**ICP Audit Checklist[[1]](#endnote-1)**

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| --- | --- | --- | --- | --- |
| **No** | **CORE ELEMENTS OF ICP** | **BEST PRACTICES** | **PROOF OF BEST PRACTICES** | **CHECK (ATTACHED DOCUMENTs) YES/NO** |
| **1** | **MANAGEMENT COMMITMENT**   * NOMINATED PERSON RESPONSIBLE FOR STC * PERSONS RESPONSIBLE FOR APPLYING PERMIT/LICENSE * WRITTEN COMPANY POLICY ON STC * AWARENESS OF STC WITHIN ORGANIZATION * CLAUSE IN CONTRACT WITH BUYERS THAT ITEM PURCHASED WILL NOT BE USED FOR WMD OR OTHER ILLEGAL PURPOSES | WRITTEN APPOINTMENT BY CEO/MD  WRITTEN AUTHORISATION FROM CEO/MD/PERSON RESPONSIBLE FOR STC  WRITTEN EVIDENCE  COMMUNICATING IT THROUGH VARIOUS MEDIA  COMMON CLAUSE IN CONTRACT | NAME OF PERSON IN CHARGE AND DESIGNATION  NAME OF PERSON/ PERSONS AUTHORISED TO APPLY FOR PERMIT AND DESIGNATION  PROVIDE COPY OF COMMUNICATION ON STC (handbooks, email, video)  EXAMPLE OF CONTRACT SIGNED |  |
| **2** | **TRANSACTION SCREENING**  IS A SCREENING PROCESS IN PLACE IN THE COMPANY   * PRODUCT SCREENING * END USER SCREENING * END USE SCREENING * DESTINATION SCREENING * RED FLAG INDICATORS | COMPUTER/SOFTWARE BASED SYSTEM/IT SUPPORTED  SCREENING AGAINST ALL APPLICABLE END-USER LISTS  PROCEDURE MANUAL FOR RISK ASSESSMENT | DESCRIBE THE SCREENING SYSTEM IN DETAIL  IF MANUAL, PROVIDE WRITTEN PROCEDURE FOR SCREENING  BRIEF DESCRIPTION OF LOGIC SET WITHIN THE SYSTEM TO PROMPT ALERT  COPY OF THE MANUAL |  |
| **3** | **TRAINING**   * TRAINING PLAN * TYPE OF TRAINING | WHEN: AT LEAST ONCE IN [xx] MONTHS  WHO: PERSONNEL INVOLVED WITH STC  WHAT: TYPE OF TRAINING  BY WHOM: QUALIFIED TRAINIER | TRAINING RECORDS |  |
| **4** | **RECORD KEEPING**   * STATUTORY REQUIREMENTS FOR RECORDKEEPING * END USER STATEMENT * LICENSES/ PERMITS * DELIVERY VERIFICATION * TECHNICAL SPECIFICATION * INVOICE ISSUED IN RESPECT OF THE SALE OF STRATEGIC ITEM OR UNLISTED ITEMS * PURCHASE ORDERS * NOTES, INVITATION TO BID, REQUESTS FOR QUOTATIONS * SHIPPING DOCUMENTS * DOCUMENT ISSUED BY THE RELEVANT AUTHORITY OF IMPORTING COUNTRY | 5 YEARS (OR IN ACCORDANCE WITH NATIONAL REQUIREMENTS) | HARDCOPY/SOFT COPY |  |
| **5** | **AUDIT AND INTERNAL REVIEW**   * SYSTEM AUDIT * PROCESS AUDIT * DOCUMENTATION AUDIT | AT LEAST ON AN ANNUAL BASIS | AUDIT RECORDS |  |

1. Adapted and modified from: “ICP Audit Checklist,” Malaysia Ministry of International Trade and Industry (MITI), <http://www.miti.gov.my/miti/resources/STA%20Folder/PDF%20file/Internal\_Compliance\_Program\_ICP\_Checklist.pdf?mid=303>. [↑](#endnote-ref-1)