



What's New?

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Exporting

- Commerce publishes a new Self-Assessment Tool



**U.S. DEPARTMENT OF COMMERCE
BUREAU OF INDUSTRY & SECURITY
OFFICE OF EXPORTER SERVICES
EXPORT MANAGEMENT & COMPLIANCE DIVISION**
www.bis.doc.gov
EXPORT MANAGEMENT & COMPLIANCE PROGRAM
Audit Module: Self-Assessment Tool
February, 2009

http://www.bis.doc.gov/complianceandenforcement/emcp_audit.pdf

Put PDF in a Word document so you can fill
Will add to the ECCO site
Contact Maynard if you want the LANL version





ELEMENT 1: Management Commitment (31 questions)

ELEMENTS 2 & 5: Risk Assessment & Cradle-to-Grave Export Compliance Security (36 questions)

ELEMENTS 2 & 5: Risk Assessment & Cradle-to-Grave Export Compliance Security - Review orders/shipments to customers covering servicing, training, and sales of items against the DPL (10 questions)

ELEMENTS 2 & 5: Risk Assessment & Cradle-to-Grave Export Compliance Security - Diversion Risk Profile (DRP) See EAR Part 732, Supplements 1 & 3 (11 questions)

ELEMENTS 2 & 5: Risk Assessment & Cradle-to-Grave Export Compliance Security - Prohibited nuclear end-uses/users, EAR, Section 744.2 (12 questions)



ELEMENTS 2 & 5: Risk Assessment & Cradle-to-Grave Export Compliance Security - Missile Systems & Unmanned Air Vehicles Prohibited missile end-uses/users, EAR, Section 744.3 (14 questions)

ELEMENTS 2 & 5: Risk Assessment & Cradle-to-Grave Export Compliance Security - Prohibited chemical & biological weapons (CBW) end-uses/users, EAR, Section 744.4 (11 questions)

ELEMENTS 2 & 5: Risk Assessment & Cradle-to-Grave Export Compliance Security - Review orders/transactions against Antiboycott Compliance Red Flags (7 questions)

ELEMENTS 2 & 5: Risk Assessment & Cradle-to-Grave Export Compliance Security - Review customers & other parties against the Entity List (4 questions)

ELEMENT 3: A Formal Written EMCP (21 questions)



ELEMENT 4: Training (17 questions)

ELEMENT 6: Recordkeeping (EAR, Part 762) (22 questions)

ELEMENT 7: Audits (30 questions)

ELEMENTS 8 & 9: Reporting, Escalation, and Corrective Action (10 questions)

Total of ~215 questions

