

SOP: Customs Documentation and Export Compliance Review

This SOP details the process for **customs documentation and export compliance review**, covering the preparation, verification, and submission of export documents, adherence to international trade regulations, classification and valuation of goods, liaising with customs authorities, ensuring compliance with export controls and sanctions, and maintaining accurate records. The aim is to facilitate smooth customs clearance, prevent legal violations, and ensure timely delivery of goods across borders.

1. Purpose

To ensure all exported goods are accompanied by accurate and compliant customs documentation, and to adhere to applicable export controls, international regulations, and requirements.

2. Scope

This procedure applies to all employees involved in the export process, including the preparation, review, and submission of export documentation for goods shipped internationally.

3. Responsibilities

- **Export/Logistics Team:** Prepare and verify all export documentation.
- **Compliance Officer:** Review all documentation for regulatory compliance and export control issues.
- **Management:** Provide approvals and maintain oversight of export activities.

4. Procedure

1. **Order Review**
 - Receive and review customer order for country of destination and product details.
 - Identify any export-controlled items or restricted destinations.
2. **Documentation Preparation**
 - Prepare required export documents, including but not limited to:
 - Commercial Invoice
 - Packing List
 - Export License (if required)
 - Certificate of Origin
 - Bill of Lading / Airway Bill
 - Any other country or product-specific documents
3. **Classification and Valuation**
 - Assign correct Harmonized System (HS) codes for all goods.
 - Determine and declare accurate customs value (transaction value, including freight and insurance as applicable).
4. **Export Compliance Review**
 - Screen parties against restricted and denied party lists.
 - Review end-use/end-user to ensure compliance with export controls and sanctions.
 - Confirm any required export licenses or authorizations are in place.
5. **Internal Documentation Review and Approval**
 - Compliance Officer reviews all documents for accuracy and compliance.
 - Obtain necessary internal approvals before submission.
6. **Submission to Customs**
 - Submit documents to customs authorities and/or customs broker as required.
 - Address any queries or requests for additional information from authorities promptly.
7. **Recordkeeping**
 - Maintain accurate records of all export documents and correspondence, in line with company policy and legal requirements (minimum 5 years or according to jurisdiction).

5. Compliance & Controls

- Monitor updates to export regulations and sanctions lists regularly.
- Train relevant personnel on export requirements and procedures.
- Carry out periodic audits of export documentation and procedures.

6. References

- Company Export Control Policy
- International Trade Administration Guidelines
- Local Customs Authority Regulations
- Relevant Export Control Laws (e.g., EAR, ITAR, EU Dual-Use Regulation)

7. Revision History

Version	Date	Description of Change	Prepared By
1.0	2024-06-10	Initial creation	SOP Generator