

MANAGING COMPLIANCE AND RISK

COMPLIANCE CHECKLIST

Managing Compliance and Risk

Compliance checklist

Respond to the following statements to gauge where your company stands with respect to a great compliance program. For statements where you score yourself “somewhat” or “no,” take the time to review and address potential gaps in your compliance program.

	Yes	Somewhat	No
1. We have clearly defined goals to achieve good compliance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Management has committed the resources required for good compliance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. We have a compliance group, not just a customs department.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Other departments understand how they contribute to compliance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Any shipment can be tracked through the P2P cycle by a unique identifier.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. We have regular training to support our compliance efforts.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. We have internal standard operating procedures (SOPs).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. We have SOPs for our suppliers and service providers.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. We adjust our SOPs and update our processes, as required.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. We have an up-to-date customs manual.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. We monitor regulatory changes and communicate them internally.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. We use technology (e.g., EDI, imaging, online compliance documents).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. We regularly self-audit to test our compliance and documentation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. We verify the information (e.g., origin, HTS) supporting our NAFTA or FTA claims.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. We have an audit trail to support NAFTA claims (whether receiving or issuing).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Our HTS methodology is documented for existing and new products.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. We have an established post-entry process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. We have addressed outstanding issues from previous customs audits.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. We have a record-keeping process and can pull documents on demand.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20. We have addressed security in our supply chain (e.g., C-TPAT).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21. We outsource for expertise or to assess our compliance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

For a detailed guide on improving your compliance program, ask us for a copy of Livingston Consulting’s white paper, How to build a great compliance program for your US imports, And why you should.

Contact Livingston

Have questions or need help with your shipments? Contact your account executive, write to us at: simplify@livingstonintl.com or give us a call at **1-800-837-1063**