

Export Documentation Checklist

- 1) Use Due Diligence – Know your customer, use the following three website's for Export Enforcement, Entity List, Denials List, Debarred List, Unverified list, SDN, Sanctioned countries list, Antiboycott Compliance, Common Red Flags. (www.bis.doc.gov, www.export.gov/tic, www.ustreas.gov/ofac)
- 2) Know your customer -What are you shipping? What is the final destination of the goods? Who is the end user? What is the end-use of the product? What else do they do? Have you asked your customer these questions? Does your company have a clear export compliance policy?
- 3) Is an Export License required? (www.bis.doc.gov or www.pmdtdc.state.gov) Are you required to fill out and retain an end user certificate?
- 4) What are your Terms of Sale? Have you used the correct Incoterm? (See Incoterms chart.) Depending on your incoterm have you listed the freight charges separately on the commercial invoice? Is this shipment under a letter of Credit?
- 5) Country specific requirements. IE: Pre-shipment Inspections, Legalization of documents, Heat treatment/fumigation requirements. What is required, have you checked with your customer or freight forwarder to get the process started? www.export.gov/tic , http://www.aphis.usda.gov/import_export/plants/plant_exports/wpm/country/ (Wood Packaging all countries)
- 6) Documentation – Have you filled out a Shippers Letter of Instruction or an Export Declaration? Do you have a copy of one on site? Do you have a commercial invoice/Packing list filled out properly? (<http://www.census.gov/foreign-trade/regulations/forms/index.html#needhelpcompletingthesed>)
- 7) Is the Harmonized Tariff Classification/Schedule B number correct?
(<http://www.census.gov/foreign-trade/reference/codes/index.html>)
Does this qualify for NAFTA? (www.customs.gov/nafta/nafta_new.htm/ OR <http://www.export.gov/fta/NAFTA/index.asp?dName=NAFTA>)
- 8) Do you have Insurance? If so for what amount? Is it listed separately on the commercial invoice?
- 9) Is shipment properly packaged for international air or ocean transportation? Is it properly labeled? Have specific transportation requirements been communicated to the forwarder?
- 10) Security requirements –Have you listed everything in this shipment? Any hazardous goods? Container security (seals, inspection, storage). Physical access control (employees, visitors, deliveries)
- 11) Record Keeping - Are you keeping copies of your export declaration, commercial invoice/packing list for five years? Who is your internal compliance officer? Do you have a written Export Management System (EMS)?



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