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Preparatory questionnaire ICP

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This questionnaire serves as preparation of the bilateral consultation that takes place in the context of your application to obtain a global license for dual-use goods, a prior authorization or a certificate from certified persons for military goods.

The Strategic Goods Control Unit assesses your company's internal control measures for the export and/or transfer on the basis of the following 7 core elements. The list below contains for each of these elements a set of questions to check the extent to which your company handles and can handle with the applicable export control measures for the export and/or transfer of strategic goods.

The information you share in this questionnaire will be saved in a file and will be treated confidentially by our service.
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Company Overview

Briefly introduce the company while highlighting the products, the range of dual-use and/or military items, the logistical flow, the customer segments and sectors in which the company is active.

1. Commitment senior management to compliance

- Is which way(s) is the senior management involved in the export control activities?

- Is there a management statement that mentions the company's commitment to dual-use/military trade control? If yes, include an excerpt.

- Is there internal communication on this management commitment? Please explain.

2. Organisation structure, personnel effort and resources for compliance

- Who is responsible for the development and implementation of compliance measures for dual-use items/military items?

- What export control legislation does the company take into account?

- What sources do you use most frequently?

- How is this information divulged within the company?

- Does the company use a software program for the implementation and follow-up of the ICP? If so, provide details about this program and indicate to what extent this program is integrated into the internal logistics software system.

- How is the company dealing with conflicts of interest? (e.g. sales versus export control)

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3. Awareness raising and training of personnel

- Are there any internal awareness raising activities or training courses for the employees about export control? If so, which? What is the regularity of such courses? Which employees are following these courses (function profiles)? Who organizes the internal trainings?

- Does your company participate in external awareness raising activities or training courses? (for example organised by the government)?

4. Transaction screening

5.1 Item classification

- Describe in which way(s) your company is conducting item classification with regard to the applicable export control legislation and/or sanctions. What are the available internal tools within the company to conduct the product classification?

- What tools are used in order to keep the product classification up-to-date?

- Who is responsible for the product classification?

- How do you distinguish between license required and non-license required dual-use goods? dual-use goods and proliferation sensitive goods? (if applicable)

- How do you distinguish between license required and non-license required dual-use software or technology? (if applicable)

- How do you distinguish between license required and non-license required defense-related products and law enforcement materials? (if applicable)

5.2 Risk assessment

- Does the company have an internal policy to define a risky or a potentially prohibited transaction? If yes, illustrate.

- Does the company take the intended end-use into consideration? If so, what questions are asked to the consignee or end-user?

- What are the modalities to conclude that the specified end-use is logical? What happens if you ascertain deviations from the standard transactions (uncommon quantities - adjustments to the shipping address etc..)?

- Is there a screening of the end user? If so, who does this screening? At which stage of the sales process is the screening conducted? Is there a tool or database to track "irregular" end-users that led to an annulation of the order? Is there a "red flag" possibility established in the tracking system, to automatically report irregularities during the entire product flow (from sales to export)?

- Which experiences do you have with obtaining completed and signed end-user certificates? Do you analyze the obtained information on the certificate before forwarding the document to the competent authority?

5. Monitoring and audits of ICP, and corrective actions

- Do you test your ICP on a regular basis? If so, how?

- Has there been conducted audits in the past (internal or external) on the ICP? Is this planned for the future? If yes, illustrate.

- Which corrective measures in the context of optimization of your ICP have you already taken?

6. Registration system and reporting obligations

- In which way does your company register compliance related activities?
- How do you deal with external reporting obligations? In which way tries the company to submit reports in time? How is this controlled?
- Are there any internal reporting obligations? If so, illustrate.
- Are records being inspected for completeness, accuracy and quality?

7. Physical and information security

- Are there any measures taken to protect the physical and digital security of the company? Think about physical and digital measures to ensure that license required items do not get lost, are easily stolen or exported without a valid license.
- Which specific measures do you take to protect (license required) software and technology (if applicable)?

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