**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 MEDIACOMMON 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 SUPPORTEDSCREENING AGAINST ALL APPLICABLE END-USER LISTSPROCEDURE 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 ALERTCOPY OF THE MANUAL |  |
| **3** | **TRAINING*** TRAINING PLAN
* TYPE OF TRAINING
 | WHEN: AT LEAST ONCE IN [xx] MONTHS WHO: PERSONNEL INVOLVED WITH STCWHAT: 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)