

## Export Compliance Assessment Checklist

Line	Item	Ref	Yes	No	N/A	Notes
1	Is DDTC Registration active and on-track for renewal processing 60-days prior to the current registration expiring?	§120.16(a)-(c), §122.1-.2, §123.1				
2	Have any of senior officers or empowered officials been charged or convicted of ITAR or other export-related violations since the last DDTC Registration and/or trade compliance assessment?	§120.16(c)				
3	Since the last assessment, has hired, or otherwise engaged, any foreign nationals who will have access, actual or potentially, to technical data on an IT network, in a workspace/meeting, or through visual inspection of Defense Articles or CCL-controlled commodities?	§120.33, §120.63				
4	Were all ITAR controlled items, information, and services approved for export prior to actual export since the last audit?	§120.50, §123.1(a), §123.11				
5	Is the Empowered Official designated as such via company memo and is the memo filed in the export records?	§120.67				
6	Does current DS-2032 (DDTC Registration) reflect all current Company information?	§122.2				
7	If #6 is No, then was the appropriate registration amendment accomplished as required?	§122.4(a)				
8	Is the most recent DDTC Registration renewal letter filed in the export records?	§122.5				
9	Are the necessary records for each export of export-controlled elements available in the export files (as applicable since the last compliance assessment)?	§122.5				
10	Were all freight forwarders and consignors used during the exporting (and return to the U.S. if applicable) listed on the approved license prior to use?	§123.1(c)(2), §126.13(b)				
11	Since the last audit or are there currently any export-controlled items that have been outside the U.S. for longer than 3 years?	§123.5(a)				
12	Have commercial invoices used since the last audit included the 123.9(b) prescribed information?	§123.9(b)				
13	Are the internally established DDTC Registration renewal due alerts and fail safes in place?					
14	Do all persons designated to submit ITAR export authorization applications, as designated on EO designation letter, have current digital certificates?					
15	Do a minimum of two persons have company administrator (CA) access within and can access DECCS corporate account?					
16	Are EEI filings retained with export records?					