



# Free Trade Agreement (FTA) Compliance Checklist

## Agreement Identification & Scope

Verifies the correct FTA is being applied and confirms the goods and parties involved are eligible.

### FTA Agreement Selected

- ☐ USMCA
- ☐ EU-Japan
- ☐ Korea-Chile
- ☐ Other (Specify in Long Text)

### Specify FTA Agreement (if 'Other' selected)

Write something...

### Agreement Entry into Force Date (YYYY)

Enter a number...

### Agreement Review Date

Enter date...

### Scope - Goods Covered

- ☐ All Goods Covered by Agreement
- ☐ Specific Goods (Specify in Long Text)

### Specific Goods Covered (if 'Specific Goods' selected)

Write something...

### Scope – Parties Involved

- ☐ Both Originating and Destination Countries
- ☐ Specific Parties (Specify in Long Text)

### Specific Parties Involved (if 'Specific Parties' selected)

Write something...

## Origin Determination

Details the processes for establishing the 'origin' of the goods, including required documentation and substantiation.


### Origin Determination Method

- ☐ Wholly Obtained
- ☐ Substantial Transformation
- ☐ Regional Value Addition

### Description of Manufacturing Process

Write something...

### Supporting Documentation (e.g., Bills of Materials)

 Upload File

### Percentage of Value Added in Originating Country

Enter a number...

### Specific Rules Applied (e.g., Change in Tariff Classification, Specific Process)

- ☐ Change in Tariff Classification
- ☐ Specific Process
- ☐ Value Added Requirements

### Date of Origin Determination

Enter date...

## Documentation Requirements

Outlines all necessary certificates of origin, commercial invoices, and other documentation needed for FTA benefits.

### Certificate of Origin (COO)

 Upload File

## Commercial Invoice

 Upload File

## COO Expiry Date Status

- ☐ Valid
- ☐ Expired
- ☐ Expiring Soon

## Invoice Date

Enter date...

## COO Reference Number

Enter a number...

## Description of Goods (as per COO)

Write something...

## Currency Used on Invoice

- ☐ USD
- ☐ EUR
- ☐ CAD
- ☐ GBP


# Record Keeping & Verification

Specifies the record-keeping requirements and procedures for internal verification and potential customs audits.

### Date of Record Creation

### Record Description/Summary

### Supporting Documentation (e.g., Invoice, Certificate of Origin)

 Upload File

### Quantity of Goods Recorded

### Value of Goods Recorded (in relevant currency)

### Verification Status (Initial/Revised/Verified)

☐ Initial

☐ Revised

☐ Verified

### Verification Notes/Comments (if applicable)

Write something...

### Verifier Signature

## Rules of Origin Specifics

Covers specific rules of origin (e.g., Wholly Obtained, Substantial Transformation, Regional Value Addition) applicable to the goods.

### Origin Determination Method

- ☐ Wholly Obtained
- ☐ Substantial Transformation
- ☐ Regional Value Addition

### Detailed Description of Transformation Process (if applicable)

Write something...

### Percentage of Regional Content (if applicable)

Enter a number...

### Supporting Documentation (e.g., Bill of Materials, Manufacturing Records)

 Upload File

### Specific Origin Criterion (if applicable)

- ☐ List of Non-Originating Goods
- ☐ Processing Requirements
- ☐ Directly Accessible Goods

### Date of Originating Transaction

Enter date...

## Supplier Declarations

Ensures proper supplier declarations are obtained and maintained to support origin claims.

### Declaration Method

- ☐ Approved Supplier Declaration
- ☐ Direct Supplier Declaration

### Declaration Issue Date

Enter date...

### Supplier Statement of Origin

Write something...

### Supporting Documentation (e.g., Manufacturing Process)

 Upload File

### Declaration Validity Period (Months)

Enter a number...

### Declaration Status

- ☐ Active
- ☐ Expired
- ☐ Pending Review

### Supplier Contact Name

Write something...

### Supplier Contact Email

Write something...

## Customs Broker Compliance

Details procedures for working with customs brokers and confirming their understanding of FTA requirements.

### Broker License Verification Status

- ☐ Verified and Active
- ☐ Verification Pending
- ☐ License Expired/Inactive

### Broker License Number

Enter a number...



### License Expiration Date

Enter date...

### Broker Service Agreement Details

Write something...

### Services Provided by Broker (e.g., Classification, Documentation, Compliance)

- ☐ Customs Classification
- ☐ Documentation Preparation
- ☐ Compliance Consulting
- ☐ Bond Management

### Broker License Copy

 Upload File

## Harmonized System (HS) Code Verification

Confirms the accuracy of HS codes used for classification and FTA eligibility.

### HS Code

Enter a number...

### Description of Goods (for verification)

Write something...

### Country of Origin (as declared on invoice)

☐ Country 1

☐ Country 2

☐ Country 3

### Binding Ruling (Yes/No)

☐ Yes

☐ No

### Supporting Documentation (e.g., technical specifications)

 Upload File

### Quantity

Enter a number...

## Periodic Review & Updates

Establishes a schedule for reviewing and updating FTA compliance procedures based on regulatory changes.

### Last Review Date

Enter date...

### Summary of Changes Since Last Review

Write something...

### Review Triggered By:

- ☐ Regulatory Change
- ☐ Internal Audit
- ☐ System Update
- ☐ Other


### Description of Regulatory Change (if applicable)

Write something...

### Frequency of Review (in months)

Enter a number...

### Supporting Documentation (e.g., regulatory updates, audit reports)

 Upload File

### Next Review Date

Enter date...

## Training and Awareness

Ensures relevant personnel receive training on FTA regulations and compliance procedures.

**Which FTA Modules have you completed?**

- ☐ Origin Determination
- ☐ Documentation Requirements
- ☐ Rules of Origin
- ☐ Customs Broker Interaction

**Date of Last Training Completion**

Enter date...

**Primary Responsibility Regarding FTA Compliance?**

- ☐ Procurement
- ☐ Logistics
- ☐ Finance
- ☐ Legal

**Briefly describe your understanding of 'Rules of Origin'**

Write something...

**Estimated time spent reviewing FTA updates per month (in hours)**

Enter a number...

### How do you typically receive FTA updates and guidance?

- ☐ Email
- ☐ Team Meetings
- ☐ Online Portal
- ☐ Direct Supervisor