**Self-Assessment Checklist**[[1]](#endnote-1)

**ELEMENT # 2: Organizational Structure**

Within the self-assessment columns, “Y/N/U” stands for Yes/No/Uncertain or Indeterminate.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **ELEMENT 2: Organizational Structure** | **Y** | **N** | **U** | **Initials \_\_\_\_\_\_ Date \_\_\_\_\_\_\_\_\_\_\_\_ Comments** |
| Is there an organizational chart that clearly identifies all STC compliance functions within the enterprise? |  |  |  |  |
| Does each STC compliance responsibility and task have a specific person assigned who is responsible for assuring that it is performed? |  |  |  |  |
| Is there a clear line of responsibility and accountability for STC-compliance related issues within the enterprise? |  |  |  |  |
| Has a Chief Compliance Officer (CCO) and other empowered compliance officials been assigned? |  |  |  |  |
| Does the organizational chart define the CCO as the primary person responsible for ensuring the enterprise’s compliance with the ICP? |  |  |  |  |
| Has the organizational chart been distributed throughout the organization? |  |  |  |  |
| Is the organizational chart promptly updated and disseminated when changes occur? |  |  |  |  |
| Has a backup person been identified for each position with STC compliance-related responsibilities? |  |  |  |  |
| Are there a sufficient number of personnel dedicated to STC compliance functions? |  |  |  |  |
| Have consignees, contractors, customers, and other business partners been informed of the names and contact information of the CCO and other empowered compliance personnel? |  |  |  |  |
| Are there incentives and penalties for employees that meet or fail to meet their STC compliance responsibilities?If so, are they made available and distributed to new employees at the time of hire? |  |  |  |  |
| Does the enterprise evaluate the STC compliance record of an employee during performance appraisals and factor it into promotion decisions? |  |  |  |  |
|  |  |  |  |  |
| **Determination:** |  |  |  |  |

1. Adapted and modified from: “Compliance Guidelines: How to Build an Effective Export Management and Compliance Program and Manual,” U.S. Department of Commerce, Bureau of Industry and Security (BIS), Office of Exporter Services, Export Management and Compliance Division, November 2013, <http://www.bis.doc.gov/index.php/forms-documents/doc\_view/7-compliance-guidelines>. [↑](#endnote-ref-1)