

## **Sample Compliance Manual Table of Contents**

### **COMPANY International Trade Overview**

Roles and Responsibilities of COMPANY International Trade Office (ITO)

### **COMPANY Policies**

COMPANY Corporate Policies  
COMPANY Business Units Policies or Directives  
Other COMPANY Policies or Directives

### **COMPANY Contacts List, Organizational Charts, & Website Addresses**

### **Overview of U.S. and International Regulations, Forms and Licenses**

U.S. Department of Commerce  
U.S. Department of State  
U.S. Department of Treasury (BATFE)  
U.S. Department of Treasury (OFAC)  
U.S. Department of Homeland Security  
U.S. Department of Defense  
U.S. Department of Energy & Nuclear Regulatory Commission  
Other International Regulatory Agencies

### **Classification - Export Decision Making and Product Matrix**

Jurisdiction & ECCN Classification Methodology  
Schedule B and HTS Classification  
Export Flow Chart  
Product Matrix Description  
Sample Product Matrix

### **Preparation and Submission of Export Licenses and Forms**

Preparation of Export License Applications

Commerce Department License Preparation

Parties to the Transaction on Commerce Cases  
Commodity Classification Request (CCATS)  
Deemed Exports and Hiring Foreign Persons  
    Guidelines for Preparing License Applications involving Foreign Persons  
Re-exports (Commerce Controlled Articles and Technology)  
Proper Preparation and Submission of Commerce License Applications  
    Commerce Department SNAP-R, Simplified Network Application Process

State Department License & Agreement Preparation

    Preparing State Department License and Agreement Applications

- Guidelines for Preparing Agreements
- Manufacturing License and Warehouse and Distribution Agreements
- Hardware in furtherance of Agreements
- State Department License & Agreement Checklist
- Samples and Templates
- State Department D-Trade Electronic License Applications

#### Special Cases

- Advisory Opinions
- Classified Exports
- Commodity Jurisdiction (CJ) Applications
- General Correspondence Letters
- Hiring Foreign Persons
- Offshore Procurement

- ATFE Permit Preparation
- OFAC License Preparation
- International Import Certificates

#### **Exemptions and Exceptions**

- Exceptions to the Export Administration Regulations (EAR)
- Exemptions to the International Traffic in Arms Regulations (ITAR)
- Exemptions to the ATFE Regulations

#### **Export Licensing Process and Status**

- Department of Commerce Status
- Department of State Status
- Department of Defense Status
- License Processing Times

#### **Screening of Parties**

- Overview of Types of Embargoes and Denied Parties
- How to Screen
- Ability to Work with Denied Parties

#### **U.S. License Logistics and Record Keeping**

- Department of Commerce (EAR) License Logistics and Record Keeping Requirements
  - Commerce EAR License Logistics
  - Commerce EAR Record Keeping Requirements
- Department of State (ITAR) License Logistics and Record Keeping Requirements
  - State ITAR License Logistics
  - State ITAR Record Keeping Requirements
- ATFE/FFR Permit Logistics and Record Keeping Requirements
  - ATFE License Logistics

- ATFE Record Keeping Requirements
- OFAC License Logistics and Record Keeping Requirements
  - OFAC License Logistics
  - OFAC Record Keeping Requirements
- Customs Logistics and Record Keeping Requirements
  - Customs License Logistics
  - Customs Record Keeping Requirements

### **International Shipping (Exports)**

- Overview of International Shipping Requirements
- Automated Export System (AES)
- Shipping Destination Control Statements
- Hand Carries
- Carnets
- Export and Import Shipping Terms or INCOTERMS

### **Customs Procedures (Imports)**

- Department of Commerce Requirements
- Department of State Requirements
  - DSP-61 Import Requirements
  - DSP-73 Import Requirements
  - Temporary Import License Exemptions

### **Special Issues**

- Brokering
- Commodity Jurisdiction Requests
- Classified Exports
- Congressional Notification
- Empowered Officials and the Empowerment Process
- Foreign Military Sales
- Foreign National Employment
- Foreign National Visits and Plant Tours
- Foreign Travel and Hand Carrying Items
- Internet and Electronic Transmission of Data
- Marketing
- Offshore Procurement
- Proposals to Foreign Persons
- Public Release
- Trade Shows
- U.S. Government Programs
- Technology Transfer Control Plans (TTCP)
- Exports to Canada

### **Other International Activities**

Offsets/Industrial Participation  
Foreign Corrupt Practices Act  
Antiboycott Compliance

### **Violations – Fines Penalties**

Violations  
COMPANY Procedure  
Voluntary Disclosure Procedures  
Department of State  
Department of Commerce  
Authority of U.S. Customs Officers  
Authority of Defense Security Service  
Penalties for Violations

### **Forms**

Sample COMPANY forms and Use

### **Definitions and Acronyms**

Department of State Definitions  
Department of Commerce Definitions  
Acronyms

### **Compliance Audit Program**

### **Functional Area Specific Work Instructions**

Human Resources  
Information Technology  
Security  
Shipping  
Export Control  
Engineering  
Marketing/Business Development  
Procurement

### **Electronic Licensing**

Commerce Department SNAP-R  
State Department D-Trade

### **Appendix**

Commerce Dept. Guidelines for Preparing License Applications Involving Foreign Nationals  
DOD Guidelines for Intl. Transfers of Software Documentation  
State Department Guidelines for Preparing Commodity Jurisdictions  
State Department Instructions for Completing Applications for Foreign National Employment

State Department Agreement Guidelines  
COMPANY Forms  
State Department Embargo Reference Chart  
AES User Guidelines

**Index**