

WORK INSTRUCTION 2: SCREENING OF PROJECTS AGAINST EXPORT COMPLIANCE REQUIREMENTS – U.S. DENIAL LISTS

ATTACHMENT 2: GENERAL PROHIBITIONS - SCREENING AGAINST US DENIAL LISTS

Objective

To ensure that SI activities and transactions involving U.S. persons or U.S.-origin items under the jurisdiction of the EAR do not involve persons or organizations restricted by the U.S. Department of Commerce or those persons or entities whose export privileges have been denied or limited by the U.S. Treasury Department or whose names appear on the Debarred List maintained by the U.S. Department of State.

Responsibilities

Human Resources
Fellowship Coordinator
Contracts Specialist
Persons receiving foreign visitors
Units providing financial assistance to foreign persons
Shipping Personnel

Procedure

1. **Denial List Prohibition.** It is prohibited for SI to sell to parties on government denial lists. Therefore, all customer names must be screened against the government lists. The four lists to screen are:

- [Denied Persons List \(DPL\)](#) - Part 764 of the EAR. A 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.
- [Entity List](#) - The Entity List identifies foreign parties that are prohibited from receiving some or all items subject to the EAR unless the exporter secures a license. Those persons present a greater risk of diversion to weapons of mass destruction (WMD) programs, terrorism, or other activities contrary to U.S. national security or foreign policy interests. By publicly listing such persons, the Entity List is an important tool to prevent unauthorized trade in items subject to the EAR.

BIS can add to the Entity List a foreign party, such as an individual, business, research institution, or government organization, for engaging in activities contrary to U.S. national security and/or foreign policy interests. In most instances, license exceptions are unavailable for the export, reexport, or transfer (in-country) to a party on the Entity List of items subject to the EAR. Rather, a prior license is required, usually subject to a policy of denial. For guidance concerning the prohibitions and license application review policy applicable to a particular party, please review that party's entry on the list. Procedures for removal from the Entity List appear in section 744.16 of the EAR. General Orders also may restrict exports to named individuals or entities.

- **Unverified List** - A list of parties where BIS has been unable to verify the end-user 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.
- **List of Specially Designated Nationals** (SDN), Foreign Assets Control Regulations. **These persons/ companies are foreign nationals of, or companies owned or controlled by countries under US trade embargo (Cuba, Democratic Republic of the Congo, Iran, North Korea, Sudan and Syria.)** The Treasury Department maintains a list of terrorist, government official who violate human rights, drug king pins, etc. Check all foreign government organizations and persons against this list before proceeding with contracts
- **Debarred List.** U.S. Dept. of State. These parties are debarred for violation of the Arms Export Control Act. These are listed on the DDTC website www.pmddtc.state.gov

1. Screening of New Collaborators, visitors, organizations

The SI website provides a link to our consolidated denial list screening tool – www.mkdenial.com. Log on and provide the credentials - Request an instruction sheet with information from export@si.edu.

MK Denial-screenshot.doc

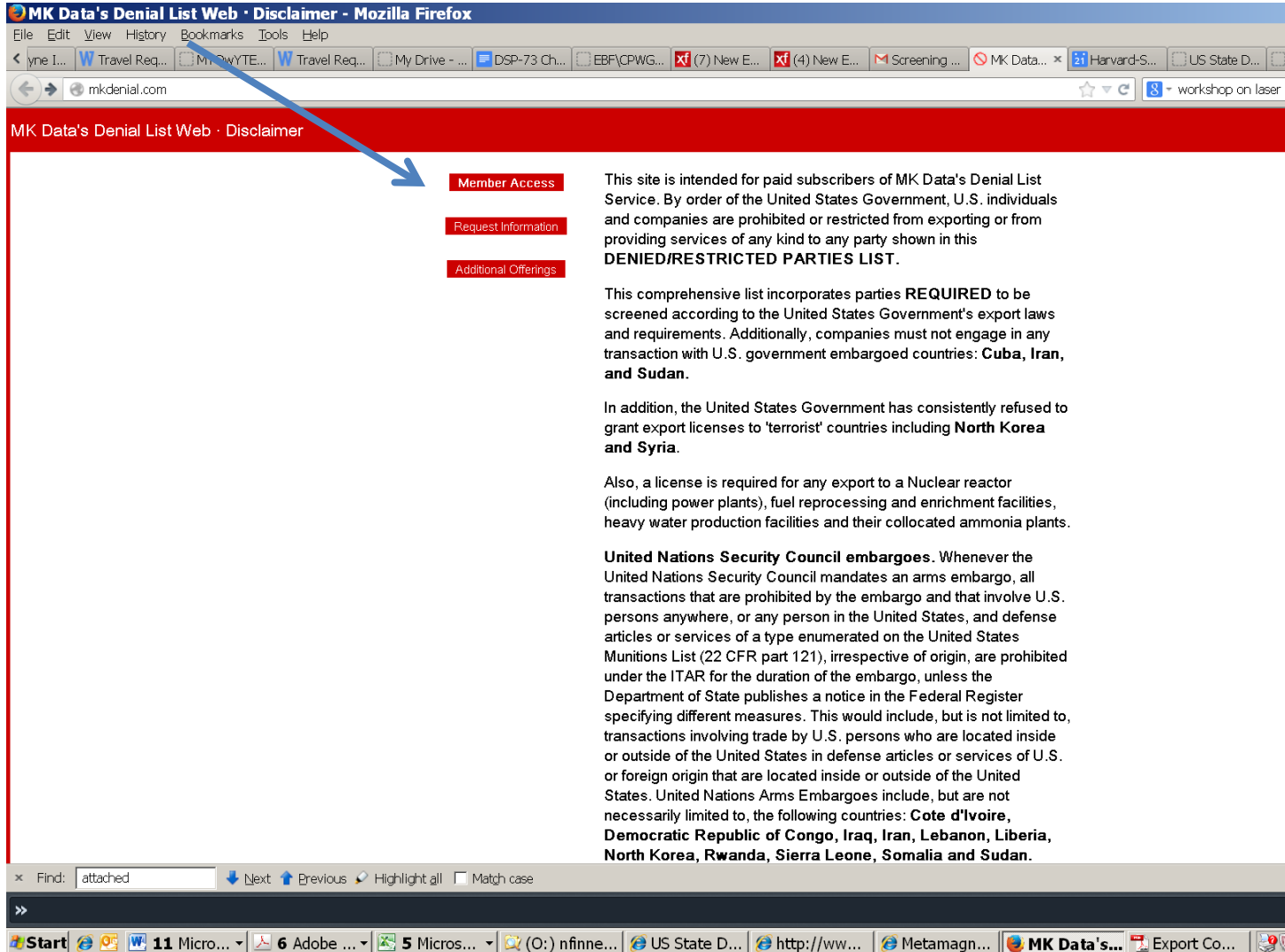
ID 70891 PW smithsonian

The web screening tool allows you to enter the name of a person or organization, (i.e., a student, post doc, researcher, etc.) , their address and country.

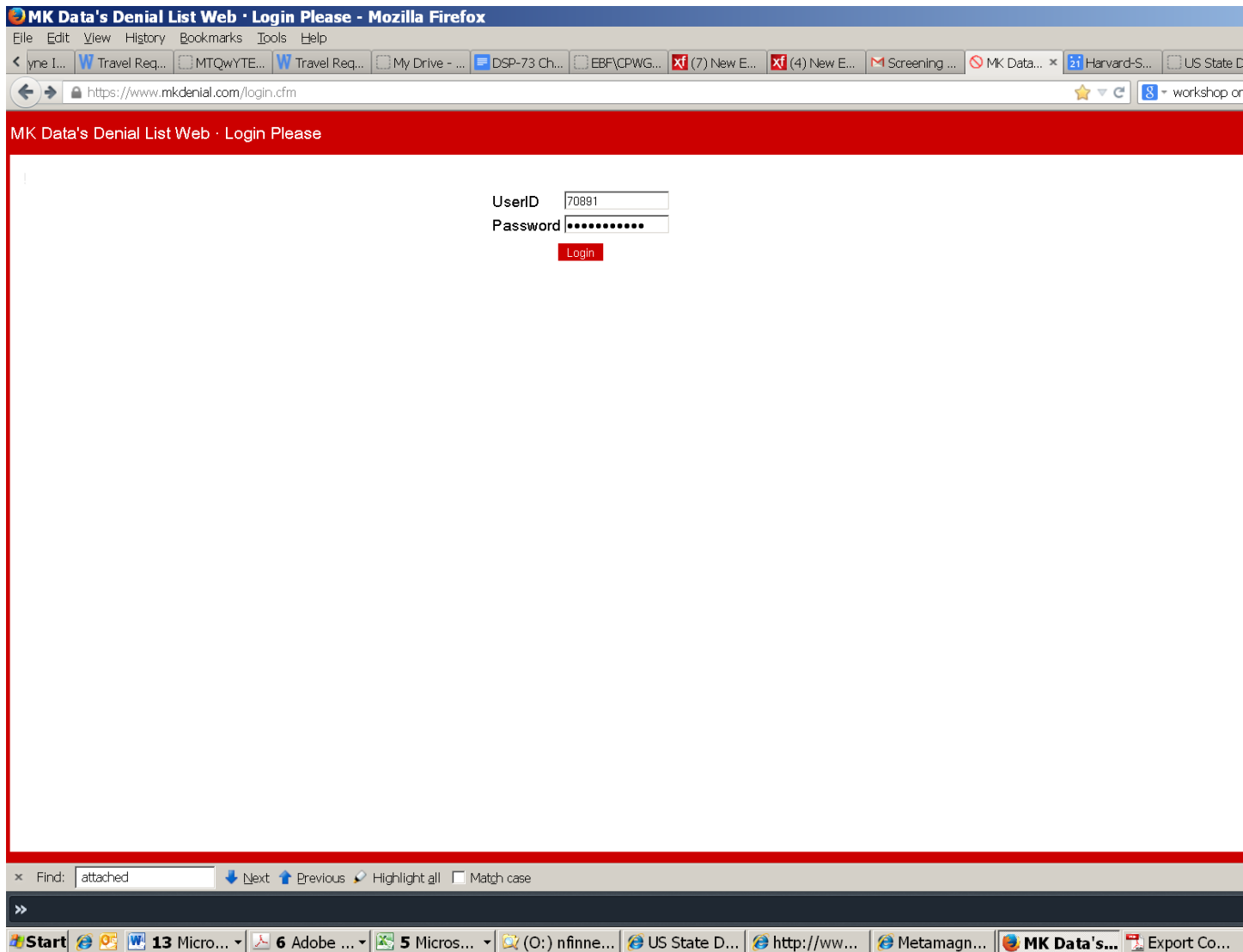
The tool will show a result of “not found” and date should be recorded and saved as an image. The tool will save the screening in an internal log, but the user can opt to save the report. If desired, the user should create an export compliance directory and name each DPL result files as “DPL_name_date”.

INSTRUCTIONS FOR DENIED PERSONS SCREENING OF VISITORS, COLLABORATORS AND SPONSORS

1. GO TO WWW.MKDENIAL.COM. CLICK ON MEMBER ACCESS



2. ENTER OUR LOG-IN CREDENTIALS: ID 70891 PW SMITHSONIAN



3. ACTIVATE THE SEARCH FUNCTION

MK Data's Denial List Web · Main Menu - Mozilla Firefox

File Edit View History Bookmarks Tools Help

https://www.mkdenial.com/menu.cfm

MK Data's Denial List Web · Main Menu
Welcome back, Natascha Finnerty

-- Announcement --
Firewall maintenance scheduled on Saturday August 31 2013 from 7PM to 8PM CDT - the full window should not be required, and downtime should be minimal.

Search/Browse
Recent Updates
Reports
Browse Search Log
Secure Upload
My Profile

Denial List Update: The MK Denial List **was updated** on August 21, 2013

Find: attached Next Previous Highlight all Match case

Start 11 Micros... 6 Adobe ... 5 Microso... (O:) nfiner... US State D... MK Data's... Export Com...

4. FOR VISITORS, ENTER THEIR LAST NAME (I WAS SCREENING CONTRACTORS)

Support

Single Field Search

name all words match Fabian Rosales search

Multiple Field Search

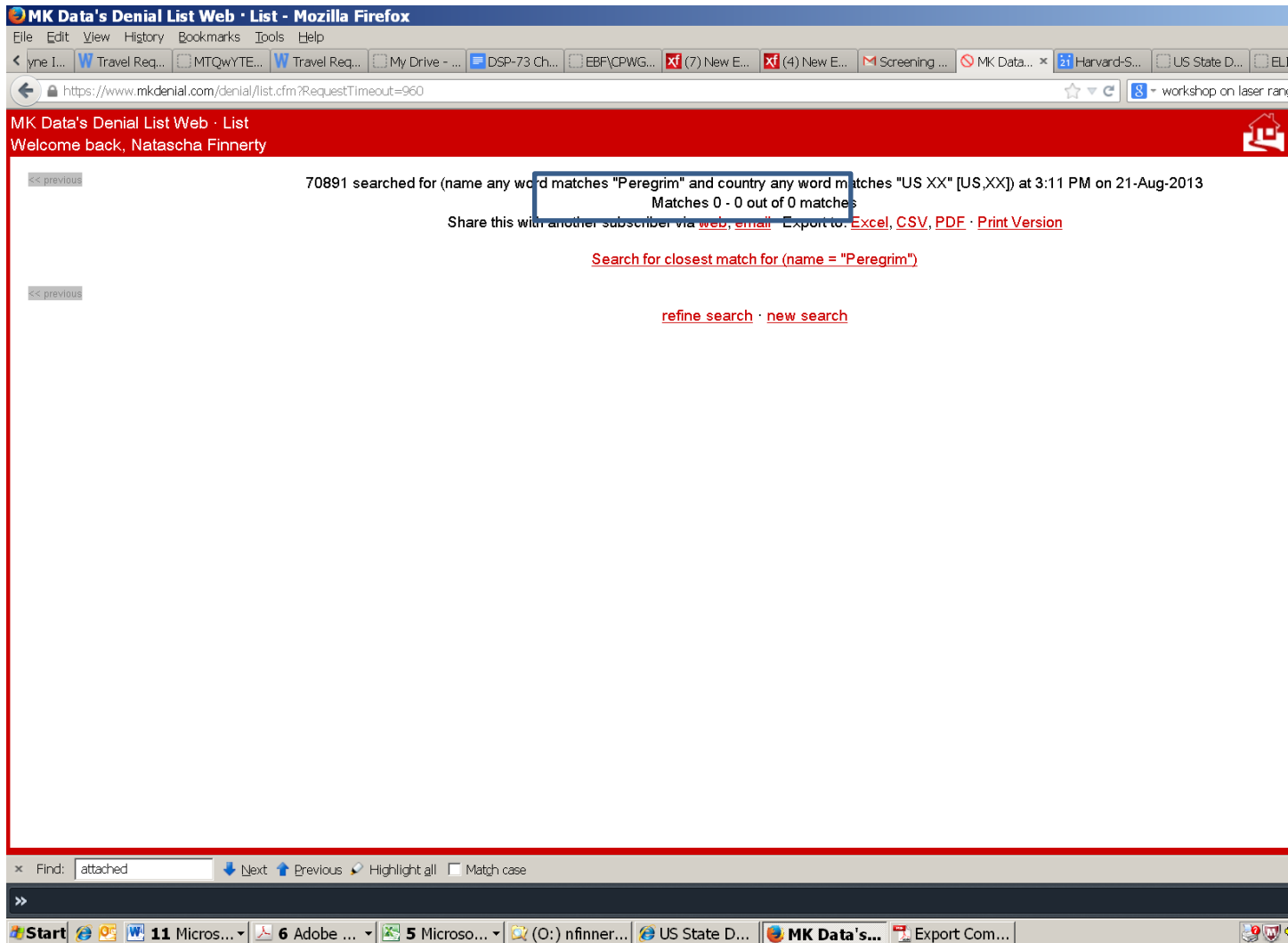
name
street1
street2
city
state
country
code
notes
idnum
*match type: all words match
scope: match all search

* affects all fields

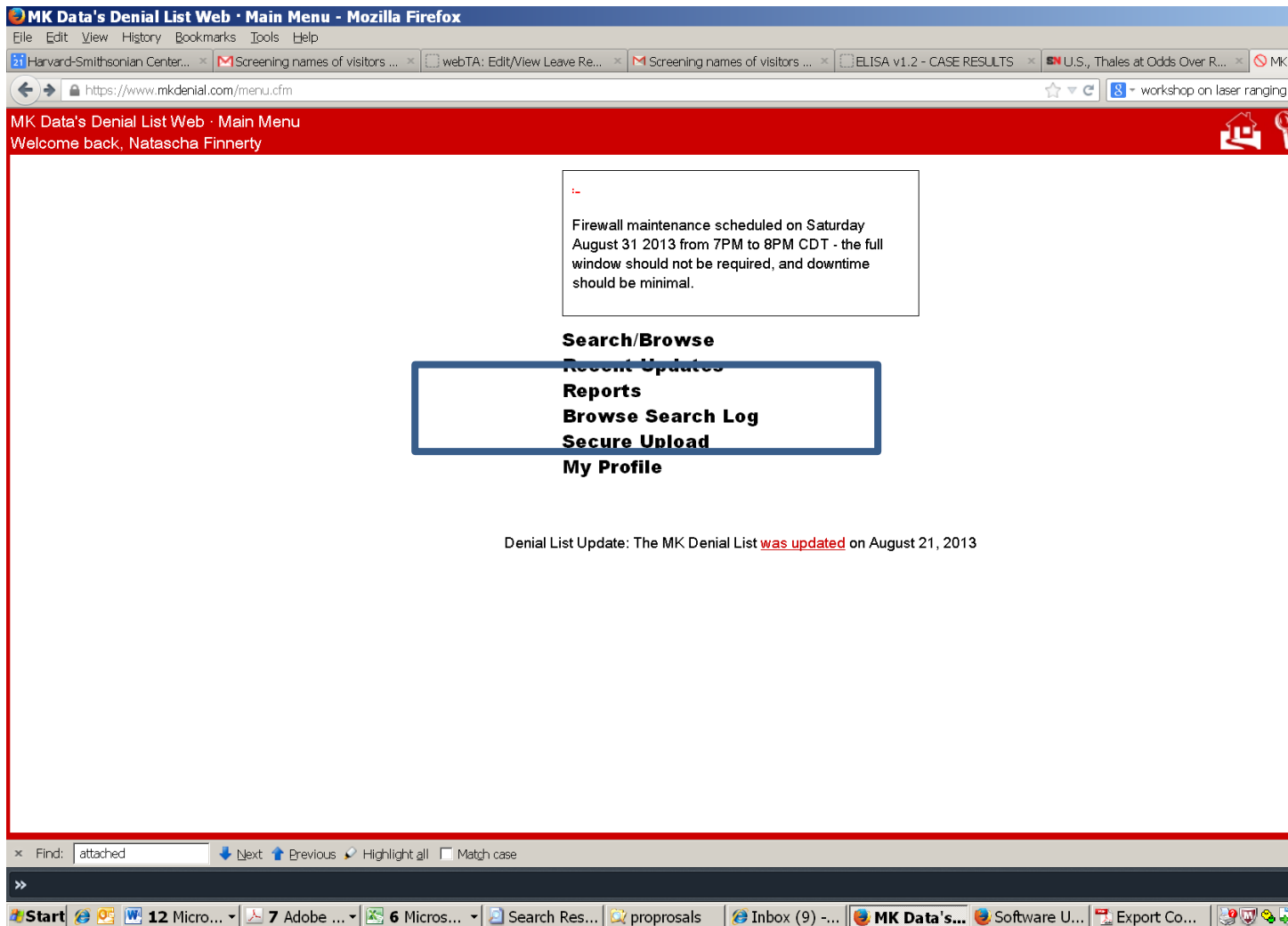
Other

[Browse DPL](#)
[Batch Names](#)
[Classic Search](#)

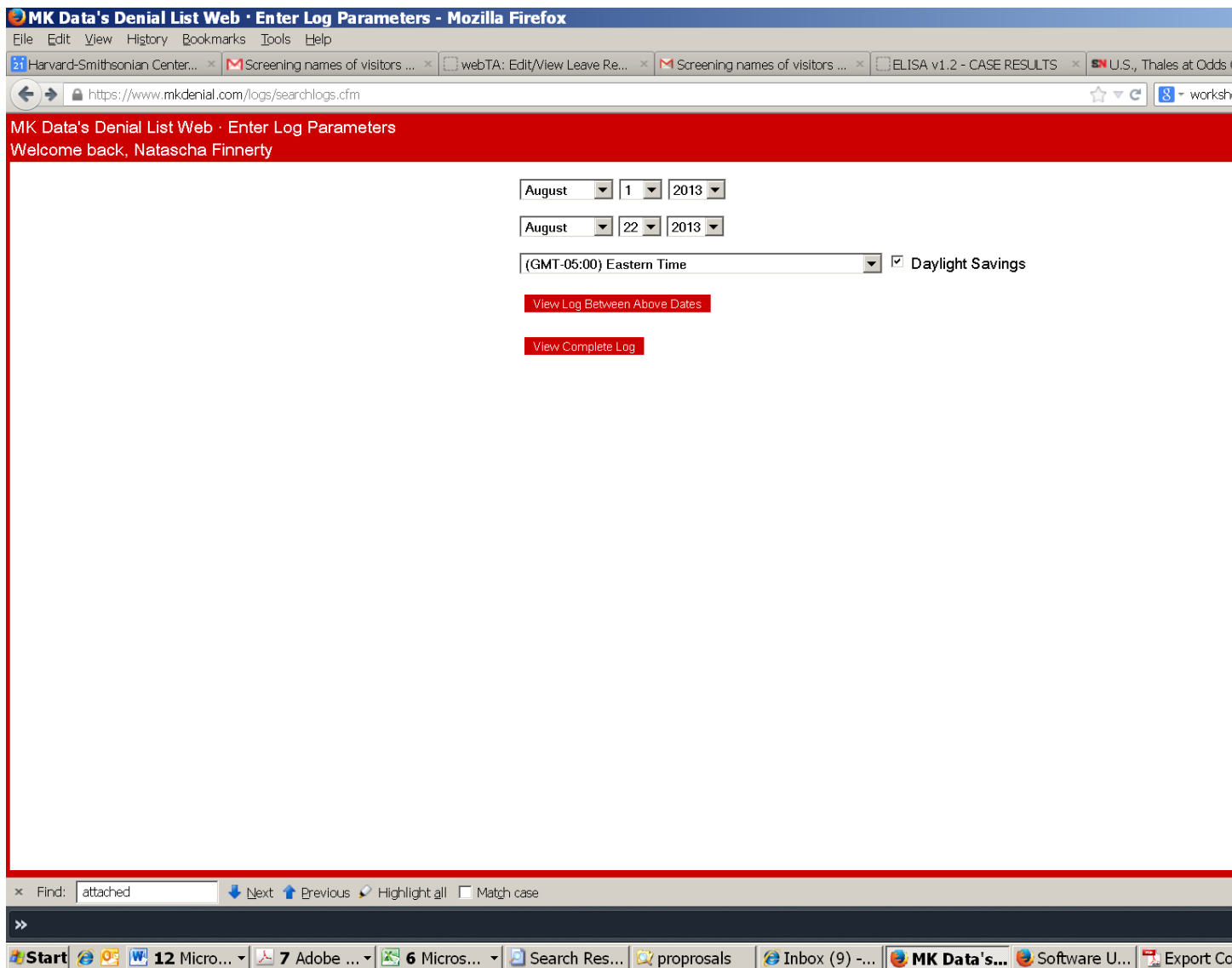
5. YOU LOOK FOR A RESULT WITH "0" HITS



6. THE SEARCHES ARE SAVED AND CAN BE ACCESSED THROUGH THE BROWSE SEARCH LOG



7. ENTER THE SEARCH DATE RANGE (OR OTHER CRITERIA AS DESIRED)



REPORT OF SEARCHES IS GENERATED

MK Data's Denial List Web · Log entries - Mozilla Firefox

File Edit View History Bookmarks Tools Help

Harvard-Smithsonian Center... Screening names of visitors ... webTA: Edit/View Leave Re... Screening names of visitors ... ELISA v1.2 - CASE RESULTS U.S., Thales at Odds Over R...

https://www.mkdenial.com/logs/searchlogs.cfm workshop on laser rang

MK Data's Denial List Web · Log entries

Welcome back, Natascha Finnerty

70891 (Natascha Finnerty of Smithsonian Astrophysical observatory)

Date

to reverse

Query

1 Aug, 2013 16:03	viewed LOPEZ-MARTINEZ, JUAN dos
1 Aug, 2013 16:06	viewed LOPEZ-MARTINEZ, JUAN dos
1 Aug, 2013 16:08	viewed FANG WEI, LI inksa
1 Aug, 2013 16:08	viewed FANGWEI, LI npwmd
1 Aug, 2013 16:11	viewed FANG WEI, LI inksa
1 Aug, 2013 16:11	viewed FANG WEI, LI inksa
1 Aug, 2013 16:11	viewed FANG WEI, LI inksa
1 Aug, 2013 16:15	viewed GARCIA HERNANDEZ, JAVIER sdnt
1 Aug, 2013 16:29	viewed GARCIA HERNANDEZ, JAVIER sdnt
1 Aug, 2013 16:33	viewed MARTINEZ VEGA, JUAN JOSE sdnt
19 Aug, 2013 16:19	Searched for (city any word matches "Santiago" and street2 any word matches "5335 Oficina 507 Las Condes" and street1 any word matches "Avenida de President Riesco" and name any word matches "Cerro Tololo Interamerican Ob Interamerican Observatory) and country any word matches "CL XX" [CL,XX])
20 Aug, 2013 09:31	Searched for (name any word matches "Borghesi" and country any word matches "US XX" [US,XX])
20 Aug, 2013 09:32	Searched for (name any word matches "Glenn" and country any word matches "US XX" [US,XX])
20 Aug, 2013 09:33	Searched for (name any word matches "Kanner" and country any word matches "US XX" [US,XX])
20 Aug, 2013 09:36	Searched for (name any word matches "Peregrim" and country any word matches "US XX" [US,XX])
20 Aug, 2013 09:38	Searched for (name any word matches "Pivelis" and country any word matches "US XX" [US,XX])
20 Aug, 2013 09:39	Searched for (name any word matches "Riley" and country any word matches "US XX" [US,XX])
20 Aug, 2013 09:40	Searched for (name any word matches "Robertson" and country any word matches "US XX" [US,XX])
20 Aug, 2013 09:48	Searched for (name any word matches "Sarkar" and country any word matches "US XX" [US,XX])
20 Aug, 2013 09:49	Searched for (name any word matches "Spinazola" and country any word matches "US XX" [US,XX])
20 Aug, 2013 09:50	Searched for (name any word matches "Streechon" and country any word matches "US XX" [US,XX])
20 Aug, 2013 14:18	Searched for (name any word matches "abbakar")
20 Aug, 2013 14:18	Searched for (name any word matches "suhayl")
20 Aug, 2013 14:18	viewed ABD EL-RAHMAN, SUHAYL SALIM sdnso
20 Aug, 2013 14:19	Searched for (name any word matches "aubourg")
20 Aug, 2013 14:19	Searched for (name any word matches "tyqueo")
20 Aug, 2013 14:20	Searched for (name any word matches "landry")
20 Aug, 2013 14:20	Searched for (name any word matches "madden")
20 Aug, 2013 14:20	Searched for (name any word matches "myers")
20 Aug, 2013 14:20	Searched for (name any word matches "roby")

Find: attached

Next Previous Highlight all Match case

Start 12 Micro... 7 Adobe ... 6 Micros... Search Res... proposals Inbox (9) -... MK Data's... Software U... Export Co...

YOU CAN DOWNLOAD THE LIST PERIODICALLY

MK Data's Denial List Web - Log entries - Mozilla Firefox

File Edit View History Bookmarks Tools Help

Harvard-Smithsonian Center... Screening names of visitors... webTA: Edit/View Leave Re... Screening names of visitors... ELISA v1.2 - CASE RESULTS U.S., Thales at Odds Over R... MK Data's Denial List Web ...

https://www.mkdenial.com/logs/searchlogs.htm

view:american case:country and country any word matches "US XX" [US,XX]

20 Aug. 2013 09:31	Searched for (name any word matches "Borghesi" and country any word matches "US XX" [US,XX])	0
20 Aug. 2013 09:32	Searched for (name any word matches "Glenn" and country any word matches "US XX" [US,XX])	0
20 Aug. 2013 09:33	Searched for (name any word matches "Ganner" and country any word matches "US XX" [US,XX])	0
20 Aug. 2013 09:36	Searched for (name any word matches "Peregrin" and country any word matches "US XX" [US,XX])	0
20 Aug. 2013 09:38	Searched for (name any word matches "Pilevis" and country any word matches "US XX" [US,XX])	0
20 Aug. 2013 09:39	Searched for (name any word matches "Riley" and country any word matches "US XX" [US,XX])	0
20 Aug. 2013 09:40	Searched for (name any word matches "Robertson" and country any word matches "US XX" [US,XX])	0
20 Aug. 2013 09:48	Searched for (name any word matches "Sarkar" and country any word matches "US XX" [US,XX])	0
20 Aug. 2013 09:49	Searched for (name any word matches "Spinazola" and country any word matches "US XX" [US,XX])	0
20 Aug. 2013 09:50	Searched for (name any word matches "Streathon" and country any word matches "US XX" [US,XX])	0
20 Aug. 2013 14:18	Searched for (name any word matches "abbalan")	1
20 Aug. 2013 14:18	Searched for (name any word matches "suhay")	5
20 Aug. 2013 14:18	viewed ASD EL-PAHMAN, SUHAYL, SALIM vbnco	1
20 Aug. 2013 14:19	Searched for (name any word matches "aubourg")	0
20 Aug. 2013 14:19	Searched for (name any word matches "tyqueo")	0
20 Aug. 2013 14:20	Searched for (name any word matches "sandy")	0
20 Aug. 2013 14:20	Searched for (name any word matches "madden")	0
20 Aug. 2013 14:20	Searched for (name any word matches "myers")	0
20 Aug. 2013 14:20	Searched for (name any word matches "roby")	0
20 Aug. 2013 14:20	Searched for (name any word matches "sadden")	0
21 Aug. 2013 15:29	Searched for (name any word matches "tuntz")	27
21 Aug. 2013 15:29	Searched for (name any word matches "gambale")	0
21 Aug. 2013 15:34	Searched for (name any word matches "gambale")	0
21 Aug. 2013 15:36	Searched for (name any word matches "aubourg")	0
21 Aug. 2013 15:38	Searched for (name any word matches "gambale")	0
21 Aug. 2013 15:38	Searched for (name any word matches "james")	24
21 Aug. 2013 15:38	Searched for (name any word matches "tyqueo james")	24
21 Aug. 2013 15:38	Searched for (name any word matches "tyqueo james")	24
21 Aug. 2013 15:38	Searched for (name any word matches "tyqueo james")	24
21 Aug. 2013 15:40	Searched for (name any word matches "tuntz")	0
21 Aug. 2013 15:40	Searched for (name any word matches "madden")	0
21 Aug. 2013 15:40	Searched for (name any word matches "myers")	0
21 Aug. 2013 18:11	Searched for (name any word matches "Peregrin" and country any word matches "US XX" [US,XX])	0
Grand Totals	44 Searches	140

The time zone used to calculate dates and times is GMT-04:00

Export to CSV

Next Previous Highlight all Match case

Start 12 Micro... 7 Adobe... 6 Micros... Search Res... proposals Inbox (8) MK Data's... Software U... Export Co... 11:11 AM