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

**PRE-AUDIT CHECKLIST**

* + Identify business units and personnel to be audited.
  + Send e-mail notification to affected parties.
  + Develop a tracking log for document requests.
  + Prepare audit templates such as interview questions, transactional review checklist, audit report format, etc.
  + Each business unit should provide their written procedures related to strategic trade control compliance before the audit.
  + Personnel at all levels of the organization, management and staff, should be interviewed to compare written procedures with actual business practices.
  + Identify gaps, deficiencies, and inconsistencies.

**POST-AUDIT CHECKLIST**

* + Write draft audit report.
    - Executive Summary [Purpose, Methodology, Key Findings]
    - Findings and Recommendations [Organize in Priority Order]
    - Appendices [Interview List, Document List, Process Charts]
    - Conduct post-audit briefing for affected business units to discuss audit findings and recommendations. Provide draft report. This is an opportunity for business units to address inaccuracies in the report.
    - Obtain commitment from business units for corrective action. Include in audit report.
    - Brief executive management on audit findings and recommendations.
    - Track corrective actions. Within the year, audit corrective actions.

1. Adapted and modified from: “Audit Module: Self-Assessment Tool,” U.S. Department of Commerce, Bureau of Industry and Security (BIS), Office of Exporter Services, Export Management and Compliance Division, July 2011, <https://www.bis.doc.gov/index.php/forms-documents/doc\_view/10-emcp-audit-module-self-assessment-tool>. [↑](#endnote-ref-1)