**Questionnaire on Export Controls of Industrial Goods**

**Additional Requirement for General Licenses**

|  |  |  |
| --- | --- | --- |
| **Organisation** | Yes | No |
| Has the executive board issued a statement declaring that compliance with export control regulations is an integral part of the company’s policy? |  |  |
| Is there an organisational chart that shows which units are responsible for export controls? |  |  |
| Which unit in your company is responsible for export controls (i. e. the export control officer or team)? | | |
| Who is the designated contact person for SECO regarding administrative questions related to export controls? | | |
| If you answered "NO" to any of the points above, please explain why. | | |
|  | | |
| **Order processing** | Yes | No |
| Are there internal directives requiring that customers and/or end users be reviewed using a checklist (e. g. red flags: Know Your Customer, end user and end use checks, catch-all controls) when processing orders or sales of **goods subject to licensing under the annexes to the Goods Control Ordinance or Annex 1 to the War Materiel Ordinance**? |  |  |
| Are there internal directives governing the processing of orders or sales of **non-controlled goods** that could potentially be misused for the development or production of weapons of mass destruction or their delivery systems (red flags: Know Your Customer, end user and end use checks, catch-all controls)? |  |  |
| If you answered "NO" to any of the points above, please explain why. | | |
| **Training** | Yes | No |
| Does the company conduct internal training sessions on export controls? |  |  |
| Do staff members attend external training courses on export controls? |  |  |
|  |  |  |
| **Controlling** | Yes | No |
| Does the company conduct internal audits of its export control processes? |  |  |
| Is the company’s product range regularly reviewed to determine whether any goods are subject to licensing requirements, e.g. if they are listed in the annexes to the Goods Control Ordinance or in Annex 1 of the War Materiel Ordinance? |  |  |

|  |  |  |
| --- | --- | --- |
| **Goods Classification** | Yes | No |
| Does the company classify all goods based on the Annexes of the Goods Control Ordinance ([GCO](https://www.seco.admin.ch/seco/de/home/Aussenwirtschaftspolitik_Wirtschaftliche_Zusammenarbeit/Wirtschaftsbeziehungen/exportkontrollen-und-sanktionen/exportkontrolle_industriegueter/rechtliche-grundlagen-gueterlisten-anhaenge.html); SR 946.202.1) and the Annex 1 of the Ordinance on the Export and Brokering of Goods for Internet and Mobile Communications Surveillance ([VIM](https://www.fedlex.admin.ch/eli/cc/2020/1039/de); SR 946.202.3)?  (Goods also include software and technology.) |  |  |
| * [Annex 1 and 2: List of Dual-Use Goods](https://www.seco.admin.ch/dam/seco/de/dokumente/Aussenwirtschaft/Wirtschaftsbeziehungen/Exportkontrollen/Industrieprodukte/G%C3%BCterlisten/Anhang%201%202%20GKV%20-%20g%C3%BCltig%20ab%201.%20Mai%202025%20-%20korrigiert.pdf.download.pdf/Anhang%201%202%20GKV%20-%20g%C3%BCltig%20ab%201.%20Mai%202025%20-%20korrigiert.pdf) |  |  |
| * [Annex 3: List of specific military Goods](https://www.seco.admin.ch/dam/seco/de/dokumente/Aussenwirtschaft/Wirtschaftsbeziehungen/Exportkontrollen/Industrieprodukte/G%C3%BCterlisten/anhang3gkv1feb2025.pdf.download.pdf/Anhang%203%20der%20G%C3%BCterkontrollverordnung%20(946.202.1)%20per%201.%20Februar%202025.pdf) |  |  |
| [Annex 5: List of nationally Controlled Goods](https://www.fedlex.admin.ch/eli/cc/2016/352/de#annex_5) |  |  |
| * Annex 1 of the Ordinance on the export and brokering of goods for Internet and mobile communications surveillance ([VIM](https://www.fedlex.admin.ch/eli/cc/2020/1039/de); SR. 946.202.3). |  |  |
| If you answered "Yes" to any of the above questions, please indicate who is responsible for goods classification within your company? | | |

|  |  |  |
| --- | --- | --- |
| **Implementation of International Embargos or Sanctions** | Yes | No |
| Does the company implement or apply any Sanctions or Embargos? |  |  |
| * Switzerland: [Sanction measures](https://www.seco.admin.ch/seco/en/home/Aussenwirtschaftspolitik_Wirtschaftliche_Zusammenarbeit/Wirtschaftsbeziehungen/exportkontrollen-und-sanktionen/sanktionen-embargos/sanktionsmassnahmen.html) |  |  |
| * Foreign jurisdictions |  |  |
| Comments: | | |

|  |  |  |
| --- | --- | --- |
| **Implementation of other Export Controls** | Yes | No |
| Does the company implement or apply any other export controls from other jurisdictions than Switzerland? |  |  |
| Comments: | | |

|  |  |  |
| --- | --- | --- |
| **Knowledge Transfer – Export of Software or Technology** | Yes | No |
| Does the company share or transfer information in the form of “Technolog*y*” or “Software” *that is controlled under the annexes of the GCO* with other branches of the same company outside of Switzerland (intracompany transfer)?  If yes, please specify: |  |  |
| Does the company share or transfer information in the form of “Technology” or “Software” *that is controlled under the annexes of the GCO* with other entities outside of Switzerland?  If yes, please specify: |  |  |
| Does the company transfer information in the form of “Technology” or “Software” *which is controlled under the annexes of the GCO* with other entities outside of the countries of Annex 7 GCO (Countries of the General ordinary Export Licence)?  If yes, please specify: |  |  |

*The following confirmation must be signed by an authorized signatory (or authorized signatories in the case of joint signatures).*

**Company Information:**

Name:

Address:

Place and date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name/Function: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name/Function: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_