

EXPORT POLICY & PROCEDURES MANUAL

TABLE OF CONTENTS

- I. INTRODUCTION
 - A. Introduction to Export Compliance
 - 1. What is an “Export”?
 - 2. Overview of Export Control Restrictions
 - 3. The 4 Ws of Export Compliance
 - B. The Purpose of this Manual

- II. COMPANY’S EXPORT COMPLIANCE POLICY
 - A. Description of Company’s International Business
 - B. Export Compliance Policy and Management Commitment
 - C. Designated Compliance Personnel
 - D. Keeping this Manual Up to Date

- III. EXPORT LICENSING OF PRODUCTS
 - A. Overview –What Is the Product?
 - 1. Export Administration Regulations (EAR)
 - 2. International Traffic in Arms Regulations (ITAR)
 - B. Determining Whether the Product Is Defense Article
 - C. Company Export Classifications (Policy)
 - D. Determining Whether an Export License Is Required (Policy)
 - E. Shipment of Products (Policy)
 - F. Products Made Abroad (Policy)

- IV. DEEMED EXPORTS
 - A. Overview
 - 1. Who is a foreign national?
 - 2. When does a “deemed” export occur?
 - 3. When does a “deemed” export require a license?
 - B. Transfers of Controlled Technology (Policy)
 - C. Tour of Company’s Facilities by Foreign Visitors (Policy)
 - D. Hiring of Foreign Nationals (Policy)

V. DESTINATION SCREENING

- A. Overview – Where is the Product Going?
- B. Transactions Involving Embargoed Countries (Policy)
 - 1. Option 1
 - 2. Option 2
- C. Screening for Diversion Risks (Policy)

VI. END-USER SCREENING

- A. Overview – Who is Receiving the Product?
- B. New Business Partner Record (Policy)
- C. RPL Screening (Policy)

VII. END-USE SCREENING

- A. Overview – What is the intended use of the product?
- B. Prohibited End-Uses (Policy)

VIII. RECORDKEEPING

- A. Overview
- B. Export Records Required to Be Retained (Policy)

IX. EXPORT COMPLIANCE TRAINING

- A. Initial Staff Training (Policy)
- B. New Employee Training (Policy)
- C. Refresher Training of Relevant Personnel (Policy)
- D. Key Personnel Training (Policy)

X. EXPORT COMPLIANCE AUDITING

- A. Internal Reviews (Policy)
- B. Audits and External Reviews (Policy)

XI. COMMUNICATIONS WITH GOVERNMENT AGENCIES

- A. Questions and Routine Interaction re Classification and Licensing Issues (Policy)
- B. Written Inquiries (Policy)
- C. Government Visits (Policy)

XII. PROBLEM MANAGEMENT

- A. Internal Reporting of Suspected Problems Required (Policy)
- B. Voluntary Self-Disclosure (Policy)

LIST OF APPENDICES

- A. Employee Acknowledgement
- B. Compliance Personnel Contact Info and Organizational Chart
- C. International Order Flow Chart
- D. Revision Control Chart
- E. Product and Technology Classification Procedure
- F. Determining Whether an Export License is Required
- G. Export Shipment Procedure
- H. Diversion and Prohibited End-Use “Red Flag” Screening
- I. RPL Screening Procedure
- J. Prohibited End-Use Screening Guidelines
- K. Employee International Travel Procedure
- L. Foreign National Hiring Procedure
- M. Problem Management Protocol
- N. Communications with Government Agencies Protocol
- O. Export Classifications List
- P. New Business Partner Form
- Q. Recordkeeping Procedure
- R. Sample End-User Certificate
- S. Export Control Training Log
- T. Countries Subject to U.S. Sanctions and Embargoes
- U. Sample ITAR Technology Control Plan
- V. List of Useful Websites