

Example Only

This form is an example of a checklist your company might use to conduct a compliance assessment against a particular sale

<< Your Company Name >>

EXPORT COMPLIANCE CHECKLIST

Date (dd/mm/yy): _____

Company/Division: _____

Salesperson: _____

Customer Name: _____

Customer Address: _____

End-User Name: _____

End-User Address: _____

Description of Goods/Services: _____

Section 1: Exports that may be controlled, for military use, or have a WMD utility

For questions in this section:

- If the answer is yes, then a Defence approval is required.
- If the answer is no, move to the next question.
- If you are unsure, submit to a DEC60 – Request for Technical Assessment of Goods or Services form, found at: <http://www.defence.gov.au/strategy/deco/forms.htm>

a. Does the order request equipment specially designed or modified for military use? (this includes production equipment which is intended to produce military goods).

Y / N / Unsure

b. Are the goods listed in the Defence Strategic Goods List (DSGL)?

Y / N / Unsure

- c. Could the goods assist a Weapons of Mass Destruction program, including ancillary activities used to support such programs?
- This includes for use in chemical or biological weapons;
 - An end-use that is nuclear-related; or
 - For the development of, or use in, missiles or rockets.

Y / N / Unsure

- d. Are any 'red flags' triggered?

- Please refer to the DECO Detecting Suspicious Procurement Attempts brochure at: http://www.defence.gov.au/strategy/deco/publications/Detecting_Suspicious_Procurement.pdf

Y/ N/ Unsure

Section 2 – Sanctions

For questions in this section:

- If the answer is yes, submit an inquiry to the Department of Foreign Affairs and Trade using the UN Sanctions Permit Management System:

<https://sanctions.dfat.gov.au/>.

For advice or inquiries about this system email: Sanctions@dfat.gov.au

- If the answer is no, proceed to next question.

- a. Is the export consigned to, or intended for an end-user in a country subject to United Nations Security Council (UNSC) sanctions or Australian Autonomous sanctions? (See http://www.dfat.gov.au/un/unsc_sanctions/index.html for the lists of countries to which sanctions measures apply).

Y/N

- b. Does the export involve goods that are controlled under the sanctions measures?

(See http://www.dfat.gov.au/un/unsc_sanctions/index.html. Note that sanctions measures are targeted to the situation of concern in individual countries. Therefore that goods that are controlled may differ among countries)

Y/N

- c. Does the export involve any related technical assistance, training or other services?

Y/N

- d. Is the consignee or the end user:

A person or entity designated by the UNSC as being subject to UNSC sanctions?

(see http://www.dfat.gov.au/icat/UNSC_financial_sanctions.html)

Y/N

- (i) A person or entity listed as being subject to Australian autonomous targeted financial sanctions?

(see <http://www.rba.gov.au/mkt-operations/fin-sanctions>)

Y/N

- (ii) An entity included on the Charter of the United Nations (Sanctions – Iran) (Specified Entities) List 2010?
(see http://www.dfat.gov.au/un/unsc_sanctions/iran-specified-entities.html)
Y/N

Section 3 – Check Lists

For the lists specified in this section, refer to:

<http://www.bis.doc.gov/complianceand enforcement/liststocheck.htm>.

- e. Is the consignee/end user on the US Denied Persons list? Y/N
- f. Is the consignee/end user on the US Unverified list? Y/N
- g. Is the consignee/end user on the US Entity list? Y/N
- h. Is the consignee/end user on the US Specially Designated Nationals list? Y/N
- i. Is the consignee/end user on the US Debarred Parties list? Y/N
- j. Is the destination country under US embargo or sanctions? Y/N

If you have answered yes to any of these questions, contact DECO prior to proceeding with the transaction.