

Trade Compliance Audit Checklist

General Information

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| Company Name |
| Audit Date |
| Auditor(s) |
| Location |

1. Import/Export Compliance

| Checklist Item | Status | Notes |
|---|--------|-------|
| Import/export licenses and permits are valid and current | | |
| Product classification codes (HS/Tariff Codes) are accurate | | |
| Export control regulations compliance (EAR, ITAR, etc.) | | |
| Proper screening for denied/restricted parties | | |

2. Documentation

| Checklist Item | Status | Notes |
|--|--------|-------|
| Commercial invoices are complete and accurate | | |
| Packing lists match shipped goods | | |
| Bill of lading/air waybill procedures followed | | |
| Certificates of origin available if required | | |

3. Record Keeping

| Checklist Item | Status | Notes |
|--|--------|-------|
| Records maintained for required retention period | | |
| Records are easily retrievable | | |
| Audit trails exist for compliance activities | | |

4. Training & Awareness

| Checklist Item | Status | Notes |
|----------------|--------|-------|
|----------------|--------|-------|

Staff receive regular compliance training

Training records are maintained

5. Risk Assessment & Internal Controls

| Checklist Item | Status | Notes |
|--|--------|-------|
| Periodic risk assessments conducted | | |
| Internal controls periodically tested and reviewed | | |
| Corrective actions documented and implemented | | |

Additional Comments
