

The University of Texas Rio Grande Valley™

THE FIRST TEXAS UNIVERSITY
FORMED IN THE 21ST CENTURY



Restricted Party Screening using Visual Compliance

September 2020

- Various U.S. government agencies maintain lists of individuals, companies, and organizations (foreign and domestic), whose U.S. export privileges have been blocked, restricted or revoked.
- Referred to as a: “prohibited party,” “specially designated national,” “denied party,” “restricted party,” etc.
- Per the regulations, UTRGV may not engage in any transaction with a restricted party.
- Restricted Party Screening (RPS) is a part of UTRGV’s due diligence to ensure we are compliant with the regulations.



The more details you have, the less likely you are to run into false-positive 'hits'.

A 'hit' is a potential match.

A positive-match is when the result is 100% confirmed to be associated to the individual/entity screened.

Other details may be needed to resolve a 'hit,' such as: date of birth, middle name/initial, street address.





WELCOME "David Sundvall"
[UNIVERSITY OF TEXAS STATE SYSTEM]

- * [CONTROLLED GOODS \(CCL/ECCN\)](#)
- * [U.S. MUNITIONS LIST \(ITAR/USML\)](#)
- * [CLASSIFICATION INVENTORY](#)
- * [RESTRICTED PARTY SCREENING](#)
- * [ADMINISTRATIVE SCREENING](#)
- * [FEDERAL REGULATIONS, RULES, and NOTICES](#)
- * [RECENT FEDERAL U.S. DOCUMENTS](#)
- * [RPS MANAGER](#)
- * [EXPORT INDUSTRY NEWS HEADLINES](#)
- * [GLOBAL TRADE RESOURCES](#)
- * [TECH DATA AND HARDWARE EXPORTS](#)


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RESTRICTED PARTY SCREENING

AUTHORITIES CONSULTED

SANCTION PROGRAMS

REGISTERED USER: David Sundvall, UNIVERSITY OF TEXAS STATE SYSTEM

INDIVIDUAL AND COMPANY SCREENING

Name:

Company:

Address:

City: **State:**

Country:

Comment:

Exact Phonetic Fuzzy Level

Stemming Thesaurus Field Specific

Remove business words

ECCN for country controls check:

Export Sanctions GSA

Police PEP/OIG International

GSA data is updated in full every business day direct from SAM/EPLS.
 Business endings is not selectable when already set as your profile default.
 Fuzzy or phonetic search with thesaurus often produces erratic results.

BLOCKED FOREIGN NATIONALS BY COUNTRY

Display a checklist of blocked foreign nationals in a country:

May entail a margin of error. May include records for the country in the official
 records, including records having alternate country locations in Notes.

BLOCKED ENTITIES AND FUGITIVE LISTS

Display a checklist of entities on the selected government list:

GEOGRAPHIC LOCATION FROM IP ADDRESS

May entail a margin of error.

Fields to use for RPS

Helps focus results

RPS Changes GSA Changes Blocked Vessels IAEA Facilities Risk Country

Restricted Party Screening

Descartes Visual Compliance Research Edition

[CCL/ECCN](#)

[ITAR/USML](#)

[Inventory](#)

RESTRICTED PARTY SCREENING

AUTHORITIES CO

REGISTERED USER: David Sundvall, UNI

INDIVIDUAL AND COMPANY SCREENING

Name:

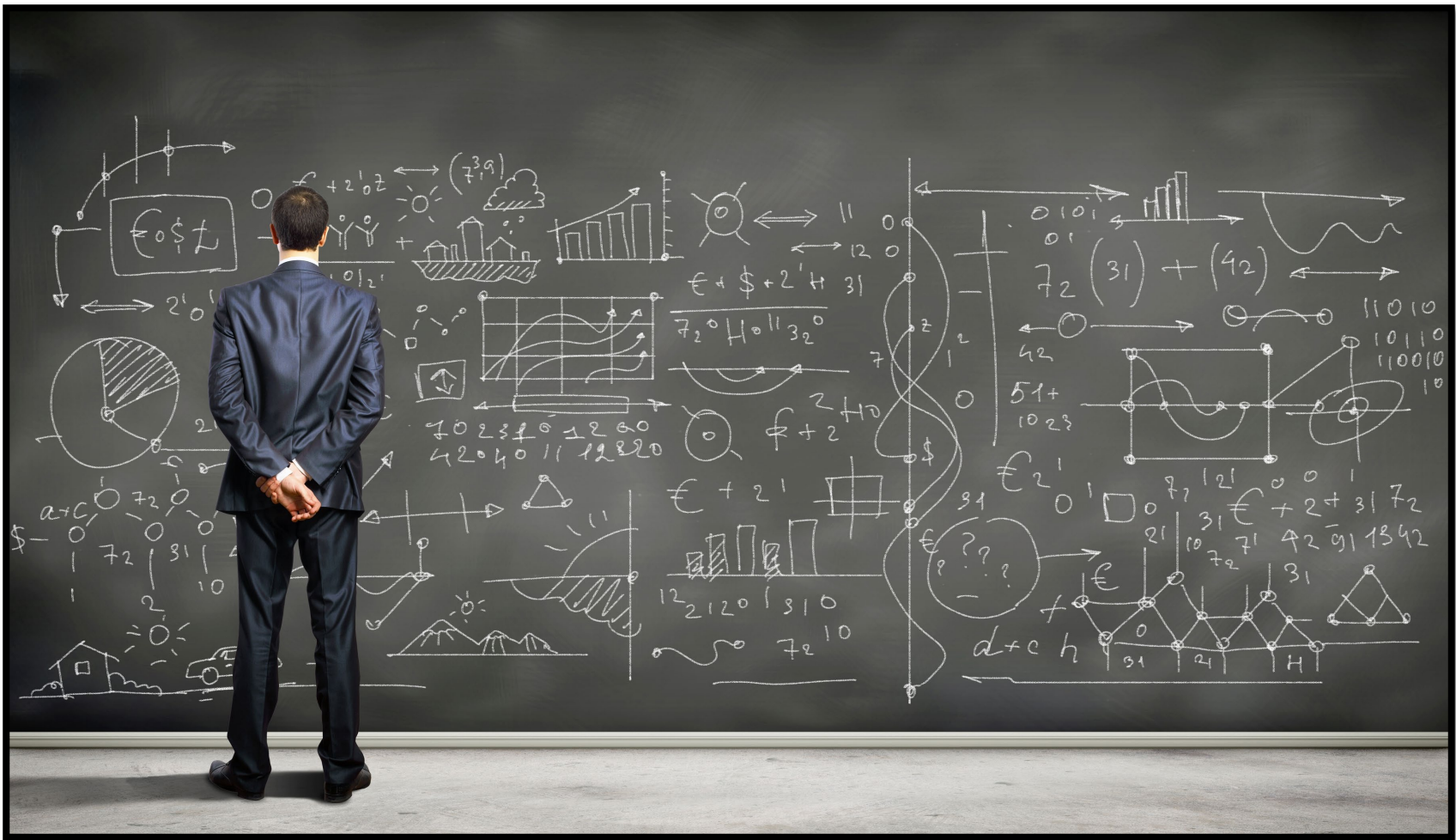
Company:

Address:

City: **State:**

Country:

If you are screening an individual who is affiliated with an organization, conduct 2 separate screenings; one on the individual and one on the organization. It is not recommended that you conduct one screening with both the name of the individual and the organization.



RPS Example

INDIVIDUAL AND COMPANY SCREENING

Name:

Company:

Address:

City: **State:**

Country:

Comment:

Exact Phonetic Fuzzy Level

Stemming Thesaurus Field Specific

Remove business words Weighted

ECCN for country controls check:

VISUAL COMPLIANCE
Research Edition

NO MATCHING RECORDS FOUND

Your search of the Visual Compliance Restricted Party Screening database failed to return any records.
Comment: TRAINING EXAMPLE

Search criteria:

Name: n/a
Company: Australian Bureau of Meteorology
Address: 700 Collins Street, Docklands
City: Melbourne
State: VIC
Country: Australia [AU]

Search type:

For Fuzzy [1] matches.
Field Specific on, Business words removal
[Export, Sanctions, GSA, Police, PEP and International data groups.*]
GSA data is updated in full every business day direct from SAM/EPLS.

Date of search: Monday, March 25, 2019
Time of search: 03:02 PM EDT

- “No Matching Records”
- ✓ Okay to proceed

INDIVIDUAL AND COMPANY SCREENING

Name:

Company:

Address:

City: **State:**

Country:

Comment:

Exact
 Phonetic
 Fuzzy Level

Stemming
 Thesaurus
 Field Specific

SCREEN

VISUAL Compliance RESEARCH EDITION eCustoms

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

NO MATCHING RECORDS FOUND
 Sanctions, embargoes, or risk alerts apply to the country supplied for this entity.

Search same keywords again New Search

Your search of the Visual Compliance Restricted Party Screening database failed to return any records.
 Comment: **Comment: Training Example**

Search criteria:
 Name: Vladimir Putin
 Company: n/a
 Address: n/a
 City: n/a
 State: n/a
 Country: Russian Federation [RU] *

Search type:
 For Exact matches.
 Stemming on, Thesaurus on, Field Specific on, Business words removal [Export, Sanctions, GSA, Police, PEP and International data groups.*]
 GSA data is updated in full every business day direct from SAM/EPLS.

Date of search: Friday, September 29, 2017
Time of search: 04:44 PM EDT

***Country Notes:**
 The following conditions apply to the country supplied for this entity. For sanctions, see the U.S. Sanctions and Embargoes Programs Summary for more information.

ALERT

- Subject to sanctions or special controls on specified items under EAR Part 746, Embargoes and Other Special Controls (and requirements under General Prohibition Six, Part 736).
- Restricted as an export destination under EAR Part 736 General Prohibition Three (Foreign-produced direct product re-exports).
- Restricted as an export destination under EAR Part 736 General Prohibition Eight (In transit shipments and items to be unladen from vessels or aircraft).
- Subject to Government of Canada Economic Sanctions.
- Restricted as an export destination under Office of Foreign Assets Control (OFAC) Sanctions, or to Specially Designated Nationals under OFAC Sanctions. General Licenses may apply.
- Subject to Department of State Directorate of Defense Trade Control restrictions, limitations, denial policy, case-by-case basis, or delays on license applications for the export of U.S. Munitions List (USML) items.
- Subject to military end-user and/or end-use based control policy for specified ECCN dual-use items under EAR Part 744 or related policy, or policy of denial for CCL items that contribute to military capabilities.
- Subject to European Union Arms Embargoes or E.U. restrictive measures related to the export of arms based on political commitment
- Restricted as an export destination under EAR Part 736 General Prohibition Three (Foreign-produced direct product re-exports) for ECCN 0A919 and 9x515 or "600 series" items in the Commerce Control List.

PDF PRN

E-MAIL THESE RESULTS

*** Authorities:**

- AECA Debarred Parties [DDTC]
- AFOSI - Top Ten Fugitives
- ATF Most Wanted
- Australia Foreign Affairs Consolidated List
- Blocked Pursuant to EO 13599 [OFAC]
- Canada Economic Sanctions

- “No Matching Records”
- Transaction does not involve controlled activity under “Country Notes”
- ✓ Okay to proceed

Country Notes are advisory only

***Country Notes:**



The following conditions apply to the **country** supplied for this entity. For sanctions, see the *U.S. Sanctions and Embargoes Programs Summary* for more information.

- Subject to sanctions or special controls on specified items under EAR Part 746, Embargoes and Other Special Controls (and requirements under General Prohibition Six, Part 736).
- Restricted as an export destination under EAR Part 736 General Prohibition Three (Foreign-produced direct product re-exports).
- Restricted as an export destination under EAR Part 736 General Prohibition Eight (In transit shipments and items to be unladen from vessels or aircraft).
- Subject to Government of Canada Economic Sanctions.
- Restricted as an export destination under Office of Foreign Assets Control (OFAC) Sanctions, or to Specially Designated Nationals under OFAC Sanctions. General Licenses may apply.
- Subject to Department of State Directorate of Defense Trade Control restrictions, limitations, denial policy, case-by-case basis, or delays on license applications for the export of U.S. Munitions List (USML) items.
- Subject to military end-user and/or end-use based control policy for specified ECCN dual-use items under EAR Part 744 or related policy, or policy of denial for CCL items that contribute to military capabilities.
- Subject to European Union Arms Embargoes or E.U. restrictive measures related to the export of arms based on political commitment
- Restricted as an export destination under EAR Part 736 General Prohibition Three (Foreign-produced direct product re-exports) for ECCN 0A919 and 9x515 or "600 series" items in the Commerce Control List.

A country warning appears for countries where there are restrictions due to sanctions or embargoes (e.g., China, Iran, Cuba, Syria, North Korea). As long as the collaboration does not involve export control activities, there would be no concern for deemed exports.

Example-A: RPS is for Iran national. Scope of work is to conduct research. Assuming there were no results on individual; as long as research is considered fundamental and all data is publicly available, and the individuals is not going to work on any projects covered by a Technology Control Plan (TCP), there would be no concern for deemed exports.

Example-B: RPS is for visiting scholar from China. The visiting scholar will work on DoD funded research. Export Controls Officer should review to ensure there are no restrictions in the terms of the award and confirm that the project is not on a Technology Control Plan.

INDIVIDUAL AND COMPANY SCREENING

Name:

Company:

Address:

City: **State:**

Country:

Comment:

Exact
 Phonetic
 Fuzzy Level

Stemming
 Thesaurus
 Field Specific

Remove business words
 Weighted

ECCN for country controls check:

Export
 Sanctions
 GSA

Police
 PEP/OIG
 International
 Reset Defaults

GSA data is updated in full every business day direct from SAM/EPLS.
Fuzzy searches including GSA are automatically limited to level 2.
Business endings is not selectable when already set as your profile default.
Fuzzy or phonetic search with thesaurus often produces erratic results.

SCREEN

- Exact search
- Name does not match
- ✓ Okay to move forward

Descartes Visual Compliance Research Edition

CCL/ECCN ITAR/USML Inventory RPS Regu

You searched for any records containing:

Search criteria: Name: denise blake

Company: n/a
Address: n/a
City: n/a
State: n/a
Country: n/a

Comment: Comment: training search only

Search type: for Fuzzy [2] matches, which returned 1 result.
Field Specific on, Business words removal
[Export, Sanctions and GSA data groups.*]
GSA data is updated in full every business day direct from SAM/EPLS.

Date of search: Thursday, August 27, 2020

Time of search: 10:06 AM EDT

PDF **EXCEL**

Reference	Name
REL030381	Shelia Denise BLAKES BATON ROUGE LA United States

- Fuzzy search
- Potential match
- ✓ Clear before moving forward

It is important to pay close attention to spelling in the search results and compare to what you typed in the search criteria.

VISUAL Compliance RESEARCH EDITION **eCustoms**

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

You searched for any records containing:

Search criteria: Name: **Alexis Flores**
 Company: n/a
 Address: n/a
 City: n/a
 State: n/a
 Country: n/a

Comment: Comment: Training Sample

Search type: for Exact matches, which returned 7 results. Stemming on, Thesaurus on, Field Specific on, Business words removal [Export, Sanctions, GSA, Police, PEP and International data groups.*] GSA data is updated in full every business day direct from SAM/EPLS.

Date of search: Friday, November 3, 2017
Time of search: 02:17 PM EDT

RESOLVE MATCH RESULTS


PDF PRN EXCEL

Reference	Name
FTF000017	FLORES, Alexis AKA FLORES, Mario AKA FLORES, Mario Roberto AKA ROBERTO, Mario F. AKA CONTRERAS, Alex AKA CONTRERAS, Alesis
REL065651	Alejandro FLORES CACHO OJOS NEGROS, BAJA CALIFORNIA NORTE Mexico
REL065652	Alejandro CACHO FLORES XUN
REL065685	Alejandro HERNANDEZ- FLORES XX United States
REL091103	Alexander Jose GONZALEZ- FLORES LOXAHATCHEE FL United States
REL091105	Alexander GONZALEZ- FLORES LOXACHATCHEE FL United States
SDN056186	FLORES CACHO, Alejandro AKA BOLANOS CACHO, Alejandro AKA CACHO FLORES , Alejandro AKA ROBLES VALDEZ, Abel AKA "Alejandro Labastida" AKA "Guillermo Labastida" Ojos Negros MX

RPS Details Close

Reference: FTF000017

Description: FLORES, Alexis
AKA FLORES, Mario
AKA FLORES, Mario Roberto
AKA ROBERTO, Mario F.
AKA CONTRERAS, Alex
AKA CONTRERAS, Alesis

Notes: Wanted for: Unlawful flight to avoid prosecution, kidnapping, murder.
 DOB: (07/18/1975)(07/18/1982)(09/15/1980)(07/17/1982) POB: (HN).

 eyes: ; White (Hispanic) male, 5 feet 4 inches, 130 to 140 lbs., black hair, brown

Federal Register: N/A

Source: FBI Ten Most Wanted Fugitives

PDF PRN E-MAIL THESE RESULTS

PDF PRN EXCEL

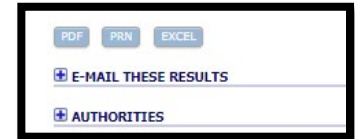
E-MAIL THESE RESULTS

AUTHORITIES

When you click on the Reference link, a dialogue box will appear with additional details that may help in discerning whether the screening results are indeed connected to the individual or entity that you are screening.

Emailing Results

At the bottom of the search results will be an expandable box to “E-MAIL THESE RESULTS.” Click on the + to expand.



E-MAIL THESE RESULTS

Send to me.

Send to this address:

david.sundvall@utrgv.edu

Please type carefully. Email addresses with errors cannot be delivered.

Send to addresses on my list:

There are no email addresses in your personal distribution list.

Send to [address groups](#) on my list:

There are no email groups in your personal distribution list.

Notations to this results email:

Include entity searched in subject line.

Include your name (the user who made the search) in subject line.

MAIL

Emailing results should *only* be to those within UTRGV who have a need to know.

Daily RPS Dynamic Screening Alert (CSRPS21)

Please exercise caution when clicking on links or opening attachments.

NOTICE: Visual Compliance RPS Dynamic Screening has found a same-

Attn: UNIVERSITY OF TEXAS STATE SYSTEM - UNIVERSITY OF TEXAS

Original Search

User: ██████████ (UNIVERSITY OF TEXAS RIO GRANDE VALLEY)

Date of Search: Wednesday, April 30, 2014

Time of Search: 12:07:42 PM EDT

Search Type: Exact [Export, Sanction, GSA, Police, PEP, International]

Name: N/A

Company: KEVIN

Address: \$FARMINGDALES\${NY}

Country: US

Comment: N/A

Dynamic Screening Alert

Date of Search: Tuesday, August 25, 2020

Time of Search: 12:28:55 PM EDT

Alert Type: RED FLAG

MSR Reference Number: REL107636

Name: Kevin Michael MCKEOWN

When an individual or entity has been screened it is automatically re-screened periodically. If the original search appears on a new list, or there is new information related to the search result – the person who conducted the screening will receive an email to alert of the update. The Export Controls Officer receives a copy of all dynamic screening alerts.

When these emails are sent, it is the Screener's responsibility to verify that the emailed results are not an issue. This is where inserting a comment in the original search becomes helpful.

Contact

ResearchCompliance@utrgv.edu when in doubt.

Questions or request for access to
Restricted Party Screening with Visual
Compliance should be directed to:

David Sundvall, Export Controls Officer
E-INNV 1.120

ResearchCompliance@utrgv.edu

956-665-7873

End