



EXPORT COMPLIANCE PROGRAM SELF-EVALUATION CHECKLIST

- ☐ Are management commitment and managerial involvement clearly apparent?
- ☐ Are sufficient resources, including qualified and dedicated employees, committed to support the compliance program?
- ☐ Are there established mechanisms through which employees feel safe and comfortable reporting concerns regarding noncompliance activity?
- ☐ Do you have established compliance policies, procedures, and standards of conduct for export operations and personnel?
- ☐ Is there a sufficient level of written operational guidance to ensure day-to-day compliance?
- ☐ Are there effective lines of communication throughout export operations?
- ☐ Has your organization built compliance partnerships and applied programs globally?
- ☐ Does your organization provide training to ALL employees on export-compliance policies and specialized training on policies and procedures for those directly involved in exports and the export-compliance program?
- ☐ Have you implemented checks and safeguards, including screening of parties and activities, throughout all export processes?
- ☐ Does your program ensure compliance and detect violations through continuous monitoring and audit systems, and does it also ensure appropriate recordkeeping?
- ☐ Does your program ensure consistent and quick responses to detected violations? Does it have an established procedure for escalating problems and taking corrective action when needed?

Investing in an Export (or ITAR) Compliance Program that is well integrated into your current business processes will jumpstart your program and lend predictability, consistency, and security to your export transactions. A well-implemented program that includes detailed step-by-step procedures tailored to the specifics of your business, can also lend sustainability and longevity to your business. This is especially important given the heightened penalties for export violations.



Contact S Massie Consulting
to review your
Export Compliance Program

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