF	U.S. Food and Drug Administration - Office of Criminal Investigations Most Wanted Fugitives
United States	"FDAWL" (Food and Drug Administration – Warning Letters)	FDA	FDAWL	General FDA Warning Letters issued by Inspections, Compliance, Enforcement, and Criminal Investigations division under FDA.

International Lists				
Australia	"ADF" (Australian Department of Foreign Affairs and Trade)	AU	DFAT	Australian Government - Department of Foreign Affairs and Trade.
		AU	AL-QAIDA	United Nations Security Council (UNSC) sanctions regime in relation Al-Qaida

		AU	AU	Australian Government - Department of Foreign Affairs and Trade.
		AU	LIBYA	United Nations Security Council (UNSC) sanctions regime in relation Libya
		AU	CONGO	United Nations Security Council (UNSC) sanctions regime in relation Congo
		AU	DPRK	United Nations Security Council (UNSC) sanctions regime in relation DPRK
		AU	ISIL	United Nations Security Council (UNSC) sanctions regime in relation ISIL, also known as Da'esh
		AU	TALIBAN	United Nations Security Council (UNSC) sanctions regime in relation Taliban
		AU	AFGHANISTAN	United Nations Security Council (UNSC) sanctions regime in relation Afghanistan
		DFAT	AUTONOMOUS	Department of Foreign Affairs and Trade Autonomous Sanctions List
Japan	"JPC" (Japanese Proliferation Concerns)	JP	METI	Ministry of Economy, Trade & Industry End User List
		JP	SANCTIONS	Ministry of Economy, Trade & Industry Sanctions
		MOF	DPRK	United Nations Security Council Resolution 1695
		MOF	RUSSIA	Contribution to international efforts for international peace (cooperation with rice, EU etc.)
		MOF	SYRIA	Contribution to international efforts for international peace (cooperation with rice, EU etc.)
		MOF	UKRAINE	Contribution to international efforts for international peace (cooperation with rice, EU etc.)
		MOF	YUGOSLAVIA	Contribution to international efforts for international peace (cooperation with rice, EU etc.)
Belgium	"FPSF" Belgium Federal Public Service Finance	FPSF	NFS	Belgium Federal Public Service Finance - National Financial Sanctions
Singapore	"MAS" (Monetary Authority of Singapore)	UN		Same SANCTIONS as United Nations
Malaysia	"MTI" (Malaysia Ministry of International Trade and Industry)	MITI	DPRK	Sanctions under Strategic Trade act of 2010
		MITI	IRAN	Sanctions under Strategic Trade act of 2010
		MITI	VESSEL	The Security Council Committee established pursuant to resolution 1718 (2006) pursuant to paragraph 6 of resolution 2375 (2017).

Russia	"FSTEC" (Federal Service for Technical and Export Control of Russia)	FSTEC	TERRORISM	FSTEC list of organizations and individuals involved in terrorist activities.
Netherlands	"NLD" (Netherlands, Ministry of Foreign Affairs)	MFA	TERRORISM	Under the Sanctions Regulation Terrorism 2007-II
United Nations	"MAS" (United Nations Security Council Sanctions List)	UN	AL-QAIDA	Al-Qaida Sanctions under UN Security Council
		UN	AFGHANISTAN	Afghanistan Sanctions under UN Security Council
		UN	CONGO	Congo Sanctions under UN Security Council
		UN	CAR	Central African Republic Sanctions under UN Security Council
		UN	DPRK	North Korea Sanctions under UN Security Council
		UN	DRCONGO	Congo Sanctions under UN Security Council
		UN	ERITREA	Eritrea Sanctions under UN Security Council
		UN	GUINEABISSAU	Guinea-Bissau Sanctions under UN Security Council
		UN	IRAN	Iran Sanctions under UN Security Council
		UN	IRAQ	Iraq Sanctions under UN Security Council
		UN	ISIL	ISIL Sanctions under UN Security Council
		UN	KOREA	Korea Sanctions under UN Security Council
		UN	LIBERIA	Liberia Sanctions under UN Security Council
		UN	LIBYA	Libya Sanctions under UN Security Council
		UN	MALI	Mali Sanctions under UN Security Council
		UN	SOMALIA	Somalia Sanctions under UN Security Council
		UN	SOUTH SUDAN	South Sudan Sanctions under UN Security Council
		UN	SUDAN	Sudan Sanctions under UN Security Council
		UN	SYRIA	Syria Sanctions under UN Security Council
		UN	TALIBAN	Taliban Sanctions under UN Security Council
		UN	TERRORISM	Terrorism Sanctions under UN Security Council
		UN	TUNISIA	Tunisia Sanctions under UN Security Council
		UN	UKRAINE	Ukraine EU Sanctions
		UN	YEMEN	Yemen Sanctions under UN Security Council

		EU, UK, UN	FOL	EU/UK/UN Bank of England Sanctions
		DIT	ECR	UK Department of Trade and Agency – Counter Proliferation List
		EU, UK, UN	AL-QAIDA	Bank of England Sanctions – Al-Qaida
		EU, UK, UN	AFGHANISTAN	Bank of England Sanctions – Al-Qaida
		EU, UK, UN	BURMA	Burma (Myanmar) HM Treasury Sanctions
		EU, UK, UN	BELARUS	Belarus HM Treasury Sanctions
		EU, UK, UN	BURUNDI	Burundi HM Treasury Sanctions
		EU, UK, UN	CAR	Central African Republic HM Treasury Sanctions
		EU, UK, UN	COMOROS	Comoros HM Treasury Sanctions
		EU, UK, UN	CONGO	Congo HM Treasury Sanctions
		EU, UK, UN	CRIMEA	Crimea HM Treasury Sanctions
		EU, UK, UN	CWP	Under Regulation (EU) 2018/1542. FINANCIAL SANCTIONS: CHEMICAL WEAPONS
		EU, UK, UN	DEBAR	Entire country debarment by UK-BIS
United Kingdom	"BES" (HM Treasury Consolidated Financial sanctions EU/UK/UN)	EU, UK, UN	DPRK	North Korea HM Treasury Sanctions
		EU, UK, UN	DRCONGO	Democratic Republic of the Congo HM Treasury Sanctions
		EU, UK, UN	EGYPT	Egypt HM Treasury Sanctions
		EU, UK, UN	ERITREA	Eritrea HM Treasury Sanctions following a UN Security Council resolution
		EU, UK, UN	GUINEA	Guinea HM Treasury Sanctions
		EU, UK, UN	GUINEABISSAU	Guinea-Bissau HM Treasury Sanctions
		EU, UK, UN	IRAN	Iran HM Treasury Sanctions
		EU, UK, UN	IRAQ	Iraq HM Treasury Sanctions
		EU, UK, UN	ISIL	Financial sanctions, ISIL (Da'esh) organization
		EU, UK, UN	IVORY COAST	Ivory Coast HM Treasury Sanctions
		EU, UK, UN	KOREA	Korea HM Treasury Sanctions
		EU, UK, UN	LIBERIA	Liberia HM Treasury Sanctions
		EU, UK, UN	LIBYA	Libya HM Treasury Sanctions
		EU, UK, UN	MALI	Mali HM Treasury Sanctions
		EU, UK, UN	MYANMAR	Myanmar HM Treasury Sanctions

		EU, UK, UN	PTO	Proscribed terrorist groups or organizations
		EU, UK	RUSSIA	Russia Sanctions by EU 960 2014
		EU, UK, UN	SOMALIA	Somalia HM Treasury Sanctions
		EU, UK, UN	SOUTH SUDAN	South Sudan HM Treasury Sanctions
		EU, UK, UN	SUDAN	Sudan HM Treasury Sanctions
		EU, UK, UN	SYRIA	Syria HM Treasury Sanctions
		EU, UK, UN	TALIBAN	Taliban HM Treasury Sanctions
		EU, UK, UN	TERRORISM	Terrorism HM Treasury Sanctions
		EU, UK, UN	TUNISIA	Tunisia HM Treasury Sanctions
		EU, UK, UN	UKRAINE	Ukraine EU Sanctions
		EU, UK, UN	VENEZUELA	Venezuela EU Sanctions
		EU, UK, UN	YEMEN	Yemen HM Treasury Sanctions
		EU, UK, UN	ZIMBABWE	Zimbabwe HM Treasury Sanctions
Canada	"CFI" (OSFI Canada Financial Sanctions)	CA	ACL	Canada's Area Control List
		CA	FOL	Canadian Office of the Superintendent of Financial Institutions
		CA	AL-QAIDA	Financial Sanctions Regime
		CA	AFGHANISTAN	Canadian Office of the Superintendent of Financial Institutions
		CA	BURMA	Canadian Office of the Superintendent of Financial Institutions
		DOJ-CA	BURMA	Special Economic Measures (Burma) Regulations (SOR/2007-285)
		CA	CAR	Canadian Office of the Superintendent of Financial Institutions
		DOJ-CA	CC	Sanctions under the Criminal Code Act (R.S.C., 1985, c. C-46)
		CA	CONGO	Canadian Office of the Superintendent of Financial Institutions
		CA	DPRK	Canadian Office of the Superintendent of Financial Institutions
		CA	DRCONGO	Canadian Office of the Superintendent of Financial Institutions
		CA	ECR	Canadian Government Entire Country Sanctions

			CA	ERITREA	Canadian Office of the Superintendent of Financial Institutions
			CA	IRAN	Canadian Office of the Superintendent of Financial Institutions
			DOJ-CA	IRAN	Special Economic Measures (Iran) Regulations (SOR/2010-165)
			CA	IRAQ	Canadian Office of the Superintendent of Financial Institutions
			CA	ISIL	Canadian Office of the Superintendent of Financial Institutions
			CA	JVCFOR	Justice for Victims of Corrupt Foreign Officials Act.
			CA	KOREA	Canadian Office of the Superintendent of Financial Institutions
			CA	LIBERIA	Canadian Office of the Superintendent of Financial Institutions
			CA	LIBYA	Canadian Office of the Superintendent of Financial Institutions
			CA	MYANMAR	Canadian Office of the Superintendent of Financial Institutions
			CA	RUSSIA	Special Economic Measures (Russia) Regulations (SOR/2008-248)
			CA	SOMALIA	Canadian Office of the Superintendent of Financial Institutions
			CA	SOUTH SUDAN	Canadian Office of the Superintendent of Financial Institutions
			CA	SUDAN	Canadian Office of the Superintendent of Financial Institutions
			CA	SYRIA	Canadian Office of the Superintendent of Financial Institutions
			DOJ-CA	SYRIA	Special Economic Measures (Syria) Regulations (SOR/2011-114)
			CA	TALIBAN	Canadian Office of the Superintendent of Financial Institutions
			CA	TERRORISM	Canadian Office of the Superintendent of Financial Institutions
			CA	TUNISIA-PEP	Tunisia - Politically Exposed Foreign Persons
			CA	UKRAINE	Canadian Office of the Superintendent of Financial Institutions

		DOJ-CA	UKRAINE	Special Economic Measures (Ukraine) Regulations (SOR/2014-60)
		CA	UKRAINE-PEP	Ukraine - Politically Exposed Foreign Persons
		CA	UNAS	United Nations Act Sanctions
		DOJ-CA	VENEZUELA	Special Economic Measures (Venezuela) Regulations (SOR/2017-204)
		CA	YEMEN	Canadian Office of the Superintendent of Financial Institutions
		CA	ZIMBABWE	Canadian Office of the Superintendent of Financial Institutions
		DOJ-CA	ZIMBABWE	Special Economic Measures (Zimbabwe) Regulations (SOR/2008-248)
	"RCMP" (Royal Canadian Mounted Police)	CA	RCMP	Royal Canadian Mounted Police Wanted List
		CA	WANTED	Royal Canadian Mounted Police Wanted List
European Union	"EUFSL" (EU Commission Sanctions under Common Foreign and Security Policy)	EU-CFSP	AFGHANISTAN	Afghanistan Sanctions under CFSP
		EU-CFSP	AL QAIDA	Al-Qaida Sanctions under CFSP
		EU-CFSP	BELARUS	Belarus Sanctions under CFSP
		EU-CFSP	BURMA	Burma Sanctions under Annex IV to Regulation (EU) No 401/2013
		EU-CFSP	BURUNDI	Burundi Sanctions under CFSP
		EU-CFSP	CAR	Central African Republic Sanctions under CFSP
		EU-CFSP	CONGO	Congo Sanctions under CFSP
		EU-CFSP	CRIMEA	Crimea Sanctions under CFSP
		EU-CFSP	CWP	Under Regulation (EU) 2018/1542. FINANCIAL SANCTIONS: CHEMICAL WEAPONS
		EU-CFSP	DEBAR	Entire Country Sanctions
		EU-CFSP	DPRK	DPRK Sanctions under CFSP
		EU-CFSP	DRCONGO	Democratic Republic of Congo Sanctions under CFSP
		EU-CFSP	ECR	Entire Country Sanctions
		EU-CFSP	EGYPT	Egypt Sanctions under CFSP
		EU-CFSP	ERITREA	Eritrea Sanctions under CFSP
		EU-CFSP	FOL	EU Council Regulation
		EU-CFSP	GUINEA	European Union Regulation O.J. L346, 23.12.2009.

		EU-CFSP	GUINEABISSAU	Guinea-Bissau Sanctions under CFSP
		EU-CFSP	IRAN	Iran Sanctions under CFSP
		EU-CFSP	IRAQ	Iraq Sanctions under CFSP
		EU-CFSP	ISIL	Financial Sanctions: Isil (Da'esh) Organizations; Council Implementing Regulation (EU) 2019/270
		EU-CFSP	IVORY COAST	Ivory Coast Sanctions under CFSP
		EU-CFSP	LIBERIA	Liberia Sanctions under CFSP
		EU-CFSP	LIBYA	Libya Sanctions under CFSP
		EU-CFSP	RUSSIA	Russia Sanctions under CFSP
		EU-CFSP	SOMALIA	Somalia Sanctions under CFSP
		EU-CFSP	SOUTH SUDAN	South Sudan Sanctions under CFSP
		EU-CFSP	SUDAN	Sudan Sanctions under CFSP
		EU-CFSP	SYRIA	Syria Sanctions under CFSP
		EU-CFSP	TALIBAN	Taliban Sanctions under CFSP
		EU-CFSP	TERRORISM	Terrorism Sanctions under CFSP
		EU-CFSP	TUNISIA	Tunisia Sanctions under CFSP
		EU-CFSP	UKRAINE	Ukraine Sanctions under CFSP
		EU-CFSP	VENEZUELA	Venezuela Sanctions under CFSP
		EU-CFSP	YEMEN	Yemen Sanctions under CFSP
		EU-CFSP	ZIMBABWE	Zimbabwe Sanctions under CFSP
Switzerland	"SWISS" (Switzerland, State Secretariat for Economic Affairs (SECO))	SECO	AL-QAIDA; TALIBAN	Sanctions program: Al-Qaeda, Taliban
		SECO	BELARUS	Sanctions program: Belarus
		SECO	BURUNDI	Sanctions program: Burundi
		SECO	CAR	Sanctions program: Central African Republic
		SECO	CONGO	Sanctions program: Congo
		SECO	DPRK	Sanctions program: Democratic People's Republic of Korea
		SECO	GUINEA	Sanctions program: Guinea
		SECO	GUINEA-BISSAU	Sanctions program: Guinea-Bissau
		SECO	IRAN	Sanctions program: Iran
		SECO	IRAQ	Sanctions program: Iraq

		SECO	ISIL	Sanctions program: ISIL
		SECO	LIBYA	Sanctions program: Libya
		SECO	MALI	Sanctions program: Mali
		SECO	MYANMAR	Sanctions program: Myanmar
		SECO	SOMALIA	Sanctions program: Somalia
		SECO	SOUTH SUDAN	Sanctions program: South Sudan
		SECO	SUDAN	Sanctions program: Sudan
		SECO	SYRIA	Sanctions program: Syria
		SECO	TUNISIA-PEP	Ordinance imposing measures against certain persons originating in Tunisia
		SECO	UKRAINE	Sanctions program: Ukraine
		SECO	UKRAINE-PEP	Ordinance imposing measures against certain persons originating in Ukraine
		SECO	YEMEN	Sanctions program: Yemen
		SECO	VENEZUELA	Sanctions program: Venezuela
		SECO	ZIMBABWE	Sanctions program: Zimbabwe
International	"WBD" (World Bank Denied Parties)	WBK	IEF	World Bank List of Ineligible Firms
Dow Jones Sanctions Lists				
(Subscription required from Dow Jones to download and Screen against these Lists)				
United States	"FACMA" (OFAC Related - Majority Owned Entities)	DJ	FACMA	Dow Jones Sanctions Control and Ownership – OFAC Related Majority Owned.
United States	"FACMI" (OFAC Related - Minority Owned Entities)	DJ	FACMI	Dow Jones Sanctions Control and Ownership – OFAC Related Minority Owned.
United States	"FACOU" (OFAC Related – Ownership Unknown Entities)	DJ	FACOU	Dow Jones Sanctions Control and Ownership – OFAC Related Ownership Unknown.
United States	"FACFO" (OFAC Related – Formerly OFAC Related Entities)	DJ	FACFO	Dow Jones Sanctions Control and Ownership – Formerly OFAC Related.
European Union	"EURMA" (EU Related - Majority Owned Entities)	DJ	EURMA	Dow Jones Sanctions Control and Ownership – EU Related Majority Owned.

European Union	"EURMI" (EU Related - Minority Owned Entities)	DJ	EURMI	Dow Jones Sanctions Control and Ownership – EU Related Minority Owned.
European Union	"EUROU" (EU Related – Ownership Unknown Entities)	DJ	EUROU	Dow Jones Sanctions Control and Ownership – EU Related Ownership Unknown.
European Union	"EURFO" (EU Related – Formerly EU Related Entities)	DJ	EURFO	Dow Jones Sanctions Control and Ownership – Formerly EU Related.
* These lists require additional subscription fees.				

Table 19: DPL Category

The following table lists the GSA Agencies and Their Abbreviations

Agency Acronym	Description
AF	Department of Air Force
AID	Agency for International Development
ARMY	Department of Army
BBG	Broadcasting Board of Governors
CIA	Central Intelligence Agency
CNS	Corporation for National And Community Service
DARPA	Defense Advanced Research Projects Agency
DHS	Department of Homeland Security
DHS-FEMA	Federal Emergency Management Agency
DHS-ICE	Bureau of Immigration & Customs Enforcement
DHS-TSA	Transportation Security Administration
DHS-USCG	Coast Guard
DISA	Defense Information Systems Agency (DISA)
DLA	Defense Logistics Agency
DLA-DG	Defense Logistics Agency DLA-DG
DO	Departmental Offices
DOC	Department of Commerce
DOD	Department of Defense
DOE	Department of Energy
DOE-NNSA	Office of Nuclear Security/National Nuclear Security Administration
DOI	Department of Interior
DOJ	Department of Justice
DOL	Department of Labor
DON-AA	Assistant for Administration Don AA

Agency Acronym	Description
DOS	Department of State
DOS-A	Bureau of Administration
DOS-DDTC	State - Directorate of Defense Trade Controls Response Team
DOS-MBC	State - Iran, North Korea, and Syria Nonproliferation
DOS-OPE/FA	State - Financial Assistance Division
DOS-OPE/PD	State - Procurement Policy Division
DOS-TFS	State - Office of Terrorism Finance and Economic Sanctions
DOT	Department of Transportation
DOT-FAA	Federal Aviation Administration
DOT-FHWA	Federal Highway Administration
DOT-FTA	Federal Transit Administration
DOT-MARAD	Maritime Administration
DOT-NHTSA	National Highway Traffic Safety Administration
ED	Department of Education
EDUC	Department of Education
EPA	Environmental Protection Agency
GAO	General Accounting office
GPO	Government Printing office
GSA	General Services Administration
HHS	Department of Health and Human Services
HUD	Department of Housing and Urban Development
HUDA	Department of Housing and Urban Development
HUDC	Department of Housing and Urban Development
HUDP	Department of Housing and Urban Development
NASA	National Aeronautics And Space Administration
NAVY	Department of The Navy
NGA	National Gallery of Art
NNSA	United States Department of Energy
NSA	National Security Agency/Central Security Service
NSF	National Science Foundation
OA	Office of Acquisition
OARM	Office for Administration and Resources Management
OPM	Office of Personnel Management
PBGC	Pension Benefit Guaranty Corporation
PC	Peace Corps
PS	Postal Service

Agency Acronym	Description
SBA	Small Business Administration
STATE	Department of State
ST-DDTC	State - Directorate of Defense Trade Controls Response Team
ST-ISNMBC	State - Iran, North Korea, and Syria Nonproliferation
TREAS	Department of Treasury
TREAS-OFAC	Office of Foreign Assets Control
UDSA-RHS	Rural Housing Service
USDA	Department of Agriculture
USDA-APHIS	Animal and Plant Health Inspection Service
USDA-FAS	Foreign Agricultural Service
USDA-FNS	Food and Nutrition Service
USDA-FS	Forest Service
USDA-FSA	Farm Service Agency
USDA-NRCS	Natural Resources Conservation Service
USDA-RD	Under Secretary for Rural Development
USDA-RHS	Rural Housing Service
USDA-RMA	Risk Management Agency
USDA-RUS	Rural Utilities Service
USPSHQ	USPS Headquarters
VA	Veterans Affairs Department of

Table 20: GSA Agency

APPENDIX C – SCREENING OPTION TABLES

The following table lists the screening requirements versus available option.

Screening Requirement	Name	Name OR Country	Name AND Country	Name OR Address	Name AND Address	(Name AND Country) OR Address
Screen name anywhere in the world.	Specify name.	Specify name only. Leave the country field blank.		Specify name only. Leave the address and country fields blank.		
Screen name within a country.			Specify both name and country.			Specify both name and country. Leave the address field blank.
Screen name anywhere in the world and determine if a country has any general restrictions.	Specify both name and country and select country restriction screening.		Specify both name and country and select the country restriction screening.			Specify both name and country and select the country restriction screening.
Get all the restricted parties for a country.		Specify country. Leave the name field blank. Deselect the country restriction agency list if you do not want general country restrictions				
Screen address anywhere in the world.				Specify address only.		Specify address only.
Screen on name or address.				Specify name and address.		
Screen name anywhere in the world, address anywhere in the world and determine if a country has restrictions.				Specify name, address and country and select country restrictions.		Specify name, address and country and select country restrictions.
Screen a name with address.					Specify name and address.	

Table 21: Screening Requirements versus Option Table

Table 22 lists an entity screening results for fields specified versus entity search type.

Fields Specified	Fields Specified	Fields Specified	Fields Specified	Fields Specified	Fields Specified
Name (rest are blank)	Determine matches with WLS names.	Determine matches with WLS names.	Determine matches with WLS names.	Determines matches with WLS names.	Error: Need to specify address.
Country (rest are blank)	Error.	Determine all the WLS names for the country specified.	Error: Need to specify a value in the Name field.	Error: Need to specify a value in the Name field.	Error: Need to specify a value in the Name field
Name and Country *	Determine matches with WLS names. Country Not Applicable.	Determine matches with WLS name and provide all the WLS names in the specified country.	Determine matches with WLS name within the country specified.	Determine matches with WLS name.	Determine matches with WLS name within the country specified.
Address (rest are blank)	Error.	Error.	Error.	Determines matches for the address.	Error: need to specify Address.
Name and Address	Determine matches with WLS names. Address Not Applicable.	Determine matches with WLS names. Address Not Applicable.	Determine matches with WLS names. Address Not Applicable.	Determines matches for the name or the address.	Determines matches for the name and address based on Address weight. Results are reported based on the combined score of Name and Address.
Address and Country *	Error: Need to specify name.	Address Not Applicable. Determine all the WLS names for the country specified.	Error: Need to specify Name.	Determines matches for the address.	Error: Need to specify Name.
Name, Address, and Country *	Determine matches with WLS names. Address & Country Not Applicable.	Determine matches with WLS names. Address Not Applicable. Determine matches with WLS name.	Determine matches with WLS name within the country specified. Address Not Applicable.	Determines matches for a name or matches for address. Country is considered part of address.	Determines matches for name and address. Country is considered part of the address. Results are reported based on the combined score of Name and Address.

Table 22: Entity Screening Results

APPENDIX D – MAILING AND PRINTING PROCEDURE

This section describes how to email the content to the reviewer or user and print the content on the page.

Email Procedure

1. At any given point of time on the screen or dialogue box, you can click the ✉ button to send mail.

⚙ The Send Email dialogue box is displayed. Depending the screen and user privilege **Email Reviewer** and **Email Me** buttons are displayed.
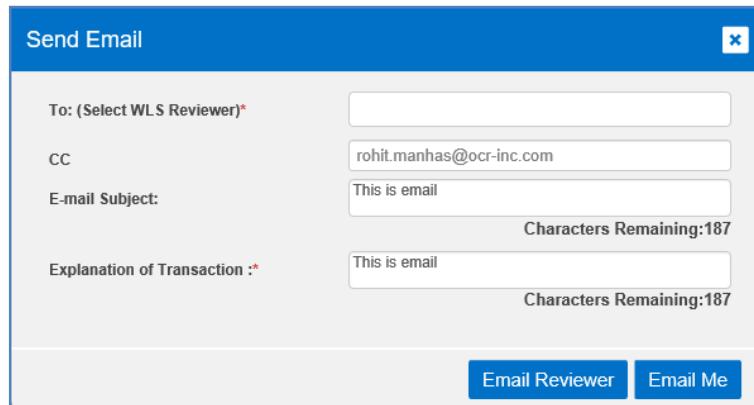
Figure 127: Send Email Dialogue Box

   a. In the **To: (Select WLS Reviewer)** field displays the default name or email of the reviewer.

   b. In the **CC** field displays the default name or email of the user.

   c. The **Email Subject** field displays the default email subject.

   d. The **Explanation of Transaction** field displays the body of the email.

2. Once you are satisfied with the entered details, click the **Email Reviewer** button to send email to reviewer and **Email Me** button to send email to yourself.

⚠ *Error will be displayed at top of the Send Email dialogue box, if To: (Select WLS Reviewer) field is blank and you clicked* **Email Reviewer**.

⚠ *An error will be displayed at top of the Send Email dialogue box, if CC field is blank and you clicked* **Email Me**.

⚙ The confirmation message is displayed at top of the Send Email dialogue box.
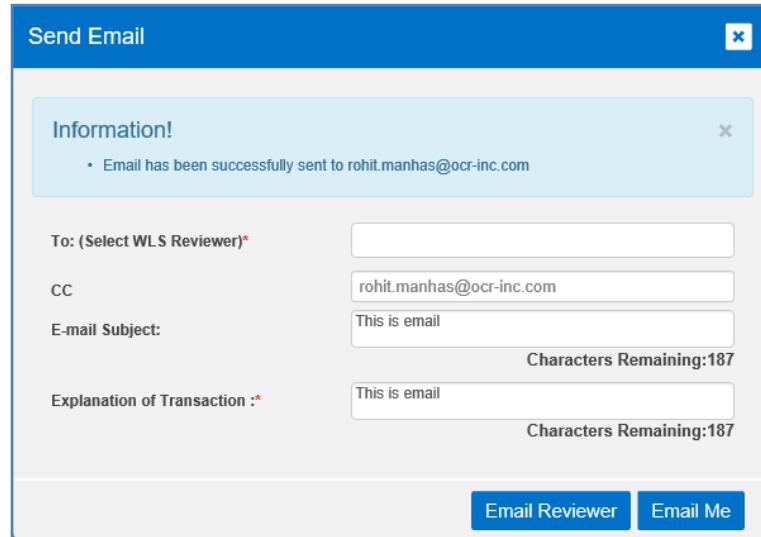
Figure 128: Confirmation Message

 Click the *button to close the Send Email dialogue box.*

Print Procedure

1. At any given point of time on the screen or dialogue box, you can click the button to print.

    The print preview in the new tab and Print dialogue box are displayed.
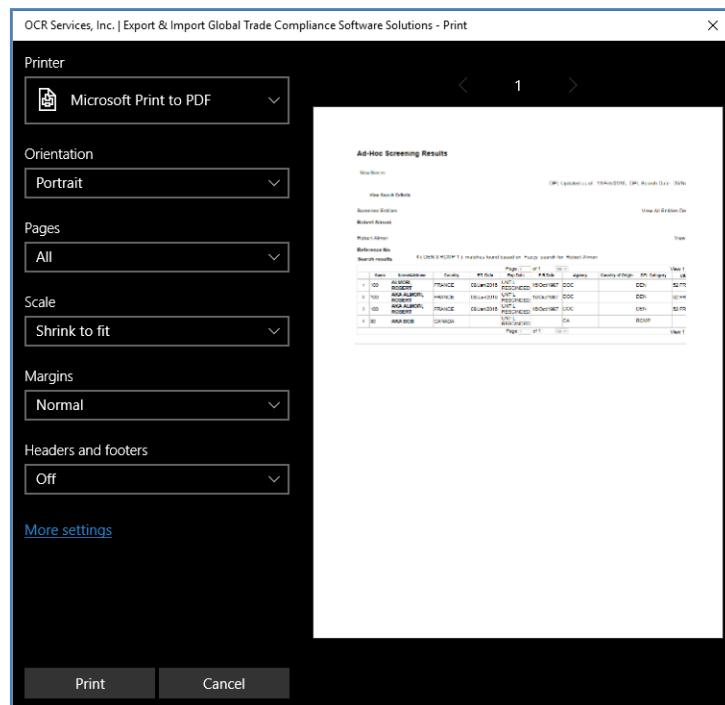
Figure 129: Print Dialogue Box

2. Once you are satisfied with the print view, click the button to print the page.

APPENDIX E – DENIED PARTY BATCH-SCREENING FILE FORMATS

The Denied Party Batch-Screening process acts as an efficient and convenient way for numerous file data to be uploaded into the database and screened. Files may be uploaded from within the System or via an FTP File Transfer. You may upload a set of names with or without addresses for screening and save the information to any of the database Files.

- To access the Upload File Screening function within System, click the Upload File(s) Screening feature in the Watch List module. The Upload File screen will be displayed.
- **Navigation**: Watch List Screening -> Upload File(s) -> Upload File
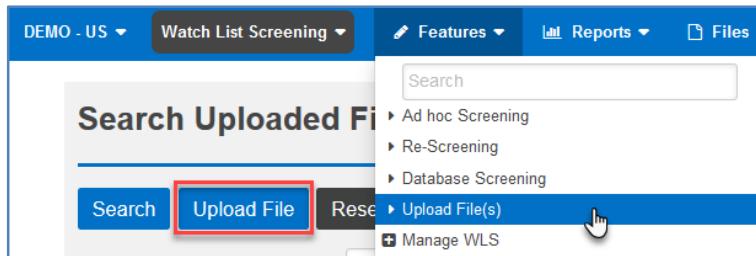
Figure 130: Upload File(s) Navigation
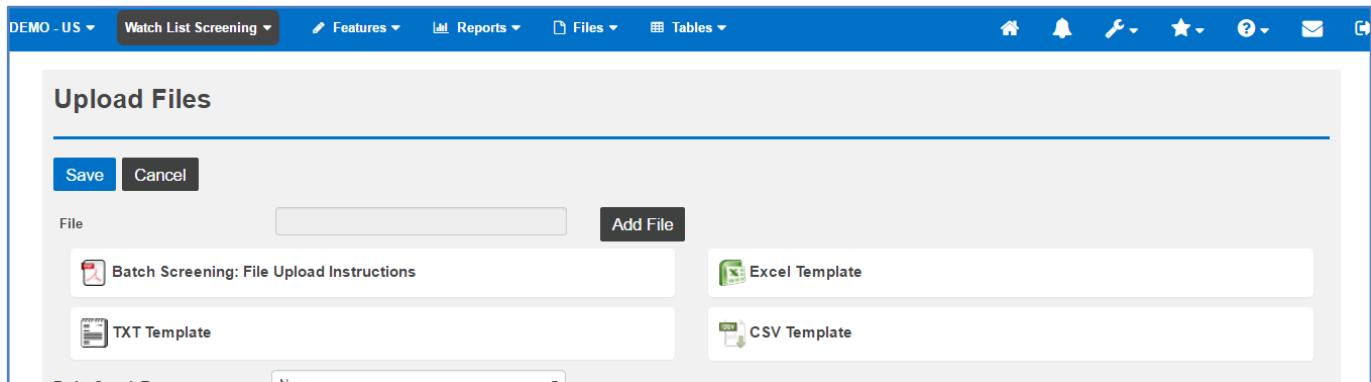
Figure 131: Upload Files Screen

You can upload files for screening based upon separate formats. When ready, click the **Add File** button to browse your desktop or local network and upload the Batch-Screening File to the system. After selecting the File, verify the screening Parameters and Watch Lists on the screen and click the **Save** button to submit the file for screening.

Be careful to first select the desired SBU as your active SBU (in the upper left corner of System) and then the screening parameters will default to your active SBU and the file will upload to only that active SBU.

Batch-Screening File Input Format

The Batch-Screening File Screening process allows for documents in the following File Type formats to be uploaded for Screening:

- Text file (separated by ~) – .TXT
- Comma Separator Value – .CSV
- Excel file - .XLS

Within each Batch-Screening File, the data must be provided in the proper data formats in order to be loaded and screened by the system. The contents of the Batch-Screening File consist of:

- Header Row – Used to define the Parameters for Screening
- File Data Rows – Used to provide all Customer/Party information

*Each Batch-Screening file consists of a **Header Row** followed by the entity **File Data Rows** that are to be screened. A proper Header Row is the key factor in directing how your data should be handled for screening within System.*

Header Row: Each Batch-Screening file must be configured with the correct header row depending on the File Type (.CSV/.XLSX/.TXT). The Header Row is used as a way to define the Screening Parameters and tell the system how the Batch-Screening File will screen and store the data within System.

	A	B	C	D	E	F	G	H	I	J	K	L
1	$	CONSIGNE	N	TEST	U					IFRV	Y	
2	ID	SBU_CODE	NAME	ADDR1	ADDR2	ADDR3	CITY	STATE	STATE_NAME	COUNTRY	COUNTRY_NAME	ZIP
3	ABC-1001		Robert almori	23 1st St.			MIAMI	FL		US		32807
4	ABC-1002		David	59 AVE C	SUITE B		ORLANDO	FL	FLORIDA	US	United States	32746
5	ABC-1003		Saddam hussein	59 AVE C	SUITE B	M/S 45P3		FL	FLORIDA	US		32746
6												
7		**NOTE: Row 1 is the "Header Row"**. Fill in the Details under each Column as mentioned in the **Definition Help File** for **Header data Structure (.XLS/.CSV)**
8		Cell A1 contains the "Delimiter" (**must be $ for Excel files**).
9		Cell B1 "DBName" specifies the specific database
10		**Bank**
11		**EmployeeScreening**
12		**Broker , Consignee , DOSSignatories , FF , Partner , Seller , Shipper , SourceMFG , Trucker, Vendor**
13		**ConsigneeContact , FFContact , VendorContact, Exporter or ExporterContact**
14		Cell C1 "Type/ContactFlag" specifies **E**=Employee, **B**=Bank, **N**=Entity (vendor, partner etc.), Y=Contact for an already existing Entity
15		Cell D1 "SBU_CODE" Strategic Business Unit code as defined within EASE
16		Cell E1 "LOAD_FLAG" **value=U** specifies uploading ALL data into the database; **value=D** uploads only those entities with RED FLAGS during screening
17		Cell J1 "Entity Type Screening" for screening an entity against an entity type. This feature is not incorporated for any Database's and is limited for AdHoc type of file
18		upload screening. The entity types allowed are I for Individual, F for Firm, R for Aircraft and V for Vessels. Also it is allowed to screen against all entity types by
19		inputting 'A' or they can leave it blank so that system will consider all entity types while screening. Also, it is allowed to input one or multiple entity types with the
20		combination of above said codes. For example, if user wants to screen based on entity type as individual, then user will input 'I'. If user wants to screen against
21		multiple entity types say Individual and Aircraft, then they will input the combination of codes like 'IR'. System will allow the combination in any order say for example
22		in the above case they can input either as 'IR' or 'RI'. System will then screen against only those records that have the entity type in the DPL Records as mentioned
23		in the header flag.
24		Cell K1 "Entire Country Restrictions" to include or exclude hits against Entire Countries. The value should by either Y or N.If value is "Y", system will consider the
25		Entire country Restriction selected in WLS default. If value is "N", system will not screen against any Entire country Restriction Lists selected in the WLS default.
26		ROW2 MUST BE DELETED BEFORE USING AS A BATCH-SCREENING UPLOAD FILE (shown here for illustration purpose ONLY)
		Each subsequent row is used for Data Entry as mentioned in the **File Data Structure** section of the **Definition Help File.**
		After deleting all the notes and examples; *there MUST be no empty rows* otherwise the file will fail to upload and screen properly
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Figure 132: Header Row Example

The following Header Data Structure Table will discuss the variations for the Header Row within each File Format (.XLSX, .CSV, .TXT). The Header Row information allows the system to designate the desired functions based on the parameters given.

After you specify the Header Row, a section later in this document for File Data Structure will explain the appropriate formats to provide the Entity (Party, Customer, etc.) data in order to be uploaded and screened properly within System.

Customer Header Row Format

The following table describes the order of which the Header Row of the Batch-Screening File should be defined.

When creating your Batch-Screening File, provide the appropriate values in the Header Row based on the Parameters and how you would plan to use this file for screening:

- Which Business Unit should this data be stored and/or screened?
- Which Database does my data need to be stored in? (Consignee/Vendor/Freight Forwarder, etc.)
- Should I load all of my partner records for future screenings or load only those records that get placed 'On Hold'?

Header Data Structure (.XLSX/.TXT/.CSV file)

- *Cell for Excel Files/Order for Text or CSV Files
- Mandatory (M)/Optional (O)/Co-Mandatory (CM)

*Cell /Order	Field Name	Data Type	M/ O/ CM	Description
A1/1	Delimiter	AN (1)	M	A delimiter is a unique character or series of characters that indicates the beginning or end of a specific statement or string • **For XLSX Files:** delimiter must be **$** • **For TXT Files**: delimiter can be **~**, **$**, or **|**

*Cell /Order	Field Name	Data Type	M/ O/ CM	Description
				• **For CSV Files:** delimiter must be **$** *If creating a .CSV File in Excel, the Delimiter and Database (DB) Name must be entered in the same cell.**
B1/2	DBName	AN (50)	CM	**Required only if LOAD_FLAG is specified** Database Names can be specified if data has to be stored into a particular entity file: **Type of Entity being screened** / **Database Name (DBName)** Bank / BANK Broker / BROKER Consignee / CONSIGNEE DOS Signatories / DOSSIGNATORIES Employee / EMPLOYEESCREENING Exporter / EXPORTER Exporter Contact / EXPORTERCONTACT Freight Forwarder / FF Partner / PARTNER Seller / SELLER Shipper / SHIPPER Source Manufacturer / SOURCEMFG Trucker / TRUCKER Vendor / VENDOR Consignee Contact / CONSIGNEECONTACT Freight Forwarder Contact / FFCONTACT Vendor Contact / VENDORCONTACT **If DBName is not mentioned, then Upload process is not going to store in the database (Default).**
C1/3	File Type/Contact Flag	AN (1)	M	Valid Values specifies: **E**= Employee **B**= Bank **N**= Entity (vendor, partner, consignee etc.) **Y**= Contact for an already existing Consignee, Freight Forwarder or Vendor in the System database
D1/4	SBU_CODE	AN (5)	M	Strategic Business Unit Code within System.
E1/5	LOAD_FLAG	AN (1)	CM	**Required only if DBName is specified** **Value=U** specifies uploading ALL data into the database **Value=D** uploads only those entities with RED FLAGS during screening **Either case takes advantage of your prior compliance decisions if** your application has been modified to add three new fields related to screening (DPL_Status, DPL_Date and Reason_Code). • If the partner exists in the System database, system will use the screening history and prior compliance decision to provide the screening results. • If the partner does not exist in the System database, system will use the screening status and screening date from the File Data rows, if provided, to take advantage of the prior screening and compliance decision.
J1/10	Entity Type Screening	AN (4)	O	"Entity Type Screening" for screening an entity against an entity type. This feature is not incorporated for any Database's. This kind of screening is limited for Adhoc type of file upload screening. The entity types allowed are I for Individual, F for Firm, R for Aircraft and V for Vessels is allowed to include all entity Types by inputting 'A' or they can leave it blank so that system will consider all entity types while

*Cell /Order	Field Name	Data Type	M/ O/ CM	Description
				screening. Also, it is allowed to input one or multiple entity types with the combination of above said codes. The default for Entity Type screening will be ALL and Blank will also be considered as ALL. For Example, if user wants to screen based on entity type as individual, then user will input 'I'. If user wants to screen against multiple entity types say Individual and Aircraft, then they will input the combination of codes like 'IR'. System will allow the combination in any order say for example in the above case they can input either as 'IR' or 'RI'. System will then screen against only those records that have the entity type in the DPL Records as mentioned in the header flag.
K1/11	Entire Country Restrictions	AN (1)	O	"Entire Country Restrictions" to include or exclude hits against Entire Countries. The value should by either Y or N.A value of "Y" will consider the Entire country Restriction that are selected in WLS default. A value of "N" will not screen against Entire country Restriction Lists selected in the WLS default.

Table 23: Header Data Structure

Header Row File Examples

.TXT File Header Row Example

```
$CONSIGNEE$N$TEST$U$$$$$
TEST-1001$TEST$Robert almori$123 Road$$$ORLANDO$FL$$$$32807$$$$
TEST-1002$TEST$David$ 123 Steet.$59 SKYLINE DR$SUITE 100$$FL$FLORIDA$$$32746$$$$
TEST-1003$TEST$Saddam hussein$ 345 Lane$59 SKYLINE DR$SUITE 100$$FL$FLORIDA$$$32746$$$$
TEST-7006$TEST$John Doe$Lincon Drive$#2500$Gary road$LAKE MARY$FL$$$$32456$$$$


NOTE:

-Row 1 is the "Header Row". Fill in the Details under each Column as mentioned in the
Definition Help File for Header data Structure (.TXT).

-Each sub-sequent row is used for Data Entry as mentioned in the File Data Structure section
of the Definition Help File.

-A Delimiter Value (~, $, |) is required to separate each value!
```

Figure 133: .TXT File Header Row Example

Text File **Header Row** Summary:
1. **$** is the Delimiter
2. **CONSIGNEE** references the Consignee Database
3. **N** specifies that this is an Entity File (not a Bank, Employee or a Contact record)
4. **TEST** refers to the Strategic Business Unit (SBU) Name this screening is recorded in
5. **U** specifies that all party information should be stored in System

.XLSX File Header Row Example

	A	B	C	D	E	F	G	H	I	J	K	L
1	$	CONSIGNE	N	TEST	U					IFRV	Y	
2	ID	SBU_CODE	NAME	ADDR1	ADDR2	ADDR3	CITY	STATE	STATE_NAME	COUNTRY	COUNTRY_NAME	ZIP
3	ABC-1001		Robert almori	23 1st St.			MIAMI	FL		US		32807
4	ABC-1002		David	59 AVE C	SUITE B		ORLANDO	FL	FLORIDA	US	United States	32746
5	ABC-1003		Saddam hussein	59 AVE C	SUITE B	M/S 45P3		FL	FLORIDA	US		32746
6												
7		**NOTE: Row 1** is the **"Header Row"**. Fill in the Details under each Column as mentioned in the **Definition Help File** for **Header data Structure (.XLS/.CSV)**
8		Cell A1 contains the "Delimiter" (**must be $ for Excel files**).
9		Cell B1 "DBName" specifies the specific database
10		**Bank**
11		**EmployeeScreening**
12		**Broker , Consignee , DOSSignatories , FF , Partner , Seller , Shipper , SourceMFG , Trucker, Vendor**
13		**ConsigneeContact , FFContact , VendorContact, Exporter or ExporterContact**
14		Cell C1 "Type/ContactFlag" specifies **E=Employee, B=Bank, N=En**tity (vendor, partner etc.), **Y=Contact** for an already existing Entity
15		Cell D1 "SBU_CODE" Strategic Business Unit code as defined within EASE
16		Cell E1 "LOAD_FLAG" **value=U** specifies uploading ALL data into the database; **value=D** uploads only those entities with RED FLAGS during screening
17		Cell J1 "Entity Type Screening" for screening an entity against an entity type. This feature is not incorporated for any Database's and is limited for AdHoc type of file
18		upload screening. The entity types allowed are I for Individual, F for Firm, R for Aircraft and V for Vessels. Also it is allowed to screen against all entity types by
19		inputting 'A' or they can leave it blank so that system will consider all entity types while screening. Also, it is allowed to input one or multiple entity types with the
20		combination of above said codes. For example, if user wants to screen based on entity type as individual, then user will input 'I'. If user wants to screen against
21		multiple entity types say Individual and Aircraft, then they will input the combination of codes like 'IR'. System will allow the combination in any order say for example
22		in the above case they can input either as 'IR' or 'RI'. System will then screen against only those records that have the entity type in the DPL Records as mentioned
23		in the header flag.
24		Cell K1 "Entire Country Restrictions" to include or exclude hits against Entire Countries. The value should by either Y or N.If value is "Y", system will consider the
25		Entire country Restriction selected in WLS default. If value is "N", system will not screen against any Entire country Restriction Lists selected in the WLS default.
26		ROW2 MUST BE DELETED BEFORE USING AS A BATCH-SCREENING UPLOAD FILE (shown here for illustration purpose ONLY)
		Each subsequent row is used for Data Entry as mentioned in the **File Data Structure** section of the **Definition Help File**.
		After deleting all the notes and examples; *there MUST be no empty rows* otherwise the file will fail to upload and screen properly
27		

Figure 134: .XLS File Header Row Example

Excel File **Header Row** Summary:

1. A1 - $ is the Delimiter
2. B1 - PARTNER references the Partner Database
3. C1 - N specifies that this is an Entity File (not a Bank, Employee or a Contact record)
4. D1 - TEST refers to the Strategic Business Unit (SBU) Name this screening is recorded in
5. E1 - U specifies to load all party data into System

.CSV File Header Row Example:

	A	B	C	D	E	F	G	H	I
1	$CONSIGNEE	N	TEST						
2	1001	TEST	Robert aln	123 Road			ORLANDO	FL	
3	1002		David	123 Steet.	59 SKYLIN	SUITE 100		FL	FLORIDA
4	1003		Saddam hu	345 Lane	59 SKYLIN	SUITE 100		FL	FLORIDA
5	7006		John Doe	Lincon Dri	#2500	Gary road	LAKE MAR	FL	

Figure 135: .CSV File Header Row Example

CSV File **Header Row** Summary:

1. **$** is the Delimiter
2. **CONSIGNEE** references the Consignee Database

> *The Delimiter and DB Name are entered in the same cell because this is a .CSV file.*

3. **N** specifies that this is an Entity File
4. **TEST** refers to the Business Unit this screening is recorded in
5. **D** specifies that only On Hold party information should be stored in System

File Data Structure

When entering in content data for the Batch File, use the following file formats as a reference to the order of the data and the appropriate corresponding fields.

***Enter the **File Data** for the related Field Names into the **Row directly following the Header Row and for each Row thereafter.**

⚠️ *Do not label the File Data Row with the Field Names (e.g., Consignee Name, Address 1, Address 2, etc.).*

A Delimiter Value (~, $, |) is required to separate each value for .TXT and .CSV Files.
If using Excel to create a .CSV File, data must be present in the last Column when saving, to make sure all Parameters have been included.

Notes:

1. The 'Status', 'WLS Date', 'Reason codes' and 'Remarks' are not required fields. These fields are used for maintaining your own audit trail if you are not storing the partners in EASE database. If you later decide to store your business partners' information in the EASE database, then the information in these four fields will also be saved.

2. The WLS date and Status filed are used to perform incremental screening to avoid providing repeated match. If is the date of WLS that was used for the last screening of the partner.

    The formats for the file and sample files are available within the solution for easy reference.

Customer Data Row Format: When Header Row File Type is 'N'

*   ***Column** for Excel Files **/ Order** for Text or CSV Files
*   Mandatory **(M)** / Optional **(O)** / Co-Mandatory **(CM)**

*Column/Order	Field Name	Data Type	M/O/CM	Notes
A/1	CONSIGNEE_ID	AN(50),	M	Unique ID
B/2	SBU_CODE	AN(5),	O	
C/3	CONSIGNEE_NAME	AN(150),	M	
D/4	CONSIGNEE_ADDR1	AN(50),	O	
E/5	CONSIGNEE_ADDR2	AN(50),	O	
F/6	CONSIGNEE_ADDR3	AN(50),	O	
G/7	CONSIGNEE_CITY	AN(50),	O	
H/8	CONSIGNEE_STATE	AN(4),	O	
I/9	CONSIGNEE_STATE_NAME	AN(50),	O	
J/10	CONSIGNEE_COUNTRY	AN(4),	O	Country ISO Code
K/11	CONSIGNEE_COUNTRY_NAME	AN(50),	O	
L/12	ZIP	AN(18),	O	
M/13	STATUS (Leave Blank)	AN(12),	O	**DPL Status:** • Approved • On Hold • Denied • Overridden and • To Be Screened
N/14	DPL_DATE (Leave Blank)	DATE	O	MM/DD/YYYY; indicates screening date; used for incremental screening.
O/15	DPL_OverrideCode	VARCHAR(5)	O	

*Column/Order	Field Name	Data Type	M/O/CM	Notes
P/16	DPL Remarks	VARCHAR(250)	O	Override reasons
Q/17	Active Flag	A(1)	O	Values accepted: • 'Y' – Active • 'N' – Inactive If left blank, then record will be considered 'Y' for Active. If the record should be Inactive, this must be specified.
Q/18	Source_ System _ID	VARCHAR(250)	O	You can add Source System ID for the Consignee

Bank Data Row Format: When Header Row File Type is 'B'

- ***Column** for Excel Files **/ Order** for Text or CSV Files
- Mandatory **(M)** / Optional **(O)** / Co-Mandatory **(CM)**

*Column/Order	Field Name	Data Type	M/O/CM	Notes
A/1	Bank Id	AN (50)	M	Should be Unique ID for the Entity data.
B/2	Sbu_code	AN (5)	O	
C/3	Bank Name	AN (40)	M	
D/4	Address1	AN (50)	O	
E/5	Address2	AN50)	O	
F/6	Address 3	AN (50)	O	
G/7	City	AN (50)	O	
H/8	State Code	AN (4)	O	State code if US
I/9	State Name	AN (50)	O	
J/10	Country Code	AN (4)	O	ISO Country Code
K/11	Country Name	AN (50)	O	
L/12	ZIP	AN (18),	O	
M/13	DPL_Status (Leave Blank)	AN (12)	O	**DPL Status:** • Approved • On Hold • Denied • Overridden and • To Be Screened
N/14	DPL_Date (Leave Blank)	Date	O	MM/DD/YYYY; indicates screening date; used for incremental screening.
O/15	DPL_Override	AN (5)	O	
P/16	DPL Remarks	AN (250)	O	
Q/17	Branch Name	AN (150)	M	Name of Branch

Employee Data Row Format: When Header Row File Type is 'E'

- ***Column** for Excel Files **/ Order** for Text or CSV Files
- Mandatory **(M)** / Optional **(O)** / Co-Mandatory **(CM)**

*Column/Order	Field Name	Data Type	M/O/CM	Notes
A/1	Employee Id	AN (50)	M	Should be Unique ID for the Entity data.
B/2	SBU Code	AN (5)	O	
C/3	Employee Last Name	AN (40)	M	
D/4	Address 1	AN (50)	O	
E/5	Address 2	AN50)	O	
F/6	Address 3	AN (50)	O	
G/7	City	AN (50)	O	City
H/8	State Code	AN (4)	O	State code if US
I/9	State Name	AN (50)	O	
J/10	Country Code	AN (4)	O	ISO Country Code
K/11	Country Name	AN (50)	O	
L/12	ZIP	AN (18),	O	
M/13	DPL_Status (Leave Blank)	AN (12)	O	**DPL Status:** • Approved • On Hold • Denied • Overridden and • To Be Screened
N/14	DPL_Date (Leave Blank)	Date	O	MM/DD/YYYY; indicates screening date; used for incremental screening.
O/15	DPL_Override	AN (5)	O	
P/16	DPL Remarks	AN (250)	O	
Q/17	Employee First Name	AN (40)	M	First Name
R/18	Employee Middle Name	AN (5)	O	Middle Name
S/19	Employee Type	AN (40)	O	EMPLOYEE_TYPE: **F,P,C**: Full, Part Time, Contractor
T/20	Department	AN (40)	O	DEPARTMENT
U/21	Location	AN (40)	O	LOCATION
V/22	Dual National	AN (1)	O	Y or N
W/23	US Citizen	AN (1)	O	Y or N
X/24	Employee Remarks	AN (2000)	O	
Y/25	Employee DOB	Date	O	MM/DD/YYYY;
Z/26	Active	AN(1)	O	Y or N

Contact Data Row Format: When Header Row File Type is 'Y'

- ***Column** for Excel Files **/ Order** for Text or CSV Files
- Mandatory **(M)** / Optional **(O)** / Co-Mandatory **(CM)**

*Column/Order	Field Name	Data Type	M/O/CM	Notes
A/1	CONSIGNEE_ID	AN(50),	M	Required
B/2	SBU_CODE	AN(5),	O	Optional

C/3	ContactId	AN(50),	M	Required
D/4	Contact_FIRST_NAME	AN(75),	M	Required
E/5	Contact_LAST_NAME	AN(75),	M	Required
F/6	Contact_MIDDLE_NAME	AN(1),	O	Optional
G/7	Contact_ADDR1	AN(50),	O	Optional
H/8	Contact_ADDR2	AN(50),	O	Optional
I/9	Contact _ADDR3	AN(50),	O	Optional
J/10	Contact _CITY	AN(50),	O	Optional
K/11	Contact _STATE	AN(4),	O	Optional
L/12	Contact _STATE_NAME	AN(50),	O	Optional
M/13	CONSIGNEE_COUNTRY	AN(4),	O	Country ISO Code
N/14	Contact _COUNTRY_NAME	AN(50),	O	Optional
O/15	ZIP	AN(18),	O	Optional
P/16	STATUS	AN(12),	O	DPL Status: • Approved • on Hold • Denied • Overridden and • To Be Screened
Q/17	DPL_DATE	DATE	O	MM/DD/YYYY; indicates screening date; used for incremental screening.
R/18	DPL_OverrideCode	VARCHAR(5)	O	
S/19	DPL Remarks	VARCHAR(250)	O	Override reasons

	A	B	C	D	E	F	G	H	I	J	K	L
1	$	CONSIGNE	N	TEST	U					IFRV	Y	
2	ID	SBU_CODE	NAME	ADDR1	ADDR2	ADDR3	CITY	STATE	STATE_NAME	COUNTRY	COUNTRY_NAME	ZIP
3	ABC-1001		Robert almori	23 1st St.			MIAMI	FL		US		32807
4	ABC-1002		David	59 AVE C	SUITE B		ORLANDO	FL	FLORIDA	US	United States	32746
5	ABC-1003		Saddam hussein	59 AVE C	SUITE B	M/S 45P3		FL	FLORIDA	US		32746
6												
7		NOTE: Row 1 is the "Header Row". Fill in the Details under each Column as mentioned in the Definition Help File for Header data Structure (.XLS/.CSV)
8		Cell A1 contains the "Delimiter" (must be $ for Excel files).
9		Cell B1 "DBName" specifies the specific database
10		**Bank**
11		**EmployeeScreening**
12		**Broker , Consignee , DOSSignatories , FF , Partner , Seller , Shipper , SourceMFG , Trucker, Vendor**
13		**ConsigneeContact , FFContact , VendorContact, Exporter or ExporterContact**
14		Cell C1 "Type/ContactFlag" specifies E=Employee, B=Bank, N=Entity (vendor, partner etc.), Y=Contact for an already existing Entity
15		Cell D1 "SBU_CODE" Strategic Business Unit code as defined within EASE
16		Cell E1 "LOAD_FLAG" value=U specifies uploading ALL data into the database; value=D uploads only those entities with RED FLAGS during screening
17		Cell J1 "Entity Type Screening" for screening an entity against an entity type. This feature is not incorporated for any Database's and is limited for AdHoc type of file
18		upload screening. The entity types allowed are I for Individual, F for Firm, R for Aircraft and V for Vessels. Also it is allowed to screen against all entity types by
19		inputting 'A' or they can leave it blank so that system will consider all entity types while screening. Also, it is allowed to input one or multiple entity types with the
20		combination of above said codes. For example, if user wants to screen based on entity type as individual, then user will input 'I'. If user wants to screen against
21		multiple entity types say Individual and Aircraft, then they will input the combination of codes like 'IR'. System will allow the combination in any order say for example
22		in the above case they can input either as 'IR' or 'RI'. System will then screen against only those records that have the entity type in the DPL Records as mentioned
23		in the header flag.
24		Cell K1 "Entire Country Restrictions" to include or exclude hits against Entire Countries. The value should by either Y or N.If value is "Y", system will consider the
25		Entire country Restriction selected in WLS default. If value is "N", system will not screen against any Entire country Restriction Lists selected in the WLS default.
26		ROW2 MUST BE DELETED BEFORE USING AS A BATCH-SCREENING UPLOAD FILE (shown here for illustration purpose ONLY)
27		Each subsequent row is used for Data Entry as mentioned in the File Data Structure section of the Definition Help File. After deleting all the notes and examples; there MUST be no empty rows otherwise the file will fail to upload and screen properly

Figure 136: Consignee Contact Sample Sheet

SBU Prefixing for Customers in .XLSX File Format (Critical for Hosted Clients)

Follow the instructions below to prefix the SBU to the Consignee/ Vendor/ etc. IDs in the File Data Rows for Excel File Uploads. This practice is particularly critical if your application is being Hosted by OCR on a shared server. To increase the chances of a unique identifier; we recommend adding the SBU Name to your record identifier. The same practice is recommended if your application is installed on a dedicated server but, yet you have multiple SBUs.

1. In front of the Customer ID/Code in Column A, insert two columns. Customer IDs column should now be under Column C.

2. In the **new** blank Column B, enter the SBU Code with a hyphen to the first Data Row and copy it all the way down for all data records. (**For example; ABC-**).

3. If your data starts from Row 2, then in Column A type: B2&""&C2 and press enter.

4. Copy the entry and highlight all the way down for all data records, you will now see the ID's prefixed with the SBU Code, however the cells still contain the formulas.

5. Copy the entire column again (Select, Ctrl-C) then right-click the highlighted selection and click Paste Special. select Paste: Values.

6. Be careful to copy the contents of C1 to A1 (Header Row) – before performing Step 7.

7. Delete/Remove Columns B and C.

Figure 137: File Format Example

To load and save all the records into the Database, it is necessary to leave the Header Row Column E blank or insert the value U.

Screening Results and Output Files

Once you have successfully uploaded a file to the System, check the screening parameters at the bottom of the screen, and then click the [Save] button. Return to the Search screen to locate your uploaded file.

The screening results are provided in Excel or XML schema. The results consist of four different files.

1. **Screening Summary Details**: This file is in the same format as the input format with the status and WLS field updated based on the current screening. You may resubmit the same file for periodic screening, for example quarterly or semi-annually etc.

2. **On Hold Summary Details**: This file provides the summary of the red flagged partners and the name, country and AKA/DBA field of the red flagged Watch names.

3. **Match Details**: This file provides the details of the Watch such as address, Federal Register Date, Privileges affected etc.

4. **Error Details**: This file provides a log of errors encountered while uploading the file.

Sample Input File:
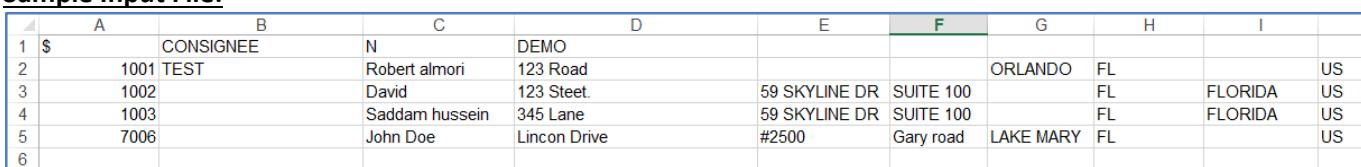
	A	B	C	D	E	F	G	H	I	
1	$	CONSIGNEE	N	DEMO						
2	1001	TEST	Robert almori	123 Road			ORLANDO	FL		US
3	1002		David	123 Steet.	59 SKYLINE DR	SUITE 100		FL	FLORIDA	US
4	1003		Saddam hussein	345 Lane	59 SKYLINE DR	SUITE 100		FL	FLORIDA	US
5	7006		John Doe	Lincon Drive	#2500	Gary road	LAKE MARY	FL		US
6										

Figure 138: Input File Example

Sample Screening Summary Details File:

	C	D	E	F	G	H	I	J	K	L	M	N	O
1													
2	SUMMARY DETAILS												
3													
4	_excel.xls	TotalScreened:=4			Method =Fuzzy								
5		TotalApproved:=0			UsedScore:=85								
6		TotalOnHold:=4			User Defined List:=DGFGH , DPO2 , D312 , DPO1 , T-001 , THFIN , MD1 , SA05 , KDPLT , T30 , T35 , T50 , T23 , VDPL1 , XIL ,							
7		TotalOverridden:=0			DplType:=COS , CPL , AUP , DUP , IPL , RCMP , DOD , DOJ , UKP , USMS , ASIC , DFSA , ICAC , HMRC , DOT , FRB , WBD , A							
8		TotalDenied:=0			ScreeningType:=Name Only								
9		ErrorRecords:=2			CountryEmbargo:=CIBES , CFI , EPCI , BAFA , MTI , NCC , OEC , BES , DEN , DBL , SDN , USTR , ABL							
10		TotalHits:=591 (ADF 5 IPL 15 FSTEC 1			User Defined Country Restriction Type:=DD-01 , TEST								
11													
12	Name	Address1	Address2	Address3	City	State Code	State Name	Country Cod	Country	Postal Code	Status	DPL Date	Reason Cod Rem
13													
14	Robert almori	123 Road			ORLANDO	FL	Florida	US	UNITED STA	32807	On Hold	11/02/2016	
15	David	123 Steet.	59 SKYLINE D	SUITE 100		FL	FLORIDA	US	UNITED STA	32746	On Hold	11/02/2016	
16	Saddam hussein	345 Lane	59 SKYLINE D	SUITE 100		FL	FLORIDA	US	UNITED STA	32746	On Hold	11/02/2016	
17	John Doe	Lincon Drive	#2500	Gary road	LAKE MARY	FL	Florida	US	UNITED STA	32456	On Hold	11/02/2016	
18													
19													
20													
21													

Screening Summary Details | On Hold Summary Details | Hits Details | Error Details

Figure 139: Sample Screening Summary Details File

Sample On Hold Summary Details File:

	A	B	C	D	E	F	G	H	I	J	K	L
1												
2		ON HOLD SUMMARY DETAILS										
3												
4	FileName:=NDpssSample_excel.xls			TotalScreened:=4			Method =Fuzzy					
5	ScreenedBy:=OCR			TotalApproved:=0			UsedScore:=85					
6	ScreenedOn:=11/03/2016			TotalOnHold:=4			User Defined List:=DGFGH , DPO2 , D312 , DPO1 , T-001 , THFIN , MD1 , SA05 , KDPLT , T30 , T35 , T50 , T23 , V					
7				TotalOverridden:=0			DplType:=COS , CPL , AUP , DUP , IPL , RCMP , DOD , DOJ , UKP , USMS , ASIC , DFSA , ICAC , HMRC , DOT , F					
8				TotalDenied:=0			ScreeningType:=Name Only					
9				ErrorRecords:=2			CountryEmbargo:=CIBES , CFI , EPCI , BAFA , MTI , NCC , OEC , BES , DEN , DBL , SDN , USTR , ABL					
10				TotalHits:=591 (ADF 5 IPL 15 FSTE			User Defined Country Restriction Type:=DD-01 , TEST					
11												
12	Code	SBU	Name	Country	Country Co	From DplDa	To DplDate	TotalHits	DPL Name	DPL Countr	AlsoKnownAs	Agency
13												
14	1001	TEST	Robert almori	UNITED STA	US		11/02/2016	3 (DEN 3)	Almori, Robert	FRANCE		DOC
15									Didat, Jean-Michel	FRANCE	a.k.a. Cotricom S.A; Almori, Robert; Didat, JeanMichel	DOC
16									Goldfarb, Marcel	FRANCE	a.k.a. Lefebvre; a.k.a. Almori, Robert	DOC
17												
18	1002		David	UNITED STA	US		11/02/2016	582 (ADF 5	DE VERA, Pio, Abogne	PHILIPPINES	a.k.a. Ismael De Vera; Khalid; Ismael; Ismail; Manex; Tito Art; Dave; Leo	UN
19									Davies			TAS
									PIO ABOGNE DE		a.k.a. Ismael De Vera; Khalid; Ismael;	

Screening Summary Details | On Hold Summary Details | Hits Details | Error Details

Figure 140: Sample On Hold Summary Details File

Sample Hits Details:

	A	B	C	D	E	F	G	H	I	J	K	L	M
4	FileName:=NDpssSample_excel.xls			TotalScreened:=4			Method =Fuzzy						
5	ScreenedBy:=OCR			TotalApproved:=0			UsedScore:=85						
6	ScreenedOn:=11/03/2016			TotalOnHold:=4			User Defined List:=DGFGH , DPO2 , D312 , DPO1 , T-001 , THFIN , MD1 , SA05 , KDPLT , T30 , T35 , T50 , T23 , VD						
7				TotalOverridden:=0			DplType:=COS , CPL , AUP , DUP , IPL , RCMP , DOD , DOJ , UKP , USMS , ASIC , DFSA , ICAC , HMRC , DOT , FRE						
8				TotalDenied:=0			ScreeningType:=Name Only						
9				ErrorRecords:=2			CountryEmbargo:=CIBES , CFI , EPCI , BAFA , MTI , NCC , OEC , BES , DEN , DBL , SDN , USTR , ABL						
10				TotalHits:=591 (ADF 5 IPL 15 FSTE			User Defined Country Restriction Type:=DD-01 , TEST						
11													
12													
13													
14	Code	SBU		Name	Address	City	Country	State Code		State Name	Country Co	Postal Code	Status	FromDplID
15	1001	TEST		Robert almori	123 Road	ORLANDO	UNITED STA	FL		Florida	US	32807	On Hold	
16		TotalHits:=3											
17		Score	DPL ID	Name	Address	City	Country	AlsoKnownAs		Privileges	EffectiveDa	ExpirationD	FRDate	Citation
18		100	1305	Almori, Robert	80-82 Rue S	Paris	FRANCE			General and	10/08/1987	UNTIL RESC	10/16/1987	52 FR 384
19		100	8963	Didat, Jean-Michel	4 Alles des N	Yerres	FRANCE	a.k.a. Cotricom S.A; Almori, Robert; Didat, JeanMichel		General and	10/08/1987	UNTIL RESC	10/16/1987	52 FR 384
20		100	12717	Goldfarb, Marcel	71 Avenue d	Viry-Chatillon	FRANCE	a.k.a. Lefebvre; a.k.a. Almori, Robert		General and	10/08/1987	UNTIL RESC	10/16/1987	52 FR 385
21													

Sheets: Screening Summary Details | On Hold Summary Details | **Hits Details** | Error Details

Figure 141: Sample Hits Details

Error Details:

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
1																			
2		ERROR DETAILS																	
3																			
4	FileName:=Rohit123.xlsx			TotalScreened:=7314			Method =Fuzzy												
5	ScreenedBy:=rohit.m			TotalApproved:=3011			UsedScore:=85												
6	ScreenedOn:=02/13/2020			TotalOnHold:=840			User Defined List:=												
7				TotalOverridden:=70			DplType:=ATK , ATK2 , DEL , FOL , GEC , XOM , ADF , FPSF , CFI , EUFSL , BAFA , FSTEC , JPC , MTI , NLD , MAS , SWISS,MAS,SDN , Man1 , BES , MAS , DEN , DBL , SDI												
8				TotalDenied:=0			ScreeningType:=Name Only												
9				ErrorRecords:=2876			CountryEmbargo:=CFI , EPCI , EUFSL , BAFA , MTI , NCC , OEC , BES , DEN , DBL , SDN , USTR , ABL , TREAS , CIBES												
10				TotalHits:=715 (ADF 3 IPL 4 FACMA			User Defined Country Restriction Type::=												
11																			
12	Code	SBU	Name	Address1	Address2	Address3	City	State Code	State Name	Country Co	Country	Postal Code	Status		FromDplDat	ToDplDate	Reason Cod	Remarks	
13																			
14	TEST406331		TARGA LIQUIDS MARKETIN G & TRADE	1000 LOUISI/			HOUSTON	TX	Texas	US	USA	77002	Approved		02/12/2020				
15	ErrorDescription:=Record could not be updated. Code=TEST406331 already exists with different SBU .																		
16	TEST407006		ENERGY TRANSFER PARTNERS	3807 WEST			NEWTOWN (	PA	Pennsylvania	US	USA	19073	Approved		02/12/2020				
17	ErrorDescription:=Record could not be updated. Code=TEST407006 already exists with different SBU .																		
			A A A TECHNOLO																

Sheets: ... | On Hold Summary Details | Hits Details | **Error Details** | Duplicate Data

Duplicate Data Details:

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
1		$	CONSIGNEE	N	DEMO	U													
2	New/Duplica	Code	SBU	Name	Addr1	Addr2	Addr3	City	State Code	State Name	Country Co	Country Nar	Postal Code	Status		FromDplDat	Reason Coc	Remarks	Active/Inacti	Source System
3	New	TEST400003		B P PRODU(	28301 FERR			WARRENVIL	IL	Illinois	US	USA	60555						
4	Duplicate	CITV400003	DEMO	B P PRODU(	28301 FERR			WARRENVIL	IL	Illinois	US	UNITED STA	60555						
5	New	TEST400004		B P PRODU(	28301 FERR			WARRENVIL	IL	Illinois	US	USA	60555						
6	Duplicate	CITV400003	DEMO	B P PRODU(	28301 FERR			WARRENVIL	IL	Illinois	US	UNITED STA	60555						
7	New	TEST400008		CHEVRON F	PO BOX 397			HOUSTON	TX	Texas	US	USA	77253-3976						
8	Duplicate	CITV400008	DEMO	CHEVRON F	PO BOX 397			HOUSTON	TX	Texas	US	UNITED STA	77253-3976						
9	New	TEST400021		GULF OIL LF	PO BOX 915			CHELSEA	MA	Massachuset	US	USA	02150-2337						
10	Duplicate	CITV400021	DEMO	GULF OIL LF	PO BOX 915			CHELSEA	MA	Massachuset	US	UNITED STA	02150-2337						
11	New	TEST400022		FLINT HILLS	PO BOX 230			WICHITA	KS	Kansas	US	USA	67201						
12	Duplicate	CITV400022	DEMO	FLINT HILLS	PO BOX 230			WICHITA	KS	Kansas	US	UNITED STA	67201						
13	New	TEST400026		CHEVRON F	PO BOX 397			HOUSTON	TX	Texas	US	USA	77253-3976						
14	Duplicate	CITV400008	DEMO	CHEVRON F	PO BOX 397			HOUSTON	TX	Texas	US	UNITED STA	77253-3976						
15	New	TEST400028		EXXONMOB	3225 GALLO			FAIRFAX	VA	Virginia	US	USA	22037-0001						
16	Duplicate	CITV400028	DEMO	EXXONMOB	3225 GALLO			FAIRFAX	VA	Virginia	US	UNITED STA	22037-0001						
17	Duplicate	CITC373051	DEMO	EXXONMOB	3225 GALLO			FAIRFAX	VA	Virginia	US	UNITED STA	22037						
18	New	TEST400029		NORTHVILLE	PO BOX 937			MELVILLE	NY	New York	US	USA	11747						
19	Duplicate	CITV400029	DEMO	NORTHVILLE	PO BOX 937			MELVILLE	NY	New York	US	UNITED STA	11747						
20	New	TEST400039		TRANSMON	PO BOX 128			DENVER	CO	Colorado	US	USA	80291						
21	Duplicate	CITV400039	DEMO	TRANSMON	PO BOX 128			DENVER	CO	Colorado	US	UNITED STA	80291						
22	New	TEST400041		US OIL CO IN	425 BETTER			APPLETON	WI	Wisconsin	US	USA	54915-6102						

Sheets: ... | On Hold Summary Details | Hits Details | Error Details | **Duplicate Data**

If the input file is **.TXT** (for example source.txt) file, then there will be two output files:

1. Result_source.txt file with updated dpl_date and status
2. Results will be available in Excel workbook, with four Sheets as follows:

a. Screening Summary Details (Summary of results that has partner Id, Name, Address, city, screening status, the date of the DPL database, and no of hits). You may use this sheet for periodic screening.

b. On Hold Summary Details (that has partner name, ID, address, DPL Name, DPL Country, AKA, and Agency that restricted the party)

c. Hits Details (Detail hits including all the information in DPL database.)

d. Error Details (If there are any errors while processing the file.)

If the input file is **.CSV** (for example source.csv) file, then there will be two output files:

1. Result_source.csv file with updated dpl_date and status
2. Results will be available in Excel workbook, with four Sheets as follows:
   a. Screening Summary Details (Summary of results that has partner Id, Name, Address, city, screening status, the date of the DPL database, and no of hits). You may use this sheet for periodic screening.
   b. On Hold Summary Details (that has partner name, ID, address, DPL Name, DPL Country, AKA, and Agency that restricted the party)
   c. Hits Details (Detail hits including all the information in DPL database.)
   d. Error Details (If there are any errors while processing the file.)

If the input file is .**XLSX** (for example source.xls) file, then there will be one output file:

1. Results will be available in Excel workbook, with four Sheets as follows:
   a. Screening Summary Details (Summary of results that has partner Id, Name, Address, city, screening status, the date of the DPL database, and no of hits). You may use this sheet for periodic screening.
   b. On Hold Summary Details (that has partner name, ID, address, DPL Name, DPL Country, AKA, and Agency that restricted the party)
   c. Hits Details (Detail hits including all the information in DPL database.)
   d. Error Details (If there are any errors while processing the file.)

APPENDIX F: FREQUENTLY ASK QUESTIONS (FAQs)

This section lists the question which are frequently asked by the users related to watch list Screening functionality. Most of the questions are linked with the suitable section in this User Guide for further explanations.

List of Questions

Q1. Why is denied party screening required?
Q2. What does database and transaction-based screening mean?
Q3. What does fuzzy logic mean?
Q4. Does OCR Search engine provide for high, medium and low sensitivity?
Q5. Does OCR search engine take Abbreviation and Synonyms into account?
Q6. Does OCR search engine take Doing Business As (DBA) and Also Known As (AKA) into account?
Q7. Is the following information available: list creation date, list download date, country that owns the list, agency responsible, regulating citation, date range applicable, source of block list?
Q8. What are the acronyms used in the OCR screening solution?
Q9. What is the update procedure?
Q10. Do updates come from a third party or vendor?
Q11. Is there an ability to add Private Denied Party Lists?
Q12. What levels of security are provided to release transactions that are blocked?

Click the desired question from the list to see its answer.

Question and Answers

Q1. Why is denied party screening required?

There are ten general prohibition listed in Part 736 of EAR (Export Administration Regulations – CFR Title 15). The general prohibition 4 'Engaging in actions prohibited by a denial order' prohibits U.S. citizens, corporations for undertaking any actions that is prohibited by a denial order issued under part 766 of the EAR, Administrative Enforcement Proceedings. The general prohibition 7 'Support of Proliferation Activities' requires all U.S. citizens and entities to obtain a license from Bureau of Industry Security (BIS) for activities prohibited by section 744.6 (a) or (b).

In addition, the Executive order 13224 – 'U.S. Patriot Act, Anti Money Laundering' prohibits any transactions with Terrorist, drug trafficker, or any person that is a threat to U.S. security.

Q2. What does database and transaction-based screening mean?

Database screening also known as Customer based screening implies the following:

- Checking the customer database against the Denied Party List (DPL) and each update. Looking specifically for the name of each customer's firm and principals.
- Establishing a method for keeping the customer base current.
- The names of the firm and principals of each new customer should be checked against the DPL and each update before adding that customer in the customer list.

For more information refer to section 3.3.

Transaction Based Screening:

- For each order received, checking the names of the ordering party's firm and principals as well as the name of the end user, if available, against the latest DPL.
- Screening backlog orders, orders in process, and orders ready to ship when a new list or update is published.
- Screening export transactions before accepting orders and again immediately prior to shipping, particularly when turnaround time on an order is more than a week.

Q3. What does fuzzy logic mean?

OCR uses fuzzy logic based on phonics ('Soundex') principles to determine a match. The fuzzy logic implies that there is not always a black and a white answer. The answer may be a shade of gray. Let us consider the answer to the following question: Is Joe tall? It may be difficult to answer in terms of yes and no. It depends on how tall he is and also what is the average height of males living around. Let us universally agree that a person is tall if he is taller than 6 feet and is short if he is shorter than 5' 2". So, if Joe is 5'10", the fuzzy logic answer is that Joe is tall with 80% confidence or short with 20% confidence. A similar fuzzy logic is used to find the possible match based on phonic principals.

The customer name as well as the names in the OCR denied party list are divided into number of significant words. A word, in general, consists of collection of character without a blank space. This word is further divided into syllables. Based on the syllables in a given name (generally consists of more than one word), fuzzy logic keys are generated. Similarly, fuzzy logic keys are generated for all the denied parties in the list. Then based on a mathematical algorithm, a confidence level (score in the parameter screen) is created. Hits are reported if the score or confidence level is higher than the one specified. The hits are reported back to you in descending order of score.

Since, the score is combined score based on all the syllables in the given name. It is important that certain words be excluded from the name to get a normalized and consistent score. Therefore, words like "Inc., Assoc., Associate, etc." are excluded. A user with appropriate authority (compliance officer or business person) may modify the list. The functionality to modify excluded words is not the same in various screening solutions offered by OCR.

For more information refer sections 2.6.3 and 2.6.4.

Q4. Does OCR Search engine provide for high, medium and low sensitivity?

Yes, OCR screening engine provides for high, medium and low search sensitivities. In general, the fuzzy logic score of > 90 implies tighter match between the name of your partner with names in the denied party list. A score between 80 and 90 implies medium sensitivity. A score between 65 and 80 implies a wide search or loose sensitivity. OCR does not recommend a score lower than 70. The recommended default value for score is 85.

For more information refer to Step 2.c of section 3.1.

Q5. Does OCR search engine take Abbreviation and Synonyms into account?

Yes, OCR engine takes abbreviations and synonyms into account. All new releases of the systems take phonetics based on international languages as well as all international synonyms. The older version takes into account English phonetics only.

Q6. Does OCR search engine take Doing Business As (DBA) and Also Known As (AKA) into account?

Yes, OCR engine takes DBA/AKA into account. The search engine matches not only the names in the denied parity list but also the DBA/AKA for the denied parties.

Q7. Is the following information available: list creation date, list download date, country that owns the list, agency responsible, regulating citation, date range applicable, source of block list?

Yes, each of these attributes are tracked, reported and maintained by OCR Screening solutions.

Q8. What are the acronyms used in the OCR screening solution?

The details of the denied party contain the following information:

- Search Accuracy: This is the fuzzy logic score given in %.
- Denied Party ID: This is the OCR unique ID for various entities in various Government list
- Denied Party List Name
- Denied Party Address
- Denied Party City
- Denied Party Country: This is a two-digit ISO Country code. These are available on OCR via Net as follows: Extra Services -> Reference Tables -> ISO Country Codes.
- AKA/DBA: is Also Known As/Doing Business As

- Privileges Affected. This describes the privileges affected by the citation. For GSA, the codes and description are given on OCR via Net as follows: Denied Party Screening -> GSA – Reciprocal Cause and Treatment Codes.
- Expiration Date is the expiration date of the citation.
- F. R. Date is the Federal Register Citation Date
- Citation: Federal Register Number
- Agency is the U.S. Government Agency. These are listed on OCR via Net as follows: Denied Party Screening -> Govt. Agencies.
- Type is explained below.
- DPL Category is explained below.

Type	Agency	Category	Category Description
DEN	DOC	DEN	Denial Order (Cannot do business)
		ENT	Entity List (Need License) Supplement 4 to Part 744
		UEU	Unverified End Use (Red Flag)
DBL	DOS	DBL	Debarred List
		FTO	Foreign Terrorist Organization
		SDT	Specially Designated Terrorists
SDN	FAC	Balkans	
		FRYK	Federal Republic of Yugoslavia (Kosovo)
		FRYM	Federal Republic of Yugoslavia (Milosevic)
		FRYS&M	Federal Republic of Yugoslavia (Serbia & Montenegro)
		FTO	Foreign Terrorist Organizations
		Iraq	
		Libya	
		SDGT	Specially Designated Global Terrorist
		SDN	Specially Designated Nationals
		SDNT	Specially Designated Narcotics Traffickers
		SDNTK	Specially Designated Narcotics Traffickers Kingpin
		SDT	Specially Designated Terrorists
		SRBH	Serbia Republic of Bosnia & Herzegovina
		Sudan	
		Taliban	Under Taliban
		Vessel	Identifies that it is an Air or Ocean Carrier
GSA	Various U.S. Govt. Agencies (OPM, DOJ, DOL etc.)		

Table 24: Acronyms

Q9. What is the update procedure?

The denied party data is updated daily. OCR has maintained the list for over 10 years by obtaining the data directly from Federal Register and other government sources on a daily basis. The time lag between the Federal Register notice and OCR's update is few hours. OCR's Denied Party Data is recognized as the best in the industry. This data is used by the Department of State and the Department of Commerce. These agencies trust OCR and know we will provide them with the quality that is unmatched. To keep this level of integrity, OCR has two dedicated teams to ensure the accuracy and timeliness of the Denied Party Data updates. The first team combines all the lists and then verifies that the data has been successfully merged. The second group scrubs the data

removing duplicate entries and random characters that have been accidentally entered by the government agencies. The process of combining, reviewing, and cleaning is completed each day by approximately 11:00 am EST, providing our clients with a timely, reliable product. The list is available for download from the OCR Web /FTP Site via automatic script which can be run on a scheduler or timer basis.

Q10.   Do updates come from a third party or vendor?

No. OCR compiles a daily list directly from individual government sources (and in some cases, actually provides the consolidated list back to government agencies for their own screening programs.)

Q11.   Is there an ability to add Private Denied Party Lists?

 Yes, for solutions that are hosted by client have the ability to add private denied party list.

For more information refer to section 9.

Q12.   What levels of security are provided to release transactions that are blocked?

This depends on the screening solution being used by the client. DPSS Online provides four levels of security. Users are assigned a security level according to the following security profiles:

- Read: Lowest level of security, allowing user to perform screens and view reports only
- Update: Security level adds ability to manage the white list and add, delete or update records in the screening database
- Privileged: Adds ability to set screening parameters and block/unblock customers
- Administrator: Highest level of security, adds ability to add, delete, and modify user accounts and assign security roles.

Actions associated with blocking and unblocking of customers is logged for audit trail purposes.

APPENDIX G: What is NEW?

This section lists the changes included in latest release of System.

Business Entity Screen

Target Audience: Portal User
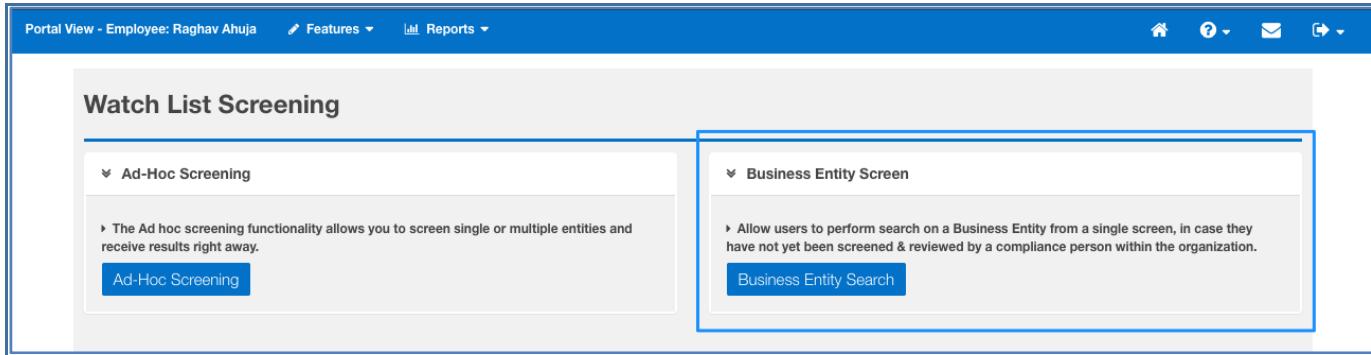
Name of the feature: Business Entity Screen

Enabling this feature: We have enabled this feature from the module interface list for the portal user. Once enabled, it will be visible to the portal user along with Adhoc Screening.

Functionality: This feature would allow the portal user to make better-informed decisions. It allows the portal user to see if the searched entity has been screened as a part of the database/Adhoc screening and if a decision is made for that entity.

Search Screen: The search screen for this functionality is as below:

Portal user needs to enter the mandatory fields: Name of the Entity, City and Country.

Result Screen: The result screen is as below:

It allows the portal user to better visibility of entities already screened and decisions are taken, if any. It will mark entities Overridden/Denied.

Suppose the entity was not searched earlier/anything found. In that case, it will do an Adhoc screening and show the same result, which is shown via the Adhoc Screening feature.

Print Option in View Details Hits after Re-screening

We have enhanced the View Details Hits dialog-box with export options after the user has done re-screening. For example, PDF generation, Email and Print.

Upload Exporter from Upload File Feature

Now, the user can upload file with the "Exporter" as a DB name from Upload File(s) feature. All data will be added under the Exporter Databased under the Files Drop-down menu.

Removed Interpol Most Wanted

We have removed the Interpol Most Wanted - 'IPL' under the Law Enforcement Agencies Lists (LEA).

Excluding "Entire Country" Screening and Entity Type Enhancement

Introducing a new Screening Criteria for WLS where a User can choose to run a screening only against a name that has been categorized as an Individual or an Entity or a Vessel or an Aircraft in the Entity Type. The default will be 'ANY', which will include all the categories. A user will select one or multiple categories by clicking on the Entity Type and pressing the keyboard's ctrl button.

Another option includes where the User can exclude the 'Entire Country' screening hits in an Ad-hoc screening. Screening for a name and a country in Entity Search Type as 'Name' will not show Entire Country records' hits. Unchecking the checkbox will exclude the Entire Country Screening hits on the results page.
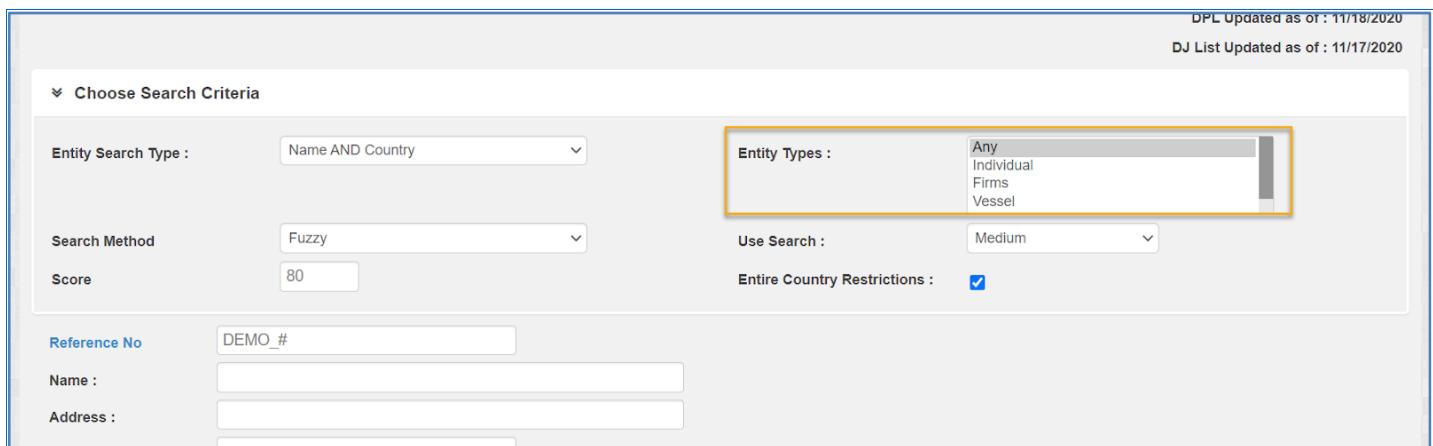
This option for **Entity Types** screening is available only for the Ah-Hoc Screening, File Upload Screening, Web Query Screening and Web Services Screening and cannot be set as a WLS default in the WLS Defaults screen. Also, this option is not available to the Database Screening, Re-Screening, Nightly screening, etc.

If a user wishes to save the Database record, this screening criteria cannot be used. Suppose a user wishes to save a record after screening with these criteria. In that case, they will be prompted that a rescreening will be run on the same record with the WLS Screening Defaults settings, and the results of the WLS Screening Defaults will only be saved. As a result, the ad-hoc screening and the SBU defaults screening results could be different, and the user has to be aware of this.

In File upload, Columns 'J' and 'K' will be the header flags for Entire Country Screening and Entity Type Screening, respectively. The defaults for Country Restriction Screening will be 'Y', and Blank will also be considered 'Y', including the Country Restriction in the screening. The code to exclude the Country Restriction will be 'N'. A user cannot put in anything other than 'Y' or 'N' or Blank. The default for Entity Type screening will be 'ANY' (denoted by A), and Blank will also be considered ANY. The following are the codes that will be used for including the various Entity Types in the screening:

- A = ANY
- I = Individual
- F = Firm
- R = Aircraft
- V = Vessels

A user can include all entity Types by putting in 'A' or leaving it blank or can select one or multiple entity types, and they will not be separated by space or comma or anything; example, 'IF' or 'IR' or 'RV' or 'IFV' etc. and the screening has to be done against only those records that have the entity type in the DPL Records as mentioned in the header flag.

Excel template:

$	PARTNER	N		ABC	U				NATSC	IA	Y			
ID	SBU_CODE	NAME	ADDR1	ADDR2	ADDR3	CITY	STATE	STATE_NAME	COUNTRY	COUNTRY_NAME	ZIP	DPL STATUS	DPL_DATE	REASON CODE
ABC-1001	ABC	Robert almori	23 1st St.			MIAMI	FL		US		32807			
ABC-1002		David	59 AVE C	SUITE B		ORLANDO	FL	FLORIDA	US	United States	32746	Approved		
ABC-1003		Saddam hussein	59 AVE C	SUITE B	M/S 45P3		FL	FLORIDA	US		32746	Overridden	########	05

NOTE: Row 1 is the "**Header Row**". Fill in the Details under each Column as mentioned in the **Definition Help File** for **Header data Structure (.XLS/.CSV)**

Text Template: The user will input the codes separated by the delimiter to the last of the header section, as shown below. They can also keep it blank.

```
1   $$N$TEST$$$$IA$Y
2   1001$TEST$Robert almori$123 Road$$$ORLANDO$FL$$$$32807$$$$
3   1002$TEST$David$ 123 Steet.$59 SKYLINE DR$SUITE 100$$FL$FLORIDA$$32746$$$$
4   1003$TEST$Saddam hussein$ 345 Lane$59 SKYLINE DR$SUITE 100$$FL$FLORIDA$$$32746$$$$
5   7006$TEST$John Doe$Lincon Drive$#2500$Gary road$LAKE MARY$FL$$$$32456$$$$
6
7
8   NOTE:
9
10  -Row 1 is the "Header Row". Fill in the Details under each Column as mentioned in the
11  Definition Help File for Header data Structure ( .TXT)
```

CSV Template: Like Excel, columns 'J' and 'K' will be the header flags for Country Screening and Entity Type Screening, respectively. Users can input the values mentioned above, and they can also keep them blank while uploading.

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	$DOSSign	N	DEMO							IA	Y			
2	DEMO-20(	DEMO	POWERJE	ETABLISSE	CHEMIN D	AERODRO	MELUN			FR	FRANCE	77019		
3	DEMO-20(	DEMO	POWERJE	ETABLISSE	CENTRE DI	ROND POI	MOISSY CRAMAYEL			FR	FRANCE	77550		
4	DEMO-20(	DEMO	POWERJE	7 MISTLET	CHURCHD	GLOUCESTER				GB	UNITED KI	GL3 1LN		
5	DEMO-20(	DEMO	POWERJE	6135 HARI	UNIT 6		LAS VEGA:	NV	Nevada	US	UNITED ST	89120		
6	DEMO-20(	DEMO	MICHAEL	20310 CHARTWELL	CENTER DR	CORNELIU	NC	North Car	US	UNITED ST	28031			

In the Web Query or Web Services type of screening, the same codes as the File Upload screening to identify if the Country Restriction Screening is to be included or excluded also the Entity Type codes will be the same as the File Upload codes.

The WebQuery URL has to be modified by adding the following two additional parameters:

- country_restrictions
- entity_type

For Web Query screening, the following parameters will be added to the existing URL:

```
http://localhost:81/dpss/resultHostedService.ocr?load_data=N&screen_data=H&country_restriction=Y&entity_type=IF&a_entityid=1
&key_nm=CONTEeee100&fld_type=&name=OOO RN-SAKHALINNIPIMORNEFT
&cntry_code=IQ&address1=123ParkPlace&address2=Suite90&address3=PlazaDelMar
&city=LosAngeles&state_name=CA&zipcode=12345&screen_status=&screen_date=&username=OCR
```

For web service, two new tags have been introduced. For Web Service screening, the existing request will be modified by adding the following two new elements:

- COUNTRY_RESTRICTION
- ENTITY_TYPE

```
{
  "WLS_ENTITY_SCREEN_REQUEST": {
    "WLS_GLOBAL_HEADER": {
      "ADD_SBU_PARTY_ID": "N",
      "LOAD_DATA": "N",
      "COUNTRY_RESTRICTION":"Y",
      "ENTITY_TYPE":"IF",
      "SCREEN_DATA": "Y",
      "EMAIL": "test@ocr-inc.com",
      "ORDER_NO": "RaytheOnTest2",
      "VERSION_NO": "2",
      "URL_REQUIRED": "Y",
      "USERNAME": "OCR",
      "APPROVER_NAME_REQ": "Y"
    },
```

APPENDIX H – LISTING OF FIGURES

APPENDIX I – LISTING OF TABLES

TRADE COMPLIANCE IS YOUR RESPONSIBILITY,

AUTOMATING THE PROCESS IS OURS