

ELEMENTS OF REFERENCE DOCUMENTS TO ESTABLISH A NATIONAL CONTROL SYSTEM¹

1. What is a national control system?
2. Why is a national control system necessary?
3. What are the elements of a national control system?
 - a. Legal and regulatory framework
 - i. Laws
 - ii. Regulations and administrative procedures
 - iii. National Control List
 - b. Institutions
 - i. Competent national authorities
 1. What is the role of the competent national authority?
 2. Which ministries and agencies should be included?
 - ii. National points of contact
 1. What is the role of the national point(s) of contact?
 2. What resources are available to guide the work of the national point(s) of contact?
 - c. Procedures
 - i. Authorization process
 - ii. Risk assessment
 - iii. Mitigation measures
 - iv. Decision-making
 - d. Documentation
 - i. Types of licences/permits
 - ii. End use(r) documentation
 - iii. Record-keeping
 1. What records need to be kept?
 2. How may records be stored?
 3. How long should records be stored?
 4. Who is responsible for keeping records?
 5. What is the role of record-keeping in reporting?

¹ Annex G to the Draft Report to the Fourth Conference of States Parties (CSP4) ([ATT/CSP4.WGETI/2018/CHAIR/355/Conf.Rep](#)) presented by the Chair of the Working Group on Effective Treaty Implementation (WGETI).

- e. Training and capacity building
- f. Enforcement
 - i. Laws, regulations and administrative procedures
 - ii. Institutions
 - iii. Procedures
 - iv. International assistance
