

Export Agency Visit Summary and Tracking Sheet

Visit and Activity Date(s)	Business Unit(s) and/or Site(s) Visited	Visiting Regulatory Authority or U.S. Government Agency	Visiting Officer/Agent(s) and Contact Info	Reason for Visit / Submission
<p><i>*Record the initial visit date and any subsequent visits to any site.</i></p> <p><i>Record the dates of all activities and actions relevant to the visit and post-visit.</i></p>	<p><i>*List all business units and facility sites involved for each visit</i></p>	<p><i>*List all government agency(ies) involved in each visit</i></p>	<p><i>*List name and title of all U.S. government or regulatory authority representatives present at each meeting and their full contact information.</i></p> <p><i>Also list any additional U.S. Government contact names as they become available during post-visit activities. Keeping a list of all key contacts involved will help to ensure the right information gets to the right U.S.G. personnel.</i></p>	<p><i>*Provide as much detail as possible regarding the reason for the visit. If you are unsure of the reason for the visit, request that information from the officer/agent prior to the visit, along with a request for the agenda and timeframe for the visit. It is important to have as clear an understanding as possible of what the visit will entail prior to the agent/officer's arrival. Update the Reason field as needed if new facts are revealed about the reason for the visit.</i></p>

Relevant Internal Contact	Compliance Issues Noted	Documents Received from Government	Documents Provided to Government
<p><i>*List all personnel present at each visit or subsequent meeting, including their title.</i></p> <p><i>Also list key internal contact(s) for each post-visit activity.</i></p>	<p><i>*List all compliance issues raised at the initial visit and any subsequent visits or meetings.</i></p> <p><i>Be sure to record the date each issue is revealed as these dates may be significant for establishing look-back periods if recordkeeping audits are required. The issue reveal date also sets the beginning tracking point for subsequent corrective measures related to each issue. It is also helpful to note if the issue was raised by the Government agency or discovered internally.</i></p>	<p><i>*List all documents received from the regulatory authority and the date received.</i></p> <p><i>It is also helpful to enter the method of delivery of the documents (Ex: express mail, email, hand delivery, etc.)</i></p>	<p><i>*List all documents provided to the regulatory authority, the date provided, and method of delivery to the government (Ex: express mail, email, secure electronic transfer, U.S.P.S mail, hand delivery, etc.).</i></p> <p><u>IMPORTANT</u>: <i>These dates can be critical to establishing compliance with regulatory reporting requirements that have a specific time period in which to comply, such as filing deadlines or required responses to government requests for response or production of documents.</i></p>

Corrective Measures Discussed	Corrective Measures Implemented	Notes / Comments
<p><i>*Provide a description of any corrective measures that were discussed during the initial visit and at any subsequent visit or meeting. Be sure to document sufficient details during the discussion to act as a reference point for subsequent related corrective actions implemented.</i></p>	<p><i>*Provide a brief description of any corrective measures that were implemented and the date and method of implementation (Ex: Instructor-led Training for all personnel on export compliance awareness - Jan. 1, 2020)</i></p>	<p><i>*Record any information that may be relevant to the issues. The information should be sufficiently detailed to provide an accurate summary of issues and related corrective actions for future reference.</i></p>