

Hello Exporters:

The below survey/questionnaire was created for a project being worked on within COAC (Advisory Committee on Commercial Operations to U. S. Customs and Border Protection), focusing to redesign the current Option-4 process of post-departure filing. It is expected current Option-4 filers will not simply be added to the new post-departure filing status, but will have to go through a vetting exercise.

The following survey is geared to prove small to medium exporters of innocuous cargoes would qualify if given the following requirements. It is expected that most exporters who do not also import, who currently are not part of the C-TPAT for Export Customs program are still able to show they are working with other government agencies to prove the following:

1. Exporters have a documented export management and/or compliance program.
2. Exporters maintain an internal Customs / Export department.
3. Exporters have documented requirements in place for freight forwarders and service providers.
4. Exporters have accountable members of senior management that oversees export compliance program to ensure adherence to export control laws and regulations.
5. Exporters have a continuous risk assessment of the export programs.
6. Exporters have an internal and external compliance monitoring and periodic audits.
7. Exporters have an ongoing compliance training and awareness.
8. Exporters have an appropriate "Know Your Customer" program.
9. Exporters have an adherence to regulatory recordkeeping requirements.
10. Exporters maintain a program for handling compliance programs, including reporting export violations.

Thank you in advance for your time. This survey is not short, but your completion of the survey will help exporters like you to partake in the future program of post-departure filing. If any question is too personal, please simply enter "NOYB" (None of your business). If you have questions with regards to any of these questions, please do not hesitate to contact me. **Please return this questionnaire to me by June 27, 2016.**

Thank you,

Brenda Barnes, COAC Member

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COAC - Export Committee - Post-Departure Filing (Census) Questionnaire

Your Name: _____ Company Name: _____

Can I contact you if I have questions? _____ Your Direct Phone Number: _____

Your Email Address: _____

Are you currently an approved Option-4 filer? _____ Have you ever heard of C-TPAT for Exports? _____

If you have, are you a member? _____ Why or why not? _____

BASIC CARGO QUESTIONS:

What cargo do you export? _____

Please give a basic description of this cargo: _____

What is this cargo used for? _____

Does this cargo have an alternative use and if so, what is it? _____

What is the EAR (Export Administration Regulation) number of your cargo? _____

Is your cargo regulated by any government agency (Local/State/ or Federal) _____

If your cargo is regulated, why is it regulated? _____

Is your cargo considered hazardous by IATA (International Air Transportation Association)? _____

Is your cargo considered hazardous by IMDG (International Marine Dangerous Goods)? _____

Is your cargo considered hazardous by US DOT (United States Department of Transportation)? _____

Do you use trucks to move your cargo? _____ Do you use railroad to move your cargo? _____

Do you use ocean carriers to move your cargo? _____ Do you aircraft to move your cargo? _____

Do you mainly ship to the same consignees? _____ Or, do you have multiple new consignees? _____

How many countries do you ship to? _____

What countries do you normally ship to? _____

What INCO Terms do you normally use when you sell your cargo? _____

LOGISTIC QUESTIONS:

Do you own your own trucking company? _____ Do you use this company to move your cargo? _____

Do you hire trucking services from a third-party provider? _____

What other services do you hire to get your cargo to the port of exit? (Rail/Barge/Pipeline) _____

Do you surrender your cargo at the port of exit? _____ Do you use a trans-loader? _____

When you hire third party provider, how do you evaluate whether the party is someone trust-worthy enough to handle your cargo? _____

Do any of these third-party providers pick-up the cargo from your facility? _____

What steps do you take with third-parties so that your cargo is not jeopardized?

Do you ship your cargo on direct routing only, or do you also use transship routes? _____

CONSIGNEE VETTING/ BUSINESS PRACTICE:

What steps do you take to verify your consignee is legitimate? _____

How much cargo do you ship on an annual basis (weight/units/etc.)? _____

What is the value of this cargo? _____ What percentage of this business is export?

Have you ever experienced someone tampering with your cargo, domestic or international? _____

If so, what happened? _____

What did you do to resolve this would not happen again? _____

How many man hours are spent focused on quality of your cargo? _____

How many man hours are spent focused on security control? _____

What measures does your company take to make sure your cargo is secure? _____

What percentage of your annual budget do you use for security concerns? _____

OTHER GOVERNMENT AGENCY INVOLVEMENT:

What FEDERAL government agencies does your company interact with? (i.e. USDA, Fish & Wildlife, Etc.)

Do you participate in any programs in which the above agencies oversee? _____

If yes, what are they? _____

What do these programs require of you to participate? _____

What percentage of your company's Gross Profit is spent for these programs? _____

What STATE government agencies does your company interact with? (i.e. Oregon Department of Agriculture, California State Agriculture, etc.) _____

Do you participate in any programs in which the above agencies oversee? _____

If yes, what are they? _____

What do these programs require of you to participate? _____

What percentage of your company's Gross Profit is spent for these programs? _____

What LOCAL government agencies does your company interact with? (i.e. City of Los Angeles, City of Memphis, etc.) _____

Do you participate in any programs in which the above agencies oversee? _____

If yes, what are they? _____

What do these programs require of you to participate? _____

What percentage of your company's Gross Profit is spent for these programs? _____

IN GENERAL:

Do you have a documented compliance program? _____ Do you have a special department or person who oversees your compliance program? _____

From your company's viewpoint what makes your cargo safe and secure?

From your company's viewpoint what makes your cargo vulnerable?

Other Comments: _____

