



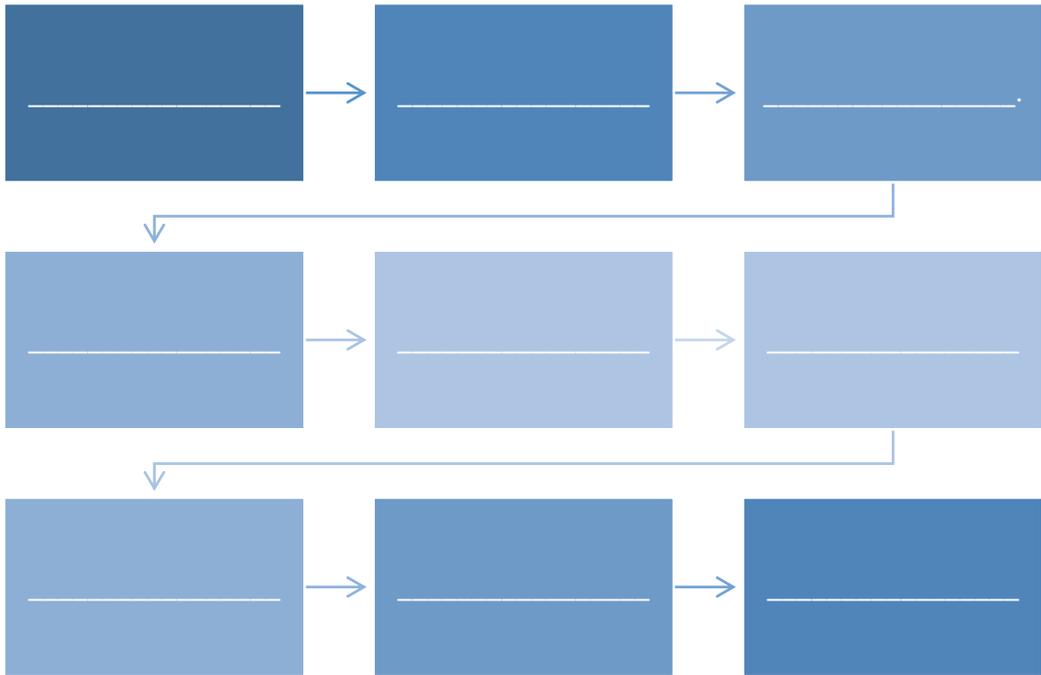
Export Control in English

A language training course book for both self-study and trainer led courses

Joe Farha & Mike Hicks

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4. Documentation and Paperwork



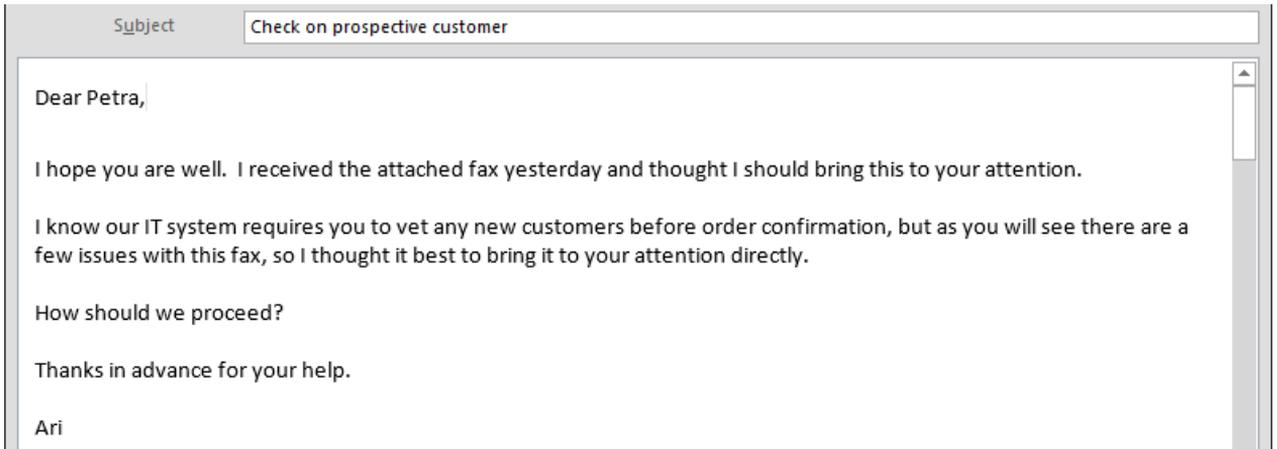
4.1 Sort out the jumbled order process below, and put it into the correct order in the flow chart above.

- A. New customer data entered into CRM. Customer number generated
- B. Order sent to production
- C. Export Control checks new customer credentials.
- D. Customer accepts offer. Order confirmation sent to customer
- E. Export Control approves customer, quote is produced and sent along with End user Certificate
- F. End User Certificate is received back from customer.
- G. Enquiry received, (either from sales, dealer or prospective customer)
- H. Item is shipped and note of delivery is issued
- I. Customer is invoiced.

Discuss:

- A. What software or tool does your company use to help in automating compliance processes?
- B. At what parts of the process can “bolt-ons” such as SAP GTS reduce workloads or perform tasks?
- C. What information needs to be entered into the tool?

Read the following email and fax.



Sharjah Strategic Shipments

Dear Mr. Cohen

I am writing to ask about the cost of some of your products – I require the following equipment for a government end-user in Africa.

Molecular Analyzer – GeneMaster (Part No: 871-8875-524)

Portable Gas Chromatograph/Mass Spectrometer – HMA 45 (Part No: 658-8574-584)

Filter Membranes (2000 pieces @ pore size 0.45 μm (HA)) (Part No: 328-9638-925)

Please could you advise on the cost for each and for shipping to Dar es Salaam.

The final end user information and relevant documentation will be provided upon receipt of the above information. I hope to hear from you soon.

Yours sincerely

Mr. A Rahman

Sales Consultant

Sharjah Strategic Shipments

PO BOX 260

Sharjah Airport Free Trade Zone

Tel: 00 971 243 786

Fax: 00 971 465 894

Email: A.Rahman@.googlemail.com

Think & Discuss: What information is missing? What other information is required before you can create an offer or quote?

Respond to the salesperson regarding the above email and fax.

Check your email response against the sample email from an Export Control Official. Did you include all of the points mentioned? If not, what information did you miss ?

4.2 Below are extracts from various documents that are needed to export items. Read the extracts and match them with the name of the document.

Air waybill	<ul style="list-style-type: none">• We hereby certify that the above mentioned goods will not be re-exported without the express prior approval of....• Mass Range; 58-321 Scan Rate; 800 AMU/sec Detector; Electron Multiplier Dynamic range; 7• This licence is specific to the individual exporter named below and applies only to the items described in this licence• Company Contact details Sales Region / Country Products carried Sold (YTD in €)• Receiver- No. Of Items- Volumetric/Charge Weight- Cost of Transhipment- Insurance Cover- Payment Details-• Cust.Name Contact details Date of Order Requested delivery date Item No.
Order Form	
Technical Specification	
Export Licence	
Agent information	
End User Certificate	

purchase	issued	certify	performance	manufactured	evidence
	tolerances	permission	serve	recipient	

4.3 Fill the gaps: complete using the words from above to create a definition of each type of document.

1. This document contains information about the customer and the items they wish to _____.
2. This document, _____ by an international carrier, is _____ of a contract of carriage
3. This document details the features, _____ and _____ of the item.
4. This document contains information about the dealer, the area they _____ and the products _____ by your company that they sell.
5. This document is used to _____ that the final _____ will not transfer the item to another party.
6. This document gives you _____ to export an item.

Read the following section of a letter you have received from the government licensing authorities.

To effectively implement our statutory mandate, we conduct regular compliance audits of firms that are involved in the trade of military and /or dual use items. You are receiving this letter because your company has been selected to be the subject of an audit.

These audits represent an opportunity to examine and assess compliance, recognize potential risks and identify best practice; our auditors will share best practices that are gathered through conducting audits and compliance visits. If we find that there are serious compliance issues, we may conduct a follow up compliance visit.

In preparation for this visit, we ask you to provide, in advance, the following materials;

- an organizational chart of your company
- any export compliance manuals / training materials used
- export compliance policies and procedures
- overview of ITAR /EAR controlled programs at your company

We wish to conduct the audit in week 16, and we ask you to suggest two consecutive days on which we can visit your company and where the relevant personnel we be available. A detailed agenda for the visit will be established jointly with your company representatives once dates have been fixed.

Please note that on the afternoon of the second day of the audit we shall conduct a post audit briefing outlining our findings that will later be included in a full report; this briefing is aimed not only at export control staff but also senior management. We therefore ask that those relevant senior managers are also available at that time.

Words for your Work

4.4 Look at the following words in each line and find the odd one out.

1.	legal	unauthorised	sanctioned	statutory
2.	chance	opportunity	possibility	risk
3.	problems	themes	irregularities	issues
4.	uninterrupted	straight	consecutive	broken
5.	relevant	applicable	immaterial	pertinent

4.5 Answer the following true / false questions based on the letter.

1. Audits are carried out only when there is a suspicion by the government of illegal export activity. True / False
2. It is an opportunity for you to learn about best practice from the auditors and also for them to learn from you. True / False
3. You are expected to provide certain documents prior to the audit. True / False
4. You must have key personnel from export control on hand during the audit. True / False
5. A set agenda will be sent to you once dates have been decided. True / False
6. The post audit briefing is so that senior managers can ask questions about the audit. True / False

4.6 Number the following phrases according to their function.

Functions; 1, Introducing topic 2, Providing information 3, Making proposals
 4, Highlighting information 5, Signing off

1. ____ Please be aware of...
2. ____ If you have any questions, please do not hesitate to contact me.
3. ____ Could I suggest that you...
4. ____ In connection with...
5. ____ As promised...
6. ____ May I suggest that you...
7. ____ If you have any further questions, please give me a call
8. ____ Further to your letter of...
9. ____ As requested.....
10. ____ Could we suggest that you...
11. ____ Regarding...
12. ____ Please note that...
13. ____ I look forward to seeing you...

Case Study

End User Certificates

As part of the export licence application process states will often require information on the end users who will be the final recipients of the goods to be transferred. Each country will have its own differing requirements, however some of the most common are certificates of end-use issued by a government agency or trusted third party. In the private sector an import certificate may be required instead of an end-use certificate.

There are a number of issues around end-use documentation that licensing officials find. The following documents are some examples of end use documentation. Each contains elements that would be of concern to licensing officials.

Task: Listen to a licensing official describing elements of concern in relation to end-use documentation.

Make a note of issues that would raise concerns in the licensing application process.