

# Export Compliance Self-Assessment Checklist

## 1. Classification

- ☐ Have you determined if your product, software, or technology is subject to export control regulations?
- ☐ Have you identified the proper classification (e.g., ECCN, USML, Schedule B) for your item?
- ☐ Has documentation for jurisdiction and classification been retained?

## 2. End-Use and End-User Screening

- ☐ Have you established screening processes for customers and transactions against restricted party lists?
- ☐ Have you assessed the intended end-use of your product or service?
- ☐ Are there any indications that your product may be used in prohibited or sensitive activities (e.g., WMD, military, cyber-surveillance)?

## 3. Destination Control

- ☐ Have you checked if your export destination is subject to any embargoes or sanctions?
- ☐ Have proper export documentation and export control statements been prepared for each shipment?

## 4. Licenses & Documentation

- ☐ Do you know if an export license is required for this transaction?
- ☐ Have you applied for, and received, the appropriate export licenses if required?
- ☐ Are details of licenses and supporting documents stored and available for audit?

## 5. Internal Controls

- ☐ Is there a written export compliance policy or procedure?
- ☐ Are staff trained on export control awareness and your company's compliance procedures?
- ☐ Are periodic audits or assessments of your export compliance conducted?

## Notes / Comments