



Import/Export Compliance Checklist for Supply Chain

Importer Information & Registration

Verify importer details, registration numbers, and ongoing compliance requirements.

Importer Legal Name


Importer EIN/Tax ID

Importer Registration Status

- ☐ Registered
- ☐ Pending Registration
- ☐ Not Registered

Registration Expiration Date

Copy of Import Registration Certificate

 Upload File

Importer Address

Write something...

Importer Contact Type

- ☐ Legal
- ☐ Operational

Exporter Verification & Due Diligence

Confirm exporter legitimacy, compliance history, and adherence to ethical sourcing practices.


Exporter's Risk Level (Based on Country & Industry)

- ☐ Low
- ☐ Medium
- ☐ High

Exporter's Business Registration Details

Write something...

Exporter's Business License/Registration Certificate

 Upload File

Exporter's Compliance Program Existence

- ☐ Yes
- ☐ No
- ☐ Unknown

Exporter's Previous Audit/Inspection History (if available)

Write something...

Years of Experience in Exporting

Enter a number...

Exporter's Certifications (e.g., ISO, Sedex)

- ☐ ISO 9001
- ☐ ISO 14001
- ☐ Sedex
- ☐ Other

Product Classification (HS Codes)

Accurate determination of Harmonized System (HS) codes for all imported/exported goods.

Product Description

Write something...

First Digit HS Code (Chapter)

- ☐ 1: Animal Products
- ☐ 2: Vegetable Products
- ☐ 3: Mineral Products
- ☐ 4: Chemical Products
- ☐ 5: Plastics
- ☐ 6: Products of the textile industry
- ☐ 7: Wood and articles of wood
- ☐ 8: Various manufactured articles

Second Digit HS Code

Enter a number...

Third Digit HS Code

Enter a number...

Fourth Digit HS Code

Enter a number...

Full HS Code (Combined)

Write something...

Notes/Justification for HS Code Selection

Write something...

Tariff & Duty Calculations

Ensure correct calculation and payment of tariffs, duties, and other import/export taxes.

Invoice Value (USD)

Enter a number...

Currency Exchange Rate (USD/Local Currency)

Enter a number...

Trade Agreement (if applicable)

- ☐ No Agreement
- ☐ Free Trade Agreement (FTA)
- ☐ Generalized System of Preferences (GSP)

Applicable Tariff Rate (%)

Enter a number...

Duty Amount (USD)

Enter a number...

Additional Duties/Taxes (e.g., VAT, Excise)

- ☐ None
- ☐ VAT
- ☐ Excise Tax
- ☐ Other

Value of Additional Duties/Taxes (USD)

Enter a number...

Import/Export Licenses & Permits

Identify and secure all necessary licenses, permits, and authorizations.

Import License Type (if applicable)

- ☐ No License Required
- ☐ Specific Import License
- ☐ General License

License Number (if applicable)

Write something...

License Issue Date (if applicable)

Enter date...

License Expiration Date (if applicable)

Enter date...

Export Permit Type (if applicable)

- ☐ No Permit Required
- ☐ Strategic Goods Permit
- ☐ Technology Transfer Permit

Permit/License Number

Write something...

Upload Copy of Permit/License (Optional)

 Upload File

Country of Origin Determination

Verify the true origin of goods for preferential trade agreements and labeling requirements.

Country of Origin Rules Applied

- ☐ Substantial Transformation
- ☐ Wholly Obtained
- ☐ Minimal Operations
- ☐ Other (Specify)

Detailed Explanation of Origin Determination

Write something...

Manufacturing Processes Occurring in Multiple Countries

- ☐ Assembly
- ☐ Processing
- ☐ Packaging
- ☐ Labeling
- ☐ None

Percentage of Value Added in Originating Country (if applicable)

Enter a number...

Supporting Documentation (e.g., Bill of Materials, Supplier Declarations)

 Upload File

Originating Country Claimed

Restricted Party Screening

Screening of parties involved against restricted party lists (e.g., OFAC, EU sanctions).

Importer/Exporter Name

Write something...

Goods Description

Write something...

Transaction Value (USD)

Enter a number...

Screening Platform Used (e.g., WorldCheck, Dow Jones)

- ☐ WorldCheck
- ☐ Dow Jones Risk & Compliance
- ☐ Other

List(s) Screened Against (Select All That Apply)

- ☐ OFAC SDN List
- ☐ EU Consolidated List
- ☐ UN Security Council Sanctions List
- ☐ Other National Sanctions Lists

Screening Results Summary

Write something...

Screening Date

Enter date...

Authorized Signatory

Customs Documentation Review

Review of commercial invoices, packing lists, bills of lading, and other customs documents for accuracy and completeness.


Commercial Invoice - Upload

 Upload File

Packing List - Upload

 Upload File

Bill of Lading/Air Waybill - Upload

 Upload File

Invoice Currency

- ☐ USD
- ☐ EUR
- ☐ GBP
- ☐ JPY
- ☐ Other

Invoice Number

Enter a number...

Invoice Date

Enter date...

Description of Goods (Match Invoice & Packing List)

Write something...

Prohibited & Restricted Goods

Compliance with regulations concerning prohibited and restricted goods (e.g., weapons, hazardous materials).

Commodity Type (Review List)

- ☐ Weapons & Munitions
- ☐ Drugs & Pharmaceuticals
- ☐ Hazardous Materials (Dangerous Goods)
- ☐ Wildlife & Endangered Species
- ☐ Dual-Use Goods (Civil & Military)
- ☐ Cultural Property
- ☐ Counterfeit Goods
- ☐ Radioactive Materials

Detailed Description of Goods

Write something...

Country of Destination (Regarding Restrictions)


Quantity of Goods (Units)

Enter a number...

Applicable Restrictions (Select all that apply)

- ☐ Export License Required
- ☐ Import Permit Required
- ☐ End-Use Declaration Needed
- ☐ Destination Restriction
- ☐ Quantity Limitation

Supporting Documentation (e.g., MSDS, Export Permits)

 Upload File

Record Keeping & Audit Trail

Maintain accurate records of import/export transactions and ensure a clear audit trail for regulatory inspections.

Record Creation Date

Enter date...


Summary of Transaction Details

Write something...

Transaction Reference Number

Enter a number...

Supporting Documentation (Commercial Invoice, Packing List)

 Upload File

Record Status (Active, Archived, Review Pending)

- ☐ Active
- ☐ Archived
- ☐ Review Pending

Date of Last Review

Enter date...

Notes from Last Review (if applicable)

Write something...

Sanctions & Embargo Compliance

Adherence to international sanctions and embargoes related to specific countries or entities.

Applicable Sanctions Program(s)

- ☐ OFAC (United States)
- ☐ EU Sanctions
- ☐ United Nations Sanctions
- ☐ Other (Specify in Long Text)

Specify 'Other' Sanctions Program (if applicable)

Write something...

Entities/Countries Subject to Sanctions?

- ☐ Yes
- ☐ No
- ☐ Uncertain

Description of Entities Involved (if applicable)

Write something...

Supporting Documentation (e.g., screening results)

 Upload File

Date of Last Screening

Enter date...

Sanctions Screening Tool Used?

- ☐ Internal Database
- ☐ Third-Party Tool
- ☐ Manual Check

Temporary Import/Export Procedures

Compliance with procedures for temporary imports and exports (e.g., ATA Carnet).

Import/Export Procedure Type

- ☐ ATA Carnet
- ☐ Temporary Admission (Article 2496)
- ☐ Other (Specify)

Procedure Description (if 'Other' selected)

Write something...

Entry Date

Enter date...

Expected Re-Export Date

Enter date...

Duration (in days)

Enter a number...

Supporting Documentation (e.g., Carnet)

 Upload File

Carnet Number (if applicable)

Write something...

Entry Port/Location

 Set My Current Location

