



Federal Agency Sanctions & Watch Lists

This section examines public record databases of individuals and companies that have sanctions, violations, enforcement actions, or warnings initiated against them by one of these federal government departments—

- Consolidated Export Screening List with Export Specific Lists From:
 - o Department of Commerce Department
 - o Department of State
 - o Department of the Treasury
- FDA - Food & Drug Administration
- GSA – Government Services
- Human Health Care Services Department
- Justice Department
- Labor Department
- Occupational Safety & Health Administration (OSHA)
- State Department
- Treasury Department

Enforcement actions taken by the Federal Reserve or enforcement action involving stocks and securities are found in a different article.

Consolidated Screening List of Eleven Databases

The Consolidated Screening List (CSL) is a list of parties for which the U.S. Department of Commerce, State and the Treasury maintain restrictions on certain exports, re-exports or transfers of items. The purpose of the CSL is to provide an aide to industries or entities when conducting electronic screens of potential parties to regulated transactions. The CSL web page at <https://www.trade.gov/consolidated-screening-list> has links to these eleven lists of parties. The web page also provides a **search** encompassing all eleven lists as well as a means to download the Consolidated Screening List as well as sign-up for updates.

The eleven database lists are described below.

From the Commerce Department, Bureau of Industry and Security (BIS)

1. Denied Persons List

The Denied Persons List contains Individuals and entities that have been denied export privileges. Meant to prevent the illegal export of dual-use items before they occur and to

investigate and assist in the prosecution of violators of the Export Administration Regulations.

2. Unverified List

This list of parties whom BIS has been unable to verify in some manner in prior transaction, includes names and countries of foreign persons who in the past were parties to a transaction with respect to which BIS could not conduct a pre-license check ("PLC") or a post-shipment verification ("PSV") for reasons outside of the U.S. Government's control.

3. Entity List

The Entity List is a list of parties whose presence in a transaction can trigger a license requirement under the Export Administration Regulations. The original purpose was to inform the public of entities whose activities imposed a risk of diverting exported and re-exported items into programs related to weapons of mass destruction. Now the list includes those with any license requirements imposed on the transaction by other provisions of the Export Administration Regulations. The list specifies the license requirements that apply to each listed party.

From the Department of State:

4. Nonproliferation Sanctions List

This shows parties who have been sanctioned under various statutes per the Bureau of International Security. Note webpage is updated as appropriate, but the Federal Register is the only official and complete listing of nonproliferation sanctions determinations.

5. AECA Debarred List

Per the Directorate of Defense Trade Controls, this displays entities and individuals prohibited from participating directly or indirectly in the export of defense articles, including technical data and defense services. Pursuant to the Arms Export Control Act (AECA) and the International Traffic in Arms Regulations (ITAR), the AECA Debarred List includes persons convicted in court of violating or conspiring to violate the AECA and subject to "statutory debarment" or persons established to have violated the AECA in an administrative proceeding and subject to "administrative debarment."

From the Department of the Treasury:

6. Specially Designated Nationals (SDN) List

Per the Office of Foreign Assets Control, the **Specially Designated Nationals List** shows parties who may be prohibited from export transactions based on OFAC regulations.

7. Foreign Sanctions Evaders List

Foreign individuals and entities determined to have violated, attempted to violate, conspired to violate, or caused a violation of U.S. sanctions on Syria or Iran, as well as foreign persons who have facilitated deceptive transactions for or on behalf of persons subject to U.S. Sanctions. Transactions by U.S. persons or within the United States involving Foreign Sanctions Evaders (FSEs) are prohibited.

8. Sectoral Sanctions Identifications (SSI) List:

Individuals operating in sectors of the Russian economy with whom U.S. persons are prohibited from transacting in, providing financing for, or dealing in debt with a maturity of longer than 90 days.

9. Palestinian Legislative Council (PLC) List:

Individuals of the PLC who were elected on the party slate of Hamas, or any other Foreign Terrorist Organization (FTO), Specially Designed Terrorist (SDT), or Specially Designated Global Terrorist (SDGT). FDA – Food & Drug Administration.

10. The List of Foreign Financial Institutions Subject to Part 561:

The Part 561 List includes the names of foreign financial Institutions that are subject to sanctions, certain prohibitions, or strict conditions before a U.S. company may do business with them.

11. Non-SDN Iranian Sanctions Act List (NS-ISA):

The ISA List includes persons determined to have made certain investments in Iran's energy sector or to have engaged in certain activities relating to Iran's refined petroleum sector. Their names do not appear on the Specially Designated Nationals or Blocked Persons (SDN) List, and their property and/or interests in property are not blocked, pursuant to this action.

FDA-Food & Drug Administration

The FDA regulates scientific studies designed to develop evidence to support the safety and effectiveness of investigational drugs (human and animal), biological products, and medical devices. Physicians and other qualified experts ("clinical investigators") who conduct these studies are required to comply with applicable statutes and regulations intended to ensure the integrity of clinical data on which product approvals are based and, for investigations involving human subjects, to help protect the rights, safety, and welfare of these subjects.

FDA Enforcement Report Index - Recalls, Market Withdrawals, and Safety Alerts

The FDA Enforcement Report, published weekly, contains information on actions taken in connection with agency regulatory activities. Data includes Recalls and Field Corrections, Injunctions, Seizures, Indictments, Prosecutions, and Dispositions. Pending Recalls and Archived Enforcement Reports going back to 2010 is found at the agency's web page at <https://www.fda.gov/safety/recalls-market-withdrawals-safety-alerts/enforcement-reports>.

Visit <https://www.fda.gov/safety/recalls-market-withdrawals-safety-alerts/enforcement-reports> for the most significant recalls, market withdrawals and safety alerts of products; all listed are based on the extent of distribution and the degree of health risk.

Debarment List

The FDA maintains a list at <https://www.fda.gov/inspections-compliance-enforcement-and-criminal-investigations/compliance-actions-and-activities/fda-debarment-list-drug-product-applications> of individuals and entities that are prohibited from introducing any type of food, drug, cosmetics or associated devices into interstate commerce.

Disqualified or Restricted Clinical Investigator List

A disqualified or totally restricted clinical investigator is not eligible to receive investigational drugs, biologics, or devices. Some clinical investigators have agreed to certain restrictions with respect to their conduct of clinical investigations. See <https://www.fda.gov/inspections-compliance-enforcement-and-criminal-investigations/compliance-actions-and-activities/clinical-investigators-disqualification-proceedings>.

GSA - Government Services

Excluded Party List

The Excluded Parties List System (EPLS) contains information on individuals and firms excluded by various Federal government agencies from receiving federal contracts or federally approved

subcontracts and from certain types of federal financial and non- financial assistance and benefits. Note that individual agencies are responsible for their data.

EPLS is now provided by the System for Award Management (SAM), which is combining federal procurement systems and the Catalog of Federal Domestic Assistance into one new system. See <https://federalcontractorregistry.com/>

Note: The SAM web page also provides searches capabilities for other databases, as outlined later in this section.

Human Health Services, Department of

Excluded Individuals/Entities (LEIE)

The LEIE maintained by the Office of Inspector General (OIG) for the Department of Human Health Services is a list of currently excluded parties. The exclusions are based on convictions for program-related fraud and patient abuse, licensing board actions, and default on Health Education Assistance Loans. The searchable database is found at <https://exclusions.oig.hhs.gov/>. A downloadable version is at https://oig.hhs.gov/exclusions/exclusions_list.asp.

Justice Department

There are a number of Divisions within the Justice Department that maintain news articles, stories, records lists, and most wanted lists that can be very useful for research and investigation purposes.

Bureau of Alcohol, Tobacco, Firearms and Explosives

Below are two online resources:

- Federal Firearms License Validator - <https://fflezcheck.atf.gov/FFLEzCheck/>
- ATF Most Wanted List - <https://www.atf.gov/most-wanted>

Bureau of Investigation (FBI)

The FBI's Most Wanted Site at <https://www.fbi.gov/wanted> contains numerous lists to search, including kidnappings, missing persons, unknown bank robbers, and others.

Drug Enforcement Administration (DEA)

Search DEA fugitives at <https://www.dea.gov/fugitives> by major metro areas. Also, major international fugitives and captured fugitives are found here.

Labor Department: Labor and Labor Unions

The Office of Labor-Management Standards (OLMS) in the U.S. Department of Labor is the Federal agency responsible for administering and enforcing most provisions of the Labor-Management Reporting and Disclosure Act of 1959, as amended (LMRDA). Note that OLMS does not have jurisdiction over unions representing solely state, county, or municipal employees. OLMS responsibilities include:

- Public Disclosure of Reports
- Compliance Audits
- Investigations
- Education and Compliance Assistance

The OLMS Internet Public Disclosure Room web page <https://www.dol.gov/agencies/olms/public->

[disclosure-room](#) enables users to view and print reports filed by unions, union officers and employees, employers, and labor relations consultants.

Occupational Safety & Health Administration (OSHA)

The purpose of the Occupational Safety & Health Administration (OSHA) is to insure employee safety and health in the U.S. by setting and enforcing standards in the workplace. OSHA partners with the states for inspections and enforcements, along with education programs, technical assistance and consultation programs.

There are a number of searchable OSHA databases are at <https://www.osha.gov>. For example, search by establishment name for information on over 3 million inspections conducted since 1972 at see <https://www.osha.gov/data>. You can also search by the North American Industry Classification Code (NAIC) or the Standard Industrial Classification Code (SIC).

Another useful search is of the Accident Investigation database at <https://www.osha.gov/ords/imis/accidentsearch.html>. This database contains abstracts dating back to 1984 and injury data dating back to 1972.

Treasury Department

Federal Contractor & Vendor Eligibility Sites

An avenue of public record data sometimes overlooked is the licensing of individual and businesses to do business for the U.S. government. Below are two resources from this agency.

1. Central Contractor Registration (CCR)

The Central Contractor Registration (CCR) registers all companies and individuals that sell services and products to, or apply for assistance from, the federal government. The 450,000+ registrants at CRR are searchable online using a Unique Entity ID number, company name, or other criteria.

CCR is now provided by the System for Award Management (SAM), which is combining federal procurement systems and the Catalog of Federal Domestic Assistance into one new system. See <https://www.sam.gov/SAM/>.

2. Online Representations and Certifications Application (ORCA)

The ORCA system allows contractors to enter company data regarding certification needed on federal contracts. This is a publicly accessible database, but it does require the subject's Unique Entity ID number.

ORCA is now provided by the System for Award Management (SAM) as described above.

Note: On April 4, 2022, the unique entity identifier used across the federal government changed from the DUNS Number to the Unique Entity ID.

About the Unique Entity ID & Transition

- Is a 12-character alphanumeric ID assigned to an entity by SAM.gov
- The previously used DUNS Number has been removed from SAM.gov