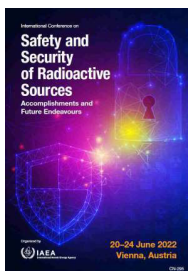


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Strategic Trade Risk Assessment Matrix: Philippine Approach on Licensing Review and Evaluation

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Pursuant to the risk assessment criteria stipulated under Rule IV, Section 6 of the Strategic Trade Management Act Implementing Rules and Regulations (STMA IRR), the Registration and Authorization Division (RAD) of the Department of Trade and Industry - Strategic Trade Management Office (DTISTMO) formulated its own Risk Assessment Matrix, which aims to increase efficiency and provide a uniform method of evaluation of an authorization application. It integrates different licensing criteria/ parameters and defines the likelihood of a risk happening vis-à-vis consequence severity. This applies not only to nuclear materials, equipment and technology, but also other dual-use and military goods.

The six criteria and their brief description are provided below:

Criteria Description

- (1) Commodity Assessment - looks into the appropriateness of stated specification and quantity
- (2) End-Use: Sensitivity of Goods - tiering of National Strategic Goods List (NSGL) items, Philippines' control list based on EU Control List
- (3) End-Use: Proliferation Concern - consistency of stated end-use and end-user activity (new or old items, expansions, etc.)
- (4) Diversion to unauthorized end-user (connections/ involvement with entities of concern) - involvement and connection to restricted persons, proximity to sanctioned countries, shipment routes, the port of destination
- (5) Risk of illegal end-use by end-user and its customers/ intermediaries, and parties to the transaction - confirmation of the existence of the end-user (address, business activity, etc.), operational capacity, technological capacity, history of involvement
- (6) Country of Destination - tiering of countries based on strategic trade elements

Each criterion consists of a qualitative/ descriptive rubric or the scoring guide. The risk level is consistent with all the assessment criteria, ranging from the lowest (1 - very unlikely) to highest (5 - definite) risk. Each level has its unique descriptors to allow evaluators to determine the scale of risk. Some criteria are further divided into elements with different descriptors.

While the risk assessment matrix has its limitation and requires careful considerations of other factors, the tool aids STMO licensing officers in objectively reviewing applications and providing appropriate conditions in carrying out strategic trade activities.

Country OR Intl. Organization

Philippines

Primary authors: BRAVO, ALETHEA (Department of Trade and Industry - Strategic Trade Management Office); Ms SALAZAR, Domina Pia (Department of Trade and Industry - Strategic Trade Management Office)

Presenters: BRAVO, ALETHEA (Department of Trade and Industry - Strategic Trade Management Office); Ms SALAZAR, Domina Pia (Department of Trade and Industry - Strategic Trade Management Office)

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