

Basic Export Documentation





Agenda

- Information You Need In Advance
- Mandatory Filing of Electronic Export Information
 - Automated Export System (AES)
 - Automated Commercial Environment (ACE)
- Invoices
- Bill of Lading/Airway Bill
- Packing List
- Other Documents
- Shipment Review





Information You Need Before Shipping

1. HS Code – Schedule ‘B’ Number
2. Export Control Classification Number (ECCN)
3. USPPI / FPPI
4. Other Shipment Details





HS Code – Schedule ‘B’ Number

- HS = Harmonized System
 - Cooperation between most countries of the world
- 6 to 10 digit number used for categorizing products in international commerce
 - First 6 digits – identical for every country
 - Last 4 digits – country-specific sub-categories
- AKA:
 - Harmonized Tariff Code
 - HTS Code = Harmonized Tariff System
 - “Schedule B Number” – 10 digit codes for US exports



Breakdown of HS Code

Example: HS #9608.10

Chapter 96 = Miscellaneous Manufactured Article

Agricultural Products are lower number Chapters - 0

Heading 9608 = Pens

Subheading 9608.10 = Ballpoint pens

Subheading 9608.20 = Felt tip pens and markers



If there are no more subdivisions, ending will be 0000



HS Code – Schedule ‘B’ Number

<http://www.census.gov/foreign-trade/schedules/b/>

- Schedule C – Country codes
- Schedule D – Ports in the US
- Schedule K – Foreign ports
- Supplying a destination-country classification code on your commercial invoice is a business decision by your corporation.
- The decision to report this destination HS on your commercial invoice can be driven by the payment terms of the order/shipment.



Basic Information you need before shipping

- ECCN – Export Control Classification Number
- An ECCN is a specific alpha-numeric code that identifies the level of export control for articles, technology and software (collectively, "Items") that are exported from member states of the Wassenaar Arrangement, including the United States.
- The ECCN that applies to any specific item is determined by referring to the Commerce Control List,
- Bureau of Industry and Security, www.bis.doc.gov

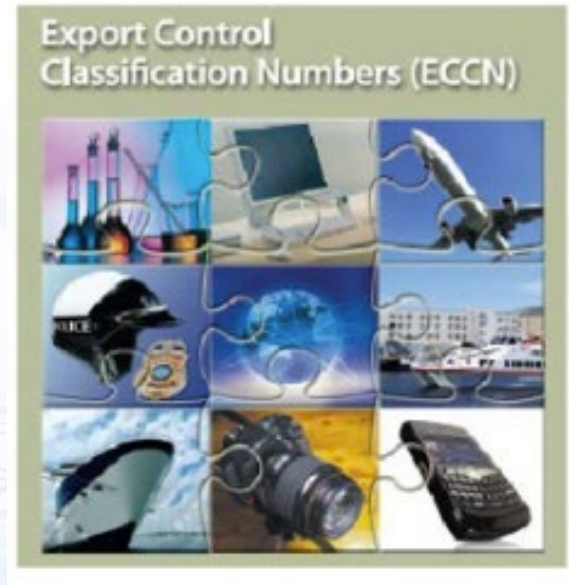




Commerce Control List (CCL)

http://www.access.gpo.gov/bis/ear/ear_data.html

- Contains certain items subject to licensing authority of BIS
- Lists items by **Export Control Classification Number (ECCN)**
 - (e.g. 3A001, 3A994)
- Identifies technical parameters
- If not on CCL, use **EAR99**





United States Principal Party in Interest (USPPI)

- U.S. person or entity that is the primary benefactor (monetarily or otherwise) from an export transaction.
 - U.S. Seller (wholesaler or distributor)
 - U.S. Manufacturer
 - U.S. Order Party
- Unless the transaction is a “routed transaction” as defined in the Export Administration Regs.
- In a “routed transaction” the Foreign Principal Party in Interest (FPPI) can give its designated Freight Forwarder power of attorney or written authorization to act as the exporter on its behalf.



FPPI Risk

- Foreign Trade Regulations considers the exporter to always be the USPPPI. A foreign party can also be the exporter if it is in the U.S. at the time of export.
- “Routed transactions” regulations are found in the EAR under 15 CFR 758.3 and in the FTSR under 15 CFR 30.4. It is important to understand the regulations regarding “routed transactions.”
- A USPPPI that allows the FPPI to designate the freight forwarder can be under some compliance risk as the freight forwarder may perceive its allegiance to be with the FPPI.
- Additionally the FPPI generally directly or indirectly pays the freight forwarder for the movement of its freight.



Other Shipment Details

- Freight Forwarder
- Port of Export
- Destination Country
- Mode of Transport
- Carrier / Transportation Company / Vessel Name



Other Shipment Details

- **Value** – The value shall be the selling price of the goods including inland or domestic freight, insurance, and other charges to the U.S. For details, see Foreign Trade Regulations 30.6 (a)(17).
- **Consignee**
 - **Company Info**
 - **Ultimate Consignee Type**
 - **Direct Consumer** – a non-government institution, enterprise, or company that will consume or use the exported good.
 - **Government Entity** – a government-owned or government-controlled agency, institution, enterprise, or company.
 - **Reseller** – a non-government reseller, retailer, wholesaler, distributor, distribution center or trading company
 - **Other/Unknown**



Valuation

- Transaction Value (TV) is the first, and most important, method of valuation referred to in the Valuation Agreement
 - Definition - the price paid or payable by the buyer to the seller for the imported goods (with some deduction/additions).
- Valuation Code states that customs valuation shall, except in specific circumstances, be based on the actual price of the goods to be valued, which is generally shown on the invoice.
- Valuation must conform to commercial realities and not use arbitrary or fictitious values.



Valuation

- Cases where Customs authorities have reason to doubt the truth or accuracy of declared values:
 - Customs may ask the importer to provide further explanation that the declared values represent the total amount actually paid or payable.
 - If doubt still exists, Customs may decide that the value cannot be determined according to the TV method



NOTE - You declare value(s) on your AES export filing then again when shipment is presented for processing

» MAKE SURE YOUR VALUE IS CORRECT BEFORE THE SHIPMENT.



INCOTERMS

- Incoterms are standardized definitions of commonly used shipping and trade terms that cover issues such as control of goods and financial responsibilities such as payment of cargo insurance and freight.
- Most common examples: Ex-Works, FOB, CIF
- Incoterms provide traders with a common set of rules outlining each party's obligations, thus reducing misunderstandings.
- The International Chamber of Commerce (ICC) establishes and publishes the Incoterms.
- To use the terms correctly, trade practitioners should consult the ICC for the complete, authorized Incoterm definitions.
- <http://www.iccwbo.org/incoterms/id3045/index.html>



**Shipper's Export Declaration (SED) to
Automated Export System (AES) to**

Automated Commercial Environment (ACE)

- The SED was a USG export document, form 7525-V, submitted to U.S. Customs and Border Protection (CBP) for almost every export shipment of commodities from the U.S.
- This multipurpose document gathered export statistical information for U.S. Census and export compliance declaration information for U.S Immigration and Customs Enforcement (ICE), BIS' Office of Export Enforcement (OEE) and the Office of Defense Trade Controls Compliance and Enforcement Division.
- Filing of SED is no longer permitted (as of July 2, 2008).
- Electronic Export Information (EEI).**



AES – Transitioning to ACE

- Web Sites: www.cbp.gov/trade/automated
<https://www.cbp.gov/trade/aes>
- Have an Import ACE Account
 - Trade Account Owner (TAO) requests export functionality based on EIN
- Do not have an Import ACE Account
 - Establish new account at www.cbp.gov/ACE by completing the ACE Exporter Account registration
 - Single EIN: Register for an ACE Account and a Top Account with a Trade Account Owner will be created
 - Multiple EINs: TAO must add additional EINs after registration
 - If ACE Export Reports authorization is desired, must be requested for all EINs associated with account.





Using the ACE Secure Data Portal

Select “Apply for an Account” link



ACE and Automated Systems

CBP automated systems electronically support the facilitation of importing and exporting goods. By the end of 2016, the Automated Commercial Environment (ACE) will become the Single Window - the primary system through which the trade community will report imports and exports and the government will determine admissibility. Through ACE as the Single Window, manual processes will be streamlined and automated, paper will be eliminated, and the international trade community will be able to more easily and efficiently comply with U.S. laws and regulations.



CBP has established the following mandatory use dates for transitioning to ACE:

<p>Mandatory use of ACE for all electronic manifest filings.</p> 	<p>Mandatory use of ACE for all electronic entry and entry summary filings.</p> <table border="1"> <tr> <td> <p>ENR</p> <p>1</p> <p>01/15</p> </td> <td> <p>ENR</p> <p>28</p> <p>01/15</p> </td> <td> <p>JFK</p> <p>TWO</p> <p>01/15</p> </td> </tr> </table>	<p>ENR</p> <p>1</p> <p>01/15</p>	<p>ENR</p> <p>28</p> <p>01/15</p>	<p>JFK</p> <p>TWO</p> <p>01/15</p>	<p>Mandatory use of ACE for all remaining electronic portions of the CBP cargo process.</p> 
<p>ENR</p> <p>1</p> <p>01/15</p>	<p>ENR</p> <p>28</p> <p>01/15</p>	<p>JFK</p> <p>TWO</p> <p>01/15</p>			

ACE Secure Data Portal

-  Log In
-  Apply for an Account

Stay Informed

-  Sign Up for Email Messages
-  Find an



ACE Exporter Account Form

Apply for an ACE Exporter Account Export Form 1/2018

Instructions
 Please complete the form below to request an ACE Exporter Account. An ACE Exporter Account will provide access to ACE Connect for Electronic Export Information (EEI) and enable the applicant process to access ACE Connect rapidly. Once you have completed the form, select "Submit". Note: Only US user ID's working entities may apply for an ACE Exporter Account.
 * All asterisks are required.

Corporate Information

EIN #
 Number EIN #
 Company Name #
 DUNS #
 Size of Firm (FTE #)
 Industry
 Address 1 #
 Address 2
 City #
 State #
 Zip Code #

ACE Account Owner

First Name #
 Middle Name
 Last Name #
 Date of Birth #
 Telephone # Extension
 Fax #
 E-mail #
 Mailer E-mail #

If the Account Owner's Address is the same as Company's Address reported above, check this box and skip the rest of this section.
 Country
 Address 1 #
 Address 2
 City #
 State #
 Zip Code #

Submit Form

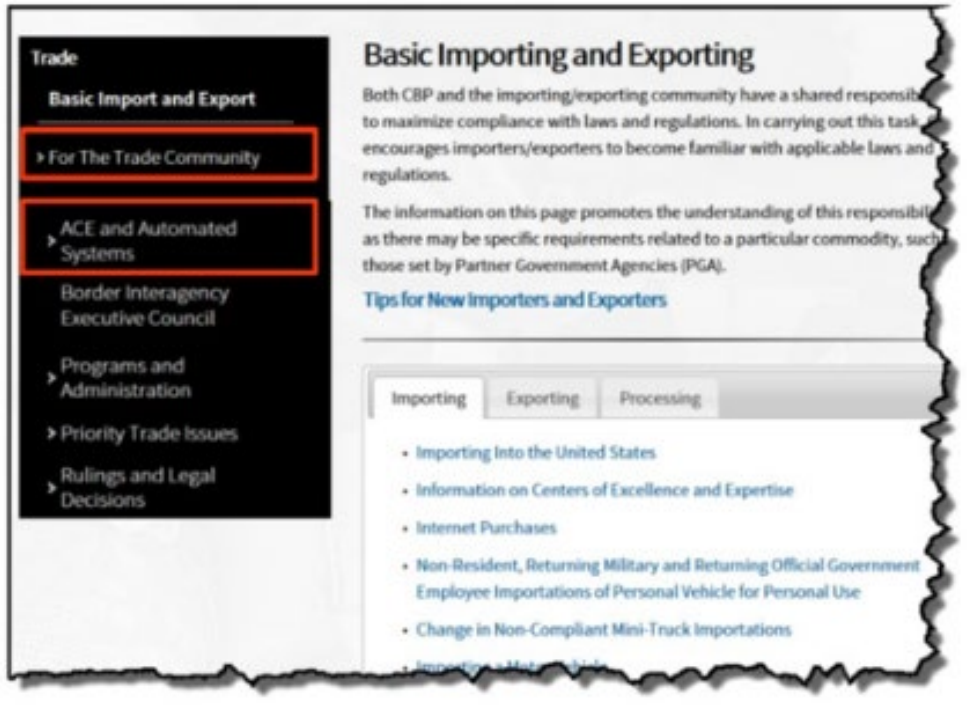
By checking this box, I have read and agree to the Terms and Conditions that governs the use of this system.

Remove the obscuration from the picture


You must accept the Terms and Conditions before the form can be submitted.



Accessing ACE and Automated Systems



Trade

- Basic Import and Export
 - ▶ For The Trade Community
 - ▶ ACE and Automated Systems
- Border Interagency Executive Council
- ▶ Programs and Administration
- ▶ Priority Trade Issues
- ▶ Rulings and Legal Decisions

Basic Importing and Exporting

Both CBP and the importing/exporting community have a shared responsibility to maximize compliance with laws and regulations. In carrying out this task, encourages importers/exporters to become familiar with applicable laws and regulations.

The information on this page promotes the understanding of this responsibility as there may be specific requirements related to a particular commodity, such as those set by Partner Government Agencies (PGA).

Tips for New Importers and Exporters

Importing Exporting Processing

- Importing into the United States
- Information on Centers of Excellence and Expertise
- Internet Purchases
- Non-Resident, Returning Military and Returning Official Government Employee Importations of Personal Vehicle for Personal Use
- Change in Non-Compliant Mini-Truck Importations
- Importation of Motor Vehicles



Receive Account ID Email Information

ACE Email Notification (CT1)

The following new Other_TAM_Users [itamprofile] account has been created for you:

Owner Name: Marv Lamb
Account ID: ML52746
Transaction ID: 7168388228821304487
Retrieve Password Page: <https://ace.ct1.sat.cbp.dhs.gov/itam1/itam/console/getpassword?transactionid=7168388228821304487>
Password Retrieval Expiration (Hours): 504
Time of service provision: Jun 11, 2015 12:36:53 EDT

In order to retrieve your password from the Retrieve Password page, you will need to enter your shared secret value. If you do not know this value please contact an administrator for assistance.

ACE Secure Data Portal, U.S. Customs and Border Protection



ACE Timeline

Mandatory use of ACE for all electronic manifest filing.



Mandatory use of ACE for all electronic entry and entry summary filing.



Transition period begins: ACE filing of electronic entry and associated entry summary types 01, 11, 03, 51, 52 with or without PGA data is encouraged.



ACE must be used and ACS will no longer be available for filing of all electronic entries and associated entry summaries. In addition, electronic FDA, NHTSA, APHIS (Lacey) data must be filed in ACE and ACS will no longer be available.



Upon publication of the Final Rule, ACE must be used for filing AMS, APHIS Core, AIT, CDC, DCMA, DDTC, DEA, E&C, EPA, FSIS, FWS, NMFS and TTB data.

Hybrid submissions will no longer be allowed.

Mandatory use of ACE for all remaining electronic portions of the CBP cargo process.





Filing Requirements

Generally filing is required for the following:

- Any export containing one or more commodities, classified according to Schedule B Number in Field 22, that is valued at more than \$2,500 (except to Canada).
- Any shipment that contains a licensed export (including to Canada).
- Any export subject to the ITAR





Electronic Export Information EEI

Four different to submit Electronic Export Information.

1. Submit on your own behalf
2. Vender software specifically designed and approved to submit EEI
3. Paid ACE service provider
4. Create your own ACE program

The two levels of filing EEI are Pre-Departure and Post-Departure

- Pre-Departure (formally called option 2) calls for all EEI to be submitted in specific minimum time frames before the export
- Post-Departure (formally called option 4) allows most filing of EEI as soon as available but before ten days after the export.
- Post-Departure reporting privileges requires that the USPPPI be approved by the Census Bureau, CBP, BIS and DDTTC.



Predeparture deadlines

- **Vessel cargo** - twenty-four hours prior to loading cargo at the U.S. port where the cargo is laden.
- **Air cargo** including transportation by Air Express Couriers – no later than two (2) hours prior to the scheduled departure time of the aircraft.
- **Truck cargo** - no later than one (1) hour prior to the arrival of the truck at the United States border.
- **Rail cargo** - no later than two (2) hours prior to the time the train arrives at the U.S. border.
- **Mail and cargo shipped by other methods**, except pipeline – no later than two (2) hours prior to exportation. (See § [30.46](#) for filing deadlines for shipments sent by pipeline.)
- **All other modes** - no later than two (2) hours prior to exportation.



Postdeparture

- Postdeparture filing takes into account that complete information on export shipments may not always be available prior to exportation.
- For example, for exports of seasonal and agricultural commodities, only estimated quantities, values, and consignees may be known prior to exportation.
- Postdeparture filing is only available for approved USPPIs.
- Only USPPI may apply for postdeparture filing privileges by submitting a postdeparture filing application.
- An authorized agent may not apply on behalf of a USPPI.
- No later than ten calendar days from the date of exportation.



Access the ACE Secure Data Portal Home Page

- To access the ACE Secure Data Portal Home Page:
 - Launch Internet Explorer
 - Type: <https://ace.cbp.dhs.gov/>





Step 2: Create New Shipment

AESDirect: Main Menu - Currently submitting to Production

<p>Account Summary</p> <p>AESDirect Home Log Out of AESDirect</p> <p>Username: rtorrrs</p> <p>Youremail@cen.us.gov</p> <p>Your password will expire in 8 days</p> <p>You are a user manager</p> <p>User Maintenance: Change My Password Change My Response Email Reset My Security Questions</p> <p>Account Maintenance: Manage Users</p> <p>My Company: Name: CENSUS AES DIRECT INC. Filer ID: Employer ID Number</p> <p>Environment: Educator</p> <p>Account Administrator: This person oversees the Company Account. They can act legally on behalf of the account and manage users.</p> <p>User Managers: The people listed here can help the Administrator manage other User Accounts. They can help reset forgotten passwords or disabled</p>	<p>AESDirect News</p> <ul style="list-style-type: none"> • NewsFlash: Removal of Social Security Numbers from AESDirect • Sign Up for AES Updates GET EMAIL UPDATES <hr/> <p>Shipments</p> <ul style="list-style-type: none"> • Create New Shipment • Shipment Manager <small>new!</small> • Retrieve Shipment • Delete Shipment <p>Click Create New Shipment to start</p> <hr/> <p>Profiles</p> <ul style="list-style-type: none"> • USPPI Profile Maintenance • Consignee Profile Maintenance • Forwarder Profile Maintenance <hr/> <p>Templates</p> <ul style="list-style-type: none"> • Manage Templates <hr/> <p>EDI</p> <ul style="list-style-type: none"> • Upload an EDI File
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Shipments in AES

A shipment is defined as merchandise

1. Shipped from one USPPI
 2. To one consignee
 3. In a single country of destination,
 4. On a single carrier,
 5. On the same day,
 6. Valued over \$2,500 per Schedule B, or when a license is required.
- Shipment Reference Number (SRN) - This is a unique alphanumeric number, up to 17 digits, used to identify each shipment.
 - Can be a purchase order (PO) number, a customer number, a company name, a Bill of Lading number, or a phrase that identifies that shipment -- such as “6 **piece boxes**” or “birthday gift for John.”
 - If you re-use a previous Shipment Reference Number, the system will generate a Fatal Error. To prevent this, you can establish a unique format to create Shipment Reference Numbers and maintain a log of those already used.





Shipments in AES

- ITN (Internal Transaction Number) is a confirmation number that proves a shipment has been accepted by AES. This number is unique for every shipment and must be provided to the U.S. Customs and Border Protection (CBP) at the port of export.
- Exporters must cite the ITN on the first page of the bill of lading, air waybill, and/or other commercial loading documents.





Sections in Each Shipment





Power of Attorney

Power of Attorney is required for:

- Freight Forwarders acting on your company's behalf
- Brokers acting on your company's behalf for processing/submitting import documents in order for your product to enter into the commerce of a country
- Allowing your freight forwarder or a third party to submit your AES Direct export filings



REMEMBER any third party acting on your behalf must sign a POA and you should have a Confidentiality agreement in place to ensure that your information is legally safeguarded from being shared with a third party.



Coming Up...

- Invoices
- Bills of Lading/Airway Bill
- Packing List
- Other Documents
- Shipment Review



Other Export Documents: Pro-forma Invoice

- 'Proforma Invoice' is a preliminary bill of sale sent to buyers in advance of a shipment or delivery of goods.
- States a commitment from the seller to sell goods to the buyer at specified prices and terms.
- Sales quotes are prepared in the form of a pro-forma invoice which is different from a commercial invoice. It is used to create a sale and is sent in advance of the commercial invoice.
- The content of a pro-forma invoice is almost identical to a commercial invoice and is usually considered a binding agreement although the price might change in advance of the final sale.



Sample

ProForma Invoice

Exporter

Ultimate Consignee

Intermediate Consignee

Date

Order Number

Commercial Invoice Number

Ultimate Consignee Phone

Exporting Carrier

Origination State

Exporter Contact Name

PO Number

Terms

ProForm Invoice Number

Customer Account Number

Loading Pier/Terminal

Country of Destination

Exporter Contact Phone

Quantity	Product ID	Description	Schedule B Code	Unit Price	Total Price



Pro-forma Invoice

- In some countries, customs may accept a *pro-forma* invoice to get goods released from customs if the required commercial invoice is not available at the time when filing entry documents at the port of entry.
- The U.S. Customs and Border Protection, for example, uses *pro-forma* invoices to assess duty and examine goods, but the importer on record is required to post a bond and produce a commercial invoice within 120 days from the date of entry.





Commercial Invoice

- A commercial invoice is a document used when shipping to foreign locations provided by the shipper/exporter which allows for Customs declaration.
- A commercial invoice identifies the HTS codes for the products being imported which are used in the Customs clearance process for assessment of duties and taxes to said import.
- A commercial invoice is a bill for the goods from the seller to the buyer and are used to determine the true value of goods when assessing duties and taxes.
- A commercial invoice looks very much like an invoice any seller might provide to a buyer domestically. However, a commercial invoice is used by the buyer for import clearance and therefore has more information than a sales invoice.



Commercial Invoice

- Ship From” information - Company name and address
- Ship To” - Company name and address
- INCOTERMS
- On commercial invoice you must declare the ECCN and HS Code.
- Actual part numbers
- Quantities being shipped per line item
- Value of product being shipped
- Value times quantity per line item (extended value)
- Country of Origin of each line item (product)
- Commercial Description (not scientific name)



Commercial Invoice

- AES ITN number must be recorded on document when applicable
- If a Letter of Credit is involved make sure that your Commercial Invoice, Packing List, and applicable Airway bills have all required information documented per letter of credit requirements
- Optional - Purchase Order Number
- Export reporting where applicable
 - And document pertaining to export transactions, license applications and approvals
 - License Exceptions, Exemptions and documents in support of bulk licenses and agreements
 - Export shipping documents





Instructions



1. Seller – The name and address of the principal party responsible for effecting export from the United States. The exporter as named on the Export License.

2. Sold To – The name and address of the person/company to whom the goods are shipped for the designated end use, or the party so designated on the Export License.

3. Ship To (if different than Sold To) – Intermediate Consignee – the name and address of the party who effects delivery of the merchandise to the ultimate consignee, or the party so named on the Export License or Forwarding Agent – the name and address of the duly authorized forwarder acting as agent for the exporter.

4. Invoice No. – Invoice number assigned by the exporter.

5. Customer Reference No. – Overseas customer's reference or order number.

6. Terms of Sale – Delivery and payment terms of sales agreement.

7. Terms of Payment – Describe the terms, conditions, and currency of settlement as agreed upon by the vendor and purchaser per the Pro Forma Invoice, Customer Purchase Order, and/or Letter of Credit.

8. Currency of Settlement – Currency agreed upon between seller and buyer as payment.

9. Mode of Shipment – Indicate air, ocean, surface.

10. Qty – Record total number of units per description line.

11. Description – Provide a full description of items shipped, the type of container (carton, box, pack, etc.), the gross weight per container, and the quantity and unit of measure of the merchandise.

12. Unit of Measure – Record total net weight and total gross weight (includes weight of container) in kilograms per description line.

13. Unit Price / Total Price – Record the unit price of the merchandise per the unit of measure; compute the extended total value of the line.

14. Total Value of the Invoice – Total value of the invoice.

15. Package Marks – Record in this Field, as well as on each package, the package number (e.g. – 1 of 7, 3 of 7, etc.), shippers company name, country of origin (e.g. – made in USA), destination port of entry, package weight in kilograms, package size (length X width X height), and shipper's control number (e.g. – CI number; optional).

16. Misc. Charges: (packing, insurance, etc.) – Record any miscellaneous charges which are to be paid for by the customer – export transportation, insurance, export packaging, inland freight to pier, etc.

17. Certifications – Any certifications or declarations required of the shipper regarding any information recorded on the commercial invoice.

COMMERCIAL INVOICE

SELLER: 1	INVOICE No. 4	DATE
SOLD TO: 2	CUSTOMER REFERENCE No. 5	DATE
SHIP TO (if different than Sold To): 3	TERMS OF SALE 6	TERMS OF PAYMENT 7
	CURRENCY OF SETTLEMENT 8	MODE OF SHIPMENT 9
		BILL OF LADING / AWB

QTY 10	DESCRIPTION 11	UNIT OF MEASURE 12	UNIT PRICE 13	TOTAL PRICE

PACKAGE MARKS: 15	TOTAL COMMERCIAL VALUE: 14
	MISC. CHARGES (packing, insurance, etc.): 16
	TOTAL INVOICE VALUE:

CERTIFICATIONS: 17	I certify that the stated export prices and description of goods are true and correct: _____ (SIGNED) TITLE: _____
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Commercial Invoice Destination Control Statement

- Use of the appropriate Destination Control Statement (DCS) is required on Commercial Invoice, ITAR for defense articles on the USML or from the EAR for items on the CCL.
- For approved ITAR items the DCS (ITAR, Part 123.9b) is:

These commodities are authorized by the U.S. Government for Export only to (country of ultimate destination) for use by (end user). They may not be transferred, transshipped on a non continuous voyage, or otherwise be disposed of in any other county, either in their original form or after being incorporated into other end-items, without the prior written approval of the U.S. Department of State.



Commercial Invoice Destination Control Statement

- The approved EAR DCS (EAR, Part 758.6) is: For approved ITAR items the DCS (ITAR, Part 123.9b) is:

These commodities, technology or software were exported from the United States in accordance with the U.S. Department of commerce. Diversion contrary to U.S law prohibited

This is the minimum that the DCS must state. Generally it is reprinted on all invoices. In addition to the invoice the DCS is required to be on the bill of lading, airwaybill, or other export control document that accompanies the shipment from its point of origin in the U.S. to the ultimate consignee or end-user abroad.



Bill of Lading, Airway Bill

- Bills of Lading and Airway Bills are shipping documents.
- The ocean bill (Ocean Bill of Lading) is customarily prepared by the freight forwarder from information that is supplied by the seller.
- A truck bill of lading (as for Canada or Mexico) is usually prepared by the seller.
- The airway bill may be prepared by the freight forwarder or seller.
- Document shows the shipment information (verses the commercial information from the invoice).
 - Destination
 - Consignee
 - Shipping Company
 - Ports or airports to be used
 - Whether the shipment is freight prepaid or freight collect



Bill of Lading

- A contract between the owner of the goods and the carrier (as with domestic shipments).
- For vessels, there are two types: a straight bill of lading, which is non-negotiable, and a negotiable or shipper's order bill of lading.
- The latter can be bought, sold, or traded while the goods are in transit.
- The customer usually needs an original as proof of ownership to take possession of the goods.



Airway Bill

- Air freight shipments require Airway bills, which can never be made in negotiable form.
- Airway bills are shipper-specific (i.e. USPS, FedEx, UPS, DHL, etc).



Export Packing List

More detailed and informative than a standard domestic packing list, it lists:

- Seller
- Buyer
- Shipper
- Invoice number
- Date of shipment
- Mode of transport
- Carrier

It also itemizes:

- Quantity
- Description
- Type of package (box, crate, drum, or carton)
- Quantity of packages,
- Total net and gross weight (in kilograms),
- Package marks and dimensions, if appropriate

Both commercial stationers and freight forwarders carry packing list forms. A packing list may serve as conforming document. It is not a substitute for a commercial invoice.



PACKING LIST

© Copyright 2001 Uni & Co.

_____ 19 _____
Place and Date of Shipment

Gentlemen:

Under your Order No. _____ the material listed below
was shipped _____ via _____
To _____

Shipment consists of		Notes
_____ Cases	_____ Packages	
_____ Cartons	_____ Cartons	
_____ Bbls.	_____ Drums	
_____ Pails		

*LEGAL HEIGHT IS HEIGHT OF ARTICLE PLUS PAPER, BOX, BOTTLE, ETC., CONTAINING THE ARTICLE AS USUALLY CARRIED IN STOCK.

PACKAGE NUMBER	WEIGHTS IN LBS. or KILOS			DIMENSIONS			QUANTITY	CLEARLY STATE CONTENTS OF EACH PACKAGE
	GROSS WEIGHT EACH	LEGAL WEIGHT EACH	NET WEIGHT EACH	HEIGHT	WIDTH	LENGTH		

Sample



Other Documents

- Some other documents are often required on an export shipments because they are documents prepared in the U.S. that are needed for import clearance into destination country. It is the responsibility of the importer to advise the exporter of what is required.
- Certificate of Origin (COO) - Sometimes a COO is required to prove the origin of the goods. The country of origin could be the U.S. but could be from another country.
 - Origin = location of last substantial transformation
- COO may require stamp from Chamber of Commerce



Certificate of Origin

The undersigned _____
(Owner or Agent)

for _____ declares
(Shipper's Name and Address)

the following listed goods shipped on _____
(Name of Carrier)

on _____ consigned to _____
(shipment date)

are the products of the United States of America.

Marks and Numbers	No. of Pkg Boxes or Cases	Weight in Kilos Full		Description of Item
		Gross	Net	

Signed this _____ day of _____, 2008.

(Signature of Owner or Agent)

Do Not Write Below This Line

The Chamber of Commerce of the United States of America certifies, in reliance on the exporter's representation and not on the basis of independent verification that, to the best of its knowledge and belief, the products named in this document originated in the United States of America.

Certified this _____ day of _____, 20____.

Chamber of Commerce of the United States of America

Sample



Other Documents

Certifications for Free Trade Agreements

- Special certificates may be required to qualify for tariff benefits under free trade agreements (FTAs) that the US has with certain countries.
- Some certificates of origin including those required by NAFTA (North American Free Trade Agreement) and the FTA's with Israel and Jordan, are prepared by the *exporter*.
- Others including those required by the FTA's with Australia, CAFTA countries, Chile and Morocco, are *importer's* responsibility).
- For more information on FTAs see: Export.gov/fta



Other Documents Inspections

- Inspection Reports - Import regulations in some countries will require that an inspection be performed before your goods leave your shipping location, and a report prepared by a professional inspector.
- *Inspection certification* is required by some purchasers and countries in order to attest to the specifications of the goods shipped. This is usually performed by a third party and often obtained from independent testing organizations.
- Pre-shipment Inspection Companies: SGS, Intertek, Bureau Veritas



Other Documents Safety

- Certificate of Free Sale - Certificate of free sale may be required by some countries and are issued for biologics, food, drugs, medical devices, cosmetics and veterinary medicine.
- More information is available from the Food and Drug Administration, www.fda.gov, also known as Certificate to Foreign Governments.
- Health authorities in some states as well as some trade associations also issue Certificates of Free Sale. i.e. California Dept. of Public Health, www.cdph.ca.gov
- Certificate of Analysis: A certificate of analysis is required for seeds, grain, health foods, dietary supplements, fruits and vegetables, and pharmaceutical products.



Other Documents Dangerous Goods

- Dangerous Goods Certificate- Exports submitted for handling by air carriers and air freight forwarders classified as dangerous goods need to be accompanied by the Shipper's Declaration for Dangerous Goods required by the International Air Transport Association (IATA). The exporter is responsible for accuracy of the form and ensuring that requirements related to packaging, marking, and other required information by IATA have been met.
- For shipment of dangerous goods it is critical to identify goods by proper name, comply with packaging and labeling requirements (they vary depending upon type of product shipper and country shipped to). More information on labeling/regulations is available from the International Air Transportation Association or Department of Transportation – HAZMAT websites.



Other Documents Temporary Shipments

- ATA CARNET/Temporary shipment certificate
 - An ATA Carnet a. k. a. "Merchandise Passport" is a document that facilitates the temporary importation of products into foreign countries by eliminating tariffs and value-added taxes (VAT) or the posting of a security deposit normally required at the time of importation.
 - In U.S. - Corporation for International Business, www.atacarnet.com
- Certificate of Registration - US Customs Form 4455
 - Used for shipments going out of US temporarily in order to avoid duties upon return
 - Value of any improvements or repairs done abroad are subject to duties



Export Reviews

- All exports should be screened prior to release from the shipping department to ensure that the product is allowed to be shipped to the destination country or destination end-user
- Any or all export licenses related to the product being shipped must be applied and any license exceptions or special provisions must be adhered to.
- You must report on your Commercial Invoice or Pro-forma Invoice all export indicators or references to said Export License (EAR99, ENC etc.)





Export Reviews

- Company organizations that might be involved in the export review process
 - Sales and Marketing Teams
 - Order Management
 - Research and Development
 - Country Controllers
 - Shipping Department/Logistics
 - IT groups within your organizations
 - Trade Compliance Team



Supplying Correct Information

Supplying the correct information is essential for a smoothly handled order. We need to:

1. Properly manage export controls
1. Furnish accurate documents needed for import clearance at destination
2. Properly route the shipment to destination
3. Ensure that the commercial invoice and other documents are done correctly so that your company is paid in full and on time



Where to find forms

- Export.gov
- www.unzco.com
- Shipping Company
- Freight Forwarder
- Customs Broker

Documents:

- Travel with your shipments
- May also be transmitted electronically based on requirements of your customer
- Copies may have to be shipped ahead of time to the sponsoring bank if a Letter of Credit is Involved



Questions?

