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# SUP-2 Property Management Los Alamos National Laboratory

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Export Self-Assessment  
May 2006



The World's Greatest Science Protecting America

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## Overview

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- Self-Assessment Elements
- Compliance Council Archive
- End-User Certificates – Assessments
- Improvements from our Self-Assessments

## Elements Derived From

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- Best Business Practice (Nunn-Wolfowitz Task Force Report of July 25, 2000)
- DOC's International Comprehensive License Review Module of August 2001
- Regulatory Requirements
- LANL's Export Working Group Recommendations

## Elements

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1. Upper Management Commitment
2. Compliance Council
3. Designated Personnel for Export Related Functions
4. Applicable Regulations/Export Compliance Instructions
5. Commodity Exports
6. Technical Data

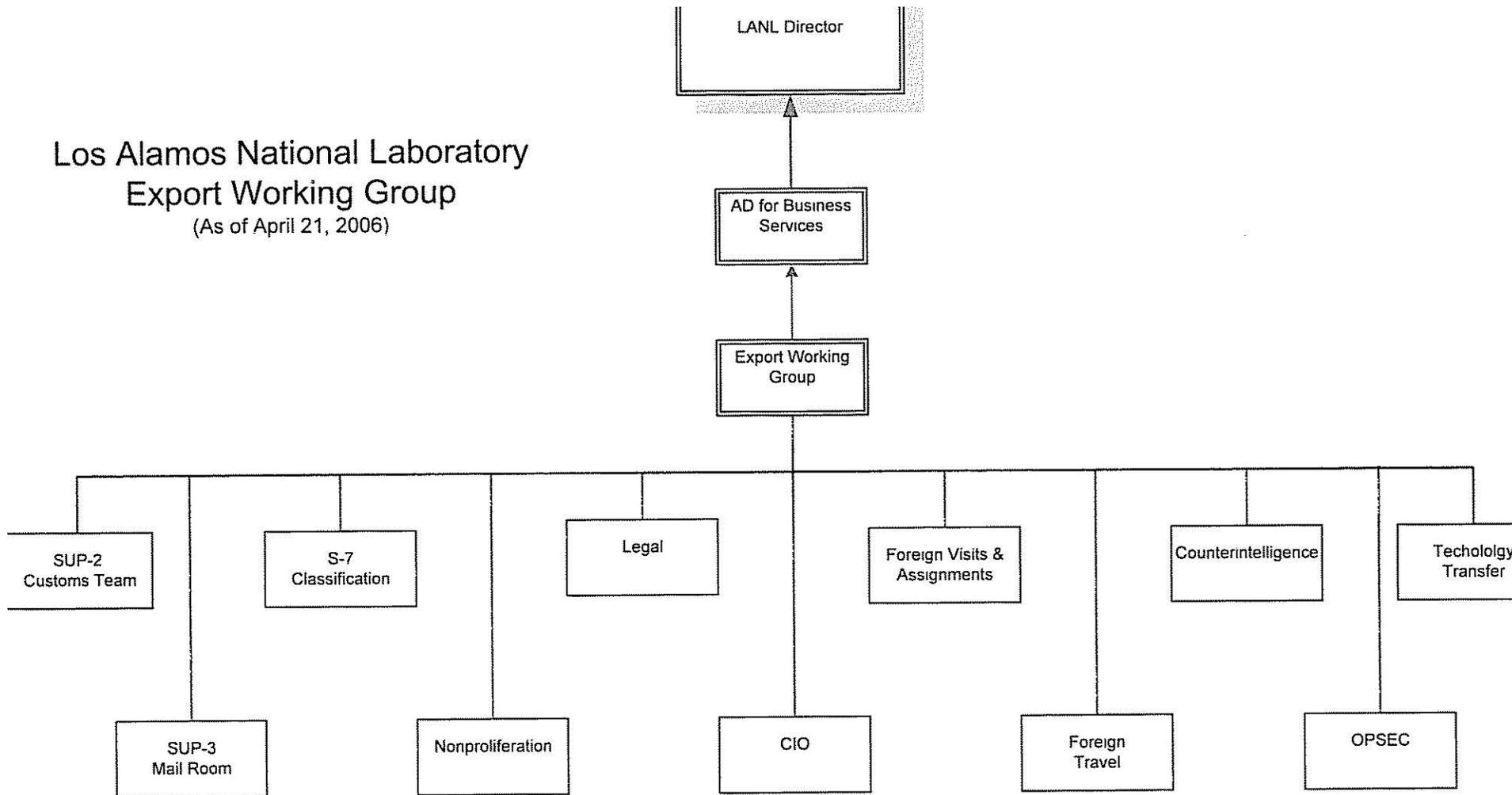
## Element 1: Upper Management Commitment

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- 1.1 Is there a signed & dated commitment statement from Upper Management? Is it on Lab letterhead?
- 1.2 Does the statement say that no exports will be made contrary to U.S. regulations?
- 1.3 Does the statement describe penalties for compliance failure?
- 1.4 Has the statement been communicated to all employees?
- 1.5 Does the statement contain the name/position and telephone number of the person to contact with questions on the legitimacy of a transaction or possible violations?
- 1.6 When is the corporate policy statement updated or reissued?

# Los Alamos National Laboratory Export Working Group

(As of April 21, 2006)



### Key Players:

EWG Chair & SUP-2 Customs Team – Sarah Maynard, 5-2194  
 S-7 Classification – Dan Gerth, 7-0850  
 Legal – Jim Mitchell (Business), 7-3766 & David Salazar (Intellectual Property), 5-661  
 Foreign Visits & Assignments – Lori Hinojosa, 5-5561  
 Counterintelligence – Larry Collins, 5-6413  
 Technology Transfer – Jerome Garcia, 5-4842  
 SUP-3 Mail Room – Martin Pacheco, 7-4166  
 Nonproliferation – Joan Boudreau, 7-3251  
 CIO – Dana Roberson, 5-0601  
 Foreign Travel – Debbie Martinez, 5-3096  
 OPSEC – Richard Naranjo, 5-4843



## Export Working Group (EWG) Links

- [Customs & Disposition Home](#)
- [EWG Home](#)
- [Advisory Opinions](#)
- [Agreements/Contracts](#)
- [Audits/Assessments/Reports](#)
- [Commerce Information](#)
- [Commodities](#)
- [Computers](#)
- [Current Issues](#)
- [Deemed Exports](#)
- [DOE Guidance](#)
- [Ecco News](#)
- [EWG Actions](#)
- [Facilities](#)
- [FAQs](#)
- [Foreign Visits and Assignments](#)
- [Funds Transfer](#)
- [History](#)
- [International Organizations](#)



## Export Working Group (EWG) Links

- [Letters of Assurance/End-User Certificates](#)
- [Legal](#)
- [Lists](#)
- [Meeting Minutes](#)
- [Members and Contacts Information](#)
- [Policy Statements](#)
- [Procedures](#)
- [Property Transfers](#)
- [Software](#)
- [Technical Assistance Agreements \(TAA\)](#)
- [Technology](#)
- [Training](#)
- [Travel](#)



## Policy Statements

- [Robert W. Kuckuck - 6/1/2005 \(PDF\)](#)
- [G. Peter Nanos - 10/31/2003 \(PDF\)](#)
- [John C. Browne - 07/10/2002 \(PDF\)](#)
- [Richard J. Burick - 10/13/2000 \(PDF\)](#)
- [Jack Caravelli \(MPC&A\) - 11/01/2001 \(PDF\)](#)
- [John C. Browne - 01/08/1998 \(PDF\)](#)
- [James F. Jackson - 03/07/1994 \(PDF\)](#)
- [James F. Jackson - 06/30/1989 \(PDF\)](#)

## Policy/Procedures

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- Laboratory Implementing Requirements Document
- Export/Import Guide
- Property Management Manual
- Desktop Procedures

## Elements, cont.

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7. Software
8. Foreign Visits & Assignments
9. Foreign Travel
10. High Risk Property
11. SCL Internal Control Program
12. Internal Review Program

## Elements, cont.

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13. Training/Awareness

14. Export Compliance Intranet

15. Recordkeeping

16. Commodity Export Records Review

17. Notification

# Training

Upcoming Courses - - Microsoft Internet Explorer

Address: <http://www.hr.lanl.gov/TIOCourses/TIOCourses.asp?WebSubCat=BUSEX&WebSubCatDesc=Exporting,%20Importing,%20and%20Foreign%20Matters&CalledBy=htt>

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Click the title for details and/or to register.

Title	Course #	Start	Sponsor
<a href="#">Mastering Export Compliance</a>	20414	Replay on RealVideo (Web)	SUP-2
<a href="#">Shipping/Handcarrying Materials &amp; Equipment to a Foreign Country</a>	15236	Available On Web	SUP-DO
<a href="#">Transferring Software to a Foreign Country or Foreign National in US</a>	15237	Available On Web	SUP-DO
<a href="#">Transferring Technology to a Foreign Country or Foreign National in US</a>	15238	Available On Web	SUP-DO
<a href="#">Importing Materials and Equipment</a>	15239	Available On Web	SUP-DO
<a href="#">High Risk Property</a>	15240	Available On Web	SUP-DO
<a href="#">Foreign National Host Training</a>	15241	Available On Web	SUP-DO
<a href="#">Export Control Fundamentals (Required Beginning 1/08/01)</a>	21208	Available On Web	SUP-DO
<a href="#">Exports Controlled By the International Traffic in Arms Regulations</a>	34965	Available On Web	SUP-2

Total Courses listed: 9

Web Subcategory: BUSEX

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Los Alamos

Local intranet

## Intranet

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- LIR (Policy)
- Export/Import Guide
- On-line Training
- Customs Alerts
- Export Working Group Archive (access limited to key members of the EWG)

## Improvements from Audits/Self-Assessments

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- Program for electronic dissemination of computer codes
- System generated information for foreign travelers
- Central repository for technology export determinations
- Foreign visit & assignment requests receive a denied parties/entities check
- Foreign CRADAs and Foreign Work-for-Others receive a denied parties/entities check