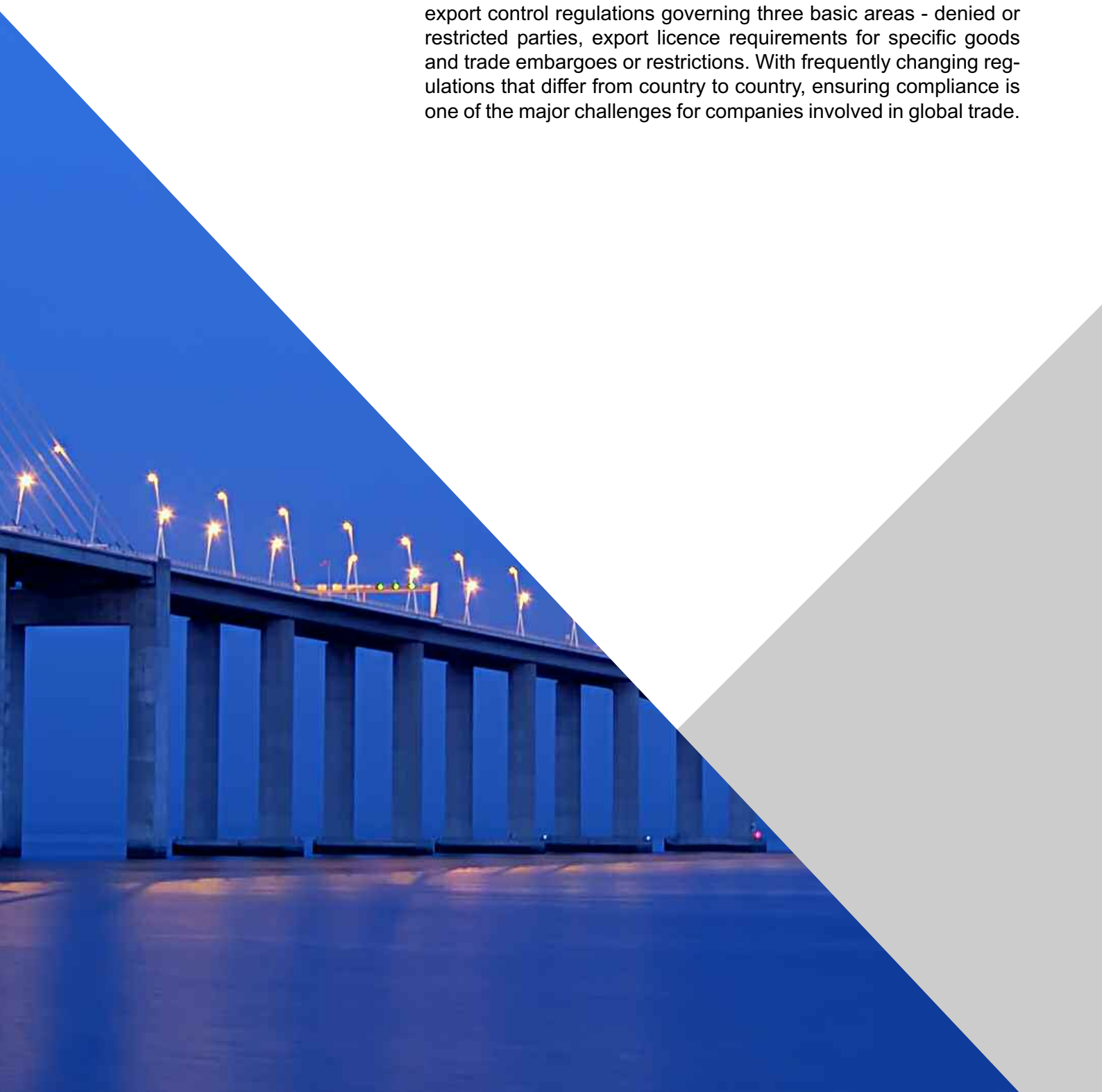


# Kewill Export Compliance Solution

Real-time screening that minimises compliance risk

In our world of complex political relationships, all countries operate export control regulations governing three basic areas - denied or restricted parties, export licence requirements for specific goods and trade embargoes or restrictions. With frequently changing regulations that differ from country to country, ensuring compliance is one of the major challenges for companies involved in global trade.



## Business benefits

- Reduced compliance risk
- Improved productivity
- Real-time regulation data
- Reduced manual errors
- Reduced costs
  - Lower requirement for manual checking
- Frees export experts to resolve complex compliance issues
- Export volumes can grow without overwhelming the organisation
- Maintains an audit trail
- Scalable solution to meet future needs.

## Features

- Consolidated restricted parties list
- Daily database updates
- Embargo management
- Licence determination
- ERP integration.

## The challenge of a security conscious climate

Typically companies handle export compliance in one of three ways. Some use a collection of printed documents to check licence and restriction information, some submit information to a subscription service that keeps the regulations online and others key information into a software application. All of these processes take time and require manual effort that can be error prone and costly. Often timescales mean it is not feasible to check every shipment, so a trade-off is made based on the perceived risk of non-compliance. Even where very thorough checking guidelines are in place, the extent to which they are followed can be patchy and difficult to enforce.

As the high cost of carrying inventory leads to more frequent, lower volume shipments, there is greater pressure on compliance professionals within companies and a growing need for tightly controlled, centrally managed compliance. Without doubt, the incentive to automate the compliance process to save time and cost as well as improving consistency is increasing.

## The automated solution to compliance screening

Kewill Export Compliance Solution (ECS) is a real-time, exception-based screening service that takes the time and effort out of ensuring due diligence in international trade. Its central database contains continually updated, global, government-provided lists of denied or restricted parties, known or suspected terrorists or terrorist organisations, embargoed countries and export licence requirements.

By integrating with a company's order processing or ERP systems, Kewill ECS provides a single source against which to automatically screen all trading partners - customers, vendors and business partners. Screening also checks for "red flag" or sensitive words in key communications that may indicate the need for further checks by a compliance professional.

If a potential problem is found during screening, designated people are immediately notified by an automatically generated email so that further investigation can take place. By highlighting suspicious orders in this way, the solution helps users avoid effort on the majority of legitimate orders while reducing the risk of breaking the law and incurring a heavy fine or other related costs.

To facilitate internal management, an audit trail documents all the checks that take place and the outcome that results. The audit screens allow administrators to see how and when checks were made along with the status of the check. The option to update a status is just one of the many features available to administrators.



## Flexibility to meet user requirements

A high degree of flexibility is built-in to Kewill ECS. Users can choose which sanction lists are included in their screening for any transaction, customising Kewill ECS by individual user, company or country of export to fit their location and internal compliance policy perfectly.

Users can also select the level of sophistication used in screening from a basic party name match to more comprehensive matching on fields such as party address or party country. The degree of sensitivity used in screening can also be managed by adjusting the scoring level.

Setting the scoring level high filters out the less likely matches. By populating a table of excluded words, users can define words that should be automatically omitted from the matching process due to dual meanings or general usage.

The way that an organisation accesses Kewill ECS can vary. Integrating the solution with existing order processing or ERP solutions eliminates duplicate

data entry and keystroke errors and enables exception reporting to occur automatically, increasing efficiency. Detailed research can be conducted manually through the Kewill ECS web screens. Web access is also ideal for low volume users.

Where data files are transmitted directly from enterprise systems, Kewill ECS uses the XML standard as its data exchange format. Special adaptors have been developed to convert other data formats to XML for transmission into Kewill ECS and from XML for outbound transmission. There is no need to worry about a problem in an enterprise solution temporarily preventing automated calls to Kewill ECS, users will still be able to access web forms to make individual enquiries.

There is also flexibility in the way that Kewill ECS is hosted. The solution can be supplied as a licensed solution to be hosted behind an organisation's firewall or it can be hosted, more efficiently, at a secure Kewill data centre.

## Optional streamlining through Reverse Denied Party Screening

When integrated with enterprise solutions, the Reverse Denied Party Screening (RDPS) option takes a unique approach to denied or restricted party screening. A company's trading partner list is initially screened against all existing denied parties to ensure compliance. From then on, whenever there are new additions to the lists, trading partners are immediately screened against them and email alerts are only distributed if a new potential match is found. Likewise when new trading partners are added to an organisation's contact database, they are screened. This virtually eliminates the need to screen individual parties on a transaction-by-transaction basis, minimising the impact on the order and shipment processes.

## Long established but state-of-the-art

Kewill ECS is one of the longest established export compliance solutions in the marketplace and the first web-based solution. Its longevity does not mean a dated approach, however, the method by which the solution interrogates databases is state-of-the-art.

With a 30-year history in global trade management solutions that help companies conduct business across borders simply and profitably, Kewill is truly unique in its ability to provide a broad set of end-to-end solutions for the most demanding global traders, worldwide.

The Kewill team comprises international trade experts as well as IT specialists, making the company an ideal one stop shop for all of a company's global trade management needs, both now and in the future.

### Features of Kewill ECS

**ERP integration** - Kewill ECS can integrate with most ERP solutions and uses the XML standard as its data exchange format. Special adaptors have been developed to convert other data formats to XML.

**Consolidated restricted parties list** - Kewill ECS has a central database that includes over 29,000 parties. All relevant sanction lists from the US Departments of Commerce, Homeland Security, Treasury and State are included as well as the relevant lists from Canada, Japan, the EU, the UK, the UN, the World Bank and the list of politically exposed persons.

**Daily database updates** - Dedicated content resources scan the Federal Register and contact the appropriate regulatory agencies on a daily basis to ensure that the database is populated with the latest information.

**Flexible options for denied party screening** - Denied party screening can be carried out in three ways - on a transaction-by-transaction basis, using the RDPS option or manually through a friendly graphical user interface (GUI).

**Variable match screening** - Users can select the level of sophistication used in match screening. Basic screening looks for an exact match of the party. Matching can be carried out on party name, party address or both party name and party address.

**Country match** - The party country match can be set to Yes or No. When set to Yes the search is restricted to records in the Kewill ECS database with the submitted party country. When set to No the search includes parties matching on name or street address regardless of country.

**"Sounds like" screening** - An enhanced "metaphone" algorithm produces a list of possible name and address matches from the Restricted Parties List. These selections are similar but not exact matches and can be analysed by a compliance professional.

**Red flag word screening** - Kewill maintains a sensitive words table. This enables Kewill ECS to identify words (such as atomic or propellant) that, when used in key communications, may indicate the need for a compliance review by a compliance professional.

**Match score filtering** - The degree of sensitivity used in screening can be managed by adjusting the scoring level. Setting the score high filters out the less likely matches.

**Common words exclusion** - A table of excluded words defines words that should be automatically omitted from the matching process due to dual meanings or general usage.

**Regulatory citation link** - Users can access the full text of the relevant US Federal Register citation directly from the Kewill Web User Interface screen.

**Embargo management** - A direct match on ISO country code helps to ensure accurate embargo screening both for government and user-designated sanctions.

**Licence determination** - Dedicated content resources ensure that the database is kept up-to-date by daily review of the US Federal Register, the EU Official Journal and other official sources as well as contact with the appropriate regulatory agencies. ECCN sub-paragraph level classification provides accurate licence determination screening and enables classification verification.

**Training and support** - The Kewill support team comprises international trade experts as well as technical experts to ensure a full range of export compliance needs are met.

## More information

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