Cross-Border Documentation Gap Guide

PURPOSE

Find document mismatches before they become customs delays, payment disputes, or rejected delivery records. Confirm current requirements with the importer, broker, forwarder, and authorities.

HOW TO SCORE

Score every criterion 0 = missing, 1 = partial or claimed, 2 = complete and supported by current, scope-matched evidence. Record the evidence, owner, and review date.

Green: Complete, reconciled, approved, transmitted.

Amber: Owned gap closing before cut-off.

Red: Missing, inconsistent, expired, wrong-scope, or ownerless.

CONTROL NOTE

A high total never overrides a failed legal-entity, safety, regulatory, sanctions, technical-feasibility, or destination-market gate. Validate project-specific requirements with qualified specialists.

Transaction and responsibility basis

01 **Contract, PO, pro forma, and final terms use consistent entities and** descriptions.

02 **Incoterms rule includes version and precise named place or port.**

03 **Exporter, importer, consignee, notify party, and broker are named.**

04 **Payment and document-presentation requirements are understood.**

05 **HS or Schedule B and origin determination owners are assigned.**

06 **Retention and secure transmission methods are defined.**

Core commercial and transport documents

01 **Commercial invoice has accurate parties, goods, quantity, value,** currency, terms, and origin. HARD GATE

02 **Packing list identifies packages, marks, dimensions, and weights and** reconciles to invoice.

03 **Bill of lading or air waybill matches parties, ports, cargo, and release** method.

04 **Certificate of origin uses the correct required basis.**

05 **Insurance evidence reflects the contractual obligation where applicable.**

06 **Inspection, analysis, or conformity certificate matches the goods and** lot.

Product and destination evidence

01 **Import license, registration, permit, or quota status is confirmed where** applicable. HARD GATE

02 **Sector safety and compliance evidence is mapped to destination and** product.

03 **Labels, language, marks, serial or lot, and origin marking match** physical goods.

04 **Dangerous-goods classification, SDS, declarations, and packaging are** current.

05 **Wood packaging, fumigation, sanitary, or phytosanitary needs are** assigned.

06 **Technical-file and responsible-party roles are established where** required.

Reconciliation and release control

01 **Descriptions and part or model numbers match across all documents.**

02 **Quantity, package count, weight, and dimensions reconcile.**

03 **Currency, value, freight, insurance, discounts, assists, and tooling are** reviewed.

04 **Origin, manufacturer, exporter, and beneficiary inconsistencies are** resolved.

05 **Dates, signatures, references, and revision status are valid.**

06 **Broker or importer pre-check occurs before cut-off where appropriate.**

Gap severity and escalation

REVIEW OBJECTIVE

01 **Red: required document absent, wrong entity or scope, or materially** inconsistent. HARD GATE

02 **Red: safety, compliance, or origin claim lacks product-specific support.** HARD GATE

03 **Amber: administrative field pending with owner before cut-off.**

04 **Amber: format correction does not affect identity, value,** classification, or compliance.

05 **Green: evidence verified, data reconciled, and recipient acceptance** confirmed.

06 **Every red or amber item records impact, owner, due time, and** contingency.

Evidence, gaps, and next actions

USE THIS REGISTER

Do not close a gap with a general claim. Name the exact document, test, drawing,

DOC ID	DOCUMENT	OWNER	APPROVER	CUT-OFF	STATUS	IMPACT
D-001	Commercial invoice	Supplier	Export lead	____	AMBER	Final weight pending
D-002	Origin certificate	Exporter	Broker	____	RED	Eligibility not confirmed
D-003	Packing list	Logistics	Export lead	____	OPEN	Package marks pending
D-004	Transport instruction	Forwarder	Buyer	____	OPEN	Consignee check

SOURCE NOTES

1. U.S. ITA, Common Export Documents and Documents in an Export Transaction.
2. ICC, Incoterms 2020 buyer and seller obligations.
3. Destination authorities and importer or broker instructions control final requirements.