

# INTERNAL COMPLIANCE PROGRAM (ICP) APPLICATION CHECKLIST

| PRE-AMBLE                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                  |                                                                                                                                                                       |                            |                          |         |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|--------------------------|---------|
| CORE ELEMENTS OF ICP                                                                                                                                                                                                                                                                                                                                                                | BEST PRACTICES                                                                                   | PROOF OF BEST PRACTICES                                                                                                                                               | CHECK (ATTACHED DOCUMENTS) |                          | REMARKS |
|                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                  |                                                                                                                                                                       | YES                        | NO                       |         |
| RESOURCE DOCUMENTS REFERRED TO IN OPERATIONALISING EXPORT CONTROL COMPLIANCE                                                                                                                                                                                                                                                                                                        | REFERENCES ON STRATEGIC TRADE MANAGEMENT                                                         | IT CAN BE IN THE FORM OF TOR, CHECKLIST, RESOURCE MANUAL, TASK-SHEET, ICP HANDBOOK, EXTERNAL SOURCE EG. MITI'S WEBSITE, ONLINE ARTICLES, ETC.                         | <input type="checkbox"/>   | <input type="checkbox"/> |         |
| ELEMENT 1 - MANAGEMENT COMMITMENT                                                                                                                                                                                                                                                                                                                                                   |                                                                                                  |                                                                                                                                                                       |                            |                          |         |
| CORE ELEMENTS OF ICP                                                                                                                                                                                                                                                                                                                                                                | BEST PRACTICES                                                                                   | PROOF OF BEST PRACTICES                                                                                                                                               | CHECK (ATTACHED DOCUMENTS) |                          | REMARKS |
|                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                  |                                                                                                                                                                       | YES                        | NO                       |         |
| NOMINATED PERSON RESPONSIBLE FOR EXPORT CONTROL                                                                                                                                                                                                                                                                                                                                     | WRITTEN APPOINTMENT BY CEO/MD                                                                    | NAME OF PERSON IN CHARGE AND DESIGNATION                                                                                                                              | <input type="checkbox"/>   | <input type="checkbox"/> |         |
| PERSONS RESPONSIBLE FOR APPLYING PERMIT                                                                                                                                                                                                                                                                                                                                             | WRITTEN AUTHORISATION FROM CEO/MD/PERSON RESPONSIBLE FOR EXPORT CONTROL                          | NAME OF PERSON/ PERSONS AUTHORISED TO APPLY FOR PERMIT AND DESIGNATION                                                                                                | <input type="checkbox"/>   | <input type="checkbox"/> |         |
| WRITTEN COMPANY POLICY ON EXPORT CONTROL                                                                                                                                                                                                                                                                                                                                            | WRITTEN EVIDENCE                                                                                 |                                                                                                                                                                       | <input type="checkbox"/>   | <input type="checkbox"/> |         |
| AWARENESS OF EXPORT CONTROL WITHIN ORGANIZATION                                                                                                                                                                                                                                                                                                                                     | COMMUNICATING IT THROUGH VARIOUS MEDIA                                                           | PROVIDE COPY OF COMMUNICATION ON EXPORT CONTROL (HANDBOOK, VIDEO, EMAIL ETC)                                                                                          | <input type="checkbox"/>   | <input type="checkbox"/> |         |
| CLAUSE IN CONTRACT WITH BUYERS THAT ITEM PURCHASED WILL NOT BE USED FOR WMD OR OTHER ILLEGAL PURPOSES                                                                                                                                                                                                                                                                               | COMMON CLAUSE IN CONTRACT                                                                        | EXAMPLE OF CONTRACT SIGNED                                                                                                                                            | <input type="checkbox"/>   | <input type="checkbox"/> |         |
| ELEMENT 2 - SCREENING PROCESS                                                                                                                                                                                                                                                                                                                                                       |                                                                                                  |                                                                                                                                                                       |                            |                          |         |
| <b>EXPLANATORY NOTE: THE ESTABLISHMENT OF AN EFFECTIVE INSTITUTIONAL ICP PROVIDES A METHOD OF ROUTINELY SCREENING TRANSACTIONS, CONTACTS, AND DEALINGS ETC, IN ORDER TO ELIMINATE SUSPICIOUS APPROACHES, THEREBY ENSURING THAT ONLY LEGITIMATE TRANSACTIONS PROCEED AND THE RISK OF BREACHING THE LAW IS MINIMISED. (SOURCE: ICP GUIDELINES SECDIV, MOFA, PAKISTAN, 3 DEC 2014)</b> |                                                                                                  |                                                                                                                                                                       |                            |                          |         |
| CORE ELEMENTS OF ICP                                                                                                                                                                                                                                                                                                                                                                | BEST PRACTICES                                                                                   | PROOF OF BEST PRACTICES                                                                                                                                               | CHECK (ATTACHED DOCUMENTS) |                          | REMARKS |
|                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                  |                                                                                                                                                                       | YES                        | NO                       |         |
| IS A SCREENING PROCESS IN PLACE IN THE COMPANY                                                                                                                                                                                                                                                                                                                                      | COMPUTER BASED SYSTEM/ IT SUPPORTED                                                              | DESCRIBE THE SCREENING SYSTEM IN DETAIL                                                                                                                               | <input type="checkbox"/>   | <input type="checkbox"/> |         |
|                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                  | IF MANUAL, PROVIDE WRITTEN PROCEDURE FOR SCREENING                                                                                                                    | <input type="checkbox"/>   | <input type="checkbox"/> |         |
| COVERAGE OF SCREENING ACTIVITY:<br>SCREENING ACTIVITY FOR SALES PROCESS AND TRANSACTION                                                                                                                                                                                                                                                                                             | SCREENING THE BUSINESS TRANSACTION FROM START TO FINISH. ALSO KNOWN AS CRADLE-TO-GRAVE SCREENING | SALES PROCESS MONITORED EITHER MANUALLY OR COMPUTERISED. PLEASE PROVIDE INFORMATION ON THE SYSTEM OR WRITTEN PROCEDURE                                                | <input type="checkbox"/>   | <input type="checkbox"/> |         |
|                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                  | SCREENING BEFORE SALES / PRE-SALES;<br>- E.G: MANUFACTURER, SUPPLIER, CONSIGNEE, RECIPIENT, END USER AND OTHER RELEVANT PARTIES                                       | <input type="checkbox"/>   | <input type="checkbox"/> |         |
|                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                  | IN-PROCESS SALES;<br>- E.G: BUYER, SELLER, CONSIGNEE, NOTIFY PARTY, THIRD PARTY, AGENT, MODE OF PAYMENT, FINANCIER, MODE OF TRANSPORTATION AND OTHER RELEVANT PARTIES | <input type="checkbox"/>   | <input type="checkbox"/> |         |
| PRODUCT SCREENING                                                                                                                                                                                                                                                                                                                                                                   | SCREENING AGAINST ALL APPLICABLE LIST                                                            | BRIEF DESCRIPTION OF LOGIC SET WITHIN THE SYSTEM TO PROMPT ALERT                                                                                                      | <input type="checkbox"/>   | <input type="checkbox"/> |         |
| END USE SCREENING                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                  |                                                                                                                                                                       | <input type="checkbox"/>   | <input type="checkbox"/> |         |
| DESTINATION SCREENING                                                                                                                                                                                                                                                                                                                                                               |                                                                                                  |                                                                                                                                                                       | <input type="checkbox"/>   | <input type="checkbox"/> |         |
| RED FLAG INDICATORS                                                                                                                                                                                                                                                                                                                                                                 | PROCEDURE MANUAL FOR RISK ASSESSMENT                                                             | COPY OF THE MANUAL                                                                                                                                                    | <input type="checkbox"/>   | <input type="checkbox"/> |         |
| ELEMENT 3 - TRAINING                                                                                                                                                                                                                                                                                                                                                                |                                                                                                  |                                                                                                                                                                       |                            |                          |         |
| CORE ELEMENTS OF ICP                                                                                                                                                                                                                                                                                                                                                                | BEST PRACTICES                                                                                   | PROOF OF BEST PRACTICES                                                                                                                                               | CHECK (ATTACHED DOCUMENTS) |                          | REMARKS |
|                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                  |                                                                                                                                                                       | YES                        | NO                       |         |
| TRAINING PLAN                                                                                                                                                                                                                                                                                                                                                                       | WHEN: AT LEAST ONCE IN 18 MONTHS WHO: PERSONAL INVOLVED IN EXPORT CONTROL                        | TRAINING RECORDS                                                                                                                                                      | <input type="checkbox"/>   | <input type="checkbox"/> |         |
| TYPE OF TRAINING                                                                                                                                                                                                                                                                                                                                                                    | WHAT: TYPE OF TRAINING BY WHOM: QUALIFIED TRAINER                                                |                                                                                                                                                                       | <input type="checkbox"/>   | <input type="checkbox"/> |         |

## ELEMENT 4 - RECORD KEEPING

| CORE ELEMENTS OF ICP                                                                                                                                                                  | BEST PRACTICES | PROOF OF BEST PRACTICES | CHECK<br>(ATTACHED DOCUMENTS) |                          | REMARKS |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|-------------------------|-------------------------------|--------------------------|---------|
|                                                                                                                                                                                       |                |                         | YES                           | NO                       |         |
| PRIOR TO SHIPMENT                                                                                                                                                                     |                |                         |                               |                          |         |
| WERE GIVEN 2 PERMIT REFERENCE NUMBERS TO BE COMPLETED FOR END-TO-END RECORDKEEPING PROOFS.<br>PERMIT 1: (    );<br>PERMIT 2: (    )                                                   |                |                         |                               |                          |         |
| · NOTES; INVITATION TO BID; REQUEST FOR QUOTATION; SALES CONTRACT; INSTRUCTIONS; STATUTORY DECLARATION; ORDER SYSTEM SCREENSHOT                                                       | 6 YEARS        | HARDCOPY/ SOFTCOPY      | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| · PURCHASE ORDER                                                                                                                                                                      |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| · INVOICE ISSUED IN RESPECT OF THE SALES OF STRATEGIC ITEM OR UNLISTED ITEMS                                                                                                          |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| · SCREENING DOCUMENTS OR SYSTEM SCREENSHOT                                                                                                                                            |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| DURING EXPORTATION                                                                                                                                                                    |                |                         |                               |                          |         |
| · EXPORT PERMIT                                                                                                                                                                       |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| · FORM 5 – END USER STATEMENT (EUS)                                                                                                                                                   |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| · TECHNICAL SPECIFICATIONS                                                                                                                                                            |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| · EXPORT DECLARATION FORM                                                                                                                                                             |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| · DOCUMENTS ISSUED BY THE RELEVANT AUTHORITY OF THE IMPORTING COUNTRY E.G. EXPORT PERMIT; OTHER PERMIT ISSUING AGENCY LICENCE E.G. CWC APPROVAL; POLICE PERMIT, ETC., (IF APPLICABLE) |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| POST SHIPMENT                                                                                                                                                                         |                |                         |                               |                          |         |
| · FORM 6 – DELIVERY VERIFICATION STATEMENT (DVS)                                                                                                                                      |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| · PROOF OF DELIVERY                                                                                                                                                                   |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| · SHIPPING DOCUMENTS                                                                                                                                                                  |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| · BALANCE TRACKING SHEET (FOR BULK OR MULTIPLE PERMIT, NOT APPLICABLE TO SINGLE PERMIT)                                                                                               |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| · FORM 9 - REGISTER FOR EXPORT/TRANSIT/TRANSHIPMENT/ BROKERING* UNDER THE STRATEGIC TRADE ACT 2010                                                                                    |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| · OTHER RELEVANT DOCUMENTS DEEMED NECESSARY, IF ANY                                                                                                                                   |                |                         | <input type="checkbox"/>      | <input type="checkbox"/> |         |

## ELEMENT 5 - AUDIT

| <b>EXPLANATORY NOTE: THE BEST WAY FOR A COMPANY TO ASSESS THE EFFECTIVENESS OF ITS COMPLIANCE EFFORTS IS TO FORMALLY AUDIT/ASSESS ALL ELEMENTS OF ITS COMPLIANCE PROGRAM. A COMPANY'S AUDIT PROGRAM MAY CONSIST OF THE FOLLOWING:</b><br>- USE OF EXPERIENCED AUDIT PERSONNEL;<br>- VERIFICATION OF SAFEGUARD MEASURES;<br>- INTERNAL CORPORATE AUDITS/ASSESSMENTS;<br>- USE OF EXTERNAL AUDITORS/ASSESSORS; AND<br>- REPORTING, CORRECTIVE ACTION, AND FOLLOW-UP PROCEDURES FOR AUDITS. |                                                                                                                                                                          |                                                                                                                                                                                                                 |                               |                          |         |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|--------------------------|---------|
| CORE ELEMENTS OF ICP                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | BEST PRACTICES                                                                                                                                                           | PROOF OF BEST PRACTICES                                                                                                                                                                                         | CHECK<br>(ATTACHED DOCUMENTS) |                          | REMARKS |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                          |                                                                                                                                                                                                                 | YES                           | NO                       |         |
| <b>DEFINITION: A SYSTEM AUDIT IS A DISCIPLINED APPROACH TO EVALUATE AND IMPROVE THE EFFECTIVENESS OF A SYSTEM. IT REFERS TO THE SYSTEM USED IN STC/STM e.g. SALES PROCESS INCLUDING AFTER SALES, MOVEMENT OF GOODS DURING PRODUCTION UP TO EXPORTATION/DISTRIBUTION</b>                                                                                                                                                                                                                  |                                                                                                                                                                          |                                                                                                                                                                                                                 |                               |                          |         |
| · IT SYSTEM AUDIT (IF APPLICABLE)                                                                                                                                                                                                                                                                                                                                                                                                                                                        | AT LEAST ONCE A YEAR                                                                                                                                                     | AUDIT RECORDS                                                                                                                                                                                                   | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| <b>DEFINITION: A PROCESS AUDIT IS AN EXAMINATION OF RESULTS TO DETERMINE WHETHER THE ACTIVITIES, RESOURCES AND BEHAVIOURS THAT CAUSE THEM ARE BEING MANAGED EFFICIENTLY AND EFFECTIVELY.</b>                                                                                                                                                                                                                                                                                             |                                                                                                                                                                          |                                                                                                                                                                                                                 |                               |                          |         |
| · PROCESS AUDIT                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | AT LEAST ONCE A YEAR                                                                                                                                                     | AUDIT RECORDS                                                                                                                                                                                                   | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| <b>DEFINITION: AUDIT DOCUMENTATION REFERS TO THE RECORDS OR DOCUMENTATION OF PROCEDURES THAT AUDITOR PERFORMED, THE AUDIT EVIDENCE THAT THEY OBTAINED AND THE CONCLUSION THAT MAKES BY THEM BASED ON THE EVIDENCE OBTAINED.</b>                                                                                                                                                                                                                                                          |                                                                                                                                                                          |                                                                                                                                                                                                                 |                               |                          |         |
| · DOCUMENTATION AUDIT                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | AT LEAST ONCE A YEAR                                                                                                                                                     | AUDIT RECORDS                                                                                                                                                                                                   | <input type="checkbox"/>      | <input type="checkbox"/> |         |
| · CORRECTIVE ACTION MECHANISM FOR NON-COMPLIANCE TO EXPORT CONTROL RELATED MATTERS<br>                                                                                                                                                                                                                                                                                                                | GUIDANCE TO COMPANY EMPLOYEES REGARDING NOTIFICATION, ESCALATION, AND CORRECTIVE ACTION FOR TIMES WHEN THERE ARE PROBLEMS OR SUSPECTED PROBLEMS WITH EXPORT TRANSACTIONS | METHODOLOGY/ SOP TO PREVENT OR ADDRESS NON-COMPLIANCE                                                                                                                                                           | <input type="checkbox"/>      | <input type="checkbox"/> |         |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                          | HOW IS THE DECISION FOR TYPE OF CORRECTIVE ACTION TO BE TAKEN IS MADE? EG: SPECIFIED IN SOP, DECISION VIA COMMITTEE, DECISION BY MANAGER, ADVISE FROM EXTERNAL PARTY. PLEASE ATTACH ANY RELEVANT DOCUMENTATION. | <input type="checkbox"/>      | <input type="checkbox"/> |         |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                          | COMMUNICATION TO THE RELATED DEPARTMENT/SECTION/UNIT                                                                                                                                                            | <input type="checkbox"/>      | <input type="checkbox"/> |         |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                          | DOCUMENTATION TO RECORD OR MONITOR CORRECTIVE ACTION TAKEN                                                                                                                                                      | <input type="checkbox"/>      | <input type="checkbox"/> |         |

## ELEMENT 6 - INTANGIBLE TECHNOLOGY TRANSFER (ITT)



| CORE ELEMENTS OF ICP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | BEST PRACTICES                                                                                                                             | PROOF OF BEST PRACTICES                                                                                                                                                                                                        | CHECK<br>(ATTACHED DOCUMENTS) |                          | REMARKS |  |  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|--------------------------|---------|--|--|
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                            |                                                                                                                                                                                                                                | YES                           | NO                       |         |  |  |
| <b>EXPLANATORY NOTE:</b> ITT IS AN ACTIVITY TO TRANSMIT TECHNOLOGY BY ANY MEANS TO A DESTINATION OUTSIDE MALAYSIA, AND INCLUDES ANY ORAL OR VISUAL TRANSMISSION OF TECHNOLOGY BY A COMMUNICATION DEVICE WHERE THE TECHNOLOGY IS CONTAINED IN A DOCUMENT THE RELEVANT PART OF WHICH IS READ OUT, DESCRIBED OR OTHERWISE DISPLAYED OVER THE COMMUNICATIONS DEVICE IN SUCH A WAY AS TO ACHIEVE A SIMILAR RESULT.                                                                                                                                                                                                   |                                                                                                                                            |                                                                                                                                                                                                                                |                               |                          |         |  |  |
| IN ORDER TO ASSESS WHETHER YOUR COMPANY CONDUCTS THE ELECTRONIC TRANSFER OF STRATEGIC TECHNOLOGY TO ANY DESTINATION OUTSIDE OF MALAYSIA AND SUBJECT TO APPLYING STA PERMIT FOR ITT, PLEASE ANSWER THE ATTACHED QUESTIONNAIRE. <b>ONLY PROCEED WITH THE ITT PORTION OF THIS ICP CHECKLIST IF YOUR COMPANY IS AN ITT EXPORTER.</b><br>PLEASE ALSO REFER TO MITI'S WEBSITE LINK FOR THE ITT GUIDELINE: <a href="https://www.miti.gov.my/miti/resources/STA%20Folder/PDF%20file/Webpage_ITT_Guidelines_2019.pdf">https://www.miti.gov.my/miti/resources/STA%20Folder/PDF%20file/Webpage_ITT_Guidelines_2019.pdf</a> |                                                                                                                                            |                                                                                                                                                                                                                                |                               |                          |         |  |  |
| ITT MANAGEMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | ACADEMIC AND RESEARCH INSTITUTION, UNIVERSITY AND BUSINESS ENTITY IS EXPECTED TO EMBED THE REQUIREMENT OF ITT CONTROL IN RELATED DOCUMENTS | ITT REQUIREMENT IN DOCUMENTS SUCH AS: LETTER OF AWARD; NON-DISCLOSURE AGREEMENT; CONTRACT; ETHICS RESEARCH FORM AND/OR RESEARCH COLLABORATION AND CONSULTATION                                                                 | <input type="checkbox"/>      | <input type="checkbox"/> |         |  |  |
| COVER LETTER                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                            | APPLICATION LETTER ON ACADEMIC AND RESEARCH INSTITUTION, UNIVERSITY AND BUSINESS ENTITY LETTER HEAD, TOGETHER WITH ICP CHECKLIST                                                                                               | <input type="checkbox"/>      | <input type="checkbox"/> |         |  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                            | A WRITTEN STATEMENT OF INTENT ON APPLICATION OF ICP FOR ACADEMIC AND RESEARCH INSTITUTIONS, UNIVERSITIES AND BUSINESS ENTITIES. THE COVER LETTER MUST STATE THAT THE SUBMISSION IS PURPOSELY TO GET AN APPROVAL LETTER FOR ICP | <input type="checkbox"/>      | <input type="checkbox"/> |         |  |  |
| MANAGEMENT COMMITMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                            | CLEAR INTANGIBLE TECHNOLOGY TRANSFER AND TECHNICAL ASSISTANCE POLICY AND PROCEDURES, ENDORSED BY TOP MANAGEMENT                                                                                                                | <input type="checkbox"/>      | <input type="checkbox"/> |         |  |  |
| PERSON-IN-CHARGE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                            | WRITTEN APPOINTMENT BY CEO/ MD/DEAN.                                                                                                                                                                                           | <input type="checkbox"/>      | <input type="checkbox"/> |         |  |  |
| EXPORT CONTROL OFFICER/ AUTHORIZED APPLICANT FROM RESEARCH MANAGEMENT CENTRE OR FOCAL POINT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                            | EXPORT CONTROL OFFICER AND AUTHORIZED APPLICANT CAN BE THE SAME PERSONNEL.                                                                                                                                                     | <input type="checkbox"/>      | <input type="checkbox"/> |         |  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                            | LETTER APPOINTING PERSONNEL WHO WILL BE IN-CHARGE OF EXPORT CONTROL COMPLIANCE AND INTANGIBLE TECHNOLOGY TRANSFER.                                                                                                             | <input type="checkbox"/>      | <input type="checkbox"/> |         |  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                            | LETTER SHOULD BE ADDRESSED TO THE APPOINTEE AND SHOULD CONTAIN NAME AND DESIGNATION OF NOMINATED PERSON. NOMINATED PERSON SHOULD BE AT MANAGERIAL LEVEL TO OVERSEE THE IMPLEMENTATION OF THE ICP                               | <input type="checkbox"/>      | <input type="checkbox"/> |         |  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                            | LETTER SHOULD ALSO STATE ROLES/RESPONSIBILITIES OF APPOINTEE(S)                                                                                                                                                                | <input type="checkbox"/>      | <input type="checkbox"/> |         |  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                            | THERE WILL BE NO LIMITATION PERIOD FOR THE APPOINTEE(S) TO BE THE PERSON IN-CHARGE OF EXPORT CONTROL COMPLIANCE                                                                                                                | <input type="checkbox"/>      | <input type="checkbox"/> |         |  |  |