GLOBAL TRADE MANAGEMENT

Commodity Classification User Guide

March, 2022

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10 January, 2017	2.0	Document updated with latest screenshot and functionality as per 2017 –R1 release.	Rohit Manhas
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1. INTRODUCTION

Global EASE™ (herein referred to as "System") is a web-based enterprise-wide solution used to automate and manage your business process for requesting and applying for Export and Import Licenses from various government agencies, managing the licenses, creating documents necessary for export and imports and sending these documents to your customers, vendors, freight forwarders, or brokers. The System also automates the filing of export and import information to customs. In addition, it ensures that your export and import processes comply with the countries' regulations where you do business.

The System leads directly to higher corporate-wide compliance standards, defined work processes, quality improvement in entire business processes, and ease in license acquisition & license usage, exporting and importing goods with much less time and effort.
This document is a screen-by-screen user guide for the "Commodity Classification" module. It contains proprietary screenshots and descriptive text for features within the Commodity Classification module. This user guide will cover all aspects of the User Interface without regard to the type of user. Depending on your subscription or user privileges, some aspects of this guide might not be applicable.

1.1 Summary of Contents

The User Guide is structured as follows:

- Chapter 1 provides an introduction of this User Guide.
- Chapter 2 provides an overview of the Commodity Classification features, including the purpose, usage, functions, and application configuration.
- Chapter 3 describes the features of the Commodity Classification.
    - Chapter 3.1 describes the procedural steps to use Commodity Classification Request feature.
    - Chapter 3.2 describes the procedural steps to use Work Queue feature.
    - Chapter 3.3 describes the procedural steps to use the Classification Engine feature.
    - Chapter 3.4 describes the procedural steps to use Bulk Update Classification feature.
    - Chapter 3.5 describes the procedural steps to use the Bulk Product Search feature.
- Chapter 4 describes the reports of the Commodity Classification.
- Appendix A provides a list of new features added in the latest release.
- Appendix B provides a Listing of Figures used in this User Guide.
- Appendix C provides a Listing of Tables used in this User Guide.

1.2 Readership

The intended audience for this User Guide is:

- A Business Person, Export Compliance Officer, or Various Industries User, who is responsible for classifying an item.
- A typical user will be a Corporate Administrator (Corp Admin), Strategic Business Unit Administrator (SBU Admin), Compliance Manager (Privileged User), and User (Regular User).

1.3 How to Read this Document

Each System User Guide provides a simple step by step approach to help you in understanding and navigating the screen fields quickly and accurately. An example of each screen is provided, including information about how to initially navigate to the screen/process start point. Each step corresponds to a field within the screen itself and follows a horizontal path across the screen and then down to the row beneath.

The User Guide makes extensive use of icons rather than heavy descriptive text to describe the behaviors, validations, and requirements of the fields, screen responses, and user or system invoked navigations.

The following table provides a description of the icons

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Icon	Name	Description
	User Action	Activities the user performs as a result of actions, such as clicking a button on the screen.
	System Action	Activities the system performs as a result of user actions such as clicking a button on the screen or choosing an option within a pop-up (dialogue box).
	Facts	This icon represents key factual information that enables the user to determine the content, validation, and/or behavior of the field it is describing.
	Warning/Errors	This icon represents common reasons for errors normally associated with incorrect completion of fields or missing mandatory information.

Table 2: Description of Icons

1.4 Glossary

The following table lists the terms and their description used in this User Guide.

Terms	Description
CCL	Commerce Control List
CJ	Commodity Jurisdiction
ECCN	Export Control Classification Number
FTA	Free Trade Agreement
HTS	Harmonized Tariff Schedule
ITAR	International Traffic in Arms Regulations
ITC	International Trade Commission
NAFTA	North American Free Trade Agreement
SBU	Strategic Business Unit
USML	United States Munitions List

Table 3: Glossary

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2. OVERVIEW

The Commodity Classification module enables corporations to implement a uniform and consistent corporate wide Product Classification and Jurisdiction Request process, and internal review policy for Customs and Export Classifications of Product Catalog. The process allows for multiple levels of review to ensure a complete review cycle of Product Classification Requests for record-keeping and to comply with any U.S. regulations.

The Commodity Classification Module can track:

- Requests for Export Classification for single and group of similar parts
- Requests for Customs Classification including HTS and Schedule B
- Configurable Questionnaires to support internal reviews of Classification Requests
- NAFTA qualification and FTA program qualification worksheets
- Requests for re-classification of existing products based on regulatory changes
- Ability to support Commodity Jurisdiction and related rationale
- Support for multiple reviewers and workflows for specific classifications
- Ability to hold for Commodity Classification, CJ, and Track Reference Numbers while in process

Any employee, company engineer, or contractor who has access to the company's Compliance Portal may submit a Commodity Classification and Jurisdiction Request for internal review. The person does need to be a System user.

2.1 Purpose

The Commodity Classification Request captures initial Product Details along with a questionnaire to guide the request and help to make determinations. All information is automatically stored in System and communicated to the appropriate System User or Reviewer who is selected for Review.

The Review of a Commodity Classification Request takes place within System for record-keeping. The form ultimately leads to a final determination of an Export Classification or a Request for a Commodity Classification/Commodity Jurisdiction. The form also captures Customs Classifications for HTS, Schedule B, and other related HTS rulings.

The information can then be rolled into the Product Database of the specified Business Unit for easy access throughout the System for Licensing or Export/Import Shipments, etc.

2.2 Features Available

The following figure illustrates the features available in the Commodity Classification module.

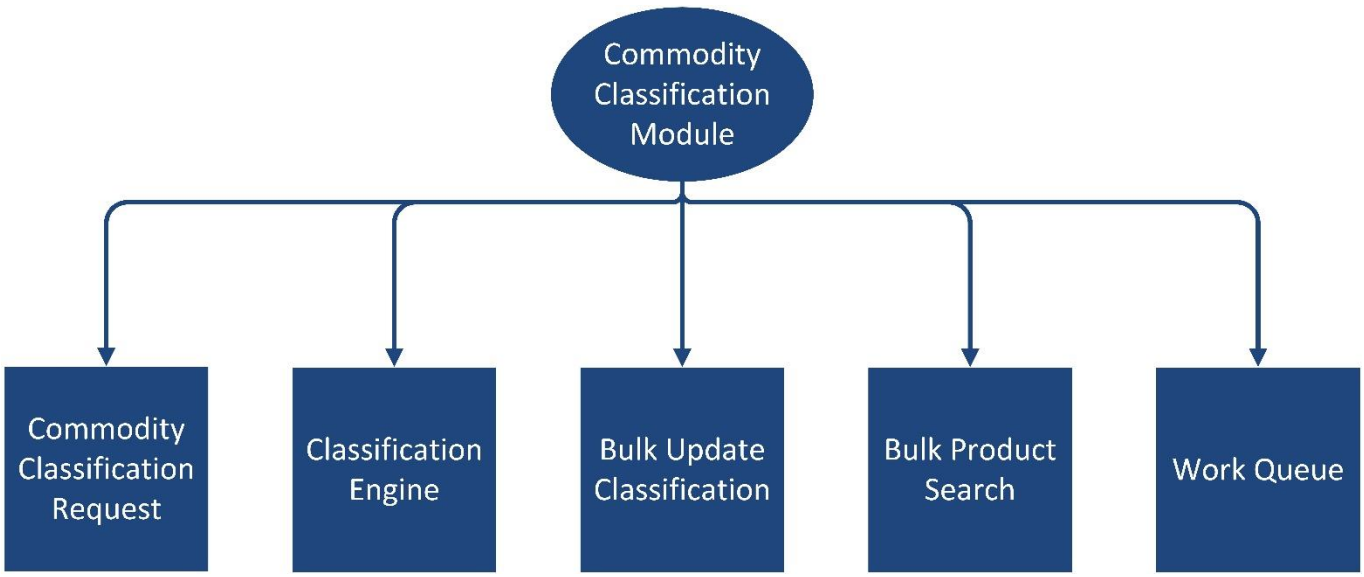

Figure 1: Commodity Classification Module – Features Flow Diagram

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2.3 Reports Menu Option

The **Commodity Classification** Module offers various reports to keep an efficient log of your licenses with summary details of the application and internal tracking through the process.

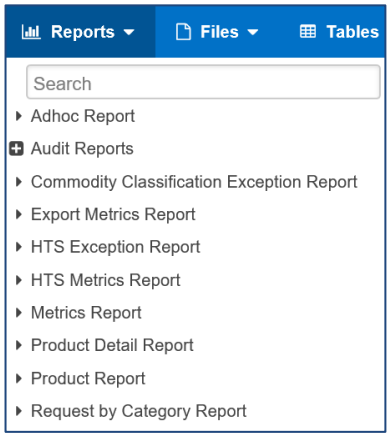
System UI	Report	Description
	Ad hoc	The Ad hoc Report provides a high-level overview of the details for a Product Classification Request.
	Audit Reports: Product Classification Change	The Product Classification Change Audit Report captures an audit of Export and Customs classification changes made using the Product Mass Control tool.
	Audit Reports: Status Change	The Status Change Audit Report captures an audit trail of the changing of Status throughout the Request Review Cycles.
	Commodity Classification Exception Report	The Import Exception Report shows you all Products that have an Invalid Import Classification and shows you when the Product was classified as well as the Reviewer that classified the Product.
	Export Metrics	The Export Metrics Report captures an audit for the number of days throughout the Export Review stages to determine the length of time to complete a Request.
	HTS Exception	The Import Exception Report shows you all Products that have an Invalid Import Classification and shows you when the Product was classified as well as the Reviewer that classified the Product.
	HTS Metrics	The Import Metrics Report captures an audit for the number of days throughout the Import Review stages to determine the length of time to complete a Request.
	Product Detail	The Metrics Report captures an audit for the number of days throughout the different Review stages for both Exports and Imports to determine the length of time to complete a Request.
	Product	The Product Table Detail Report provides an overview of your commodities stored in your Product Database.
	Request By Category	The Request Category report provides users the ability to find which USML/ECCN categories are listed on Commodity Classification requests and how many requests are linked with a USML/ECCN category.

Table 4: Reports Available

2.4 Files Menu Options

The File Drop-down List on the Menu Bar provides the ability to maintain SBU partitioned data, that is creating new, update or delete information. When entering data into a form, links are provided to access stored data from within a specific File.

It is recommended to set up the Files before working on Requests as this feature provides many benefits to help complete the process efficiently and without error. Data that is stored in Files can also be used across the System application in different Modules. The following Files are available for the Commodity Classification Module:

System UI	File	Description
	Commodity Classification Request Template	Templates are available for the Request form to pre-populate common details.
	Flag Reason	Used to set flags for products and commodity classification requests based on user-defined flag reasons.
	Instructions & Statements	Used on the commodity classification request review tabs to indicate the rationale for classifying products listed on a request.
	Product	Used to store all the information related to your products including the product catalog number, its ECCN/USML number, HTS, Unit, and others.
	Product Family	Used to keep information about product family related to product identification.

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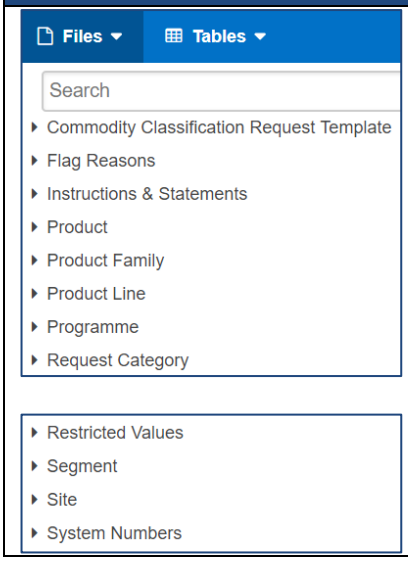
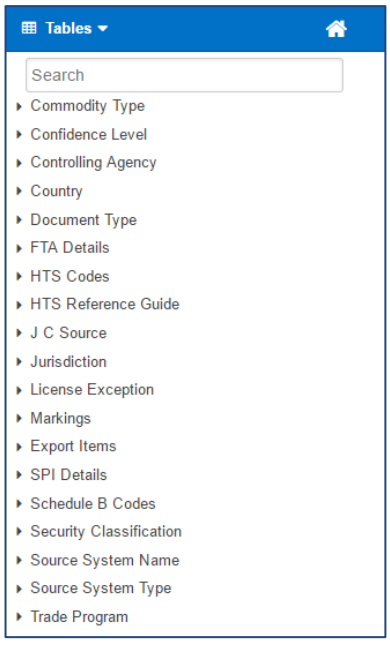
System UI	File	Description
	Product Line	Used to keep information about the product line of the product.
	Programs	Used to keep track of different program names and description under which your Products are associated.
	Request Category	Used to define the category of the request. The categories can be set/defined by the user.
	Restricted Values	Contains the restricted values to enforce the restriction of a certain 'Pre' or 'Post' fixes in a part number. *This feature has a major impact on the functioning of the module. Please use this carefully.*
	Segment	Used to keep a list of product areas within the program or activity to which export applies.
	Site	Used to keep a list of sites or office locations internal to your business.
	System Numbers	Used to generate License transaction numbers, unique consignee ID/Code, product codes, shipment and invoice numbers if desired.

Table 5: Files Available

2.5 Tables Menu Options

The Table Drop-down List on the Menu Bar provides SBU independent data. All information within these tables is industry standard and is used to help populate forms and requests throughout the System application. Any information added in the various Tables is available to be used in other Modules.

In general, OCR automatically updates the data daily. However, if you need to add information in a Table, you may do so with the appropriate privileges. OCR recommends that you provide the information to OCR so that, if appropriate, it may be included as part of OCR standard data. The following Tables are available in the Commodity Classification Module:

System UI	Table	Description
	Commodity Type	Provides a list of the types of commodities users can cite on a commodity classification request. For example, Hardware, Encryption, Technical Data, Software, etc.
	Confidence Level	User-defined table to be used as a confidence level for a Customs Classification of a Product.
	Controlling Agency	Provides the codes of agencies that control the exporting of commodities.
	Country	Provides the names of Countries and their corresponding codes used by various agencies (International Standards Organization, and Department of State).
	Document Type	Contains the list of available Document Types categorized for attaching documents to a Request form.
	HTS Codes	Lists the Harmonized Tariff Schedules and a brief description of each. The Department of Commerce will accept the HTS number on the export; however, some companies still may choose to report on the Schedule B basis rather than the HTS.
	HTS Reference Guide	Lists the Harmonized Tariff Schedule of United States published by the International Trade Commission (ITC) semi-annually (January and July 1).
	J C Source	An Admin configurable table to cite the source system of the Jurisdiction/Classification of a document attachment.
	Jurisdiction	An Admin configurable table to cite an applicable jurisdiction of a document attachment.
	License Exception	Contains all the license exceptions available for export from EAR regulations (15 CFR Part 710-774).
	Markings	An Admin configurable table to cite document markings to be applied to a document attachment.

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System UI	Table	Description
	Export Items	Contains the Export Classification Control Numbers (ECCN) listed on the Commerce Control List (CCL), and the United States Munitions List (USML) defined in the International Traffic in Arms Regulations (ITAR).
	SPI Details	Special Program Indicator; contains codes used to identify specific preferential tariff treatment programs.
	Schedule B Codes	Contains all the valid U.S. Schedule B codes for export purposes.
	Security Classification	Provides a list of security classifications for products cited on a commodity classification request.
	Source System Name	An Admin configurable table to cite the Source System for a document attachment.
	Source System Type	An Admin configurable table to cite document types for an attachment, based on the Source System Name.
	Trade Program	Lists all Trade Programs that Manufacturer's within your Product File can be associated.

Table 6: Tables Available

2.6 Administrative Configuration of Commodity Classification Module

The following configuration sub-sections are for Administrators to reference as preliminary steps in configuring the Commodity Classification module and forms at the Global and SBU Levels.

These configurations will allow you to manage the following functionality in the Commodity Classification module:

- Set Configuration Parameters based on SBU
- Creating a Guest User Account for Portal Access
- Create Reviewers within System
- Assign System Generated Numbers for Request IDs
- Set Workflow Reviewer Configuration for Automatic Submission of a Request
- Deciding to Show/Hide Fields within the Classification Request Process

SBU Parameters take precedence over the Global Configuration Parameters unless there are no SBU parameters set.

2.6.1 Configuration of Global & SBU Level Parameters for Product Classification Request

Set Configuration Parameters to help shape the Commodity Classification module to fit your business process.

These parameters can be set at the Global level, which will be used across all SBUs, or can be defined at each Business Unit level. Certain Parameters may only be available at the Global Level.

2.6.1.1 Global Configuration Level Parameters

Global Configuration Parameters are used throughout the System application and may be configured at any time. These parameters consist of various functionalities across all modules that help with standardizing System for your needs. Only Corp Admins can set Global Configuration Parameters. Since the system allows multiple Corp Admins, it is important that you decide on who has authority to set up and manage the Global Configuration Parameters Refer the following steps to view the Application configuration screen.

1. Navigation to **Configure Application** option under **System** from the Tools ( ) icon drop-down list to configure parameters.

   The Search Global Configuration screen is displayed.

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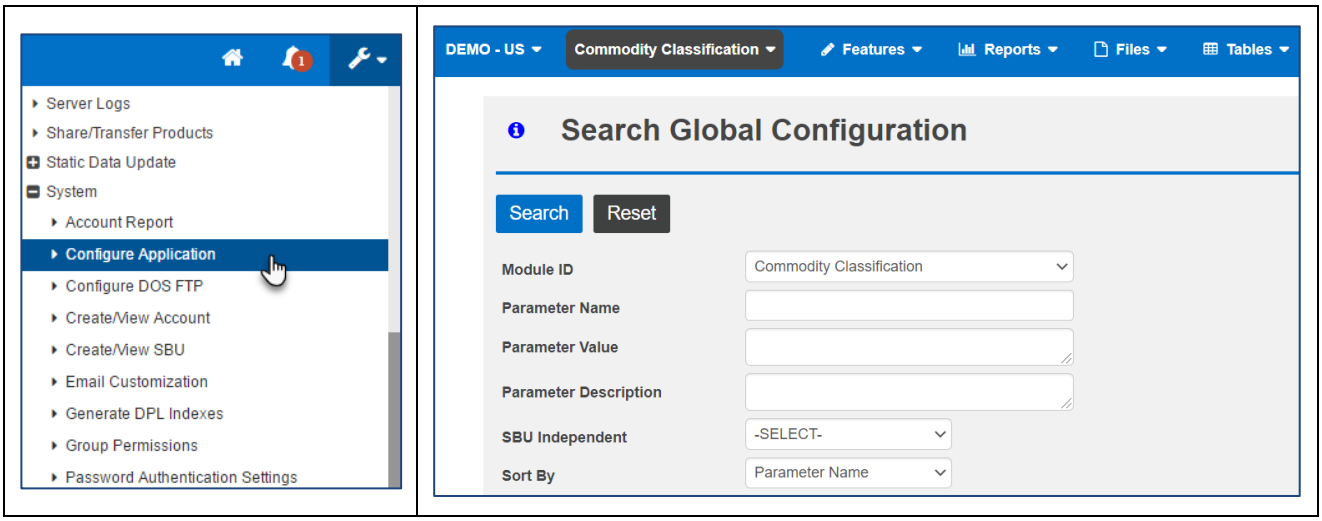

Figure 2: Search Global Configuration Screen

2. On the **Search Global Configuration** screen, from the **Module** drop-down list, select the desired module or **Commodity Classification** option.

3. On remaining fields, enter required search parameters, if required.

In Sort By drop-down list, the "Parameter Name" option is selected by default.

In Direction drop-down list, the "Ascending" option is selected by default.

4. Once you are satisfied with entered parameters, click the Search button.

The Global Configuration Parameters screen is displayed.

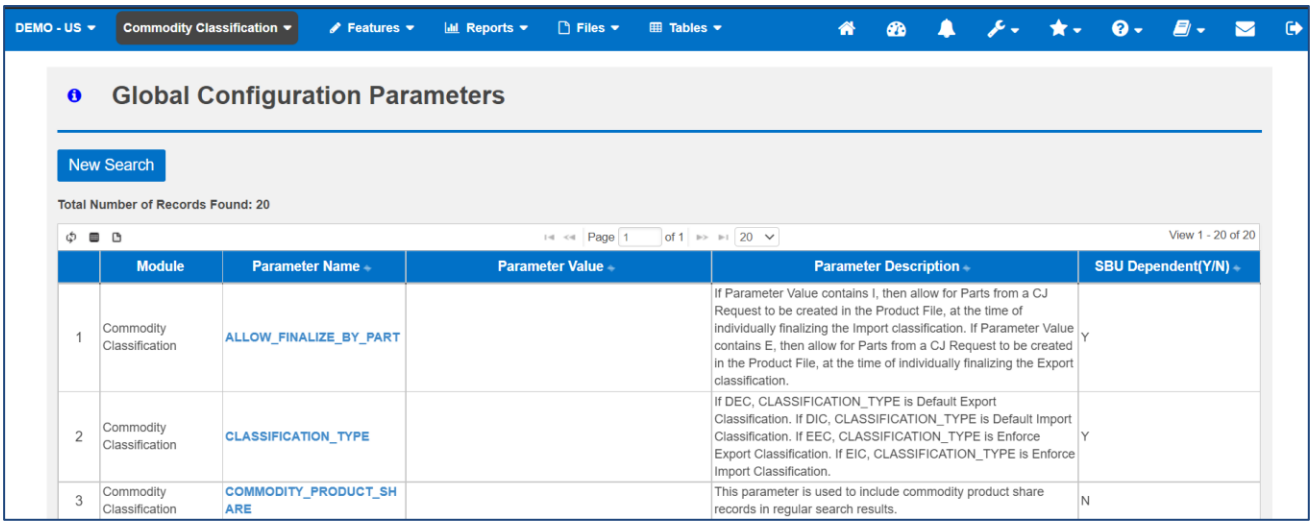

Figure 3: Global Configuration Parameters Screen

5. Under the **Parameters Name** column, select the desired parameter to change its settings. For example: ALLOW_FINALIZE _BY_PART.

The Edit Global Configuration Parameters screen is displayed.

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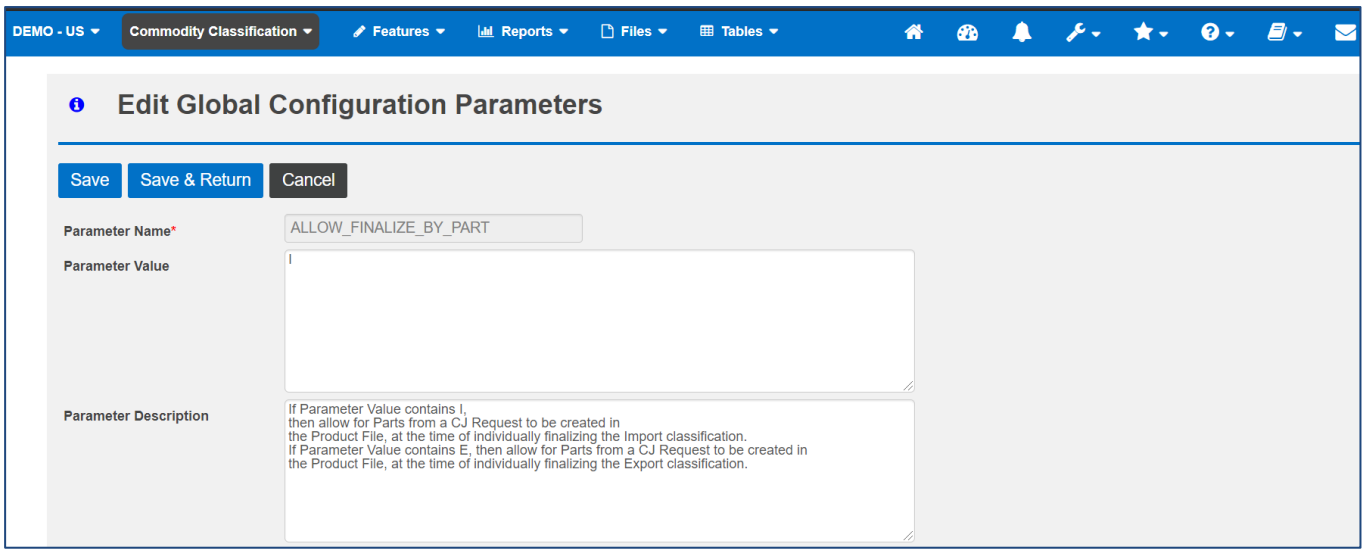

Figure 4: Edit Global Configuration Parameters Screen

6. In the **Edit Global Configuration Parameters** screen, do the desired modification in the **Parameter Value** field based on the instruction in the **Parameter Description** field.

7. Once you are satisfied with modifications, click the Save button to save the settings and click the Save & Return button to redirect to the **Global Configuration Parameters** screen.

The Global Configuration Parameters screen is redisplayed with the updated settings.

Refer to the following table for a description of the parameters.

Parameter Name	Parameter Value	Description
ALLOW FINALIZE BY PART	I/E	If Parameter Value contains I, then allow for Parts from a CJ Request to be created in the Product File, at the time of individually finalizing the Import classification. If Parameter Value contains E, then allow for Parts from a CJ Request to be created in the Product File, at the time of individually finalizing the Export classification.
CLASSIFICATION TYPE	DEC/DIC/EEC /EIC	If DEC, CLASSIFICATION_TYPE is Default Export Classification. If DIC, CLASSIFICATION_TYPE is Default Import Classification. If EEC, CLASSIFICATION_TYPE is Enforce Export Classification. If EIC, CLASSIFICATION_TYPE is Enforce Import Classification.
COMMODITY PRODUCT SHARE	Y/N	This parameter is used to include commodity product share records in regular search results.
DEFAULT EXPORT COUNTRIES	**Enter Country Code*	This parameter is used to set default export countries, where country should be specified using Country Code. If the value is Blank, default export country will be SBU Country.
DEFAULT IMPORT COUNTRIES	**Enter Country Code*	This parameter is used to set default import countries, where country should be specified using Country Code. If the value is Blank, default import country will be SBU Country.
ENFORCE CC MANAGER REVIEW	Y/N	If the value is set to "Y" then on the Submit Request Tab only "Manager Review" section will display and the requestor (Registered and Portal) both should be forced to select the Manager Reviewer from the Reviewers drop down. If the value is set to "N" then Manager Review section should not display and the normal "Export and Import Classification Review" Screen should display.
EXPORT BRANCHING CRITERIA	P1/C1/NA/P1 1C1	If the value is Blank/NA, request branching for Export Classification will be not Applicable. If the value is P1, request branching will be done based on Plant Id. If the value is C1, request branching will be done based on Classification Country. If the value is P1C1, request branching will be done based on Plant Id and Classification Country.
EXPORT CLASSIFICATION REVIEW CYCLE	1/2/3	If the value is 3, there will be 3 Levels of Review: 1. Jurisdiction Determination, 2. Classification Determination, 3. Review and Finalization. If the value is 2, there will be 2 Levels of Review: 1. Jurisdiction and Classification Determination, 2. Review and Finalization. If the value is 1, there

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		will be only 1 Level of Review: 1. Jurisdiction, Classification Determination and Finalization. By default, the value of this parameter is 3.
IMPORT BRANCHING CRITERIA	P1/C1/NA/P1 1C1	If the value is Blank/NA, request branching for Import Classification will be not Applicable. If the value is P1, request branching will be done based on Plant Id. If the value is C1, request branching will be done based on Classification Country. If the value is P1C1, request branching will be done based on Plant Id and Classification Country.
ITEM CLASSIFICATION MESSAGE	Text	Customized message to be displayed in the Commodity Info Tab of the CJ Request, as configured.
ITEM EXPORT CLASSIFICATION MESSAGE	Text	This message will be displayed in the Commodity Information Tab if Export Classification under Classification Type is enabled.
ITEM IMPORT CLASSIFICATION MESSAGE	Text	This message will be displayed in the Commodity Information Tab if Import Classification under Classification Type is enabled.
PCS ATTACHMENT WARNING	Text	SBU-configurable warning message to be displayed to the User on the Documents/Notes Tab of the Request. SBU-configurable warning text to go on the attachment screen, if the parameter is Y
PCS LOCK DURATION	Number	Time in minutes the lock corresponding to a PCS request tab will be active.
PCS REVIEW TYPE	Number	SBU configurable parameter - 1=Export Classification 2=Import Classification 3=Both Export and Import Classifications.
REGIME DETAILS REQUIRED	AUGR/MTCR /NSGR/WAA G	If the value contains AUGR, then Regime Details required for Austria Group. If the value contains MTCR, then Regime Details required for Missile Technology Control Regime. If the value contains NSGR, then Regime Details required for Nuclear Suppliers Group. If the value contains WAAG, then Regime Details required for Wassenaar Arrangement.
REVIEWER FOR SUBMITTING	M/O/A	If the value is “M”, the respective reviewer/s in Submit Request tab of classification request will be mandatory. If the value is “O”, the respective reviewer/s based on the classification in Submit Request tab of classification request will be optional. If the value is “A”, the system will not show the fields to select reviewer/s in Submit Request tab since it is automatic.
REVIEW BY EXP CONTROL ONLY	Y/N	SBU configurable parameter to limit reviewer drop down to Export Control only during submit of the request. If the value is Y, review will be limited to Export Control reviewers only.
SHOW IMPORT QUESTIONNAIRE DOC	*Attach Document*	Please attach the instruction document that need to be displayed within the Import Questionnaire page.
TECHNICAL ADVISOR REVIEW NEEDED	Y/N	If Y, then Technical Advisor Review will be enforced in addition to the PCS Review Type parameter.

Table 7: Parameters Values and Description

2.6.1.2 SBU Configuration Level Parameters

SBU Configuration Parameters, like the Global Configuration Parameters, are used throughout the System application but for each separate SBU. These parameters consist of various functionalities across all modules that help with standardizing System for your needs within your individual SBU. Only Corp and SBU Admins can set SBU Configuration Parameters. Since the system allows multiple Corp Admins, it is important that you decide on who has authority to set up and manage the Global Configuration Parameters

Refer the following steps to view the Application configuration screen.

1. Navigate to **SBU Configuration** from the Tools ( ) icon drop-down list to configure parameters.

The Search SBU Configuration screen is displayed.

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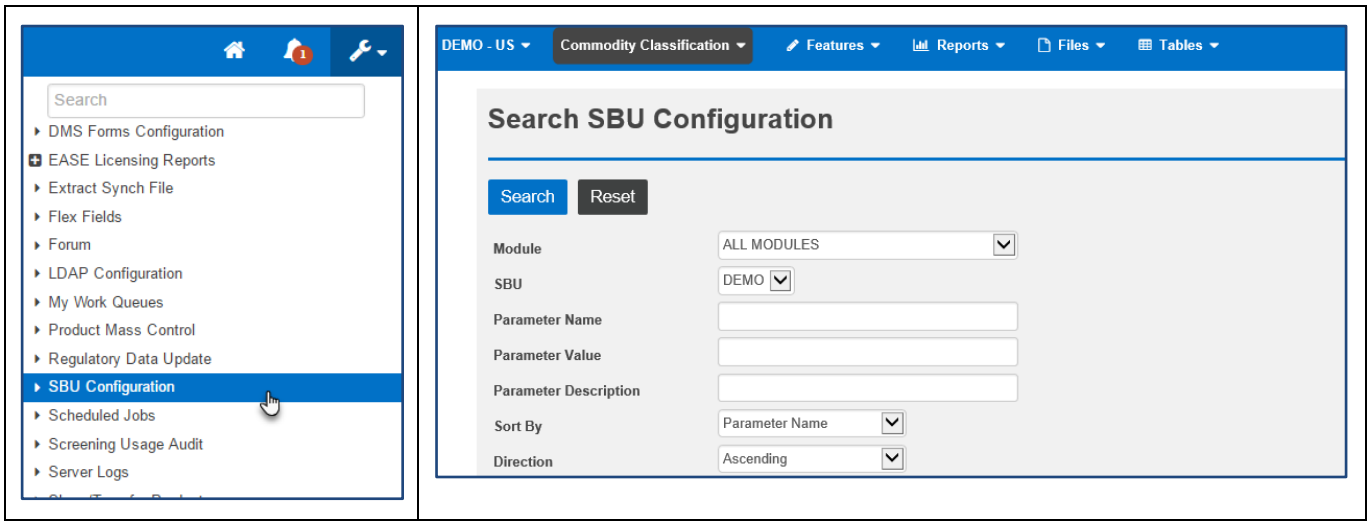

Figure 5: Search SBU Configuration Screen

2. On the **Search SBU Configuration** screen, from the **Module** drop-down list, select the desired module or the **Commodity Classification** option.

3. On the remaining fields, enter the required search parameters, if required.

In the 'Sort By' drop-down list, the "Parameter Name" option is selected by default.

In the 'Direction' drop-down list, the "Ascending" option is selected by default.

4. Once you are satisfied with entered parameters, click the Search button.

The SBU Configuration Parameters screen is displayed.

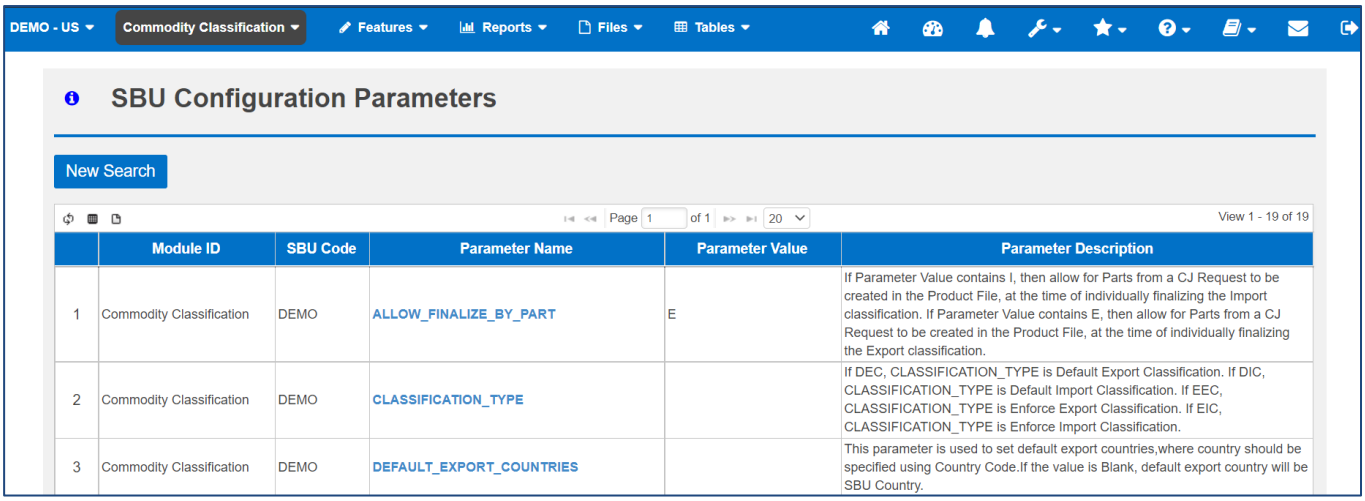

Figure 6: SBU Configuration Parameters Screen

5. Under the **Parameters Name** column, select the desired parameter to change its settings. For example; ALLOW_FINALIZE_BY_PART.

The Edit SBU Configuration Parameters screen is displayed.

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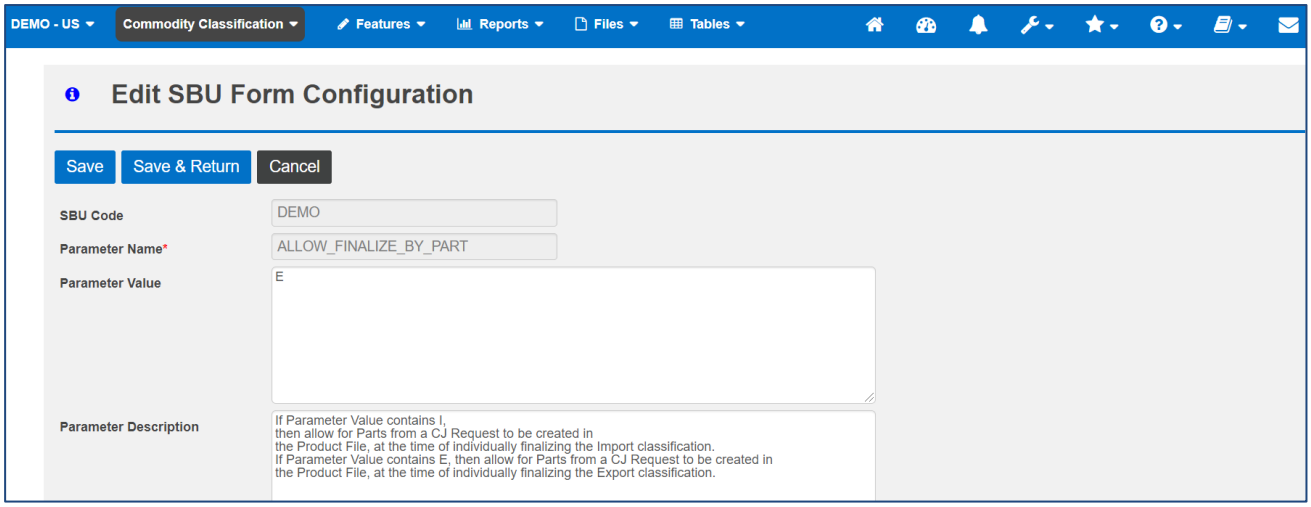

Figure 7: Edit SBU Configuration Parameters Screen

6. In the **Edit SBU Configuration Parameters** screen, enter the desired modification in the **Parameter Value** field based on the instruction in the **Parameter Description** field.

7. Once you are satisfied with the modifications, click the Save button to save the settings and click the Save & Return button to redirect to the **SBU Configuration Parameters** screen.

The SBU Configuration Parameters screen is redisplayed with the updated settings.

Refer to Table 6 for a description of the parameters.

2.6.2 Configure the Guest User Account for Portal Access

In order to access your company's Compliance Portal, a Guest User account must first be created. The Guest User serves as an 'unregistered user' which allows Portal Users to access and interact with the system through using the Request forms.

The Guest User account can be configured within the User Database and referenced within the Global Configuration. As an Admin, first, create the Guest User account within the User Database.

Navigation: Tools -> Users -> Create/View User

- Click the Add User Profile button to create the user account
- Fill in the basic details regarding Name fields, e-mail, etc. This information does not necessarily need to reference a particular person – it is used to represent the Portal User.

Provide the User ID as GUESTUSER or something similar. The User ID will be used to also reference in the Global Configuration Parameter.

- When finished, click the Save button. Use the Additional SBU button to include all SBUs that would have access to use the Portal for creating requests or reference data.

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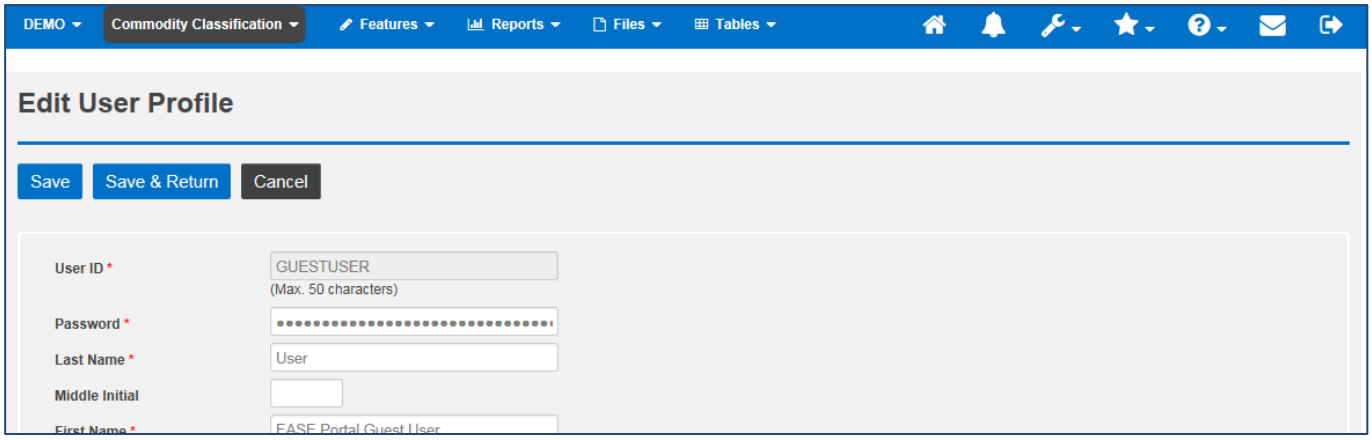

Figure 8: Edit User Profile

Once the Guest User Profile has been created, you must reference this User ID within the associated Global Configuration Parameter – '**GUEST_USER**'. The GUEST_USER Parameter can be referenced at the **Global Configuration** level.

Navigation: Tools -> System -> Configure Application

1. Search for Portal Screen and select the **Portal Page** Parameter to upload your specific portal screen.
2. Search **GUEST_USER** Parameter

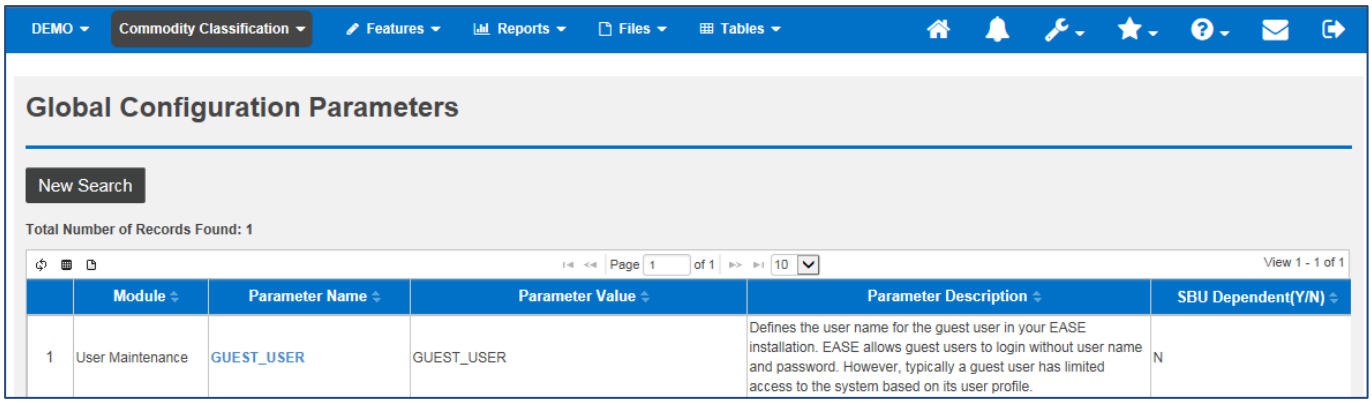

Figure 9: Global Configuration Parameters – Users

3. Click the **GUEST_USER** link under the Parameter Name column.
4. On the **Edit Parameter** Screen, enter the **User ID** for the Guest User account you had created. When finished, click the Save button.

2.6.3 Creating Export Reviewers within System

In order to assign Reviewer Roles within a Request, these Users must first be created in the System application as their respective Roles.

The **Reviewer Roles** available for the Commodity Classification Request are:

- CC Manager Reviewer
- Export Classification Technical Advisor
- Export Classification Reviewer
- Import Classification Technical Advisor
- Import Classification Reviewer

To create Users with the appropriate Reviewer Privileges, follow the steps below:

1. As an **Admin User** within System, go to the **Tool Menu -> Users -> Create/View User**

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2. On the **Search User Profile** screen, click the **Add User Profile** button to access the **User Profile** screen.

3. Use the **User Profile** screen to assign appropriate Roles for the Reviewers under the **Permissions** block.

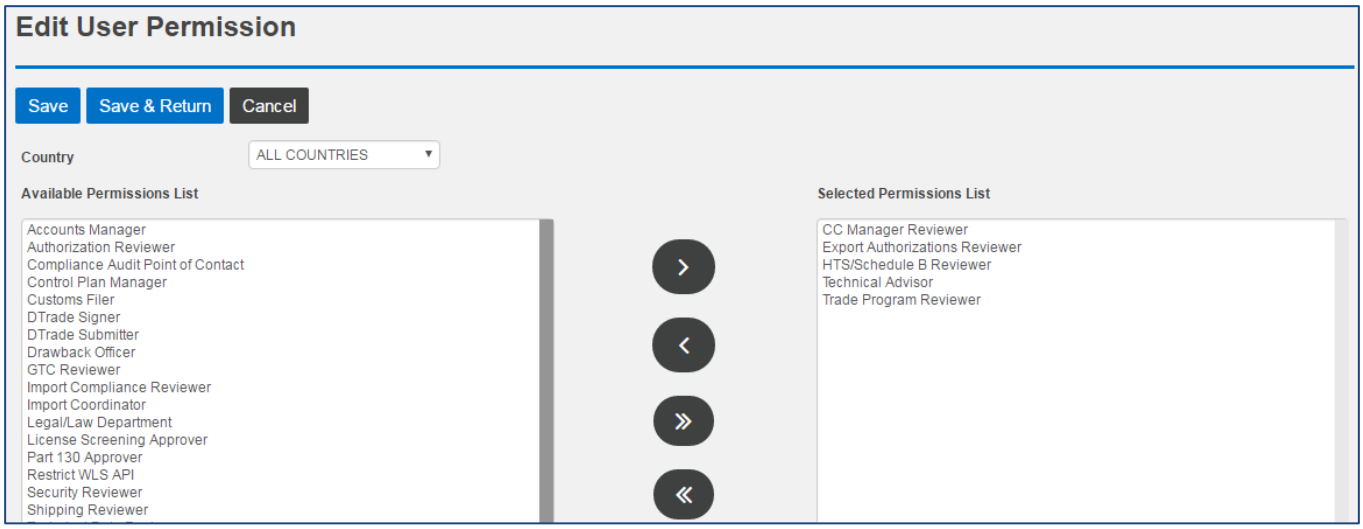

Figure 10: Edit User Permission Screen

4. When you have completed the User Profile details, click the Save button. Click the Modify User Modules button at the bottom of the page to further assign appropriate privileges to that particular user.

2.6.4 System Generated Number File

Using the **System Number** option under the Files drop-down menu, you can automatically assign new Request IDs in sequential order, for example, OCR-09-001, OCR-09-002, etc. Database Name to be selected is "Classification Request ID"

Refer the following steps to create a unique Identification Number:

1. Navigate to the Create New System Generated Number Template screen to add a template (Files -> System Number -> Add System Generated Number)

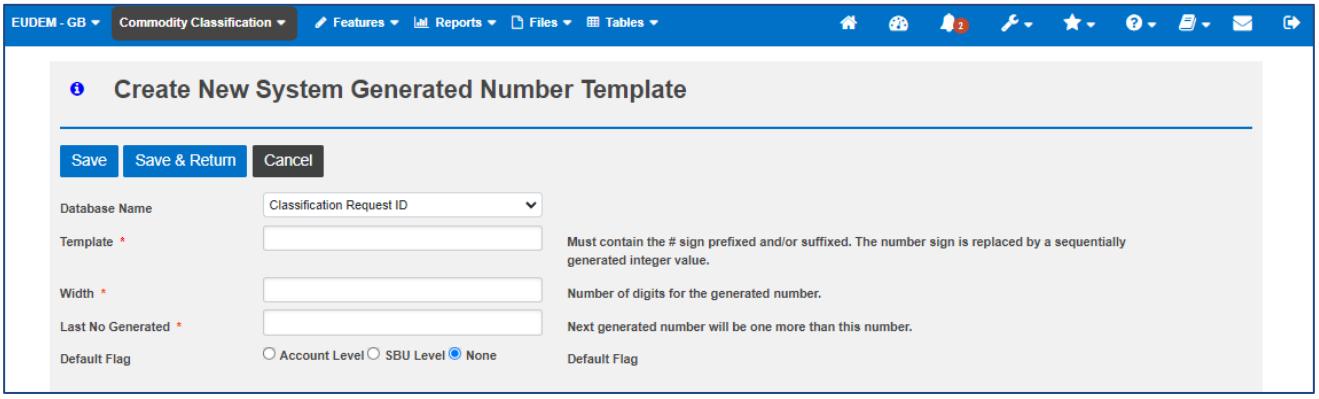

Figure 11: Create a new System Generated Number Template Screen

Field	Description
Database Name	Choose Request ID for Requests, Authorization IDs, Products, etc.
Template	Choose your SBU Id or combination of SBU and Year. The '#' sign is a delimiter. For example, ABC-04#. You can also follow one of the specified Date Formats to generate numbers as well. Refer to the formats below for using Dates.
Width	Refers to the numeric length of values for your transactions.
Last No Generated	Denoted the last number to move forward from when generating new numbers.

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Field	Description
Default Flag	If this template is marked as a Default Flag for your Active SBU, this number will be used as a default when creating new records of the specified database.

Table 8: System Generated Number Template Fields Description

The System Generated Number Templates can use a series of formats for generating a number by Date. The correct Syntax is: DATE(format). Do not use '-' or '/' within the format. Please refer to the Table below for an example of Formats. (For example, For Date: 24th Nov 2010)

Template	Generated No.
ES-DATE(YYMMDD)-#	ES-101124-0001
ES-DATE(YYMM)-#	ES-1011-0001
ES-DATE(YY)-#	ES-10-0001
ES-DATE(MMDDYY)-#	ES-112401-0001
ES-DATE(YYYY)-#	ES-2010-0001

Table 9: Template Examples

2.6.5 Field Configuration

A validation tool named 'Field Configuration' is available for the user to make fields mandatory/hidden/disabled in the forms throughout the classification process. The purpose of this tool is to allow the System and Corp Admin to configure fields as needed with the option to add a configurable warning (hard stop) text message to fields that are chosen as mandatory.

To access this tool, any System or Corp Admin can login to the System and navigate to the **Tools** menu option section and search for **Field Configuration** option.

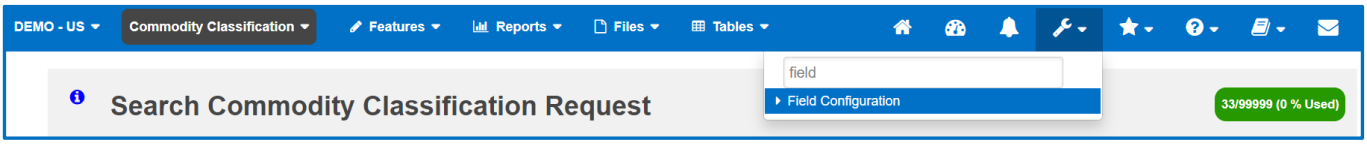

Figure 12: Field Configuration setting in Tools

The System/Corp Admins can define the scope of the validation. Validations can be done for the Account / Country / SBU level to configure certain fields throughout the commodity classification request process.

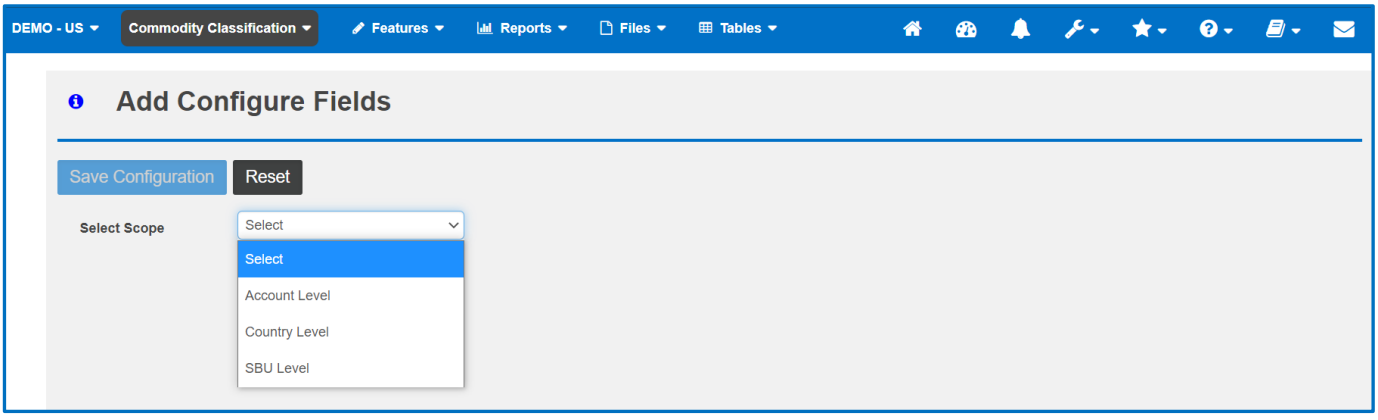

Figure 13: Validation Screen

Once the Scope of Validation is selected, the system will then display the module dropdown to select the module name. If the SBU level was selected as the scope, then an SBU code dropdown would appear before the Module dropdown.

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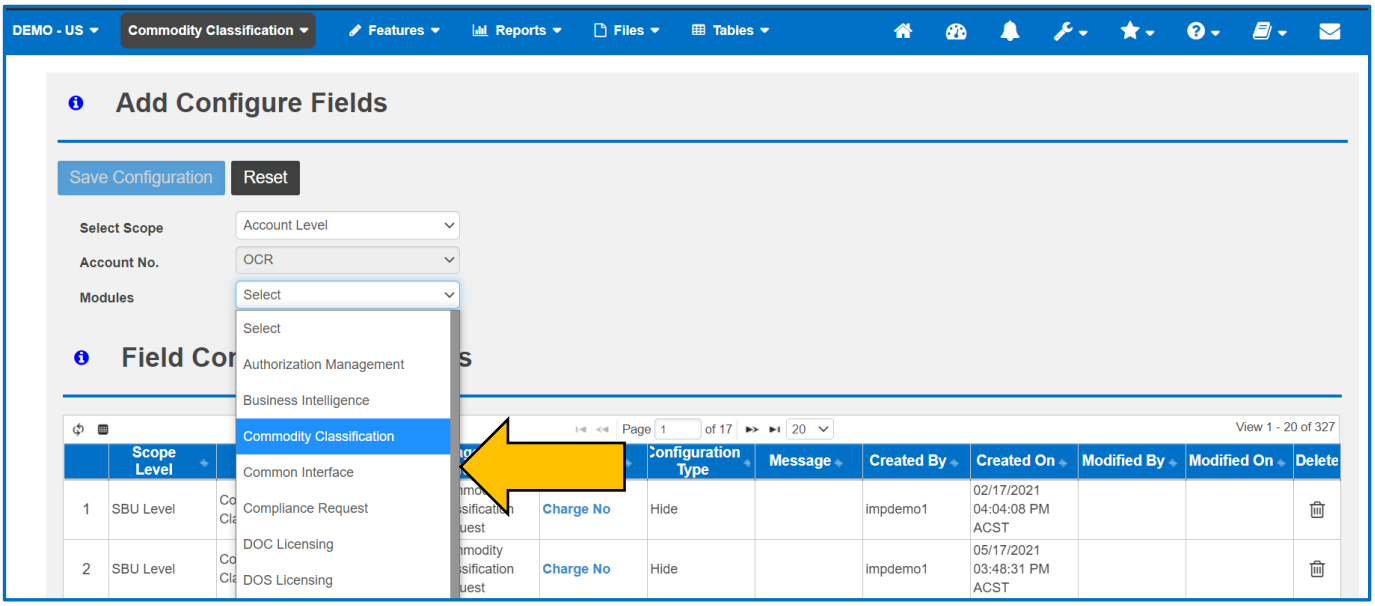

Figure 14: Module Selection

After selecting the module name, select the form type from the Form menu dropdown which in this case, is only Commodity Classification Request.

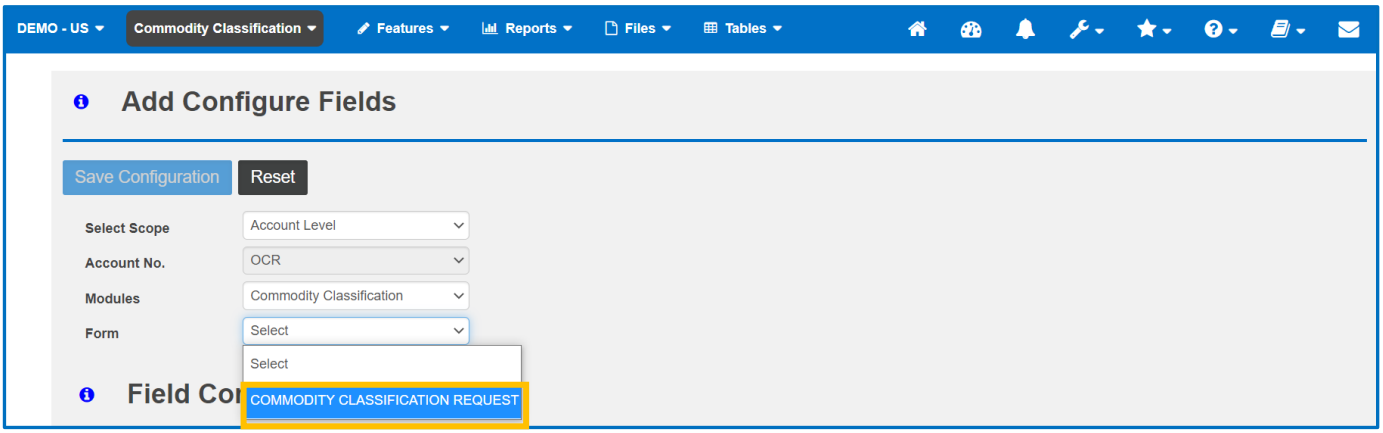

Figure 15: Feature Selection

Afterwards, the Page/Tab Name dropdown would appear which corresponds to the Commodity Info, Requestor Info, Export Classification Review and Import Classification Review Tabs.

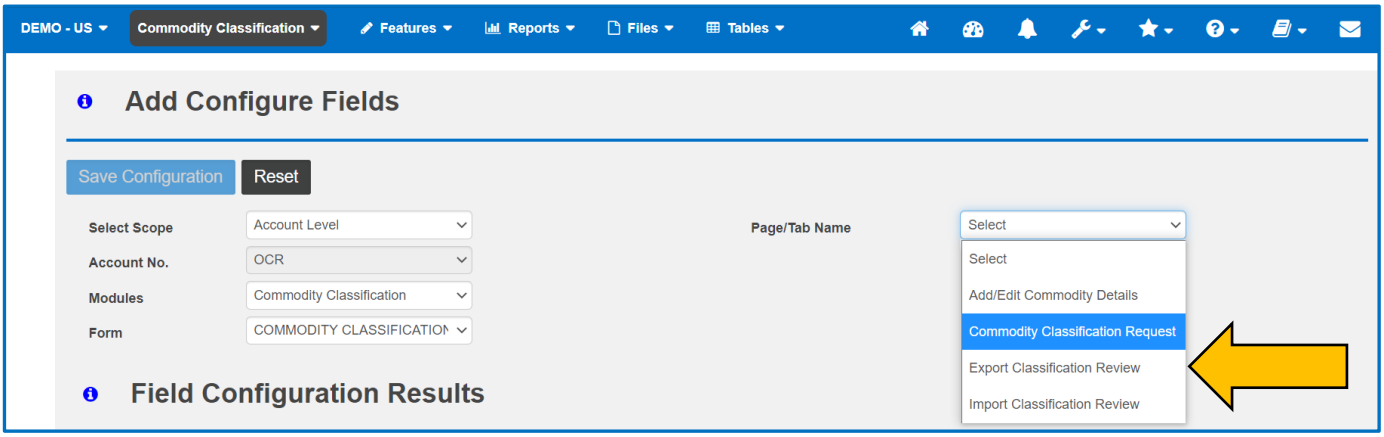

Figure 16: Validator Dialog-box

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Once the Page/Tab Name has been selected, the Field Name dropdown will appear and you will be able to select the available options from the dropdown.

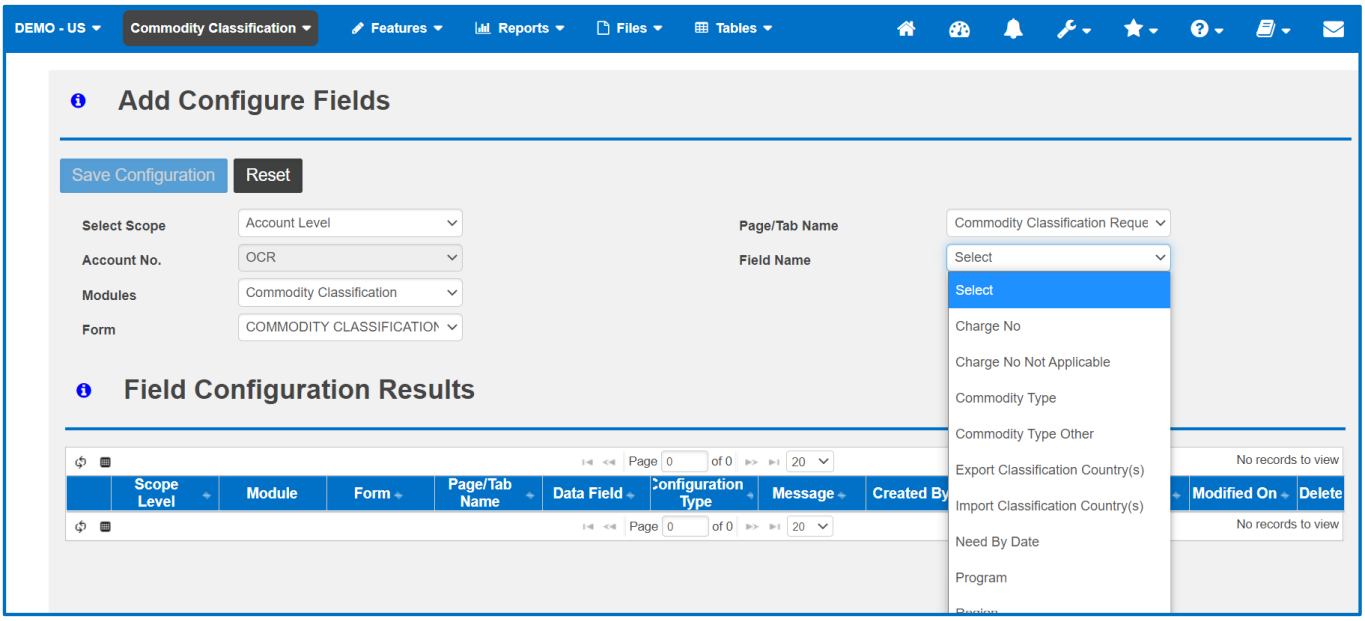

Figure 17: Field Name Drop-down

After the Field Name has been selected, you will then be able to select the available options from the Configuration Type dropdown. Some fields may have all options to make Mandatory/Enforce Hyperlink/Hide, while other fields may not have the same options as they may have to be mandatory by default or they are not allowed to be hidden.

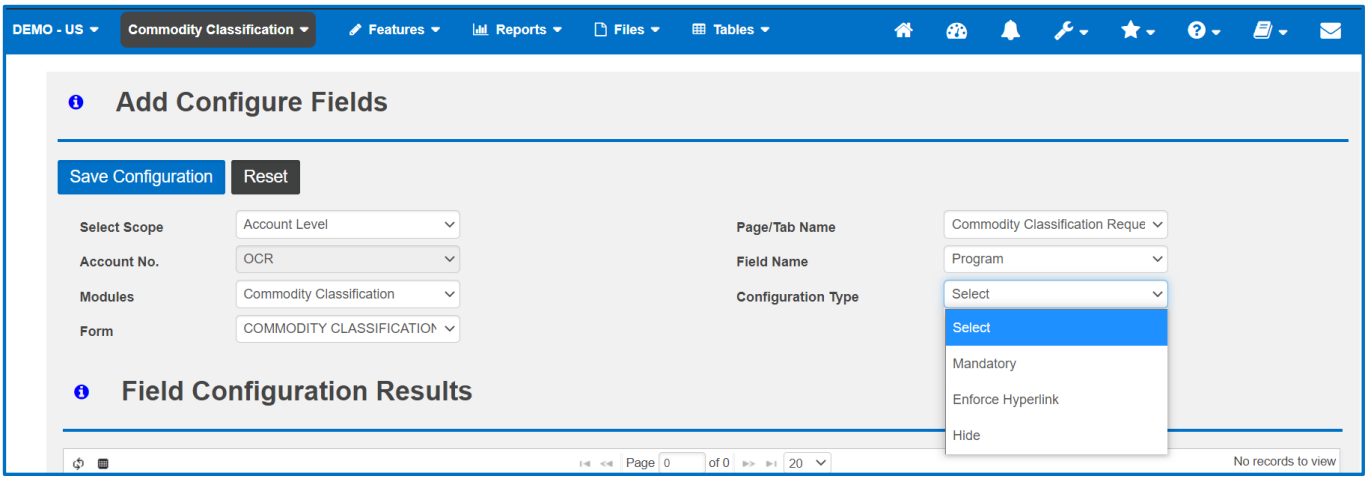

Figure 18: Configuration Type Drop-down

If selecting the Configuration Type as Mandatory, then you will also have the option to configure a Validation Message when a User does not enter data in the selected Mandatory Field.

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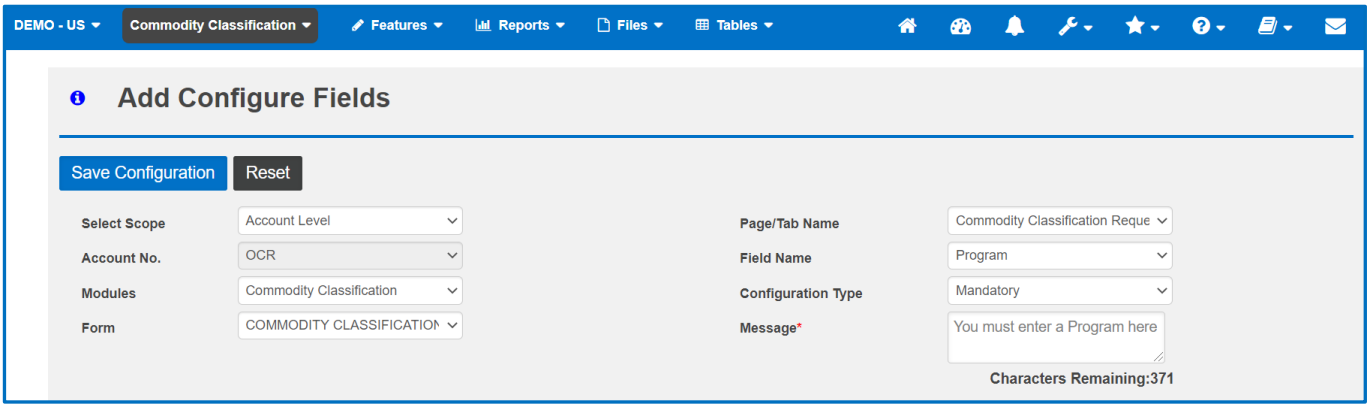

Figure 19: Message Description

After clicking the button, the system will display the results in the Field Configuration Results section below where you have edited the fields. The system takes note of who created the configuration and provides a time stamp of when it was created as well.

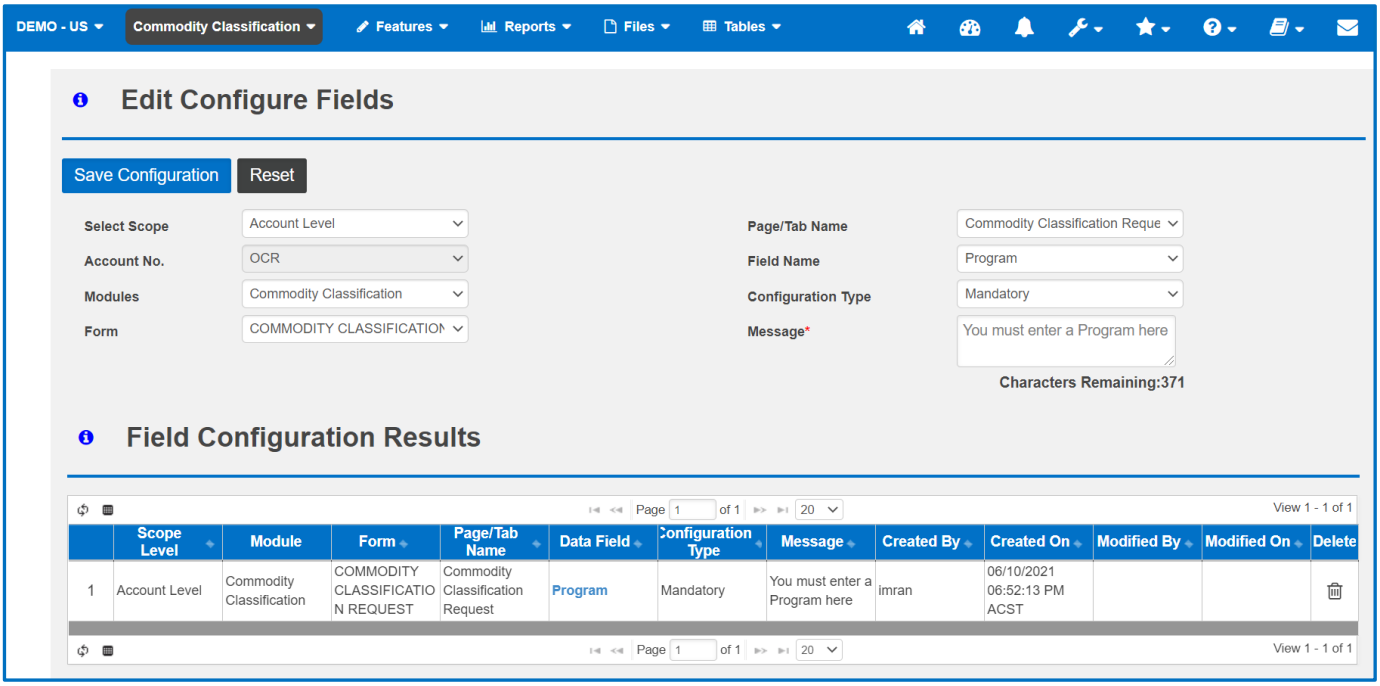

Figure 20: Result Validation Fields

After the configuration is complete, when a requestor (both registered and portal users) creates a new Commodity Classification Request, the system will enforce the field configurations entered.

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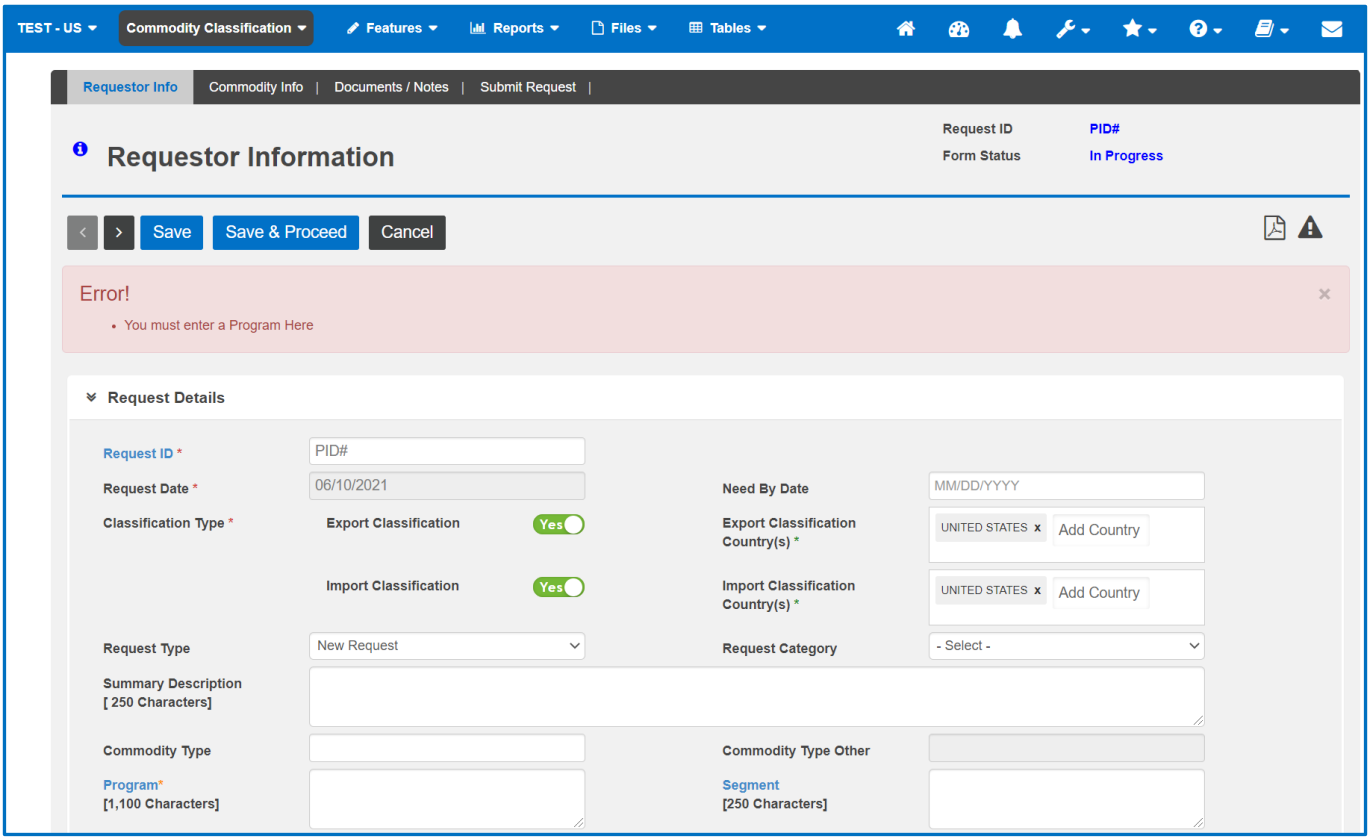

Figure 21: Error Message Against Validation

2.6.6 Questionnaire Forms Configuration

There are various Configurable Questionnaires as part of the Commodity Classification Request. Some are traditional based that allows you to configure whole sets of groups and questions, and others are conditional based to guide through a decision tree process and end result.

By clicking the Add Configuration button, you will be able to configure which Questionnaires you want to show in each step of the Review Process. You can also decide to configure the system to show different questionnaires that you've already set up by Account/Country/SBU.

For example, from the figure below, we selected the Configuration Level as SBU, the SBU as DEMO, the Module as Commodity Classification, and the Form as Commodity Classification Request.

From there, we can select the Questionnaire that we would like to configure.

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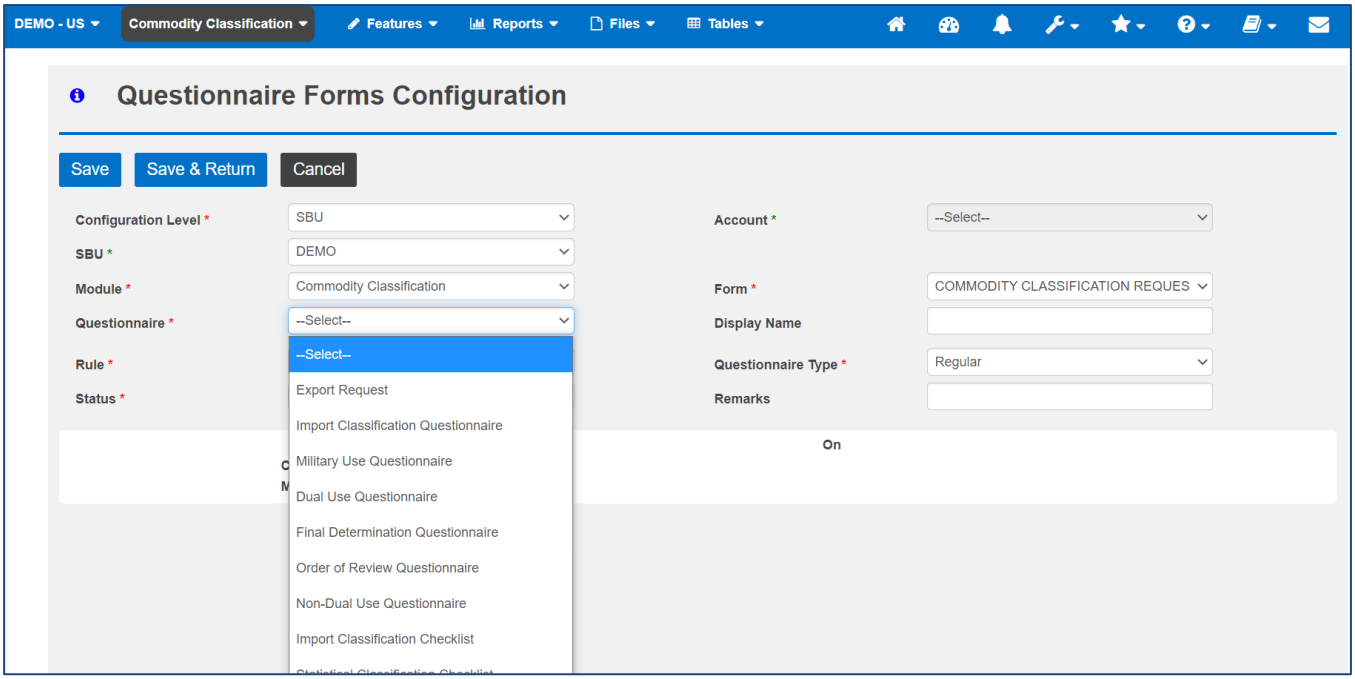

Figure 22: Questionnaire Forms

After selecting the Questionnaire, you can then select from the Rule dropdown where you can choose to make the selected Questionnaire Mandatory, Optional or disable it altogether.

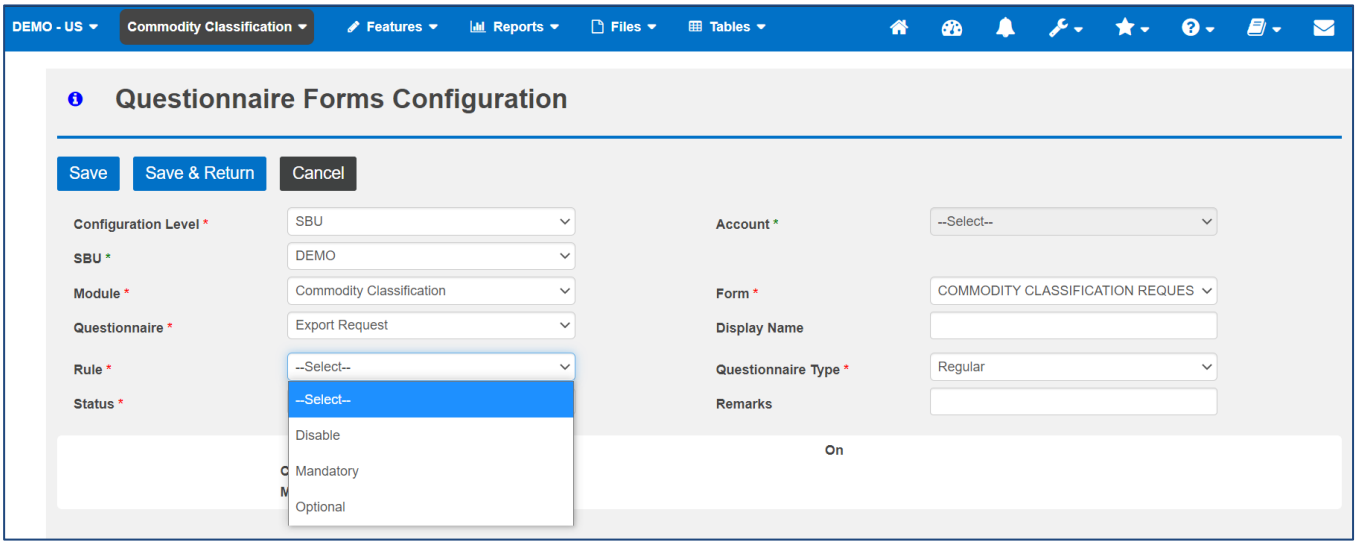

Figure 23: Rule Drop-down

Afterwards, you would then specify whether the selected Questionnaire is the traditional/regular type or whether it is the conditional/interactive type. This is because you have the option to create both the traditional and the conditional versions of for the Import and Export Request Questionnaires from the Commodity Info Tab.

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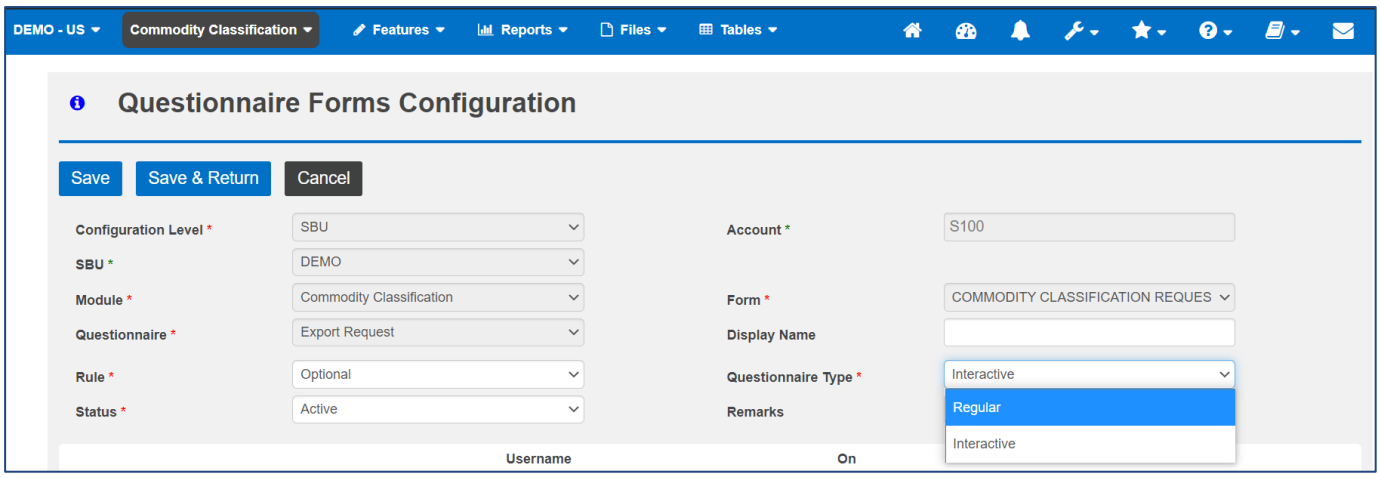

Figure 24: Questionnaire Type Drop-down

Lastly, if you want to change how the Questionnaire Name is displayed in the Commodity Classification Process for the users, you can also enter that information in the Display Name field.

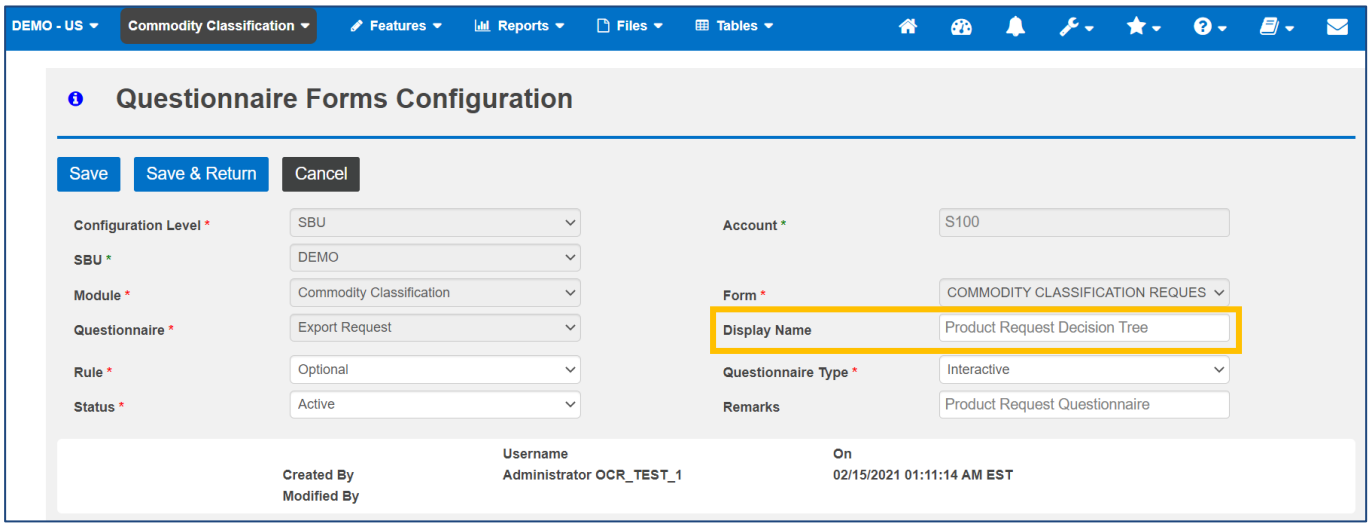

Figure 25: Display Name

Once you have clicked the Save & Return button, the configuration will be saved and you will be able to see the details in the Result Questionnaire Forms Configuration page. Therefore, the configuration listed in the grid will take place for the selected Questionnaire in the Commodity Classification process.

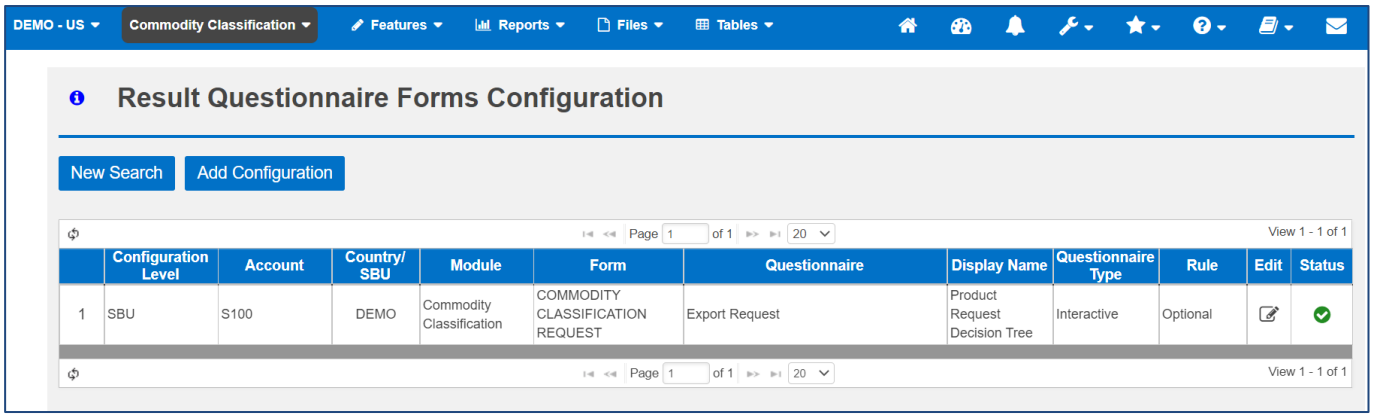

Figure 26: Result Questionnaire Forms Configuration Screen

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Jurisdiction and Classification Checklist Specific:

For the Jurisdiction and Classification Checklist, there is an additional Field Configuration option for the Questionnaire's Yes/No Workflow. You will be able to configure whether you would like to see these fields as an option at the end of completing the Questionnaire. If answered, these fields from the Questionnaire will populate the fields in the Export Classification Tab.

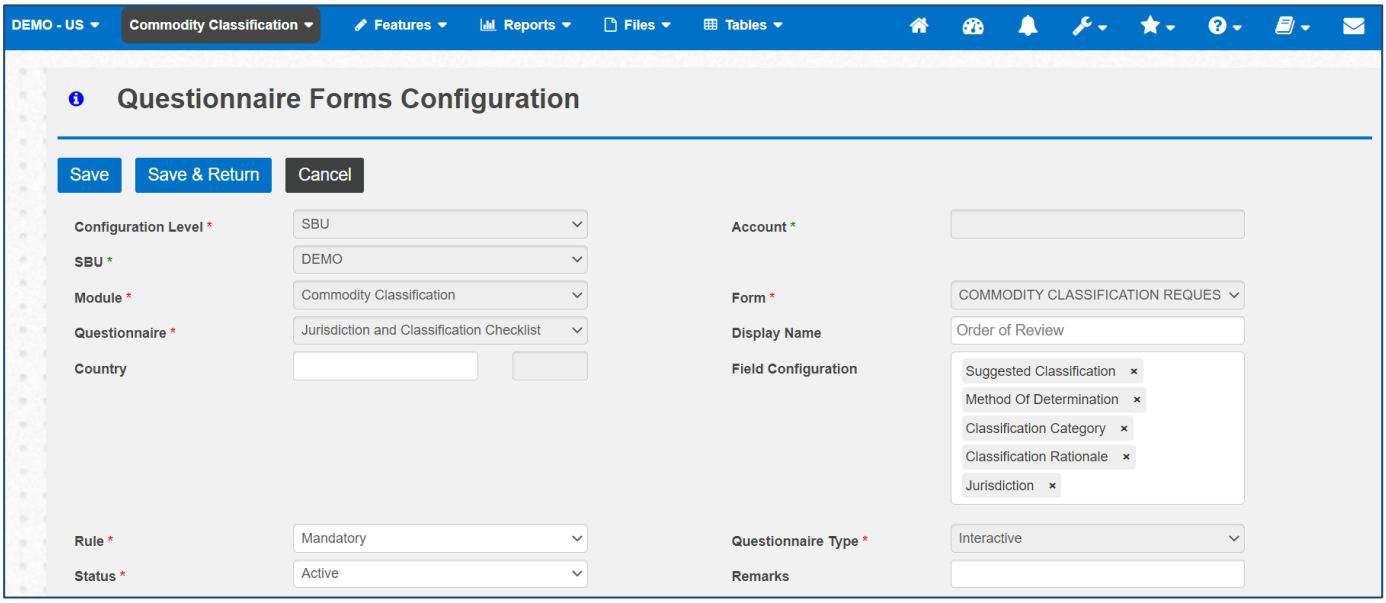

Figure 27: Questionnaire Forms Configuration Screen

2.6.6.1 Questionnaire Configuration

An option for Admin Users is available under the Tools Menu labeled **'Questionnaire Configuration'** which includes **Group** and **Question** sub-tabs. Questions can be segregated by Groups to display accordingly on the Tab.

Navigation: Tools Menu -> Questionnaire Configuration -> Groups/Questions

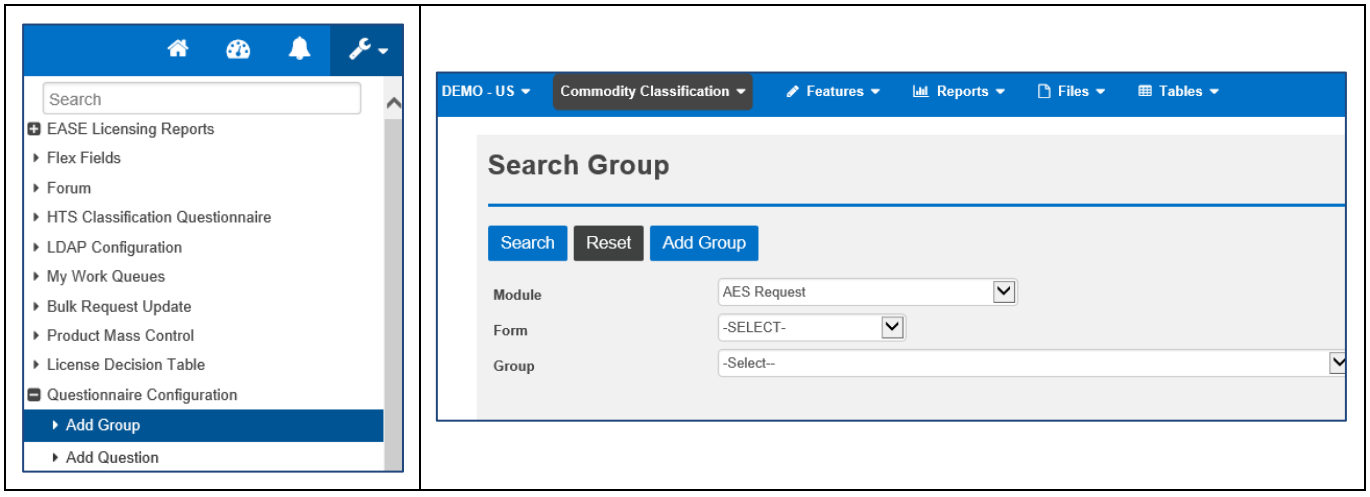

Figure 28: Add Group Navigation

To configure the Questionnaires for the Request, you must first define a Group for the Questions to display under on the form.

- Select the **Groups** option under the Questionnaire Configuration in the Tools drop-down icon and the Search Groups screen will be displayed.

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- Click the Add Group button to create the Group ID for the order of the groups (For example, 1, 2, 3) and provide a Description for titling the Group of Questions (For example, Part Descriptions or HTS Questionnaire, End Item Questions, etc.).
- Click on the Initiating Group checkbox if it should be the first Group to be shown in the Questionnaire.
- The Export/ Import Request Questionnaire types can be regular or interactive:
  - The interactive Questionnaires for those 2 will be marked as Decision Tree.
  - Example: **'Export Request – Decision Tree'**

- Once finished, click the Save & Return button.

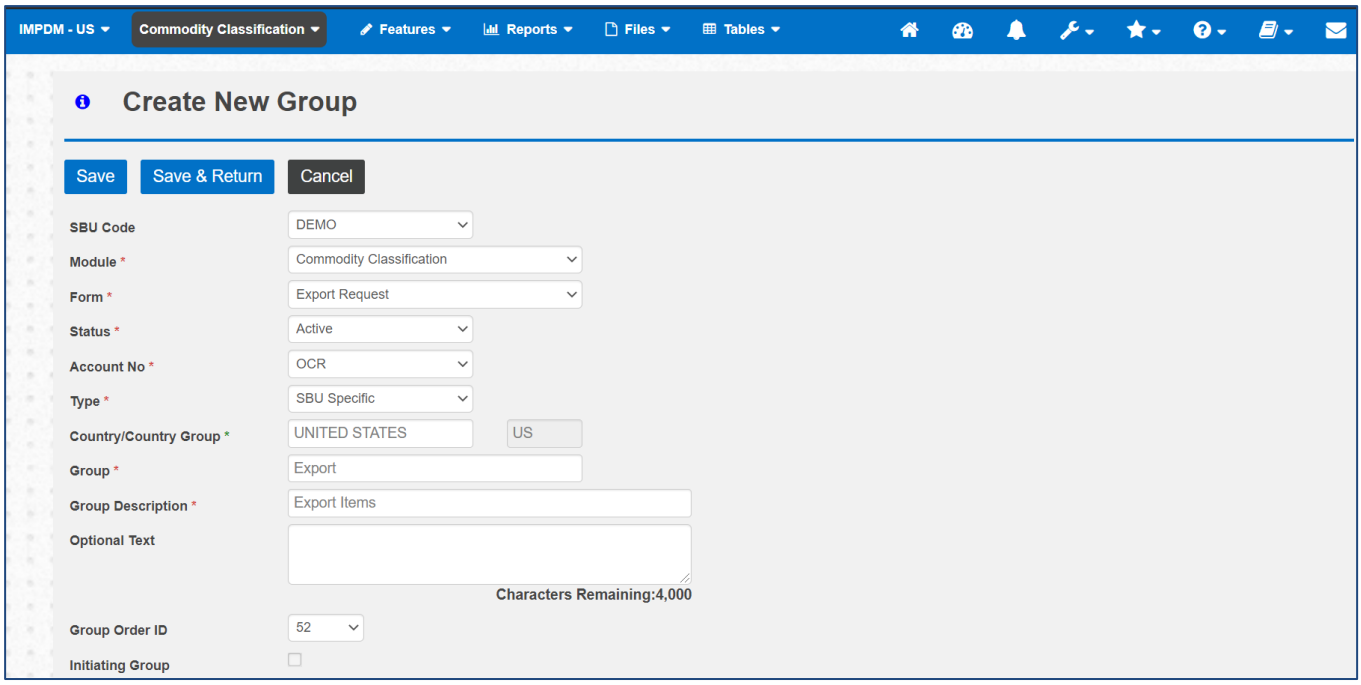

Figure 29: Create New Group Screen

- After a Group has been created, select the **Add Questions** option under the **Tools -> Questionnaire Configuration** menu and the Search Question screen is displayed.
- Click the Add Question button to create a question to be displayed on the Request.
  - Questions can be added to 'Global' if you are a Corp Admin User – to have the Question used across all Business Units. Otherwise, select the appropriate SBU for the Questions to display.
  - Questions can be assigned to a particular Form and Group and ordered to display accordingly.
    - Select the Form/Group you had first created, then enter the Question.
  - Responses can be set to Objective and/or Descriptive and further parameters can be defined based on the option selected.
    - Response Type:
      - Objective = Yes/No/Unknown Combination
      - Descriptive = Text block
      - Both – Objective, then Descriptive based on response.
        - **For example, Yes/No. If Yes, then Explain.**

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'N/A' Response Types and 'Enforce Action' options are NOT available for use in the Commodity Classification Module.

Conditional Based Questionnaire Specific:

- A field to capture Additional Information to display as a tool tip explaining the question can be used.
- Valid Conditional Based Response Types can be set as follows and further parameters can be defined based on the option selected.
  - Objective = Yes/No
  - Both – Objective, then Descriptive based on response.
    - **For example, Yes/No. If Yes, then Explain.**
- When the Response Type is selected, the Conditional Workflow section appears at the bottom.
  - Based on the Yes or No response, you can drive what the next Group/Question should be, along with any instructions to follow if a response is an endpoint.
  - If the set of questions are all defined, you will notice a preview of the selected Next Question to help ensure appropriate assignment.

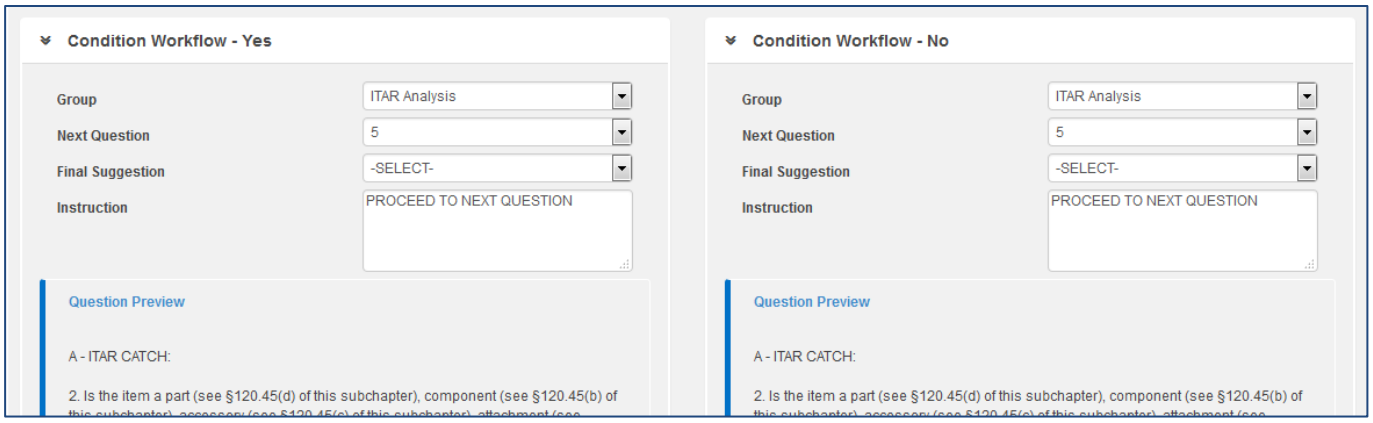

Figure 30: Condition Workflow Section

- Once finished, click the Save & Return button.

2.6.6.2 HTS GRI – Classification Questionnaire

An option for Admin Users is available under the Tools Menu labeled **'HTS Classification Questionnaire'**. This will allow you to search and view the Questions used for the General Rules of Interpretation.

Navigation: Tools Menu -> Questionnaire Configuration -> GRI Worksheet Questionnaire

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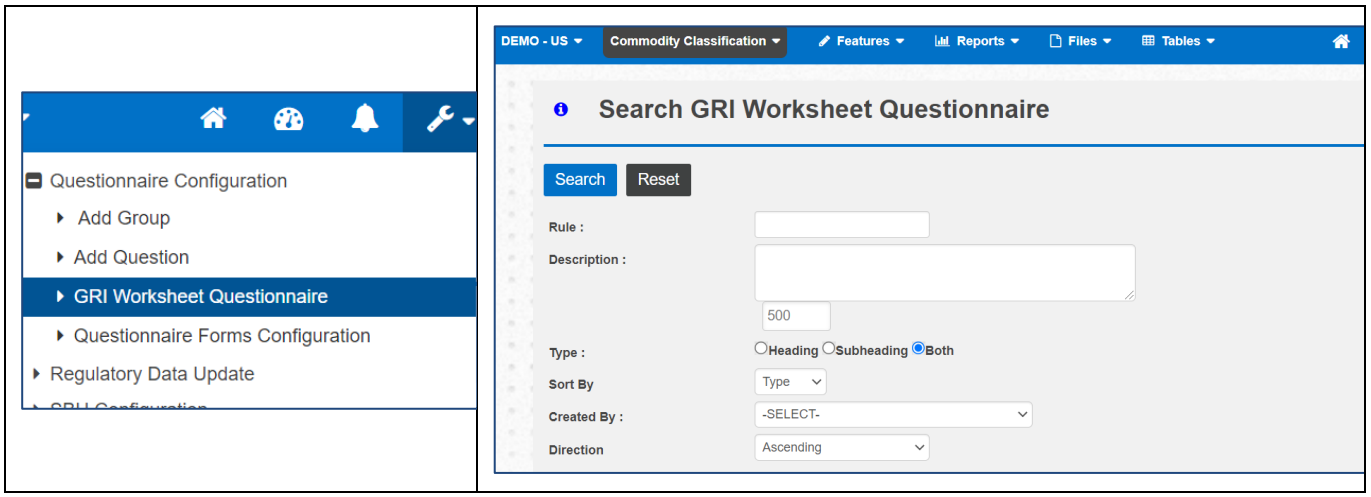

Figure 31: Search HTS Classification Questionnaire Screen Navigation

Navigation: Tools Menu -> Questionnaire Configuration -> GRI Worksheet Questionnaire -> Search Results

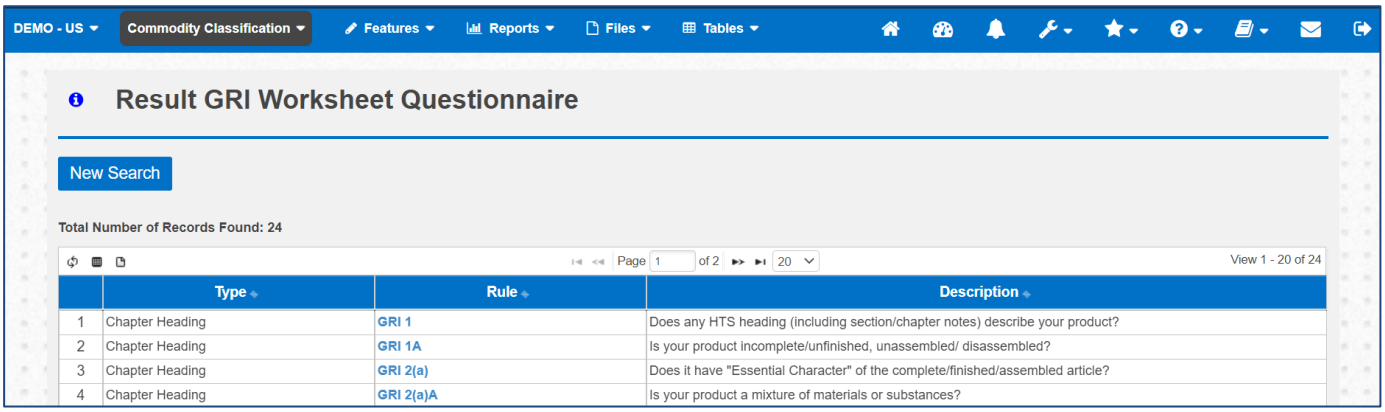

Figure 32: HTS Classification Questionnaire Search Results

2.6.6.3 Workflow Reviewer Configuration

An option for Admin Users is available under the Tools Menu labeled 'Workflow Reviewer Configuration'. This is where you can preconfigure reviewers for each stage of the classification review process. Preconfiguring the selected reviewers will allow you to automate submission process from the requestor to the reviewer. Aside from that, it can also be used to limit the pool of reviewers the requestor would submit the request to.

Navigation: Tools Menu -> Workflow Reviewer Configuration

After navigating to the Workflow Reviewer Configuration Page, click on Add New Configuration to start adding a new Reviewer to the Commodity Classification Workflow.

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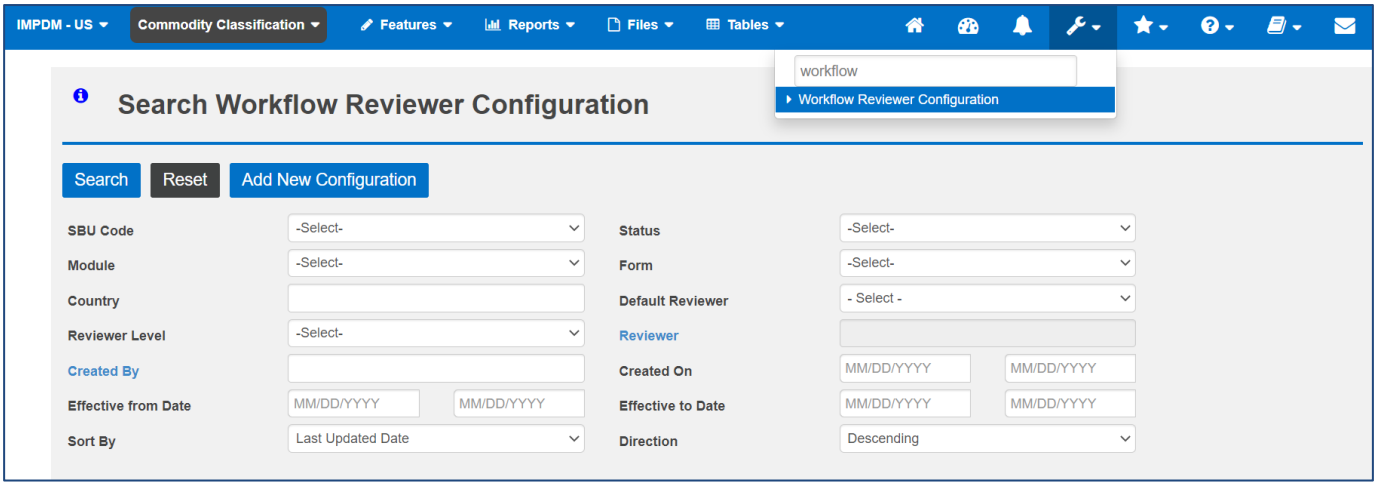

Figure 33: Workflow Reviewer Configuration Option

The first step is to define the SBU the reviewer will be configured for.

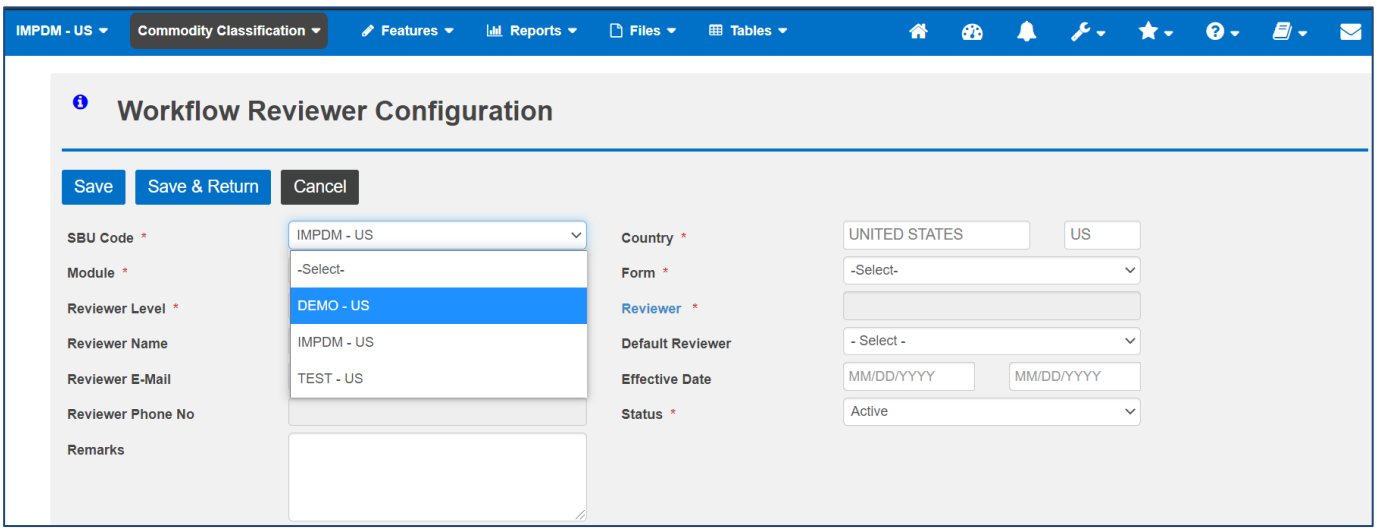

Figure 34: Select SBU Code

We will then select the module as 'Commodity Classification'.

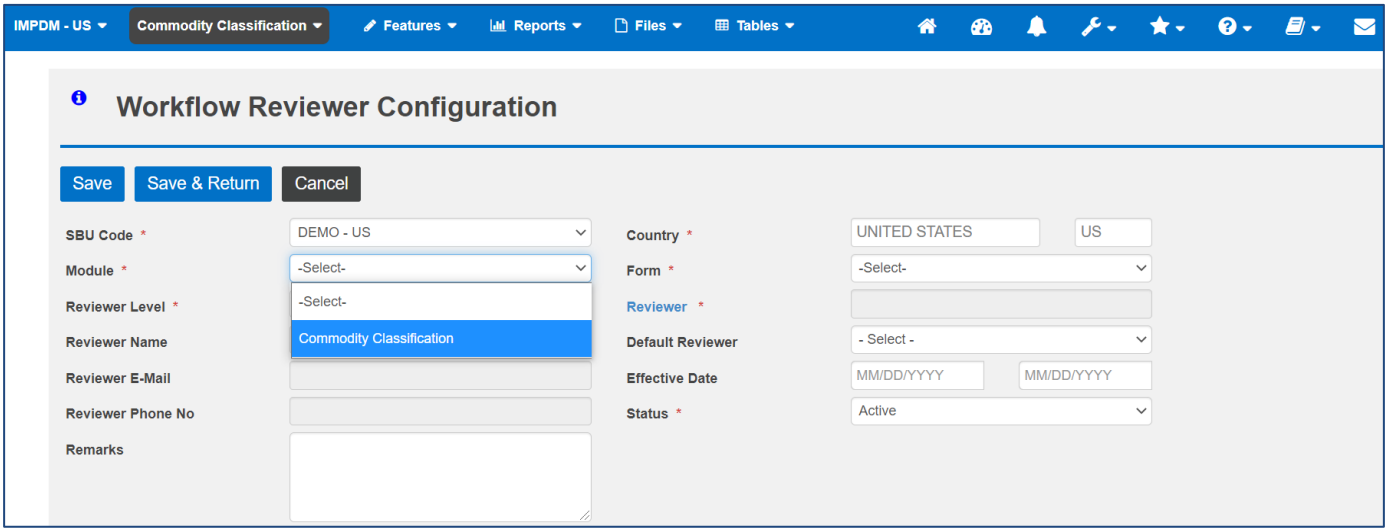

Figure 35: Module Drop-down

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From there, the Form and the Reviewer Level will auto select the first option from their respective dropdown lists. However, we can draw our attention to the Country field where we select the country the reviewer will be configured for.

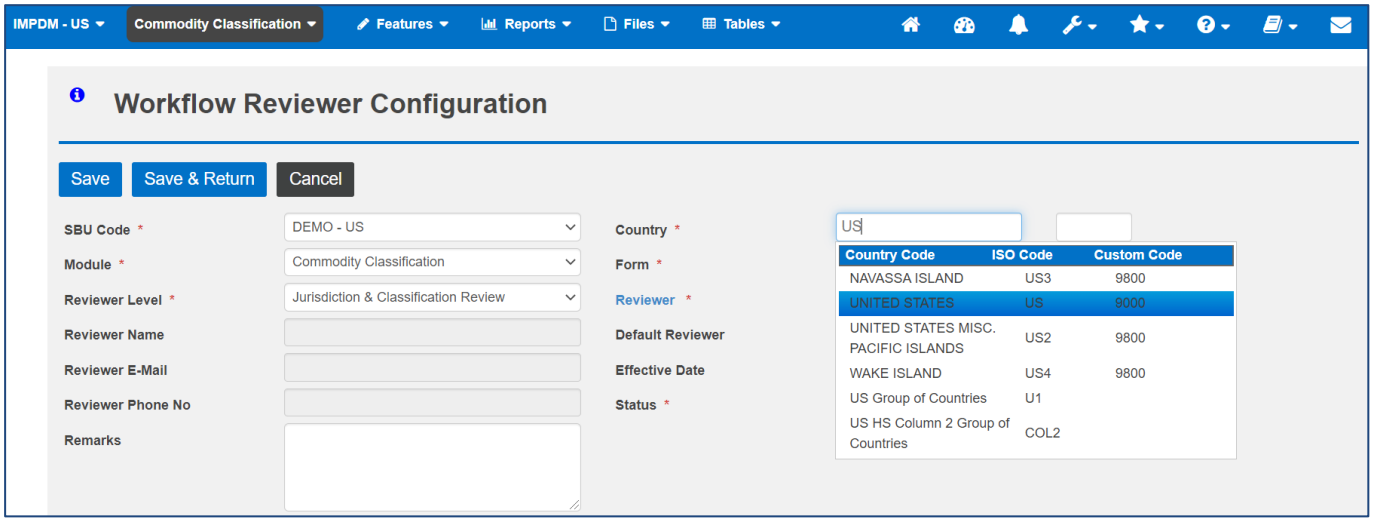

Figure 36: Country Drop-down

Next up, for Commodity Classification the only available Form to choose from is the 'Commodity Classification Request'. Therefore, we will move to the Reviewer Level where we can select on which stage of the Review Process we're selecting the Reviewer for.

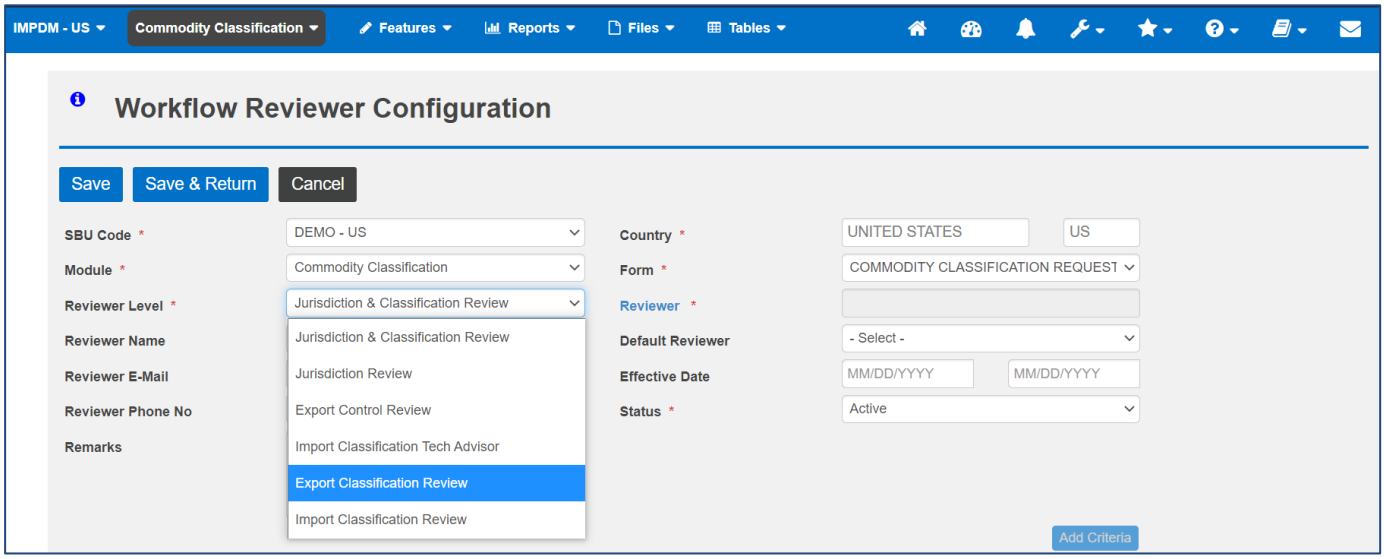

Figure 37: Reviewer Level Drop-down

Reviewer Level Stages:

Following the 'EXPORT CLASSIFICATION REVIEW CYCLE' configuration on Page 13. The Export Classification Review process can be configured into one of three Review Cycles.
The corresponding Reviewer Level is as follows:

Review Cycle 3	Review Cycle 2	Review Cycle 1
Jurisdiction Review	Jurisdiction & Classification Review	Jurisdiction & Classification Review
Export Classification Review	Export Control Review	
Export Control Review		

Table 10: Reviewer Level Configuration

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After selecting the Reviewer Level, you can then click on the blue hyperlink for Reviewer and select the reviewer we are configuring the workflow for.

Once the Reviewer has been selected, we have the optional choice of selecting whether they are the Default Reviewer for the Reviewer Level and Country chosen. If 'Yes' is selected, then the system will submit the Classification Request to the default reviewer amongst all the other reviewers that are configured unless specifically specified by the Requestor.

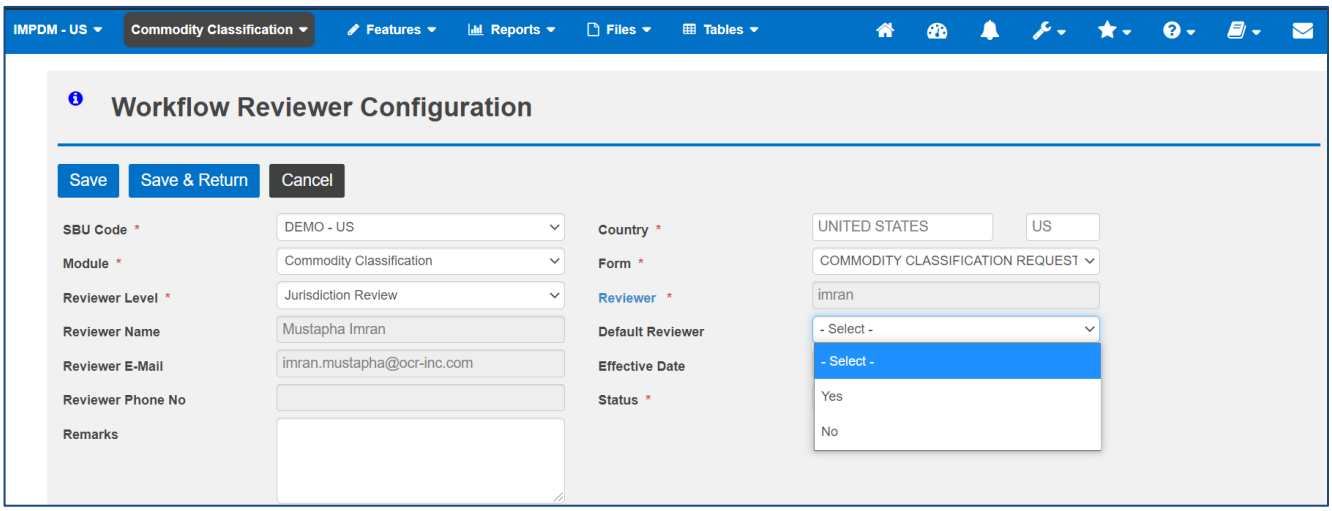

Figure 38: Default Reviewer Drop-down

Moving on, you can also select a date range you want this configuration to be effective for. Perhaps the main reviewer for US classifications is out of office for a specific date range. Therefore, another reviewer can be set as the default in the meantime and have the requests be submitted to them for dates selected.

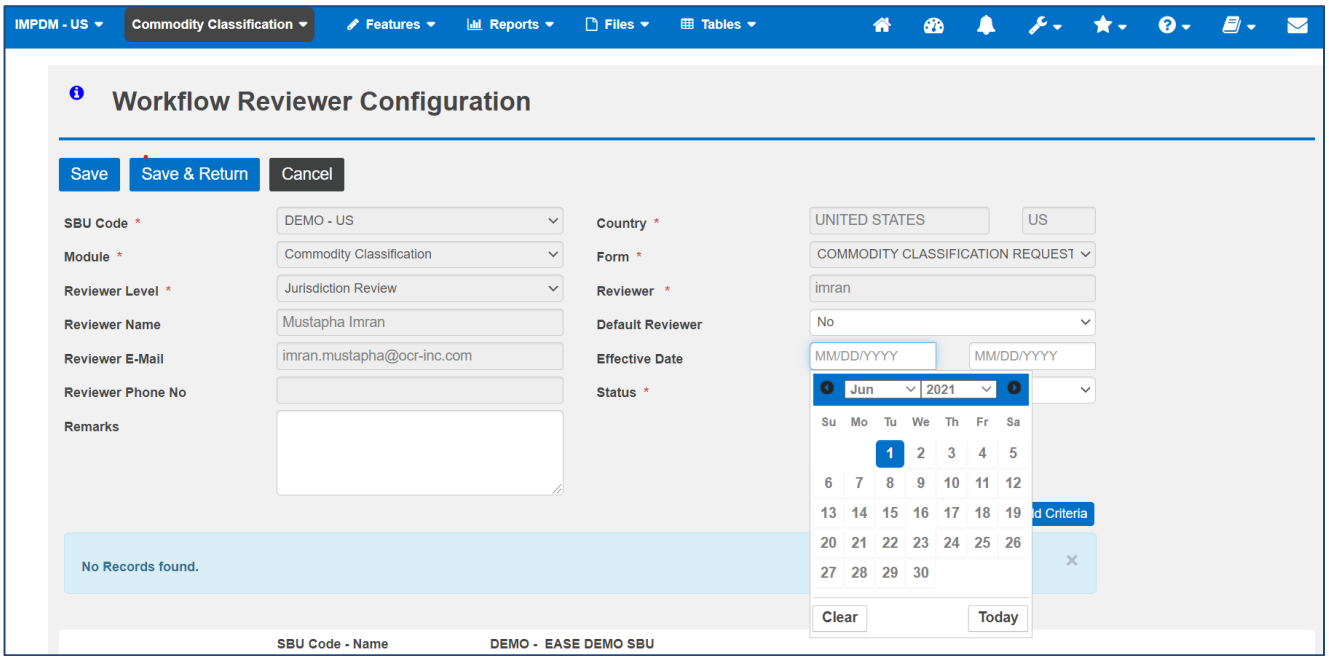

Figure 39: Effective Date Selection

After all selections have been made, you can then click on Save to save the configuration. You will notice at this point that the Add Criteria button is now selectable.

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Upon selection, this button allows you to choose additional criteria that are available to be added to the workflow of this Reviewer.

For example, the 'EXPORT BRANCHING CRITERIA' configuration on page 13 refers to Request Branching based on Plant ID. Therefore, for Commodity Classification, Plant ID is an additional criterion that can be selected and configured after clicking on Add Criteria .

You would select the available Criteria, and then the Condition and corresponding Value you are configuring. **Note**: Plant ID is a field located in the Add Commodity Details page under the Commodity Info tab of the Commodity Classification Request.

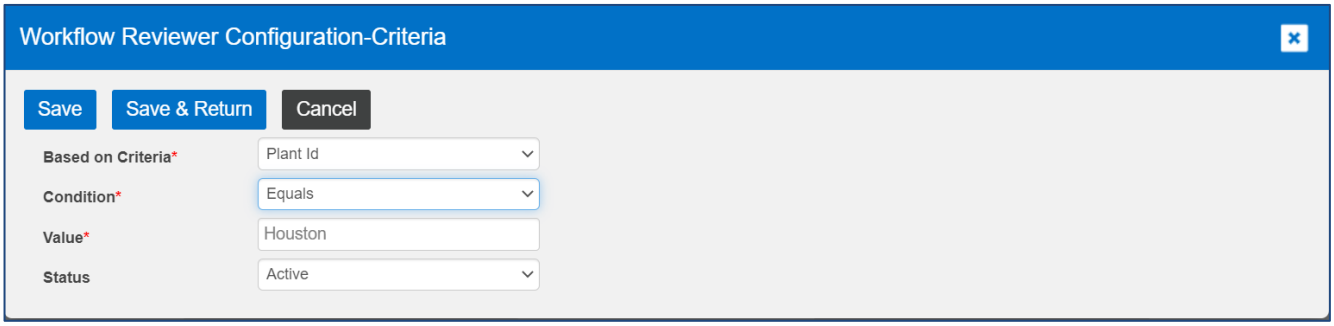

Figure 40: Workflow reviewer Configuration Criteria

If the additional Criteria has been added, then you can hit Save & Return to return to the Workflow Reviewer Configuration page. Here, you can then search for the configuration you have just added and the information will be displayed on the search results page in a grid format.

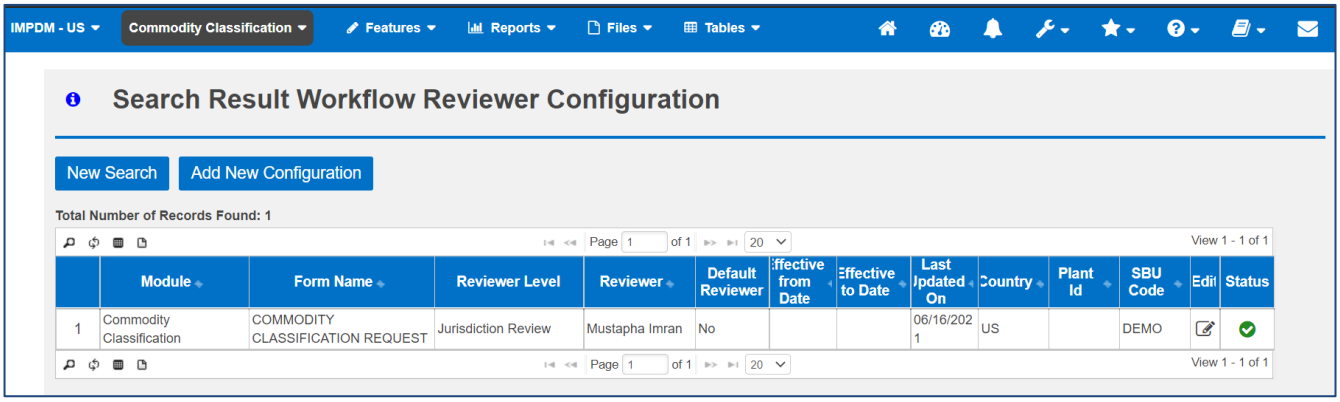

Figure 41: Search Results

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3. COMMODITY CLASSIFICATION FEATURES

This section describes the step-by-step procedure to use the Commodity Classification module features to fill details in forms to classify an item and submit for review.

The following steps describe how to navigate to the Commodity Classification module home screen.

1. Go to the **Login** screen of the System application.

Figure 42: Login Screen

2. In the **User Name** and **Password** fields, enter the login credentials provided to you.

Mandatory field, English text and numbers, with a maximum length of 50 characters.

If you have forgotten your User Name or Password, refer 'Getting Started User Guide' to reset them.

3. Click the Login button to login into the System application.

The Commodity Classification module home screen or your default set module home screen is displayed.

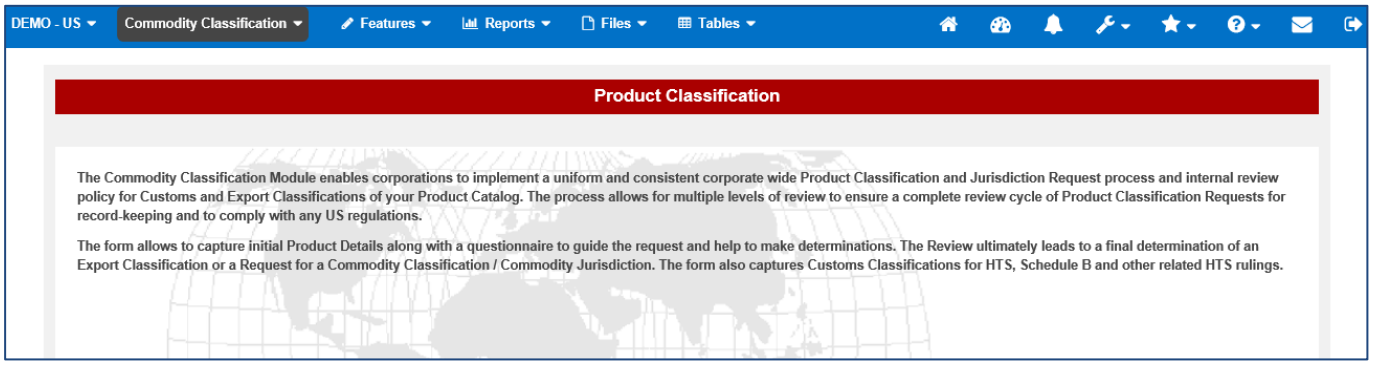

Figure 43: Commodity Classification Module Home Screen

If the Commodity Classification is not your default module, then select the Commodity Classification from the Module selection box to access the Commodity Classification module. You can also set Commodity Classification as your default module; refer 'Getting Started User Guide' for more details on setting default module.

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3.1 Commodity Classification Request

3.1.1 Create New Request – Portal View

Refer the following steps to begin the Product Classification Request Process as an external user.

1. Click on the **Compliance Portal Link** or use your **Portal User credentials** to log in from the System **Login** screen.

The EAES Compliance Portal screen is displayed.

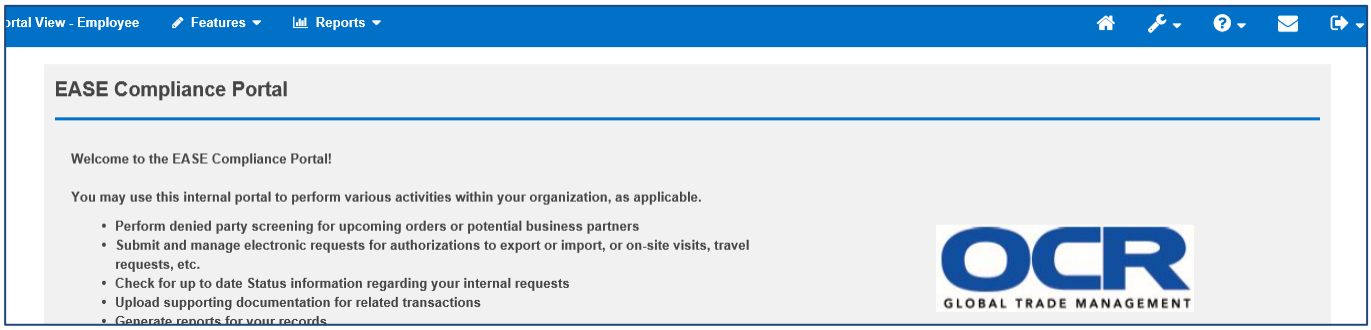

Figure 44: EAES Compliance Portal Screen

Requestors through the Portal are considered "Un-Registered Users" and can be Employees, Engineers, etc. that in some cases do not have access to log into the System application.

2. On the System, Compliance Portal screen, under the Features drop-down menu, select the Commodity Classification Form option (Compliance Portal -> Features -> Commodity Classification Form).

The Search Commodity Classification Form screen is displayed.

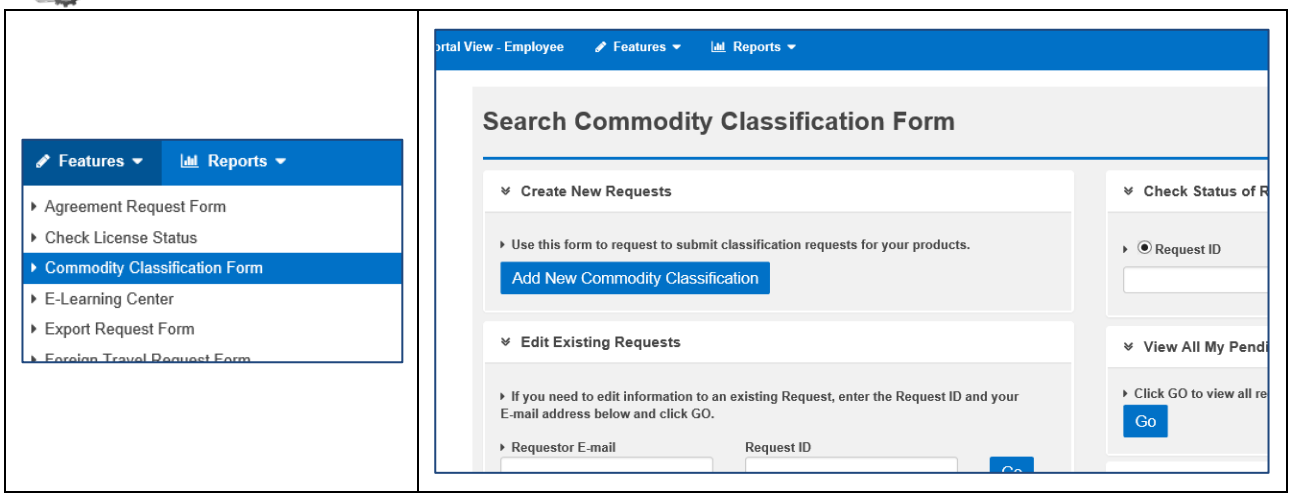

Figure 45: Commodity Classification Form Navigation

3. Click the Add New Commodity Classification button provided to initiate a new Commodity Classification Request form.

The Commodity Classification Template screen is displayed.

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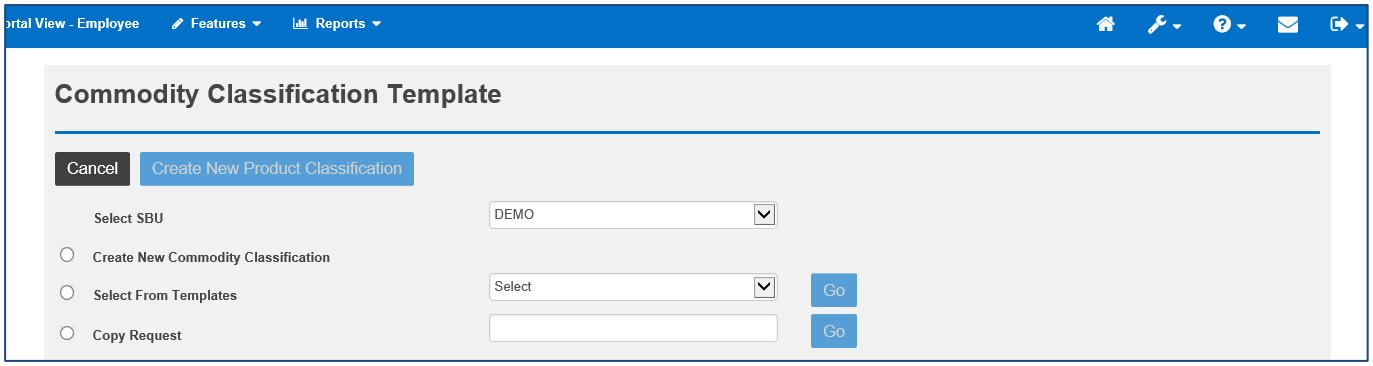

Figure 46: Commodity Classification Template Screen

The form will auto-populate the 'SBU', 'Requestor Name', and 'Email Address' fields.

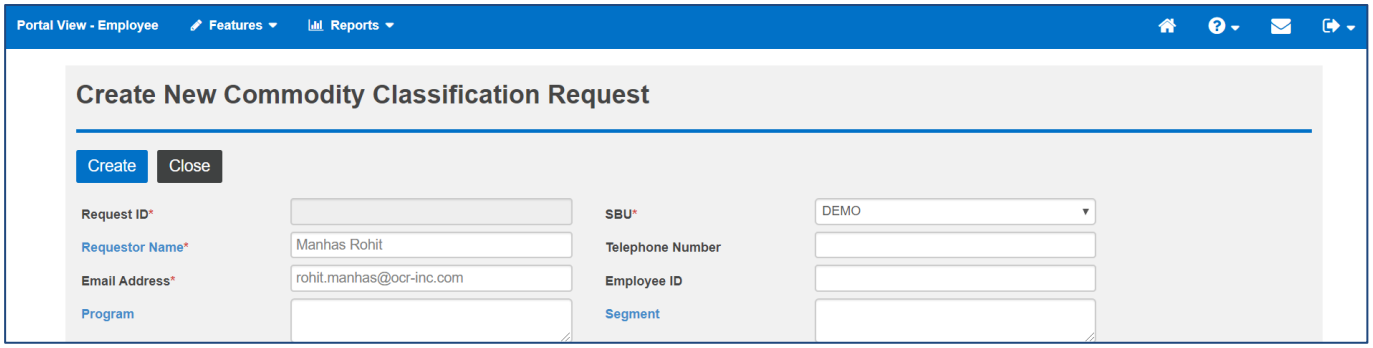

Figure 47: Create New Commodity Classification Request Screen

For further steps refer the section 3.1.2.

Following tables lists the other available option on the Search Commodity Classification Form screen.

Options	Description
Check Status of Existing Request	If you need to check the Status of a Request, enter the Request ID or E-mail ID and click the 'Go' button.
Add Information/Update Existing Request	If you need to add information to a Request form in progress, enter both the Request ID and your E-mail address and click the 'Go' button.
Retrieve all Pending Requests	Click this link to view a complete list of Requests currently being reviewed internally.
Search Existing Requests	Click this link to search and filter for particular Requests in the system.
Product Reports (Under Reports Menu)	As an Unregistered User, you still have access to various Reports related to the Product Table and Request forms. Click on the appropriate links to generate particular Reports as needed.

Table 11: Search Commodity Classification Form Screen Options

3.1.2 Create New Request – Registered System Users

The following steps describe how to create a classification request.

1. To add a classification request, you need to first view the **Commodity Classification Template** screen successfully. This can be achieved by the following:
   a. Navigating to the **Commodity Classification Request** feature of **Commodity Classification** module (Commodity Classification -> Features -> Commodity Classification Request).
   b. On the **Search Commodity Classification Request** screen, click the Add New Commodity Classification button to navigate the **Commodity Classification Template** screen.

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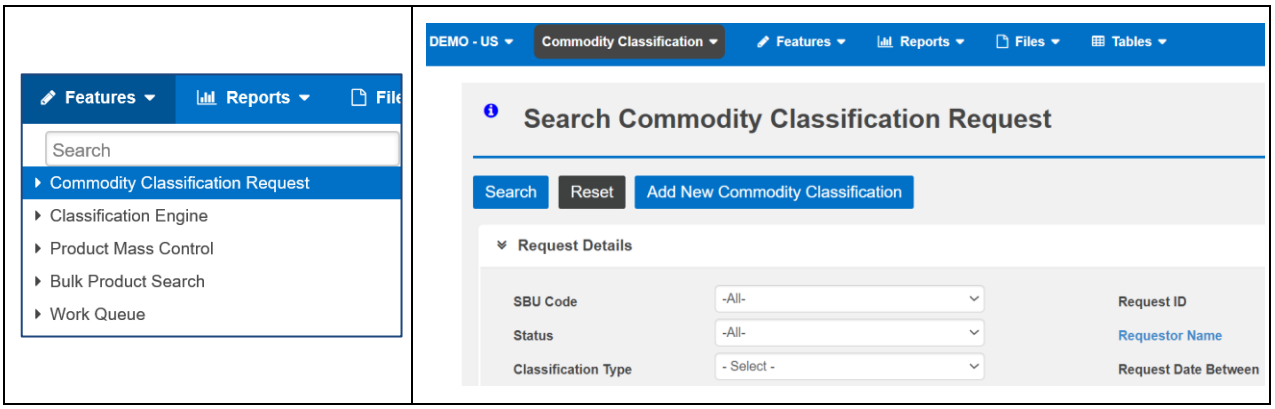

Figure 48: Create Sales Order Screen Navigation

You can also search the required feature from the Search Bar provided in the Features Menu drop-down list.

The Select SBU dialog-box is displayed.

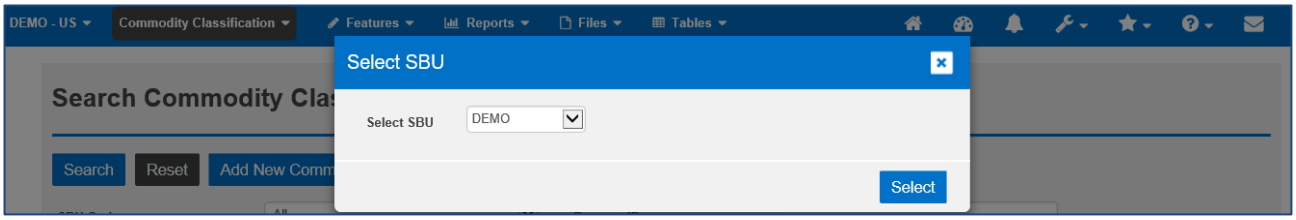

Figure 49: Select SBU Dialog-box

c. On the **Select SBU** Dialog-box, the **Select SBU** drop-down list displays the default SBU. User can modify the SBU, if required. After selection, click the Select button.

The Commodity Classification Template screen is displayed.

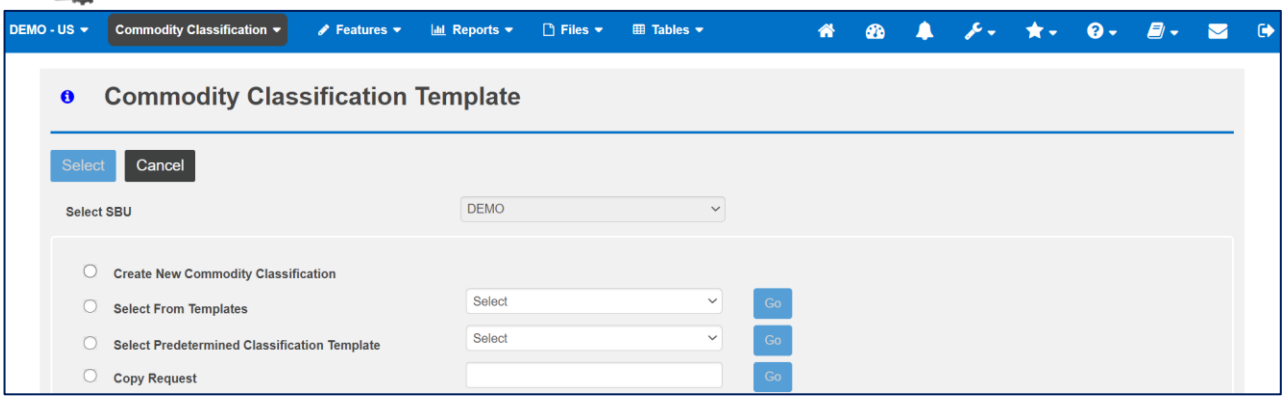

Figure 50: Commodity Classification Template Screen

2. On the **Commodity Classification Template** screen, select the desire radio-button from the available option and click the Select button.

The Requestor Info tab is displayed.

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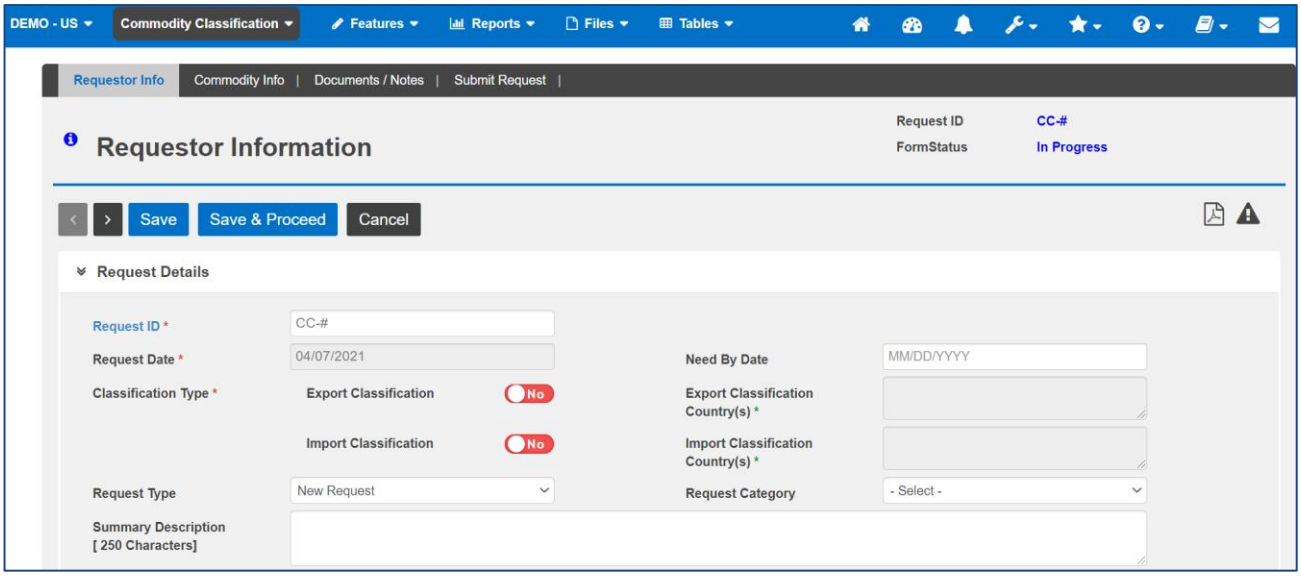

Figure 51: Requestor Info Tab

3. On the **Requestor Info** tab, enter the details of the request, alternate contact and summary description.
   a. Mark **Request Type**: New Request, or Re-Classification Request
   b. Mark **Request Category**: Internal, Supplier/3rd Party, or Predetermined Classification

   Apart from the fields listed in asterisks in Figure 38, all fields on this page are configurable, under Tools -> Field Configuration.

   c. Mark if requesting:
      - Export Classification
      - Imports Classification

   The above-mentioned flags will display and be enforced based on workflow and parameters defined by Admin Users.

The User can also add the Product/Design engineer as well as a Manager by clicking the Add Contact Details *button if required.*

4. Once you are satisfied with the added details, click the Save button to save the details.

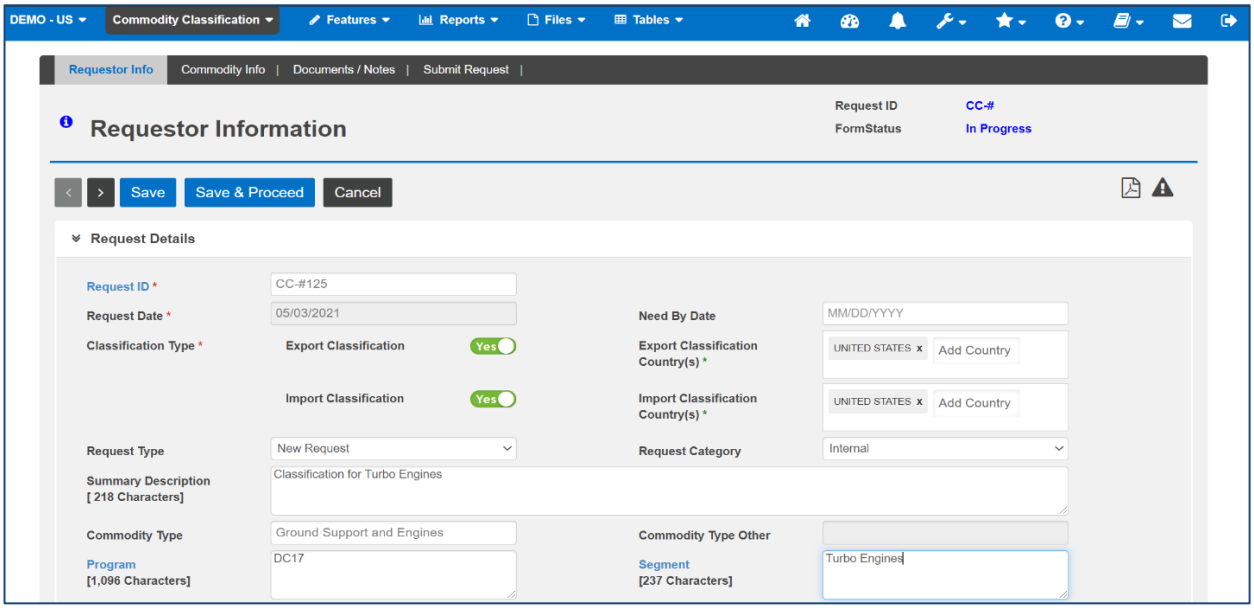

Figure 52: Requestor Information

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If the Export Classification slider is selected as 'Yes', the Export Classification tab will be displayed.

If the Import Classification slider selected as 'Yes', the Import Classification tab will be displayed.

5. Go to tab selection box or click the Save & Proceed button to move to Commodity Info tab.

The Commodity Info tab is displayed.

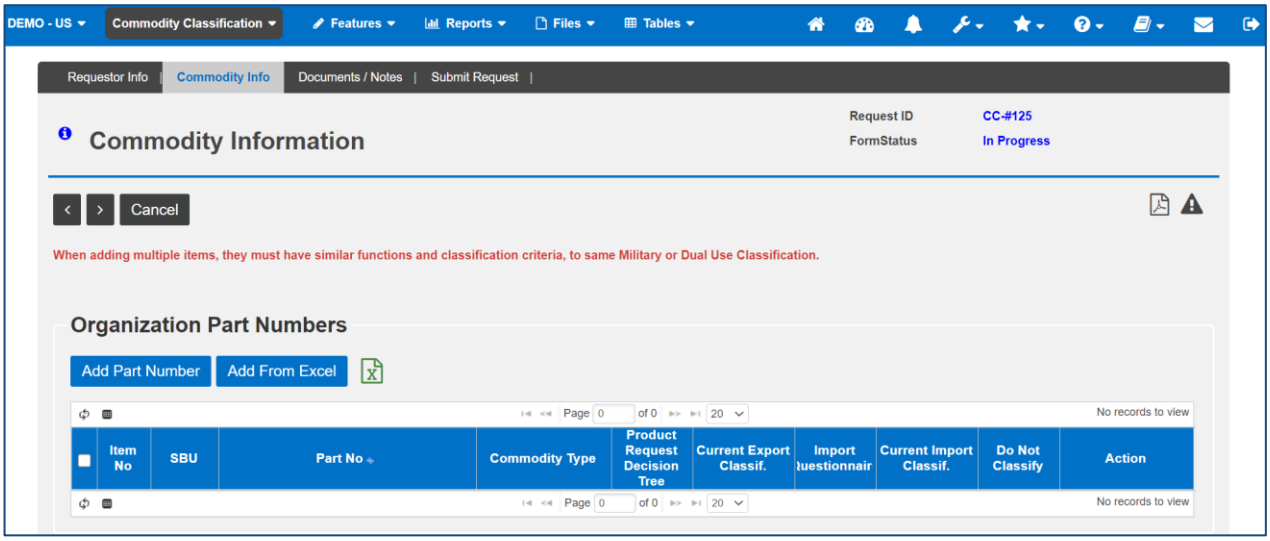

Figure 53: Commodity Info Tab

6. In the **Organization Part Numbers** block, click the Add Part Number button to add an item.

The User can also add multiple items from an excel file by clicking the Add From Excel button and uploading the file in the system. Click the icon to download the template file.

When adding multiple items, they must have similar functions and classification criteria – to the same USML or ECCN Classification – if to be reviewed for Export Classification!

The Add/Edit Part Number screen is displayed.

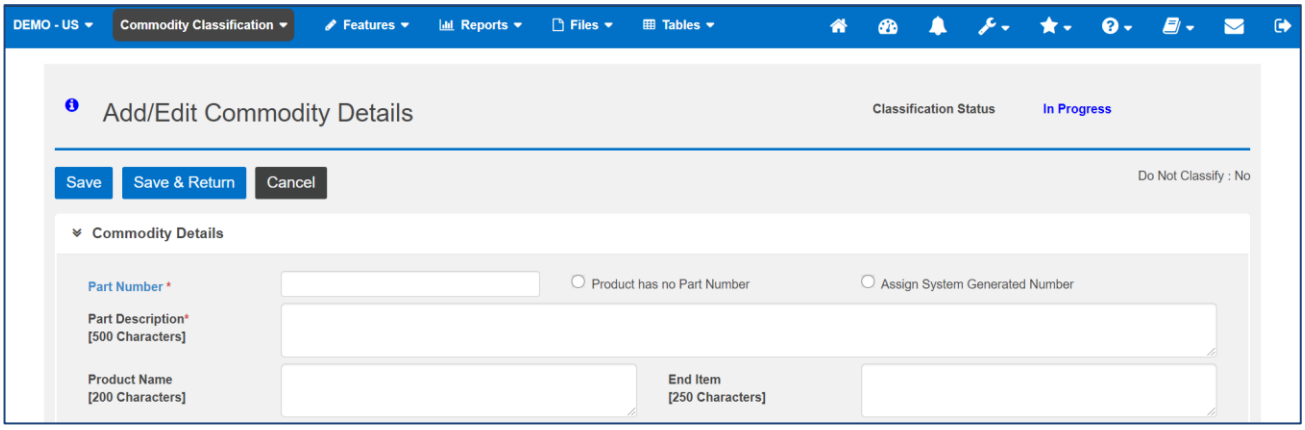

Figure 54: Add/Edit Part Number Screen

7. On the **Add/Edit Part Number** screen, from **the Part Number** field, select or enter the required part number or select other available options.

Select the 'Product has no Part Number' radio button if the part number for the product is not available.

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Select the 'Assign System Generated Number' radio button if the part number for the product is not available and you want to create a new system generated part number.

8. In the **Commodity Details** section, enter the product details in the available fields such as:
   - In the **Product Name** field, enter the actual name of the Part No./Product
   - Select 'Yes' in the **Company is Design Authority** slider if the part falls in the category
   - In the **Plant ID** field, enter the corresponding Plant where the Product is associated with
   - Enter the **Security Classification** i.e. (Confidential, Secret, Un-classified) as well as any other level of security classification

9. In the **Manufacturer Details** section, enter the details of the manufacturer:

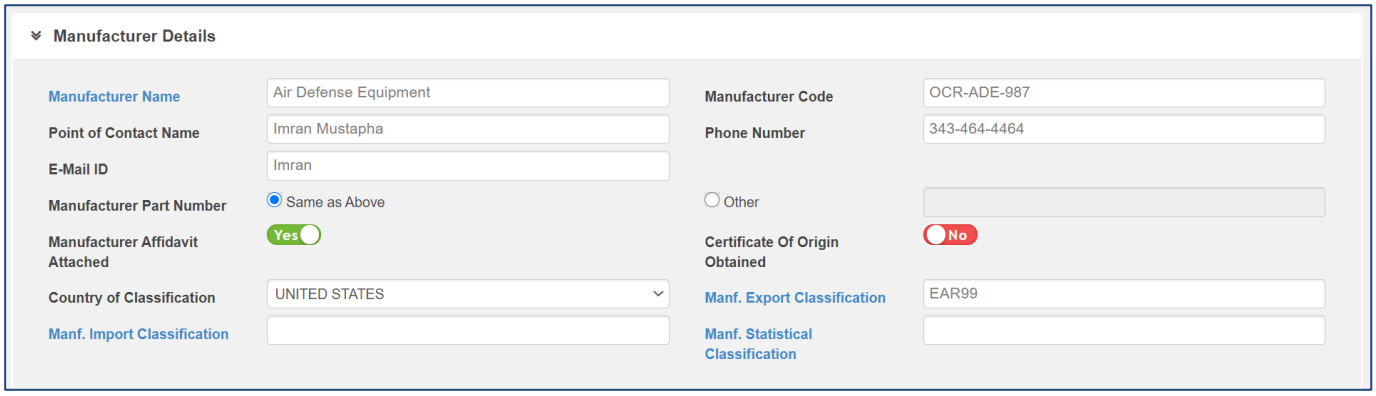

Figure 43: Manufacturer Details Section

The fields related to Classifications are for when the Manufacturer already has an Export/Import/Statistical Classification for the Product

10. In the **Country of Origin** field, select the desired radio button. The **Country of Origin Name** field displays the country based on the selection.

The Add Countr(ies) of Content button is enabled, click the button to add more countries.

Figure 55: Add Countries

11. Once you are satisfied with the added part details, click the Save button.

The Add/Edit Part Number screen is redisplayed with saved information and the buttons which may be accessed to respond to the configured questionnaires.

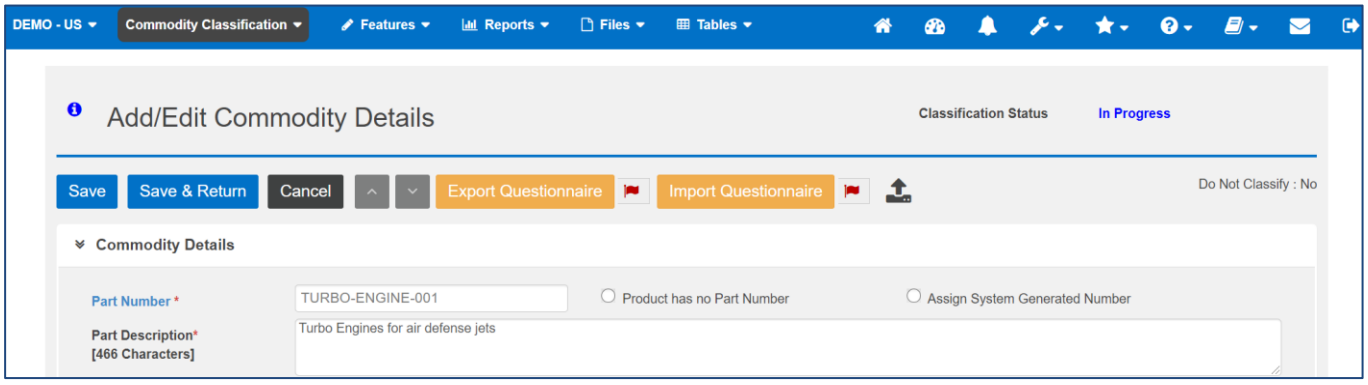

Figure 56: Add/Edit Part Number Screen – Details

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12. Click the Import Questionnaire button to view the Import questionnaire.

The Import Questionnaire screen is displayed with questions.

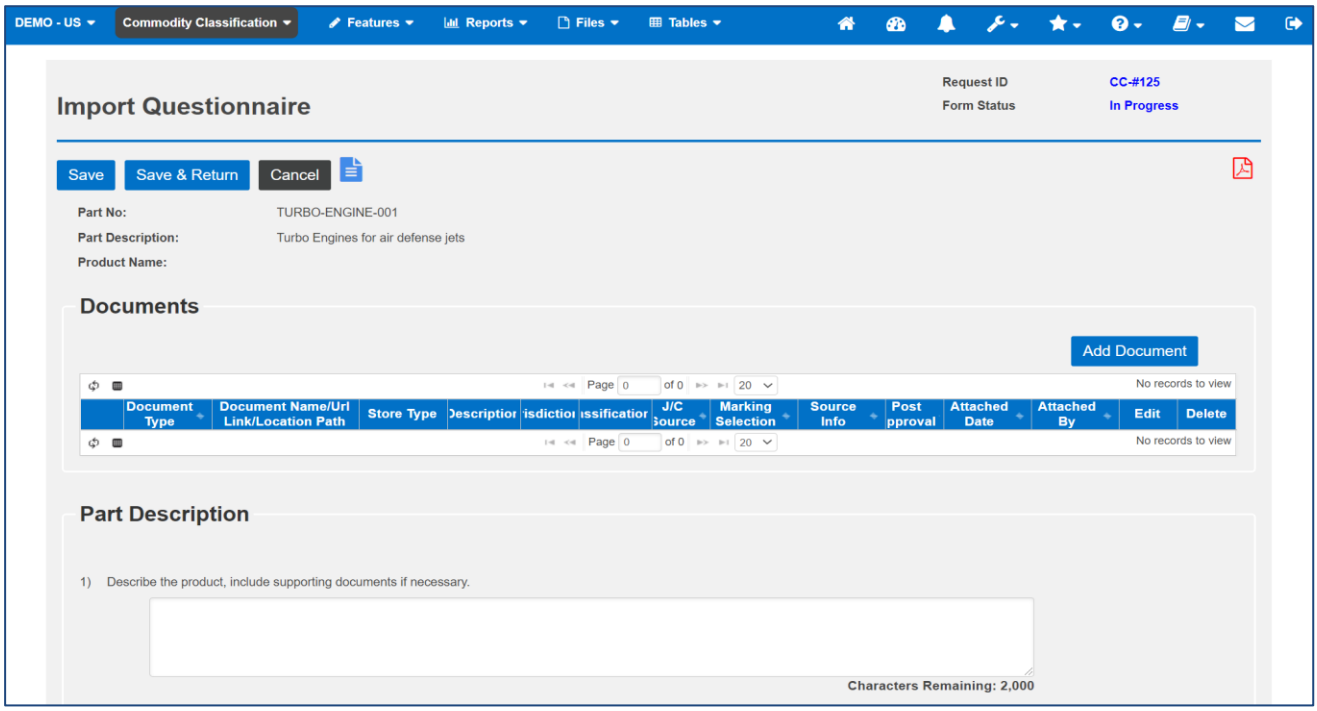

Figure 57: Product HTS Questionnaire Screen

13. On the **Import Questionnaire** screen, in the **Documents** block, upload the document related to the commodity.
14. In the **Part Description** block, answer all the available questions and click the Save button.

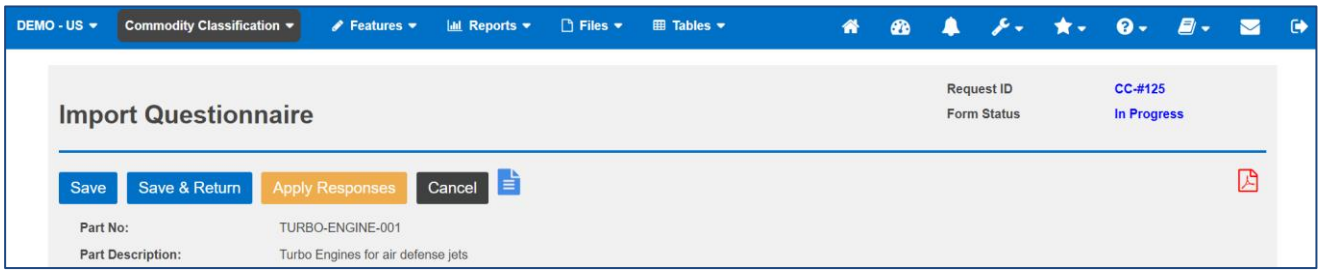

Figure 58: Apply Response Button

The Apply Responses button is displayed. User can use this button to apply the same response of answers to another item.

User can also attach the related documents, if required.

Users have the option to choose applying the data to "All items on the request", "All pending items on the request" (meaning item for which this action is not completed yet), or "Selected Item" to be selected using the grid checkbox provided.

While choosing "All Items on the request", the system would apply the new data to all the line items on the request even if data entry was already completed for a few line items. Likewise, the user wants to replace/update data related to a specific line item that was already completed.

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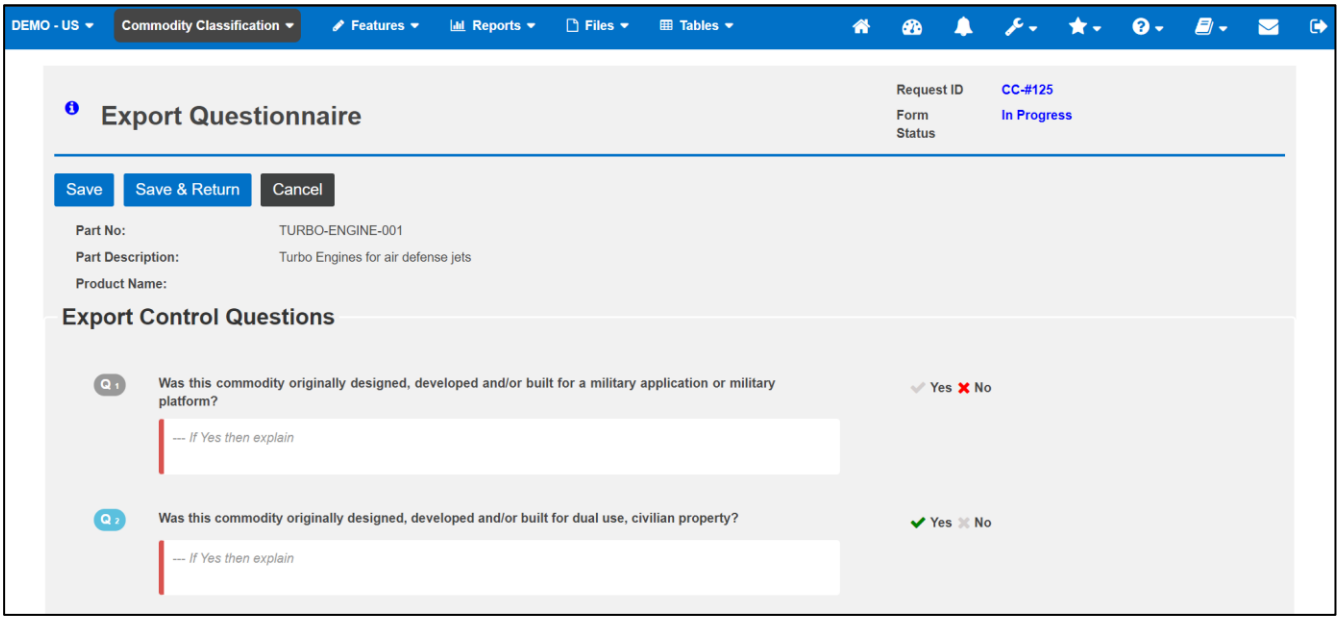
Use the "Show all items including completed" checkbox and choose the target items wherein data is to be copied /replaced.

15. Once all questions are answered and documents are attached, click the Save & Return button to redirect to the Add/Edit Commodity Details page and we can choose to answer the **Export Questionnaire** by clicking the Export Questionnaire button.



In the Export Questionnaire screen, answer all the available questions and click the Save *button. Select the 'Yes', 'No' or 'Unknown' radio button and give an explanation for the decision where required.*

In addition to the standard set of questions, Administrators can configure the form to include customized sets of Questions to support internal business processes. Administrators should refer to the Questionnaire Configuration section for further information.

If the Review Process is ONLY HTS Review, then the Export Questionnaire Tab can be skipped. These Questionnaires can also be made Mandatory or Optional under' Questionnaire Forms Configuration'.

16. Once all questions are answered and documents are attached, click the Save & Return button to redirect to the Commodity Info tab.

The Commodity Information screen is displayed with the product details in the table

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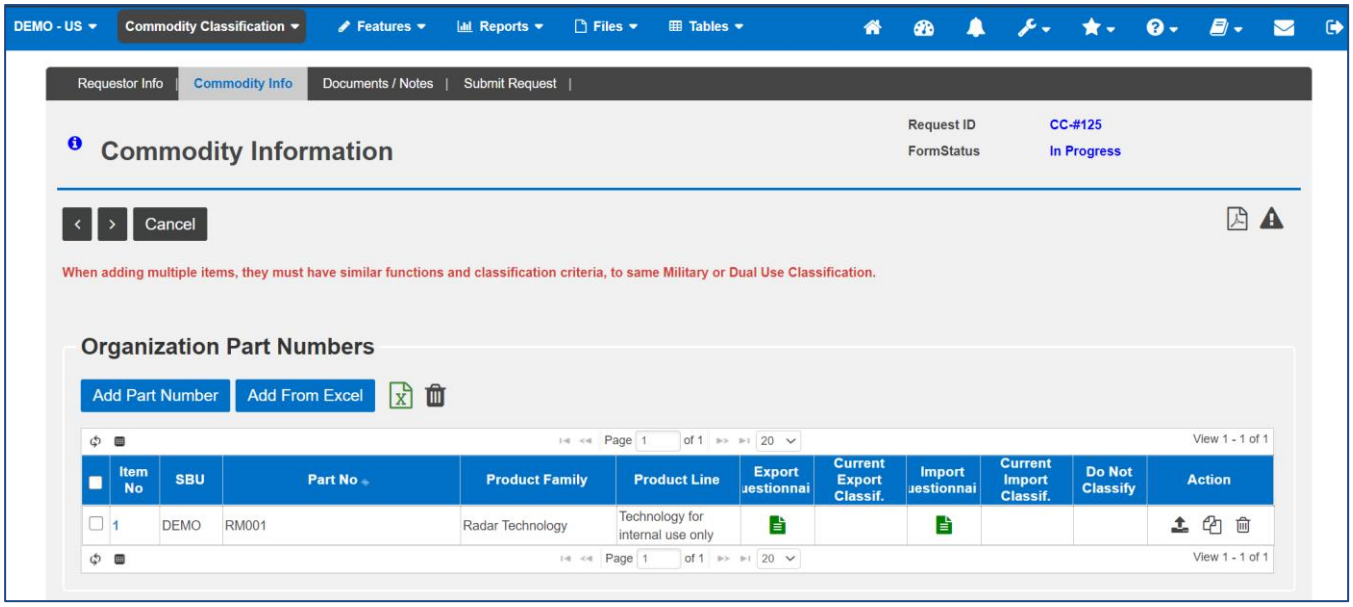

Figure 59: Commodity Information – Product Details

If you want to add more items, then click the Add Part Number *button and refer the previous steps.*

You can delete the multiple items, select the required items and click the 🗑 *icon under Actions to delete selected items.*

If any conflicts arise with the use of a particular Part No. and the way the Request is defined, the system will indicate notifications to the User and for potential Reviewers of the Request. Refer the following table.

The Notifications would include:

- Whether a particular Part No. mentioned, is already pending on another request
- Whether a particular Part No. mentioned, was defined as a 'New Product' but has already been classified in the Product File.
- Whether a particular Part No. mentioned, already exists in a different Strategic Business Unit (SBU).
- Whether a particular Part No. mentioned, already existing in the product file is missing Manufacturer information.

These warnings will not prohibit the user from proceeding with submitting the Request. If the requestor is unaware of how to manage these situations, further action will take place by the Reviewer prior to finalizing a Request.

The Alerts icon ⚠ *shows any Warnings or Failures that will affect whether the Request will be allowed to be submitted for Review. The screening status will display whether the Request has Passed or Failed screening.*

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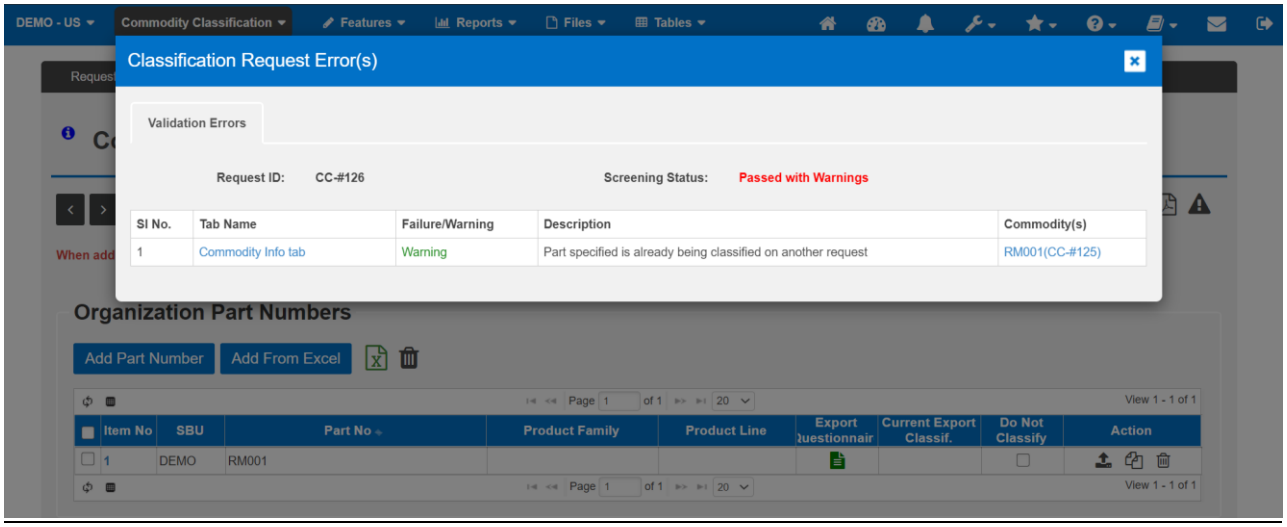

Figure 60: Alert Notification

17. Once you are satisfied that the required product(s) have been added and the questions are answered, click on the right arrow button to move to the **Documents & Notes** tab.

The Documents & Notes screen is displayed.

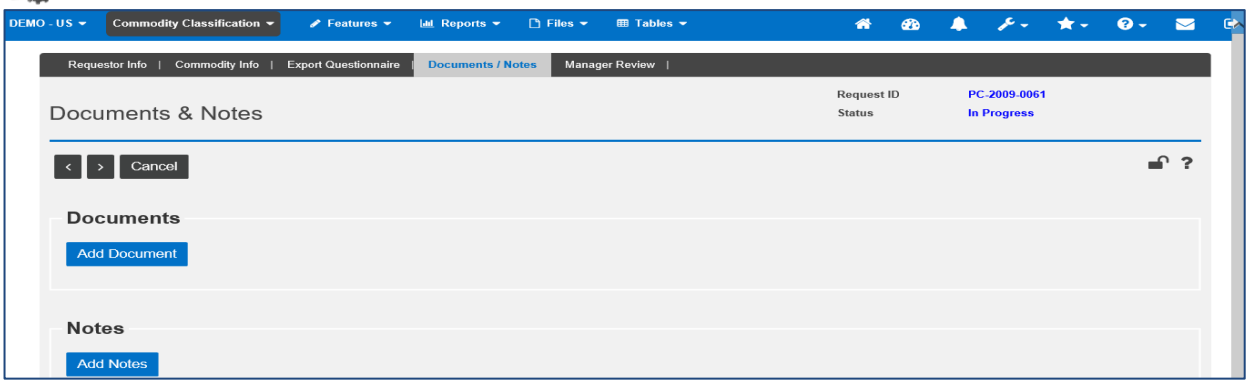

Figure 61: Documents & Notes Screen

18. On the **Documents & Notes** screen, click the button to add document associated with the commodity.

The Create New File Attachments dialog-box is displayed.

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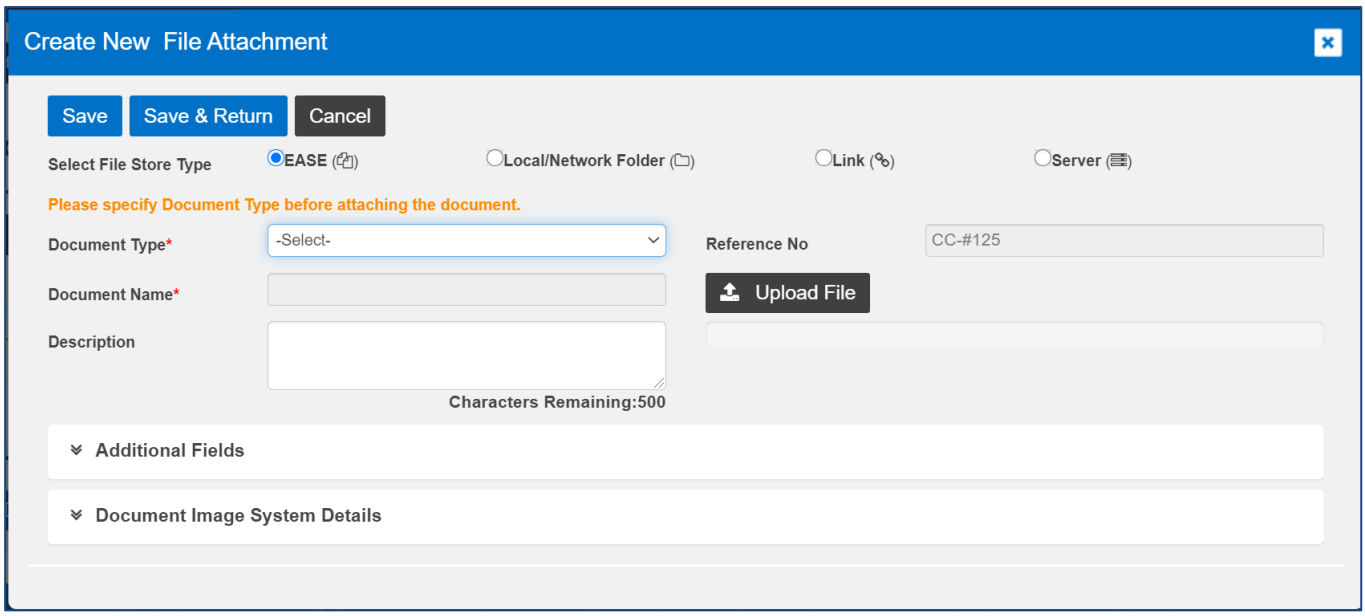

Figure 62: Create New File Attachments Dialog-box

Click the Additional Fields drop-down panel to define the Jurisdiction, Classification of the document and flag for additional markings.

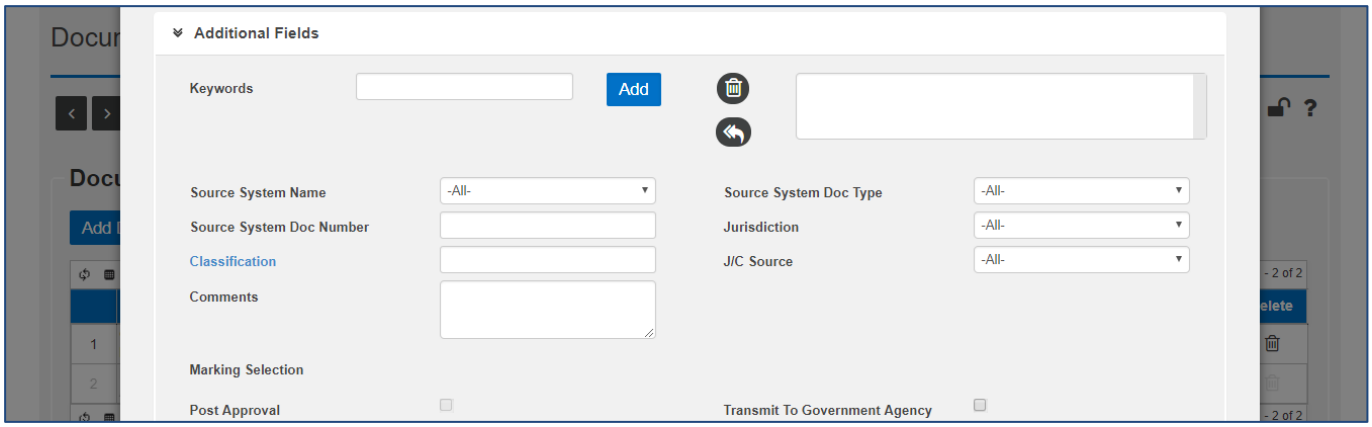

Figure 63: Additional Fields Drop-down Panel

19. On the **Create New File Attachments** dialog box, from the **Select File Source Type** field, select the desired option to save the uploaded documents.
20. From the **Document Type** drop-down list, select the type of document and enter the details in the other available fields.
21. Click the Upload File... button to add defined support documents in PDF or word format.

The **Edit File Attachments** dialog-box is displayed with an uploaded document.

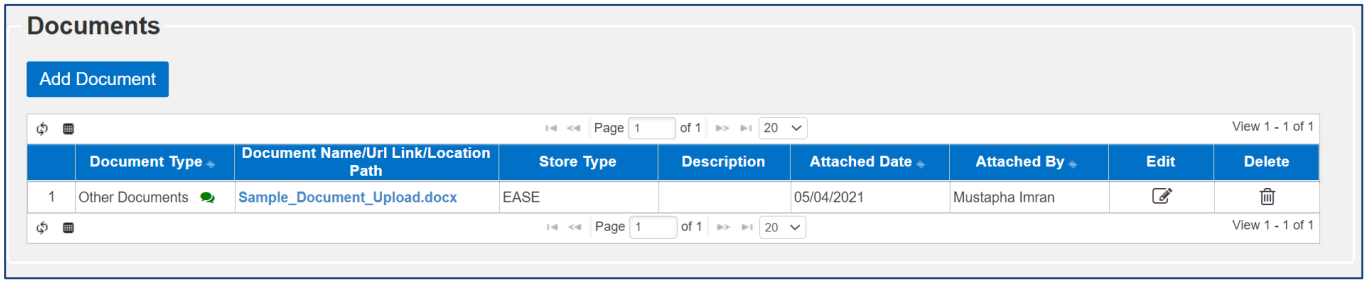

Figure 64: Edit File Attachments Dialog-box

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22. Once the required documents are attached, click the Add Notes button to add notes.
23. Once all documents are attached and notes are added click the navigation button to move to the **Submit Request** tab.

The Submit Request screen is displayed.

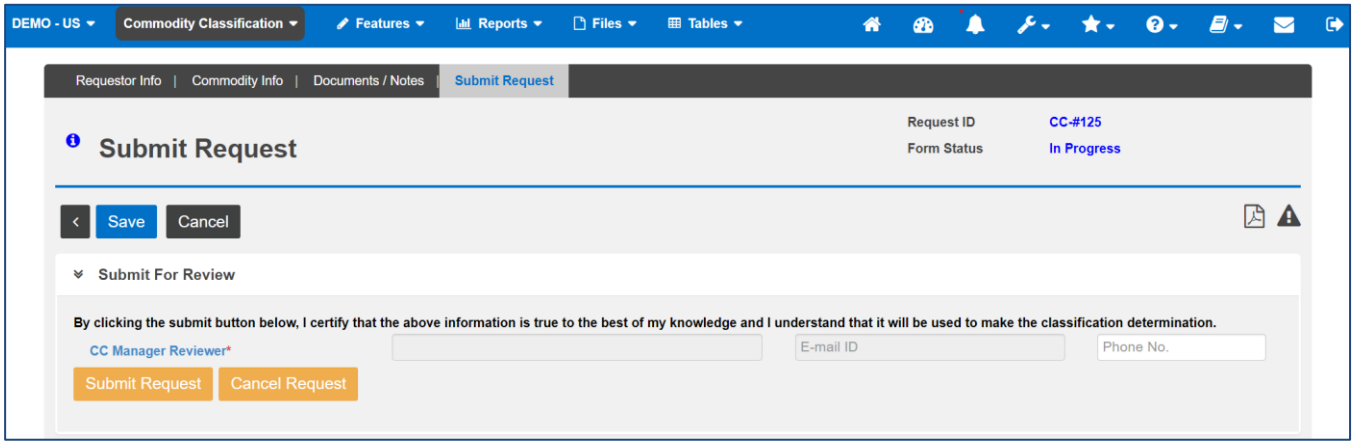

Figure 65: Submit Request Screen – CC Manager

The CC Manager is a configurable option that will only display when the ENFORCE_CC_MANAGER_REVIEW parameter is set to a value of 'Y'.

The Reviewer Actions section will only display to the Manager or users with the Manager Reviewer permission after the request has been submitted for Manager Review.

For review procedure, refer the Section 3.2.

The CC Manage Review helps in situation where a requestor (Portal/Registered) may not know who they should assign the request to for Jurisdiction and/or HTS Review, in that case, requestor can just assign the request to the Manager Reviewer and then it is the job of the Manager Reviewer to assign the request to the appropriate Export and/or Import Reviewer.

24. On the **Submit to Manager** screen, in the **CC Manager Reviewer** drop-down panel, in the **Name** field, enter or select the manager.
25. Once the required manager details are added, click the Submit Request button to submit the request to the manager.

For the CC Manager, the Submit Request tab will then be redisplayed with the form status changed to 'Submitted For Manager Review'. Aside from that, the Submit For Review dropdown will also be redisplayed and the Reviewer Actions section will appear.

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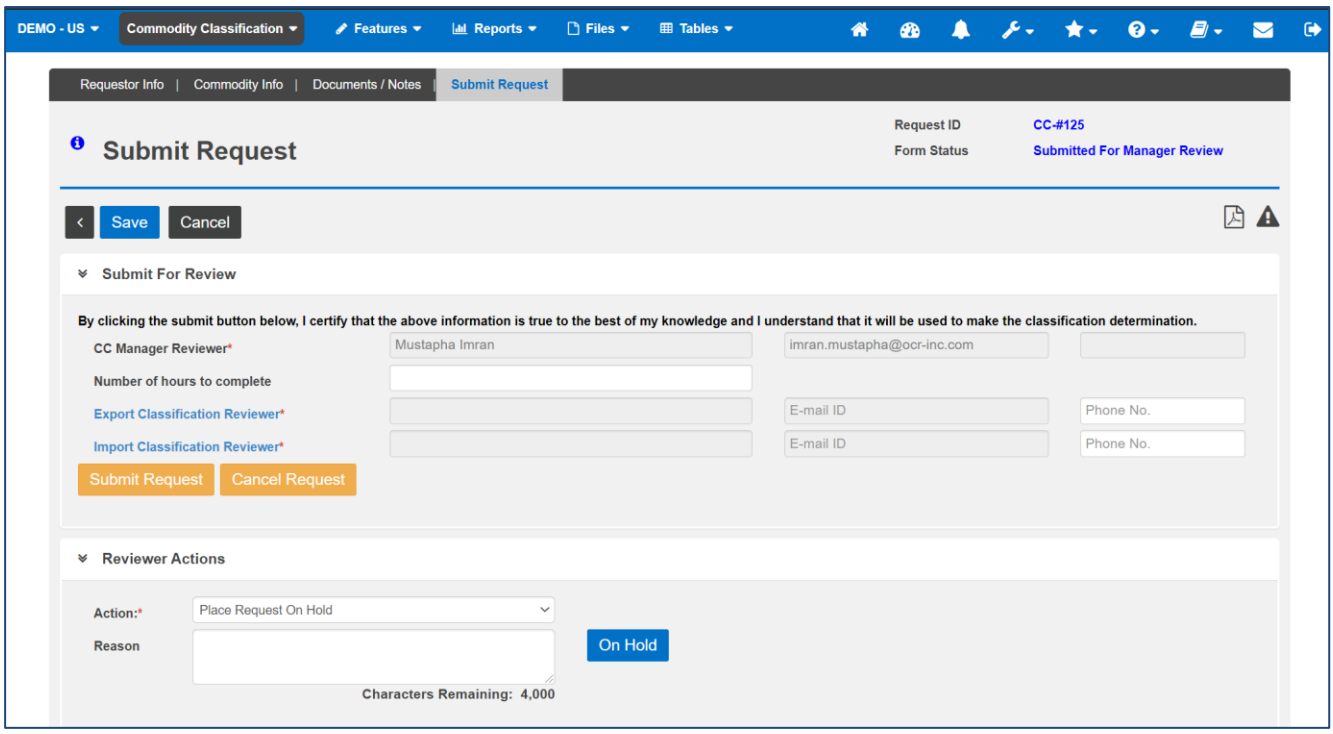

Figure 66: Submit Request Screen – Submitted to CC Manager

26. If the CC Manager configurable option is set to 'N', then the requestor will select the Export and Import reviewer for request submission.

    The Submit Request Screen is displayed

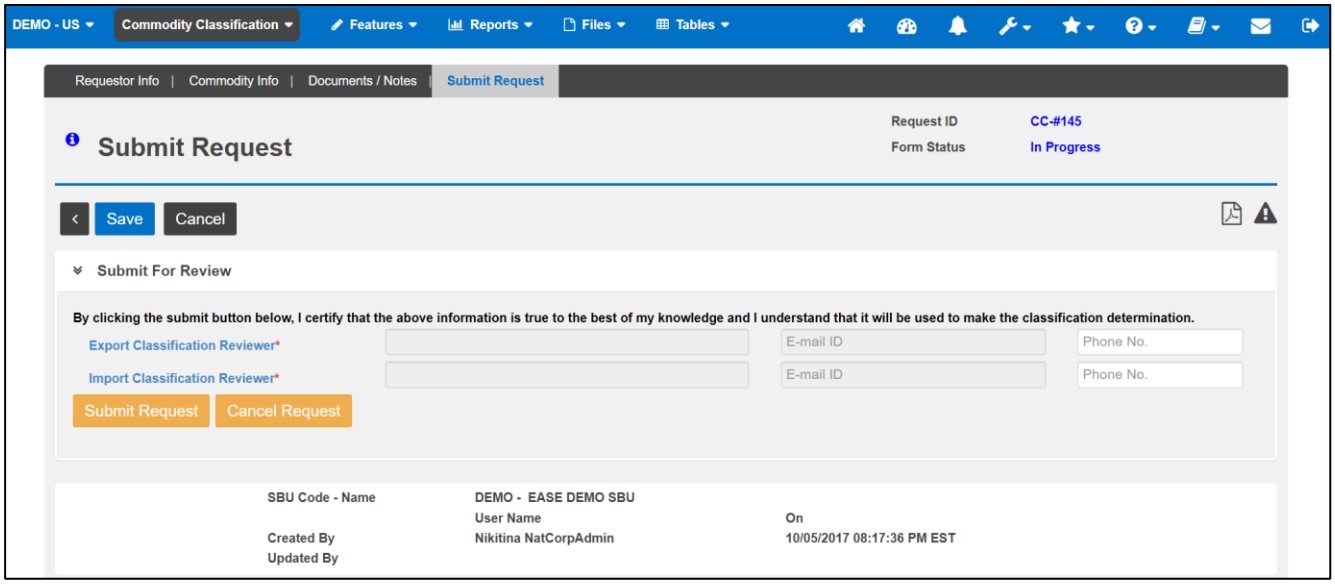

Figure 56: Submit Request Screen

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3.2 Work Queue - Review Process

The Commodity Classification Request Review Cycle serves the following:

- **Manager Review**
  - Review to determine the appropriate **Jurisdiction/HTS/Customs Classification/Technical Advisor** to assign the request to.
- **CC Manager**
  - A new user permission has been added for Manager Reviewer i.e. CC Manager Reviewer. Users who are assigned this permission can perform the Manager Review.
- **Jurisdiction Review**
  - Review to determine whether the Product is Military Goods or Dual Use Goods
  - The user would require either **Export Classification** Permission or **Export Technical Advisor** permission.
- **Classification Review (Military Goods or Dual Use Review)**
  - Review to classify the Product based on the Jurisdiction.
  - The user would require either **Export Classification** Permission or **Export Technical Advisor** permission.
- **Export Management Review**
  - Review the final Export Classifications and Import/Export Classification data into the Product Database.
  - In order to finalize the Export Classification user would require the **Export Classification** Permission.
- **Export Technical Advisor**
  - A new user permission has been introduced for Export – Jurisdiction & Classification Review process i.e. Export Technical Advisor. In addition to Export Technical Advisor only a user with Export Classification Permission can perform the Jurisdiction & Classification Review.
- **Import Technical Advisor Review**
  - Review the Product data to determine HTS/Schedule B Customs Classifications and import Customs Classification data into the Product Database.
  - The user would require the **HTS Technical Advisor** Permission.
- **Import Classification Review**
  - In order to finalize the HTS (Customs Classification) the user would require either **Import Technical Advisor** or **HTS/Schedule B Reviewer** Permission
- **Post Review**
  - Specialized review of the request to assign Flag Reasons to the request and/or products cited on the request. Post Review is only applicable when the status of the request is '**Classification Completed**'. Post review does not affect the standard review workflow.

3.2.1 Review Process – Access Pending Requests

Once the Commodity Classification Request has been submitted for review, the intended reviewers will receive email notifications issued by the system. An updated email notification will be sent at each review stage throughout the process.

This email notification can also be configured in Tools -> System -> Configure Email Notifications.

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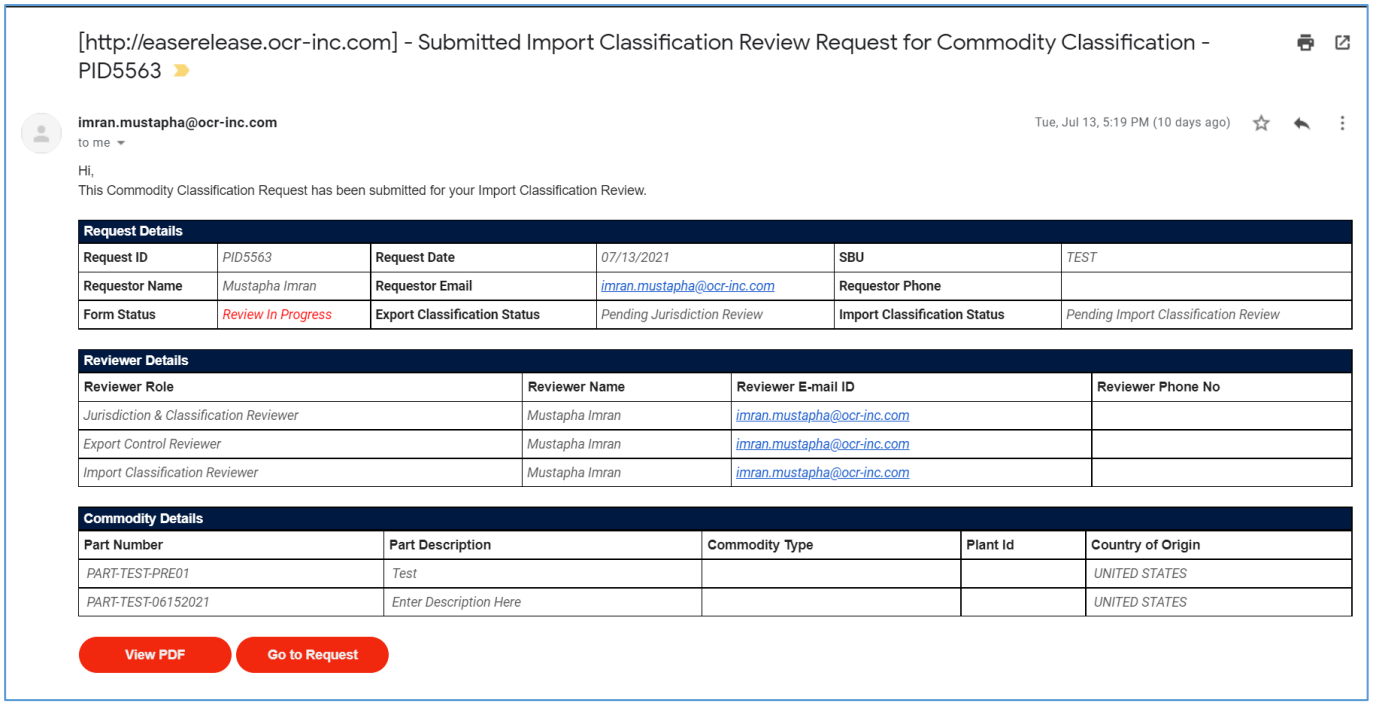

[http://easerelease.ocr-inc.com] - Submitted Import Classification Review Request for Commodity Classification - PID5563

imran.mustapha@ocr-inc.com
to me

Tue, Jul 13, 5:19 PM (10 days ago)

Hi,
This Commodity Classification Request has been submitted for your Import Classification Review.

Request Details

Request ID	*PID5563*	**Request Date**	*07/13/2021*	**SBU**	*TEST*
Requestor Name	*Mustapha Imran*	**Requestor Email**	*imran.mustapha@ocr-inc.com*	**Requestor Phone**	
Form Status	*Review In Progress*	**Export Classification Status**	*Pending Jurisdiction Review*	**Import Classification Status**	*Pending Import Classification Review*

Reviewer Details

Reviewer Role	Reviewer Name	Reviewer E-mail ID	Reviewer Phone No
Jurisdiction & Classification Reviewer	*Mustapha Imran*	*imran.mustapha@ocr-inc.com*	
Export Control Reviewer	*Mustapha Imran*	*imran.mustapha@ocr-inc.com*	
Import Classification Reviewer	*Mustapha Imran*	*imran.mustapha@ocr-inc.com*	

Commodity Details

Part Number	Part Description	Commodity Type	Plant Id	Country of Origin
PART-TEST-PRE01	*Test*			*UNITED STATES*
PART-TEST-06152021	*Enter Description Here*			*UNITED STATES*

View PDF | Go to Request

Figure 67: Mail Confirmation

As an assigned Reviewer, log into the System application. Use the following options to access the pending Requests:

Dashboard Screen:

- Upon logging in and accessing the Commodity Classification Module, the dashboard screen will display.
- You will have direct access to '**My Queue**' and your assigned requests, as well as various Alerts and Pending Notifications.
- On the left, you also have various quick links to Commodity Classification features and links to Reference Guides/Documents.

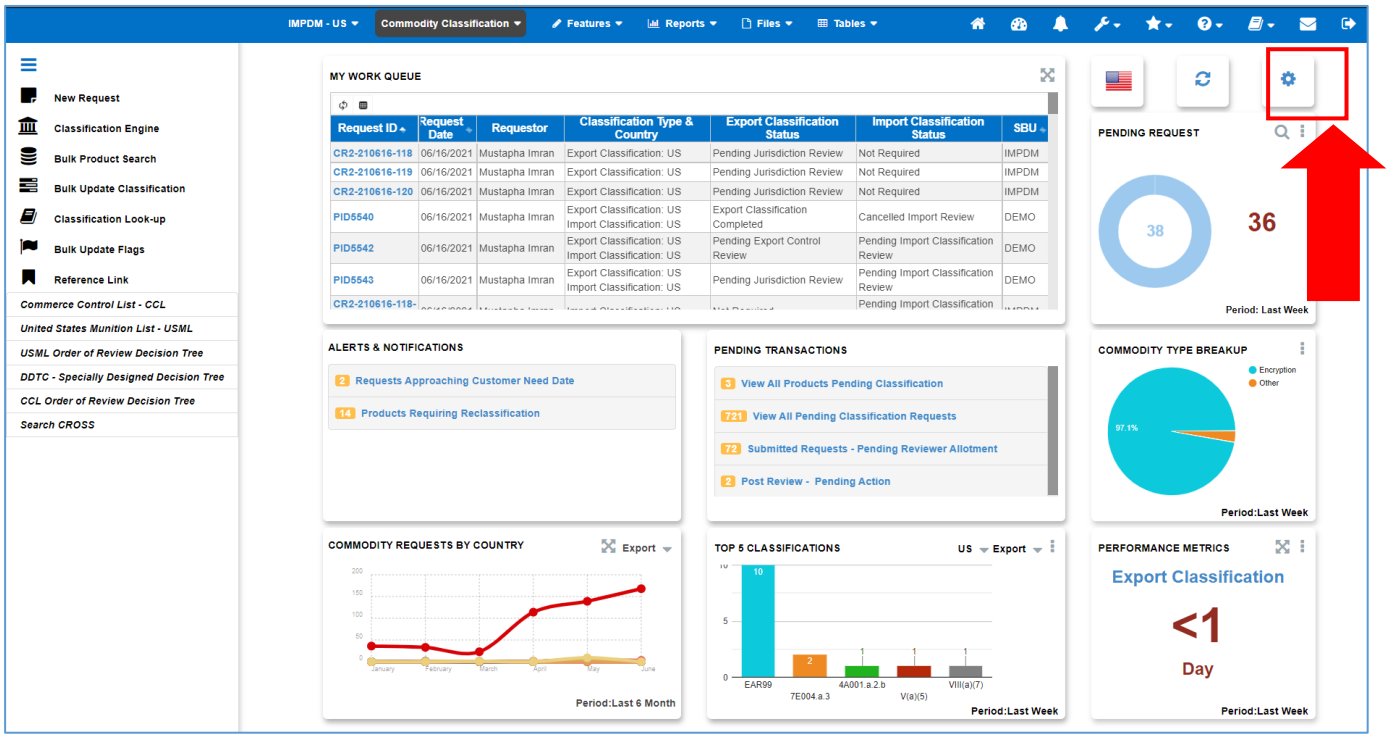

Figure 68: Commodity Classification Dashboard

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- The first thing to look at, is the Settings icon on the top left of the Dashboard. This is where you can configure the Notifications and Pending Transactions that will be displayed.
- The Dashboard Settings as shown below, enable you to set whether you want to enable the various notifications and alerts that will show up on the Dashboard.
- Some settings allow you to select a timeframe from the Period dropdown to be alerted based on those settings such as 30 or 60 days.
- Aside from that, you can also add your own Reference Links by clicking the Add Reference button.

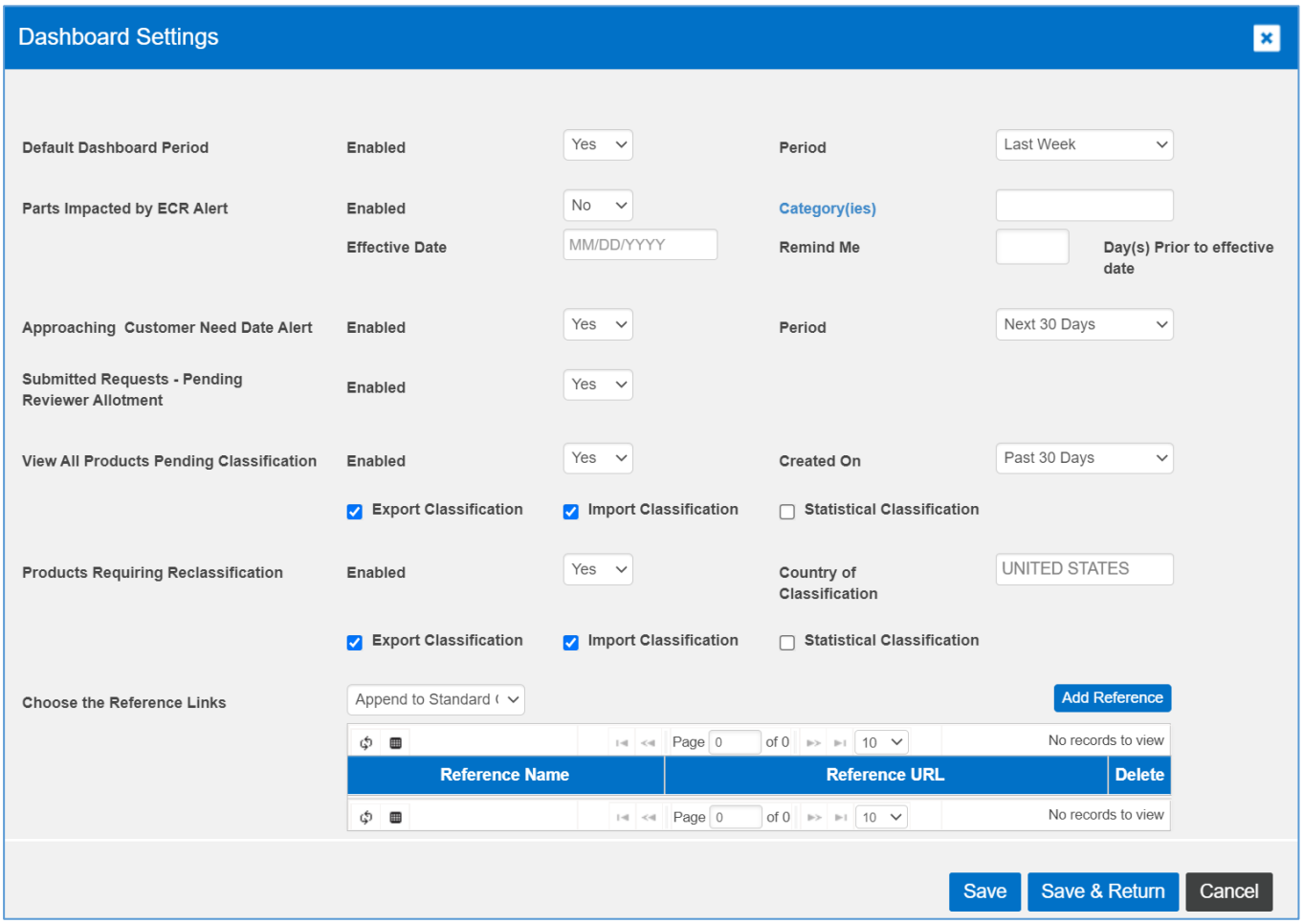

Figure 69: Dashboard Settings

Dashboard Screen – Alerts & Notifications:

- The first Alert is Requests Approaching Customer Need Date.
  - Following the dashboard setting, the system will show you the Requests that are approaching the Need Date set by the Requestor.
  - You are able to use the additional filters on the top of the results to filter by period, SBU, Program and Segment.

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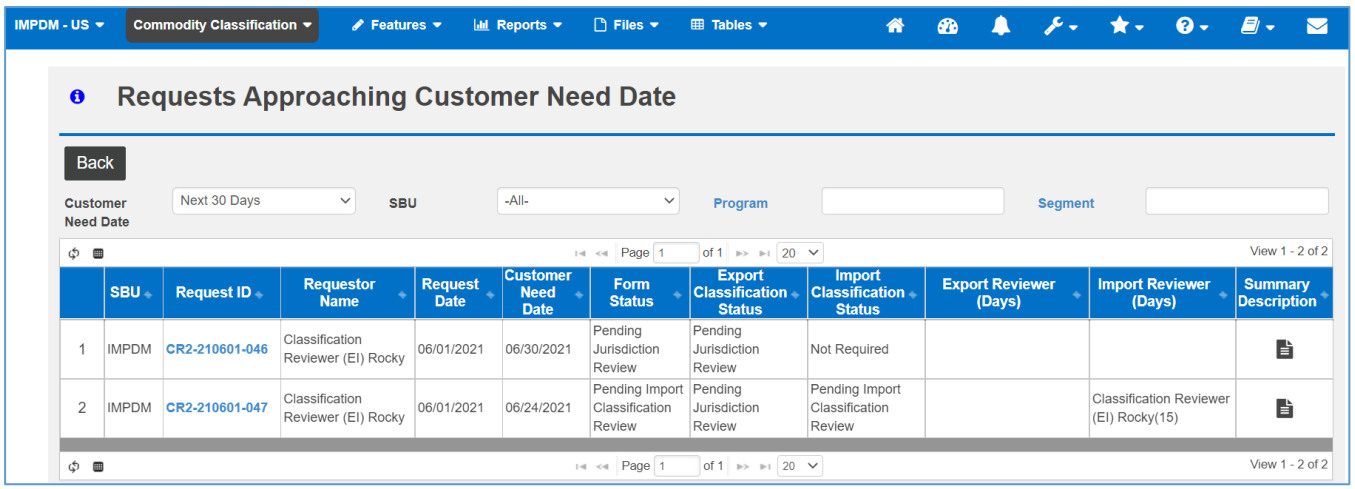

Figure 70: Requests Approaching Customer Need Date Screen

- The 2nd Alert is Products Requiring Reclassification.
  - Following the dashboard setting where you set the country of classification and the classification type, the system will show you the Products where the Classifications are now invalid and require Reclassification.
  - From this screen you can select the Products you want to directly create a New Classification Request for Reclassification.

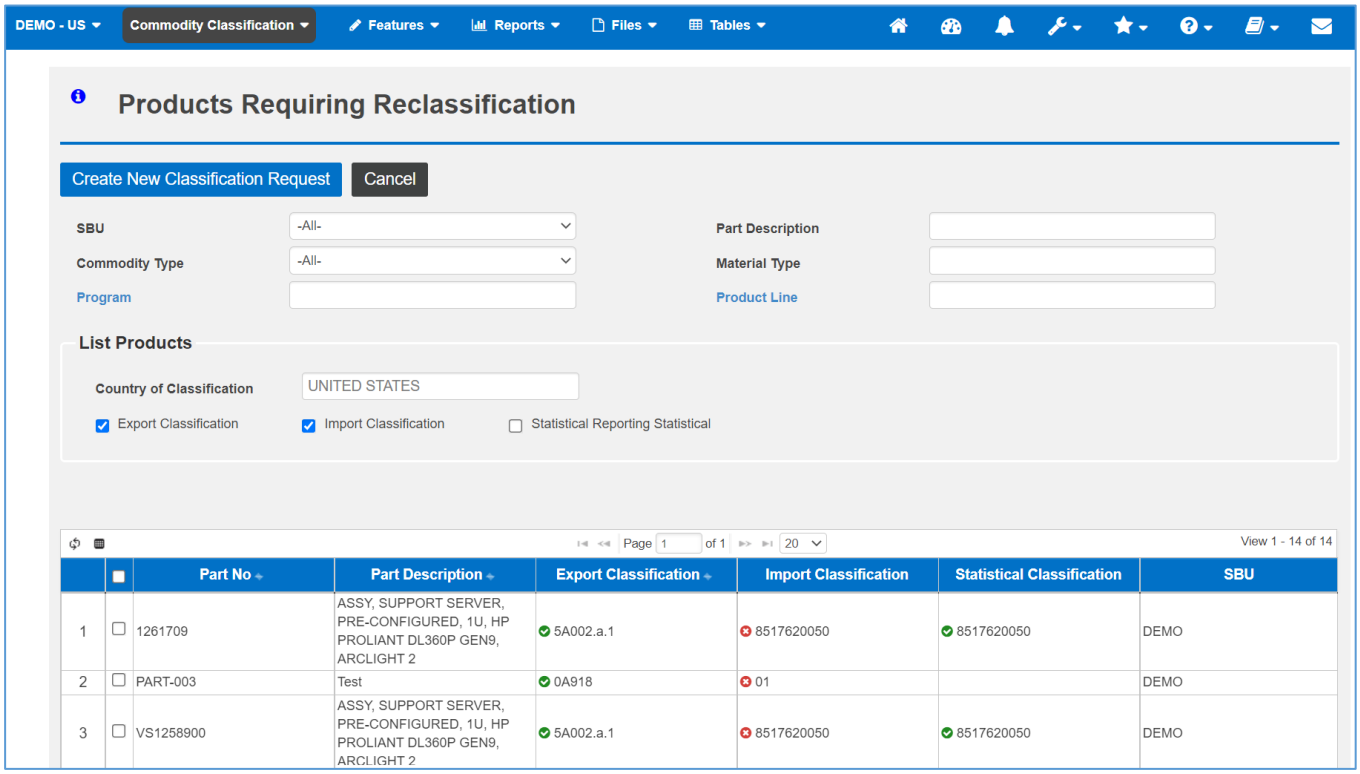

Figure 71: Products Requiring Reclassification

Dashboard Screen – Pending Transactions:

- 'View All Products Pending Classifications' shows you all existing Products that are part of a Request and are Pending Classifications for the country you configured in the Dashboard Settings. Therefore, if you had selected US as the country of classification, then the system will display the Products in Requests where you have begun Classifications for except for the US.

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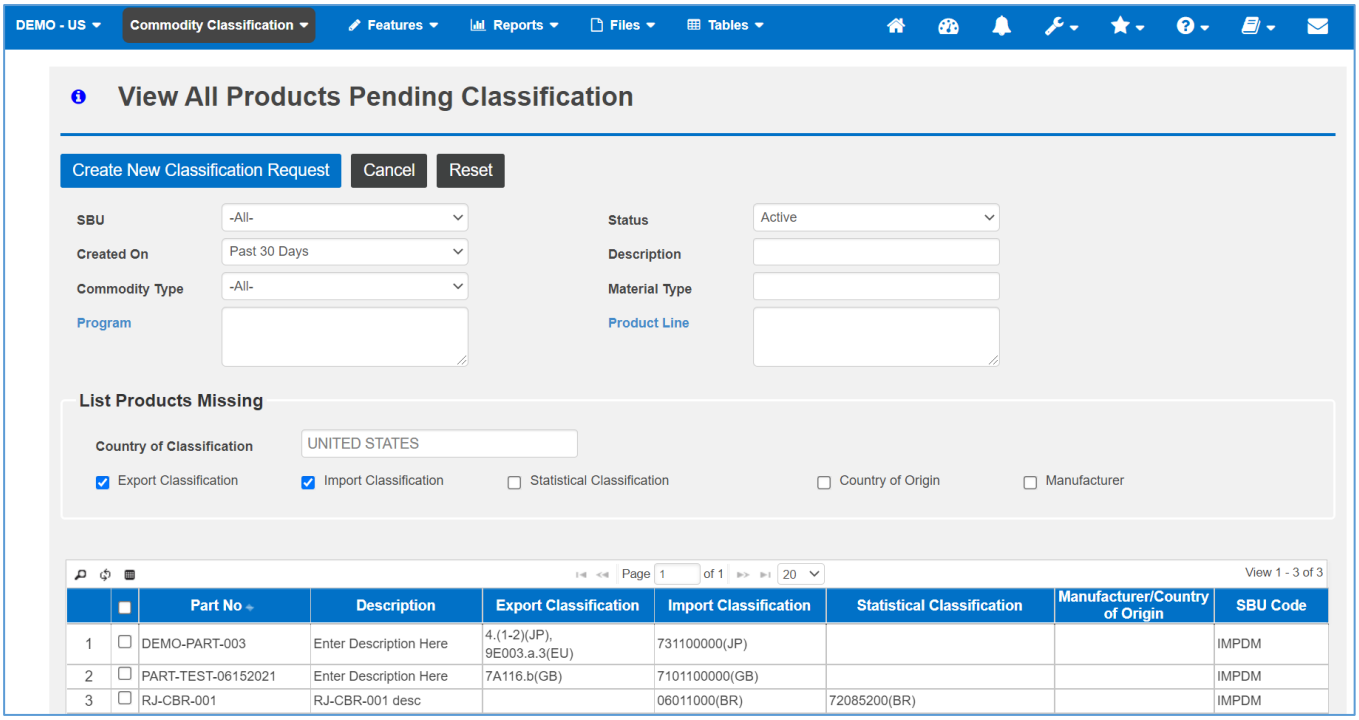

Figure 72: View All Products Pending Classification Screen

- 'View All Pending Classification Requests' shows you a list of requests pending in particular Form Statuses and with whom. On the View All Pending Classification Requests screen, under the Request ID column, you would be able to click on the hyperlink of the Request ID to open the request.

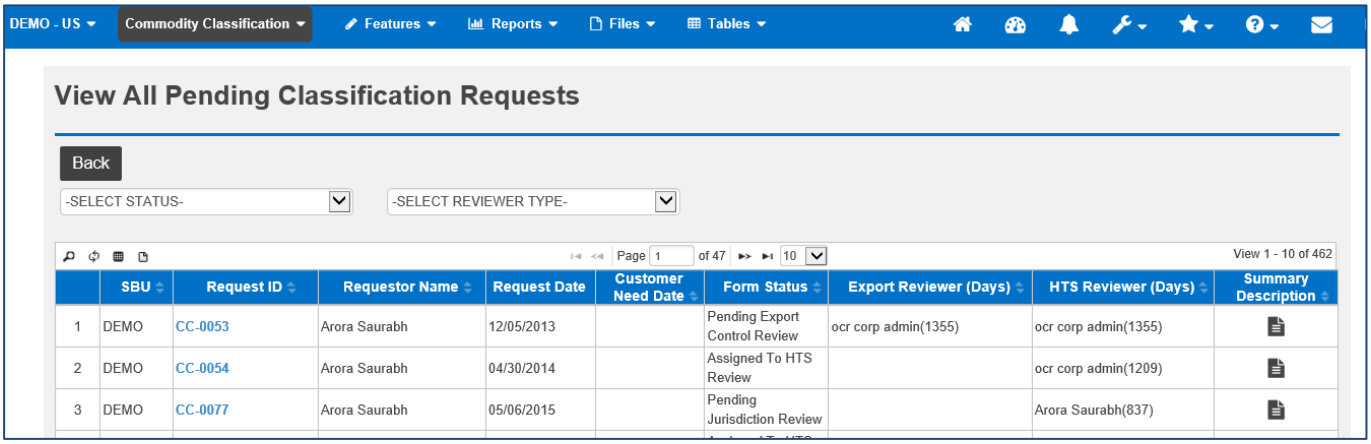

Figure 73: View All Pending Classification Requests Screen

- 'Submitted Requests – Pending Reviewer Allotment' shows you the Requests where the Review Process is not assigned to anyone. When the Requestor submits the Request without selecting a specific Reviewer, the Export/Import Classification Status will display 'Submitted For Assignment' and any Reviewer with the correct permission can Take Ownership of that Request.

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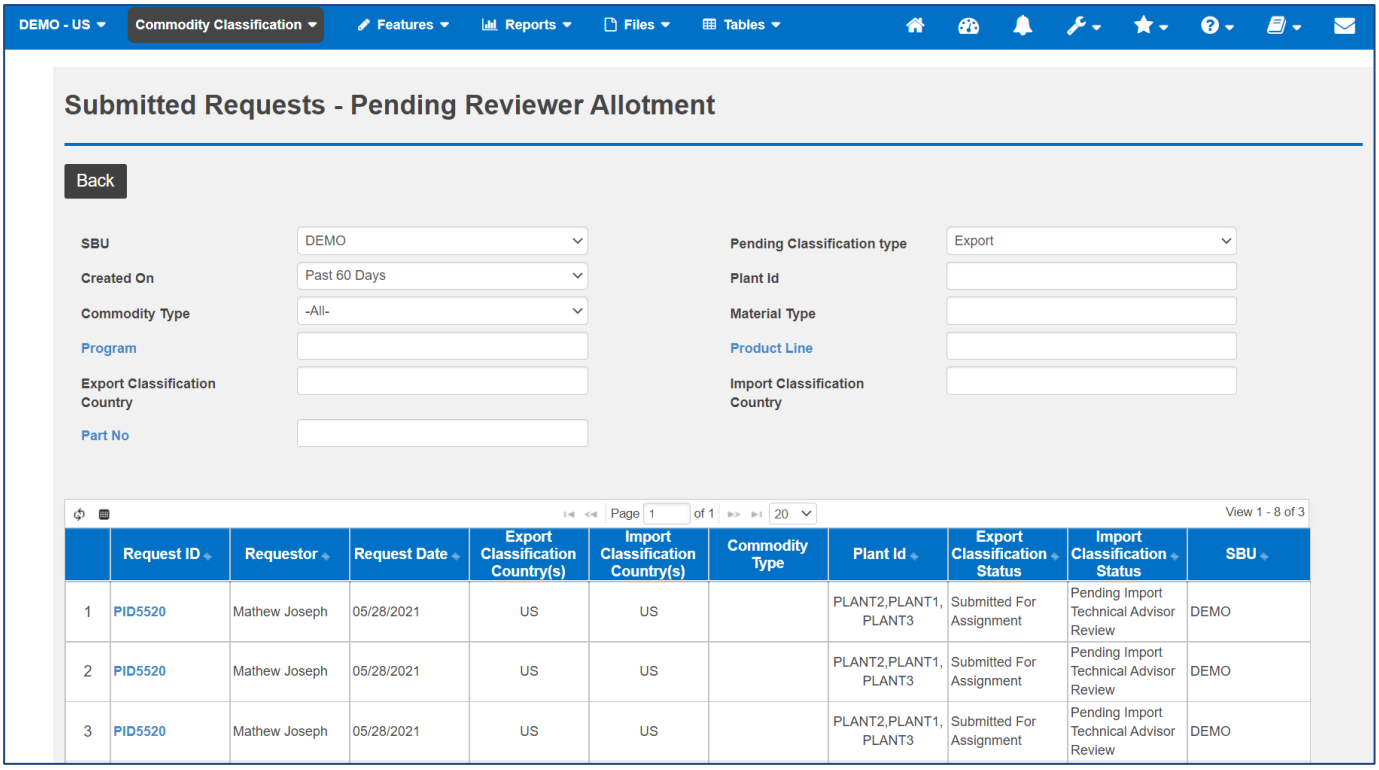

Figure 74: Submitted Requests – Pending Reviewer Allotment

- Following the results page, you can click on the Request ID hyperlink to directly open the Request and click on the Take Ownership button to start the Take Ownership of the Review. For example, when selecting on **PID5520**, we are taken directly to the request.

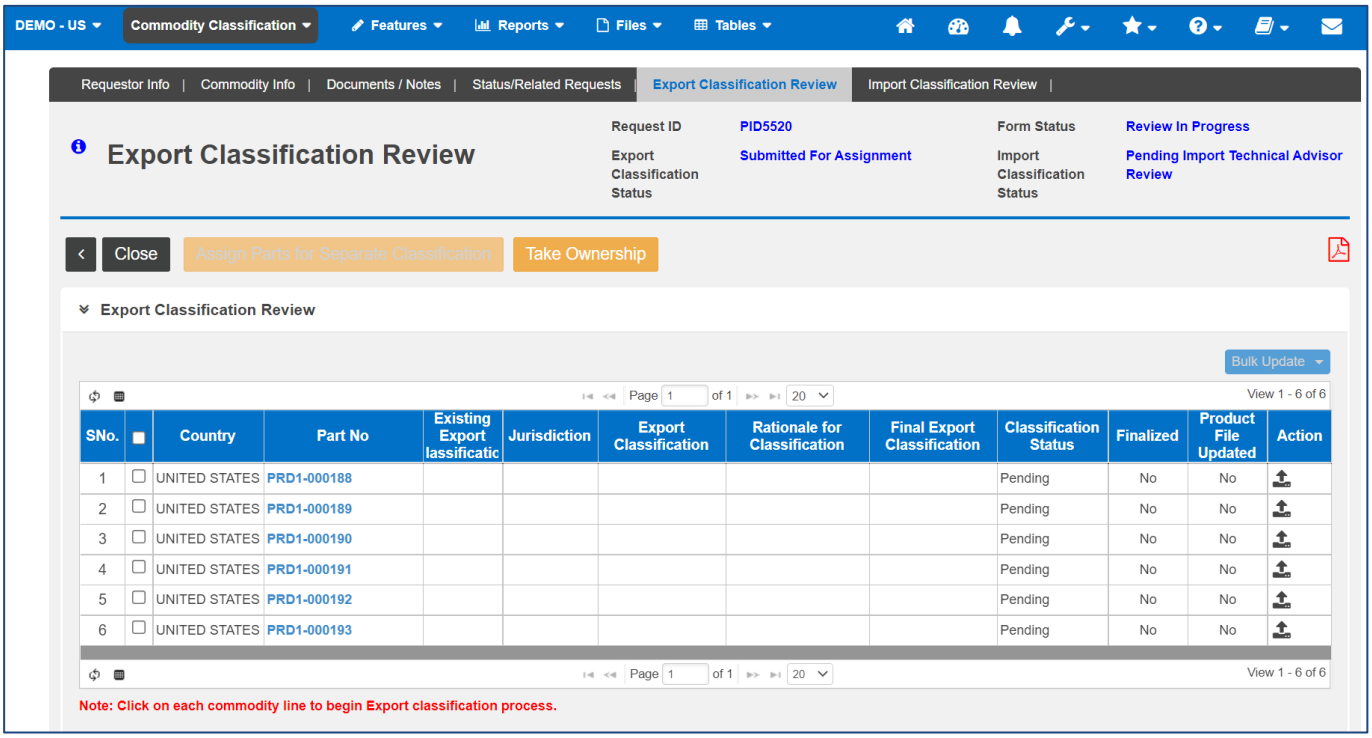

Figure 75: Export Classification Review Screen

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- 'Post Review – Pending Action' will show you the Requests where the Post Review tab still has pending commodities that are not finalized yet. Refer to 3.2.8 for more details on the Post Review Tab

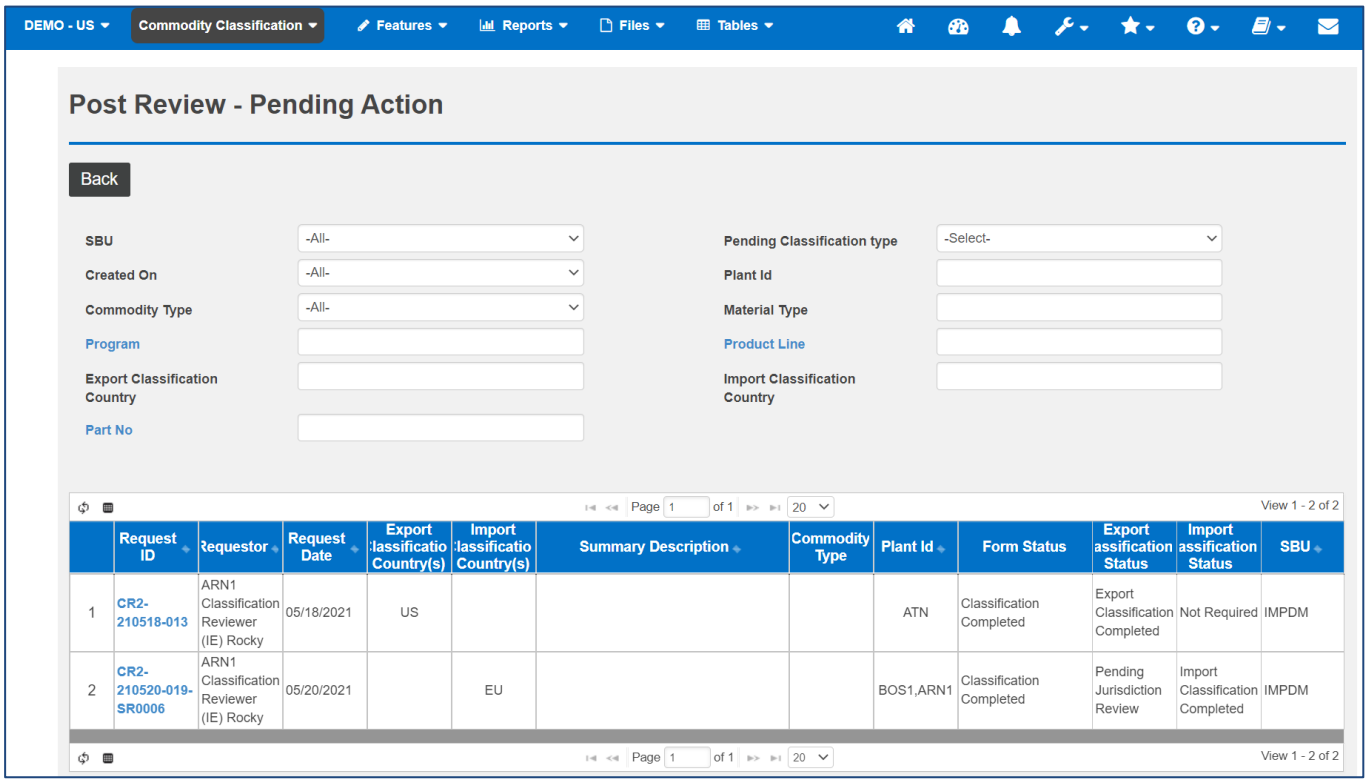

Figure 76:Post Review – Pending Action

- Upon clicking on the blue hyperlink for the Request ID, you will be taken directly to the request and be able to finish where you left off.

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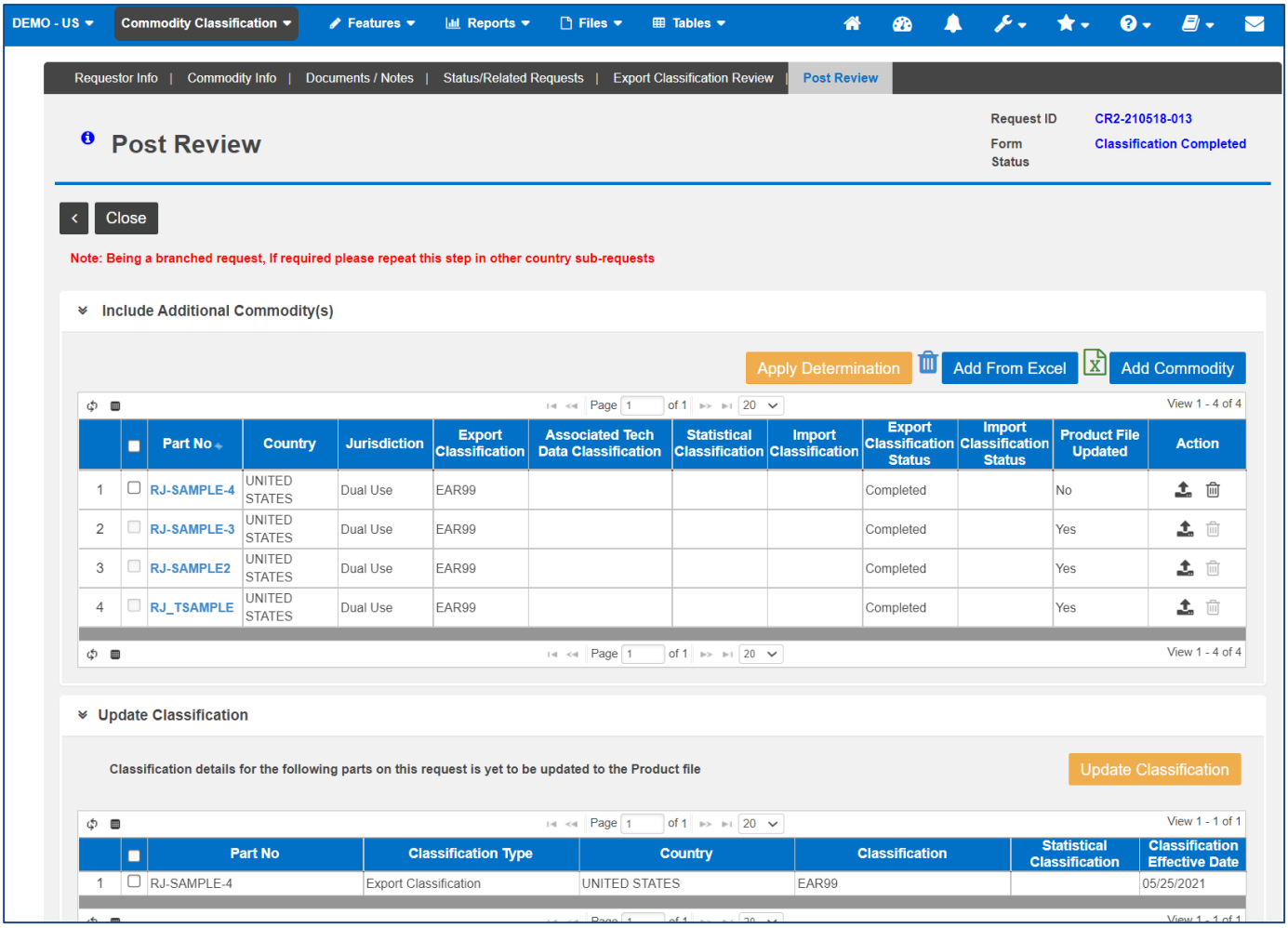

Figure 77: Post Review Screen

Work Queue

The following steps describe the steps for the review cycle.

1. To review a product classification, you need to first view the **Product Work Queues** screen successfully. This can be achieved by the following:
    a. Navigating to the **Work Queue** feature of **Commodity Classification** module (Commodity Classification -> Features -> Work Queue).

The Product Work Queues screen is displayed.

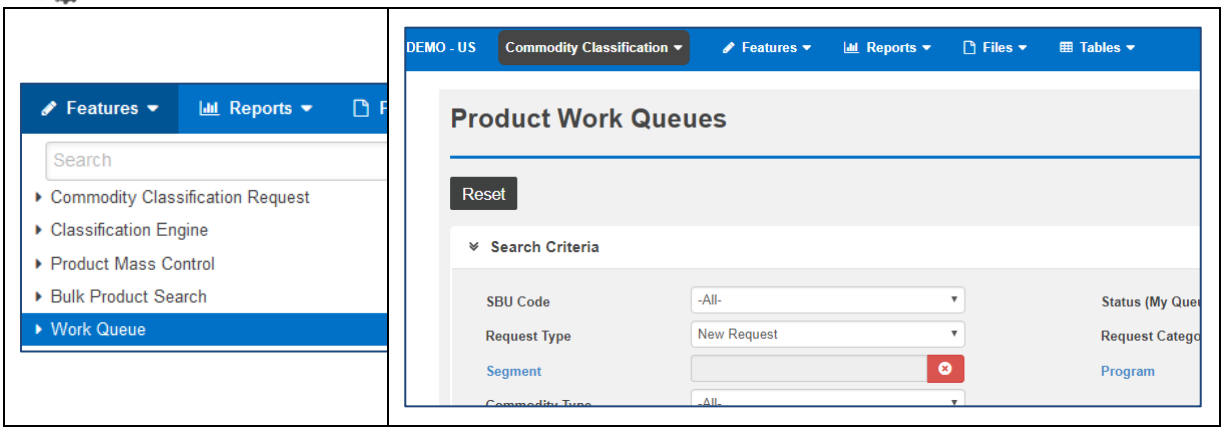

Figure 78: Product Work Queues Screen Navigation

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2. On **Product Work Queues** screen, in the **Search Criteria** drop-down panel, from the available option select the desired values.

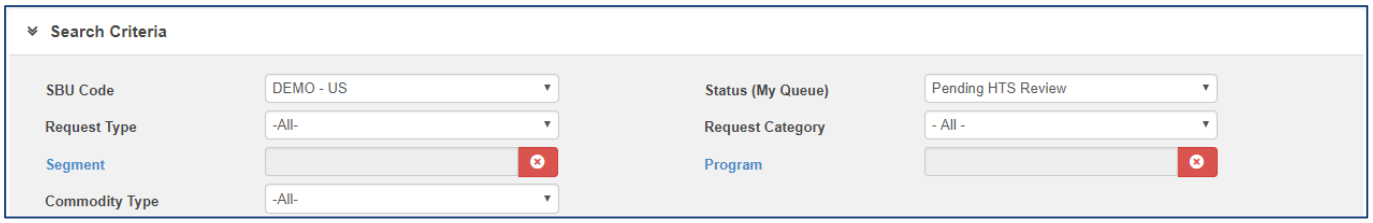

Figure 79: Search Criteria Drop-down Panel

Users can search for open requests by other reviews also (not just "My Queue").

Based on the search criteria set, in the Queues drop-down panel, values in the available drop-down list are changed.

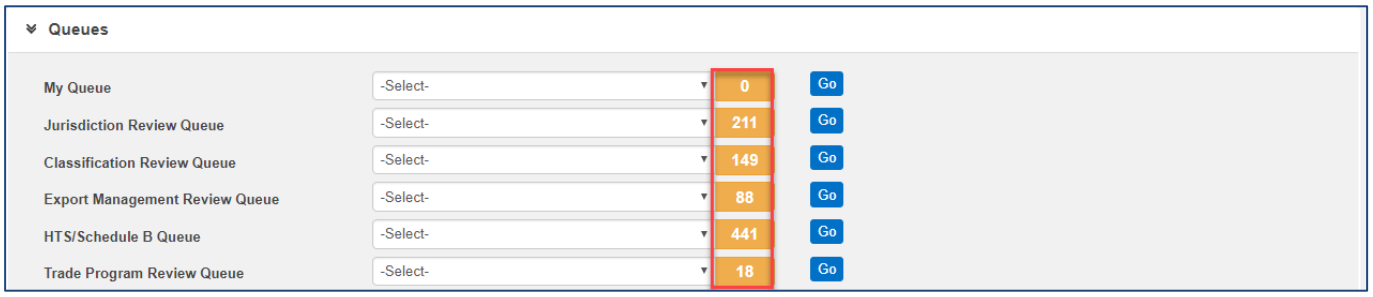

Figure 80: Product Work Queues Screen – Selected Request ID

3. In the **My Queue** or applicable **Review Queue** drop-down list, select the required Request ID to view the product classification details.
4. Once the required Request ID is selected, click the Go button.

The Requestor Information screen is displayed.

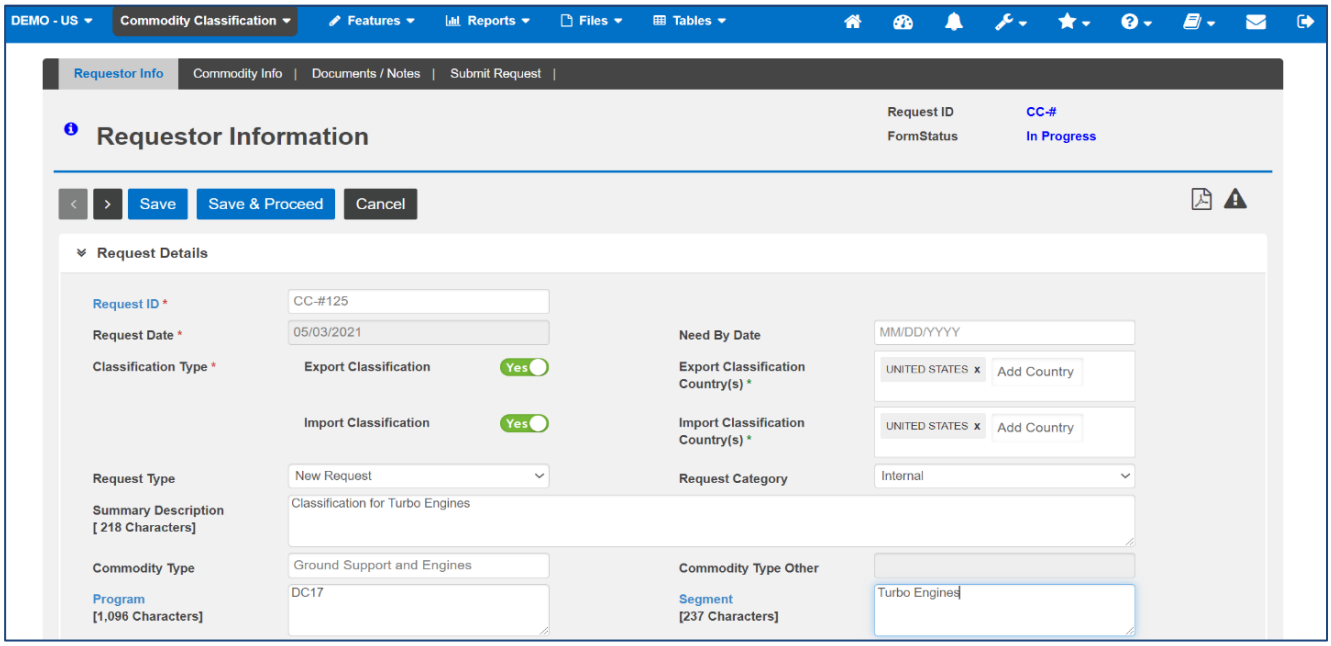

Figure 81: Requestor Information Screen

Review the details entered by the user in all available tabs.

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Refer the following sections for different types of review procedures.

3.2.2 Manager Review – Determine the Export and/or Import Classification Reviewer

If the Manager Review is enforced, then view the following section. If not enforced, then please skip this section and move to the next Section.

As part of the Manager Review, review the previous tabs (Requestor Info, Commodity Info, Documents/Notes, etc.) for understanding the Commodities listed. When ready, on the **Submit Request** tab**,** submit the request for review by determining the following:

- The **Export Classification Reviewer** and/or the **Import Classification Reviewer**

The 'Workflow Reviewer Configuration' under Tools gives you the ability to determine an automated workflow for the submission of Reviewers or whether you would like to set default Reviewers.

Select the required reviewers and click the Submit Request *button.*

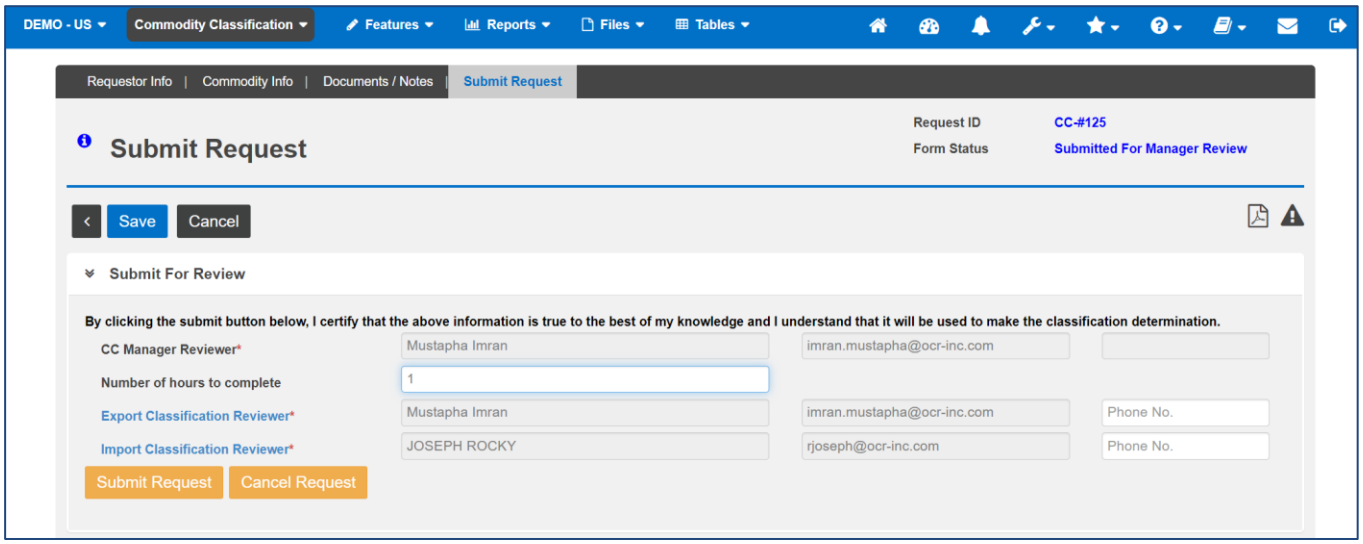

Figure 82: Submit Request - Selected Reviewers

The Export Classification Review Tab screen is displayed.

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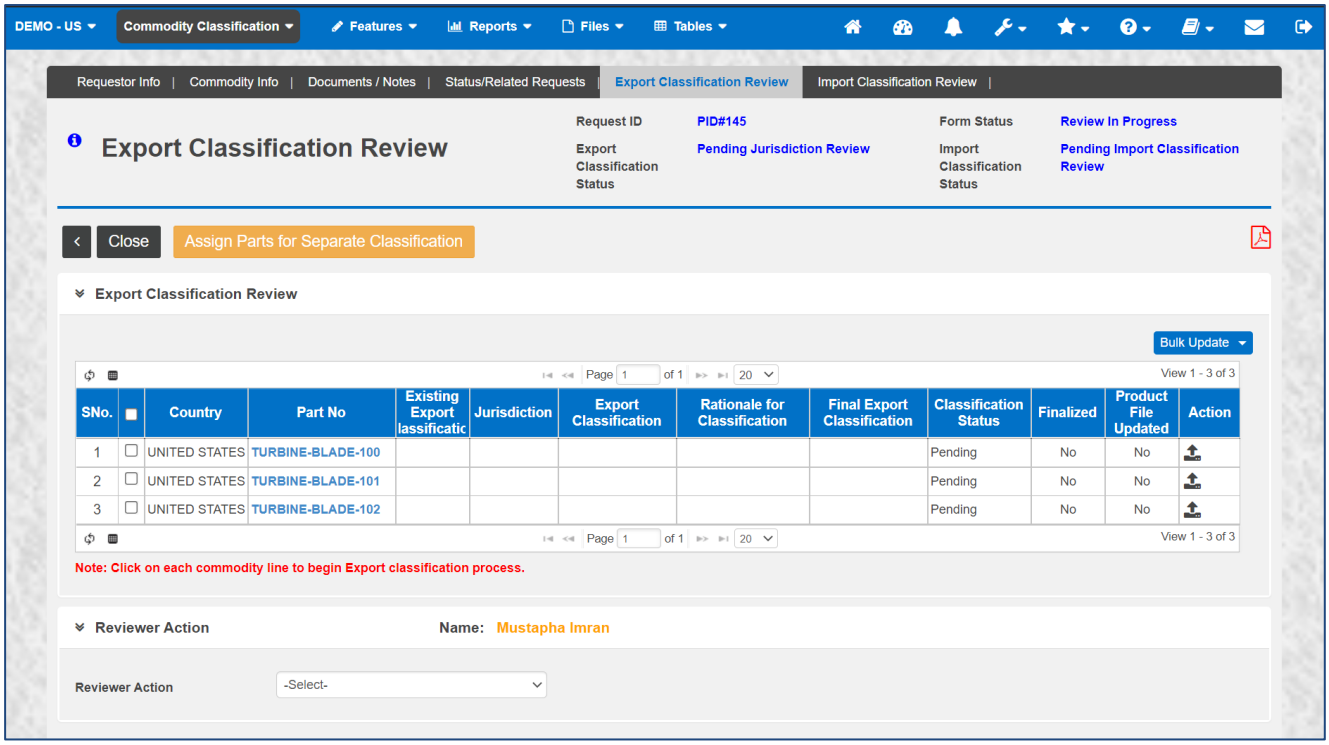

Figure 83: Export Classification Review Screen

3.2.3 Export Classification Review – Review Cycle 3

Following the 'EXPORT CLASSIFICATION REVIEW CYCLE' configuration on Page 13. The Export Classification Review process can be configured into one of three Review Cycles.

The corresponding Reviewer Level is as follows:

Review Cycle 3	Review Cycle 2	Review Cycle 1
Jurisdiction Review	Jurisdiction & Classification Review	Jurisdiction & Classification Review
Export Classification Review	Export Control Review	
Export Control Review		

Table 12: Reviewer Cycle Levels

Any number of Additional Classification Reviewers. Once Additional Reviewers are brought into the process, Classification can be finalized only after completion of review by the additional reviewers

3.2.3.1 Jurisdiction Review

If Export Classification Review is enforced, then view the following section. If not enforced, then please skip this section and move to the HTS Review Section.

You can begin the Export Classification Review by clicking on one of the Part Numbers and moving to the Review section.

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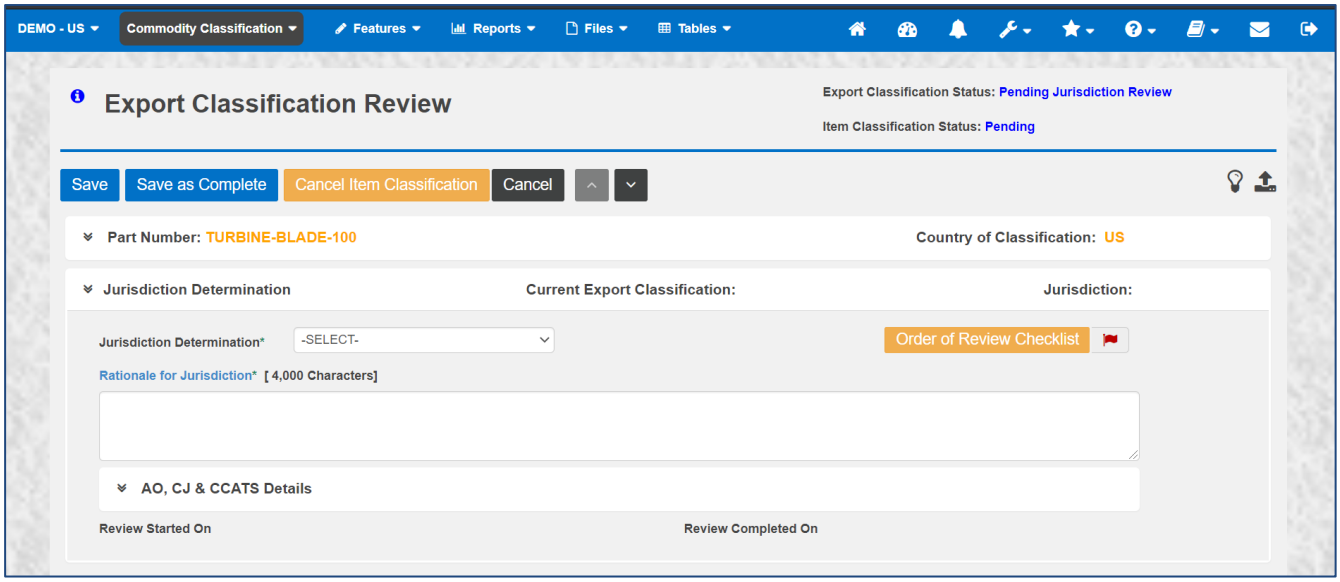
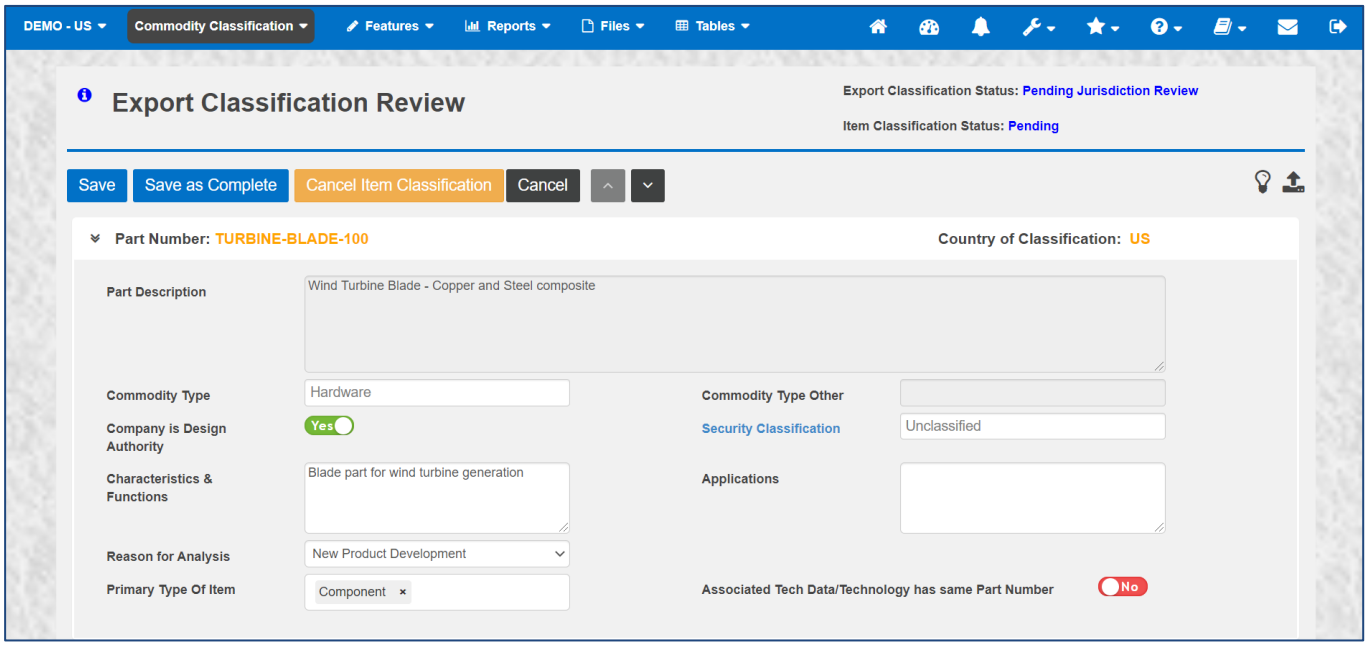


Figure 84: Export Classification Review: Jurisdiction Determination Screen

As part of the Jurisdiction Review, review the Part Number dropdown to understand the information added by the Requestor.



When ready, under the Jurisdiction Determination dropdown, determine the following:

- Answer the 'Order of Review' checklist if configured and made mandatory.
  - If configured, then the Order of Review Checklist button gets enabled. Click this to follow through the conditional based Questionnaire to assist with Jurisdiction determination.

    The Order of Review Checklist screen is displayed.

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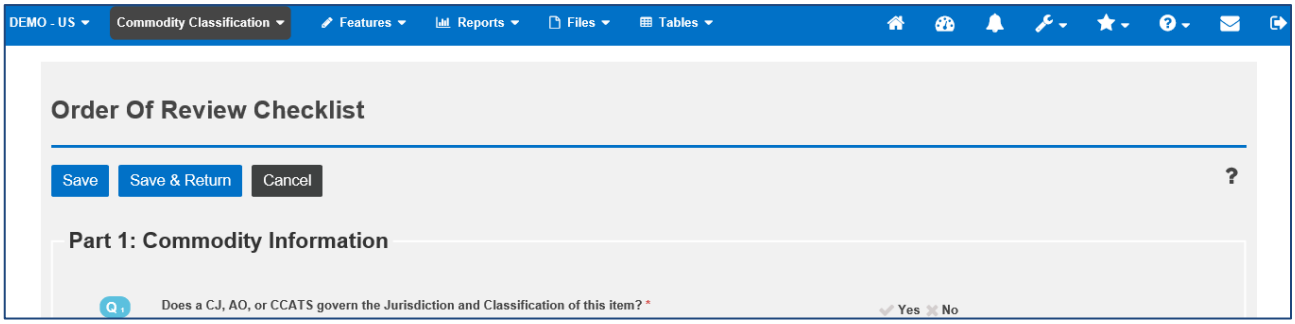

Figure 85: Order of Review Checklist Screen

- Within the checklist, the questions will guide you through a series of yes/no responses. If any explanation is required, the system will indicate upon saving.

Based on how the questions are configured, instructions & helpful tips will be available if hovering over a response or clicking the '?' icon where available for a given question.

The red flag indicator will turn green once the responses are completed for the checklist.

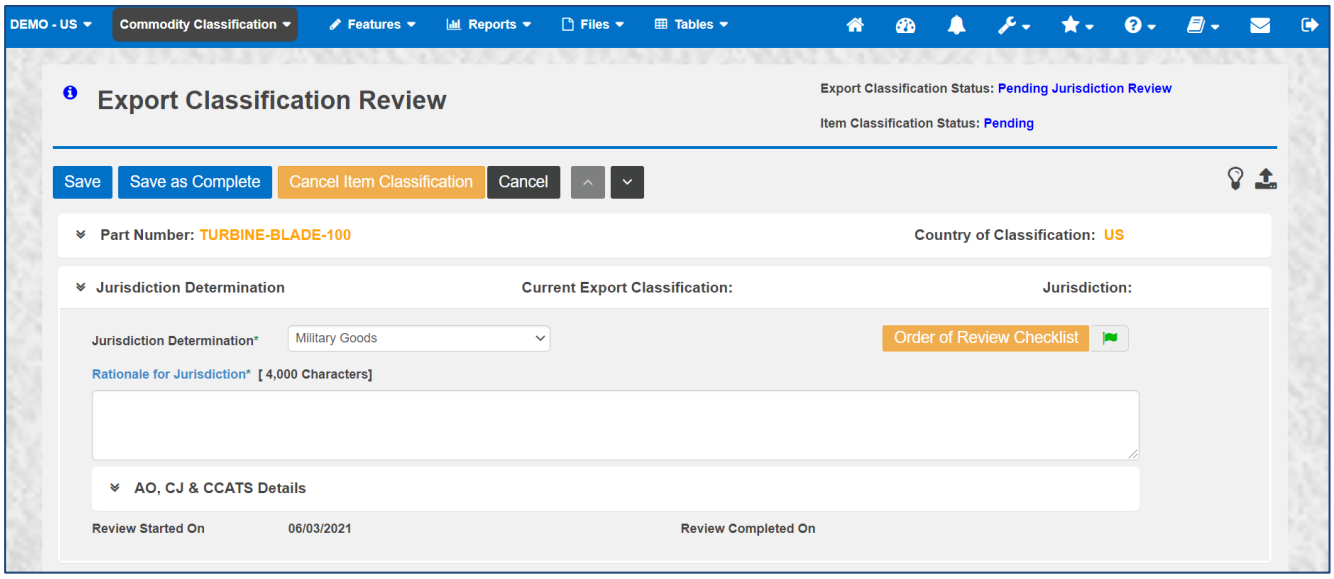

Figure 86: Jurisdiction Determination Screen

- Continue through the Determination - Do the Products fall under ITAR or EAR?
  - If DOS/ITAR Controlled, then select **'Military Goods'** for the Jurisdiction Determination.
  - If DOC/EAR Controlled, then select **'Dual Use'** for the Jurisdiction Determination.
  - Once the Jurisdiction has been determined, please enter the Rationale for the determination.

    This can also be defaulted based on your responses to the Order of Review Checklist.

- Is a CCATS, AO or CJ required from the Government to help make a classification?
  - Manage the status of a Government CJ Transaction on this Tab
    - User can set the radio button for **'Hold for Commodity Jurisdiction'** and update the transaction details, as they progress with the Department of State.

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- Once all information has been completed, click on the Save as Complete button to set the Item Classification status as Jurisdiction Determined. You will then repeat the Jurisdiction Determination process for all commodities in the Request.

Apply Determination

- If the Jurisdiction is the same for multiple commodities in the Request, the Apply Determination button can be clicked to copy the information in bulk towards the other applicable commodities.

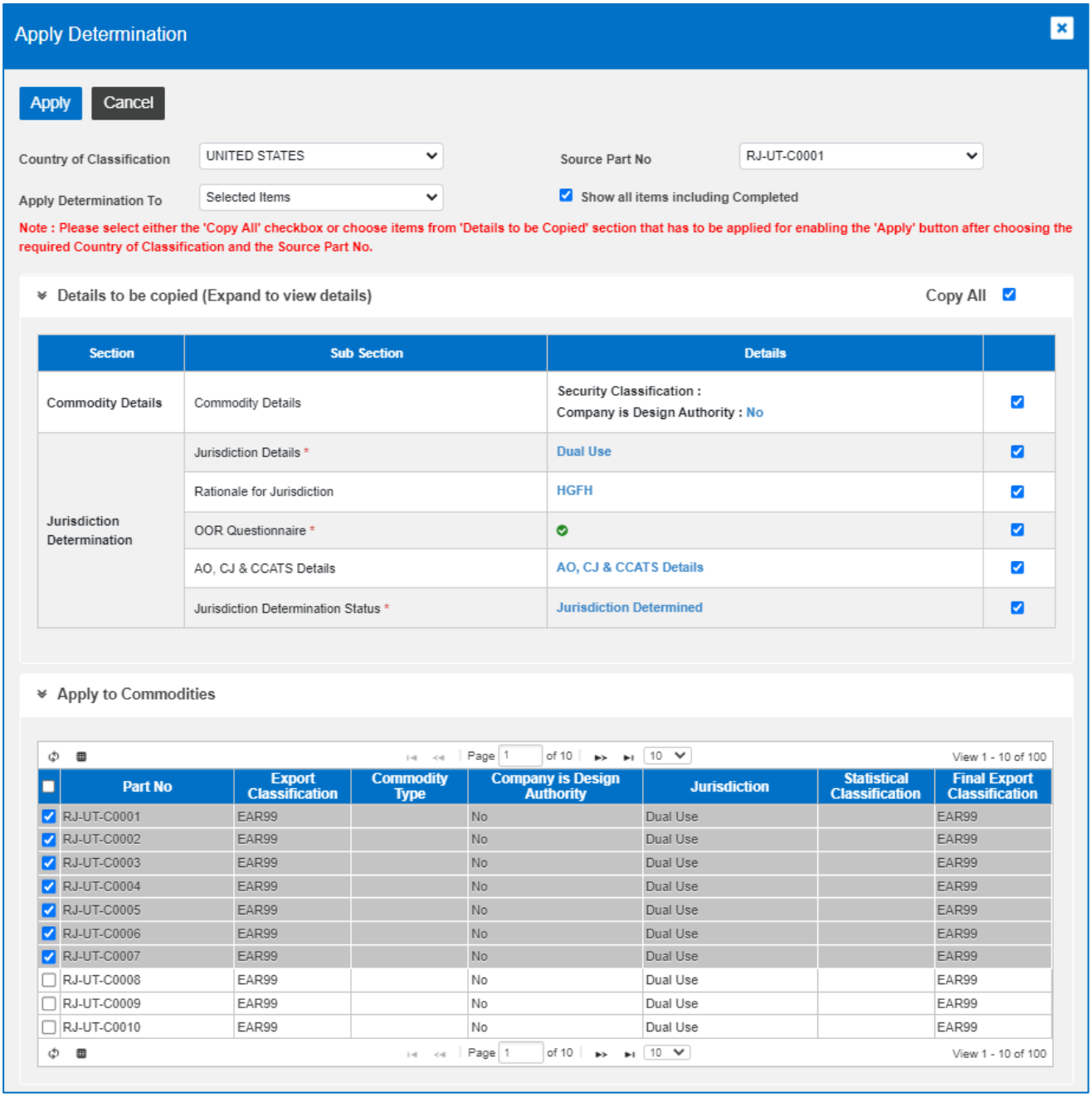

Figure 87: Apply Determination Screen

Users have the option to choose applying the data to "All items on the request", "All pending items on the request" (meaning item for which this action is not completed yet), or "Selected Item" to be selected using the grid checkbox provided.

While choosing "All Items on the request", the system would apply the new data to all the line items on the request even if data entry was already completed for a few line items. Likewise, the user wants to replace/update data related to a specific line item that was already completed.

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Use the "Show all items including completed" checkbox and choose the target items wherein data is to be copied /replaced.

- You can apply the determination for commodities with the same country of classification.
- First, choose the Source Part Number, then select which specific details you want copied
- You can then choose select commodities to apply it to or select all commodities within that country of classification
- A successful confirmation pop-up will appear after clicking on the Apply button.

Reviewer Actions

Once all commodities are under the Jurisdiction Determined status, select the Reviewer Action dropdown at the bottom of the screen.

- Once you have determined the Jurisdiction and are ready to submit for a subsequent Export Classification Review – in the Name hyperlink field, select the Classification Reviewer and click the corresponding Submit button.

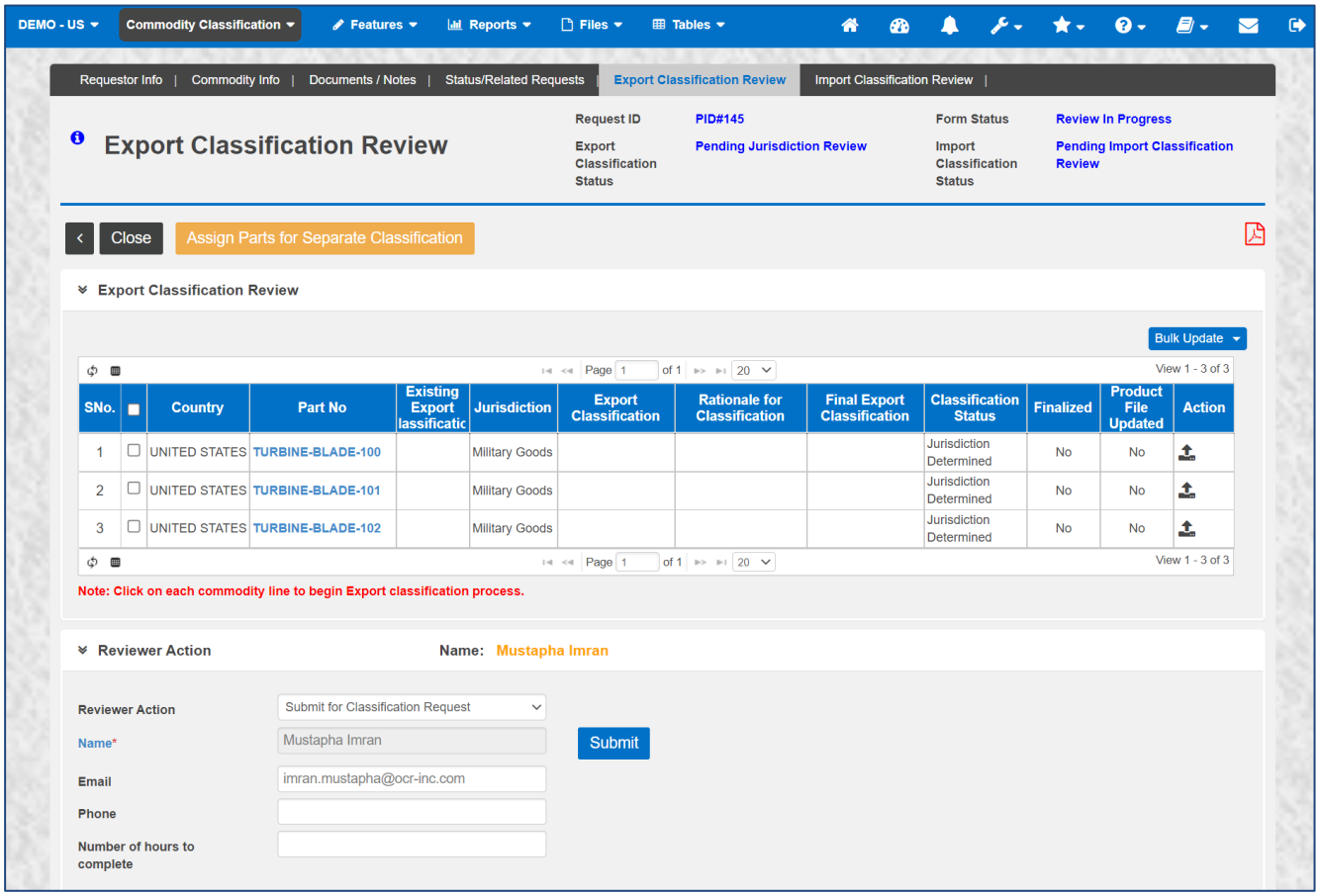

Figure 88: Classification Reviewer Selected

The Export Classification Status will change from Pending Jurisdiction review to Pending Classification Review.

- If you need to return the Request to ask for additional information from the Requestor, then from the **Reviewer Action** drop-down list, select the option '**Return to Requestor for Rework'**, enter the reason for returning and click the corresponding Return button.

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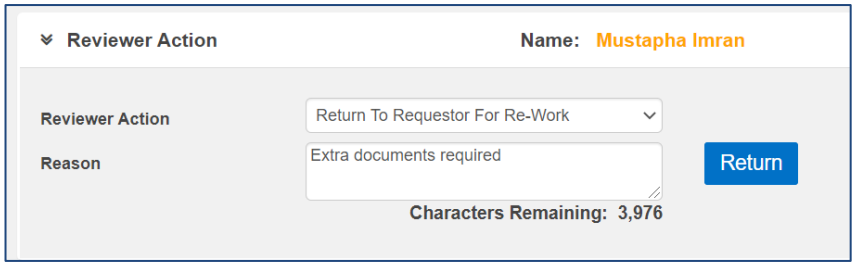


Figure 89: Return Request to Requestor

- If you need to reassign the Jurisdiction Review to a different reviewer, then select the option for **'Reassign to Jurisdiction Reviewer'**, enter the reason for reassigning and click the corresponding Reassign button.

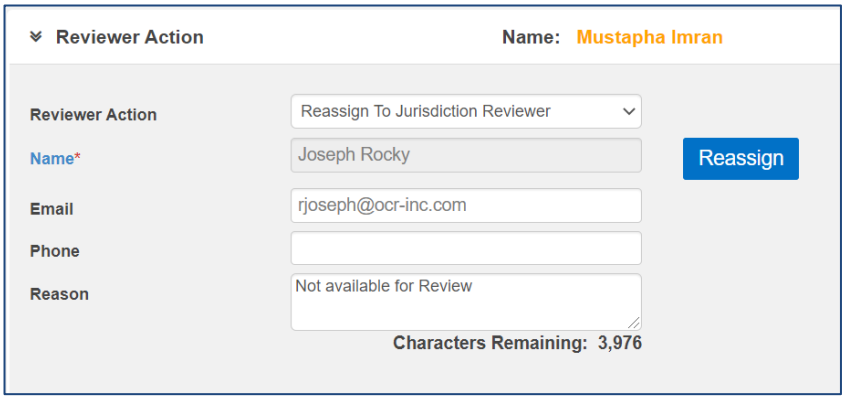
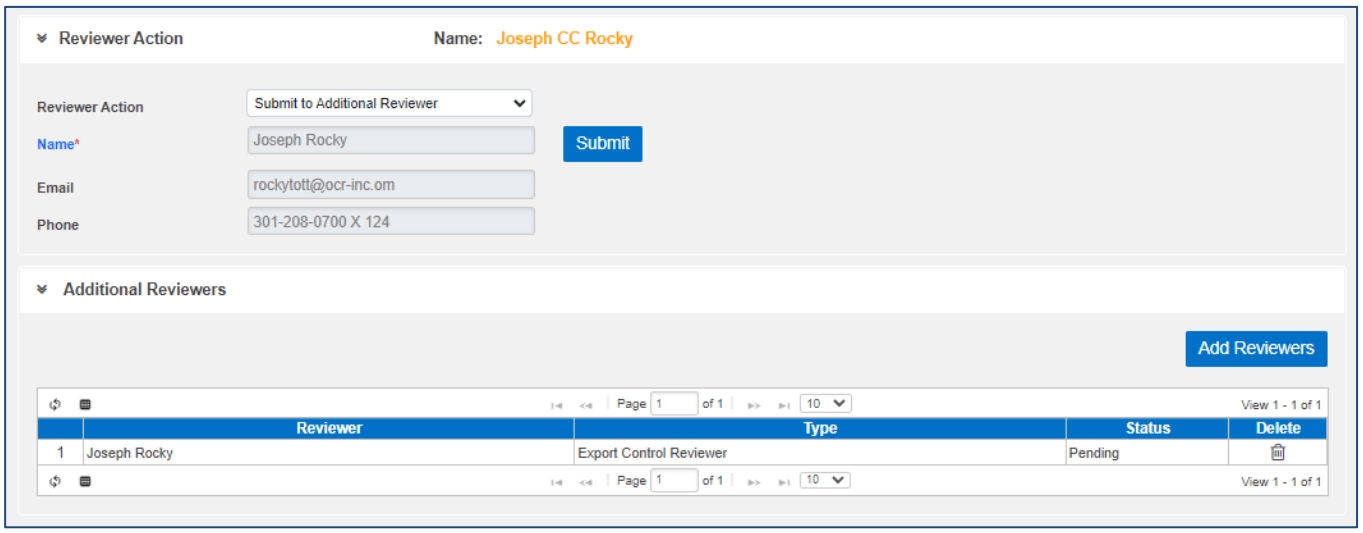


Figure 90: Reassign To Jurisdiction Reviewer

3.2.3.2 Additional Reviewer

Any number of Additional Classification Reviewers may be brought into the classification process, both on the Export and Import classification cycles.

Once Additional Reviewers are brought into the process, Classification can be finalized only after completion of review by the additional reviewers.



Assigned reviewers would be able to bring-in additional reviewers as deemed required using the 'Add Reviewers' button.

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To submit the request for Additional Review, from the Reviewer Action Choose "Submit to Additional Reviewer" option.

If there are more than one additional reviewer, please choose the appropriate reviewer.

Once the request is assigned for additional review, the assigned additional review would be able to review the request and perform all actions as that of the Final Classification Reviewer.

3.2.3.3 Assign Parts for Separate Classification

If you have multiple parts listed on a request – but during the review, realize that you need additional help with a particular commodity then you can branch the request out by clicking on Assign Parts for Separate Classification. You can also branch the request to separate the Part Numbers by Country of Classification to have another reviewer take care of them simultaneously.

- Click the Assign Parts for Separate Classification button to view a list of all existing products on the request.
  - Select which Part Numbers are to be moved as well as the associated radio button for Commodity or for Country of Classification. After that selection, click the Proceed button to branch the request out.

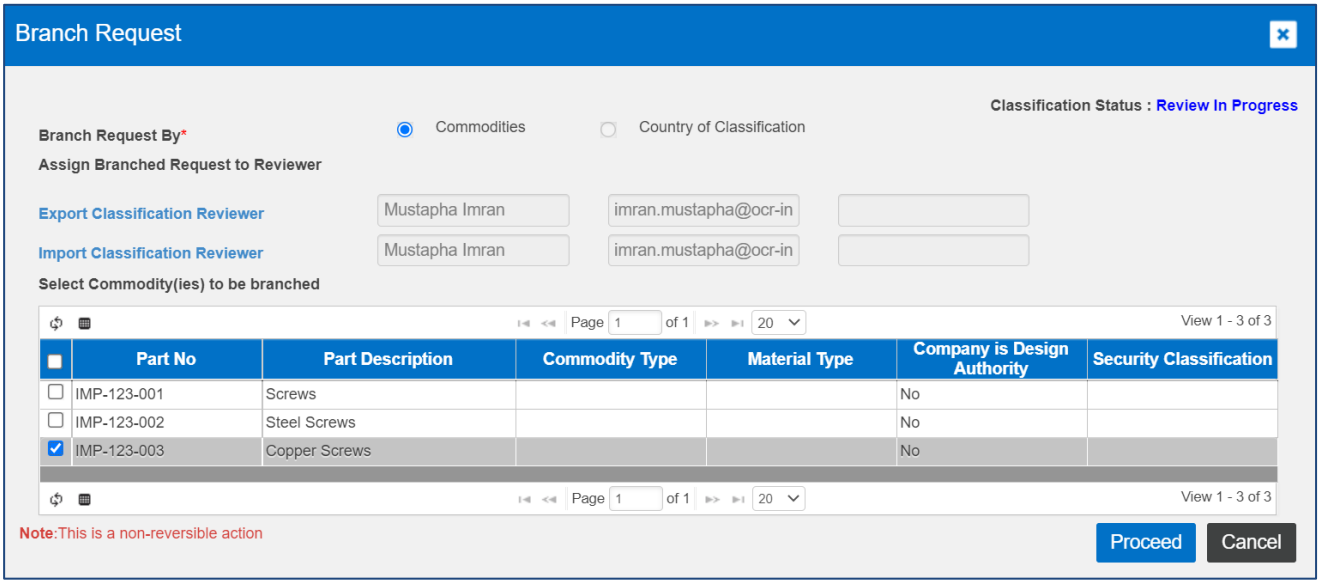

Figure 91: Organization Part Numbers Section

- A success validation message will display when this is done and the branched Request ID will be shown.

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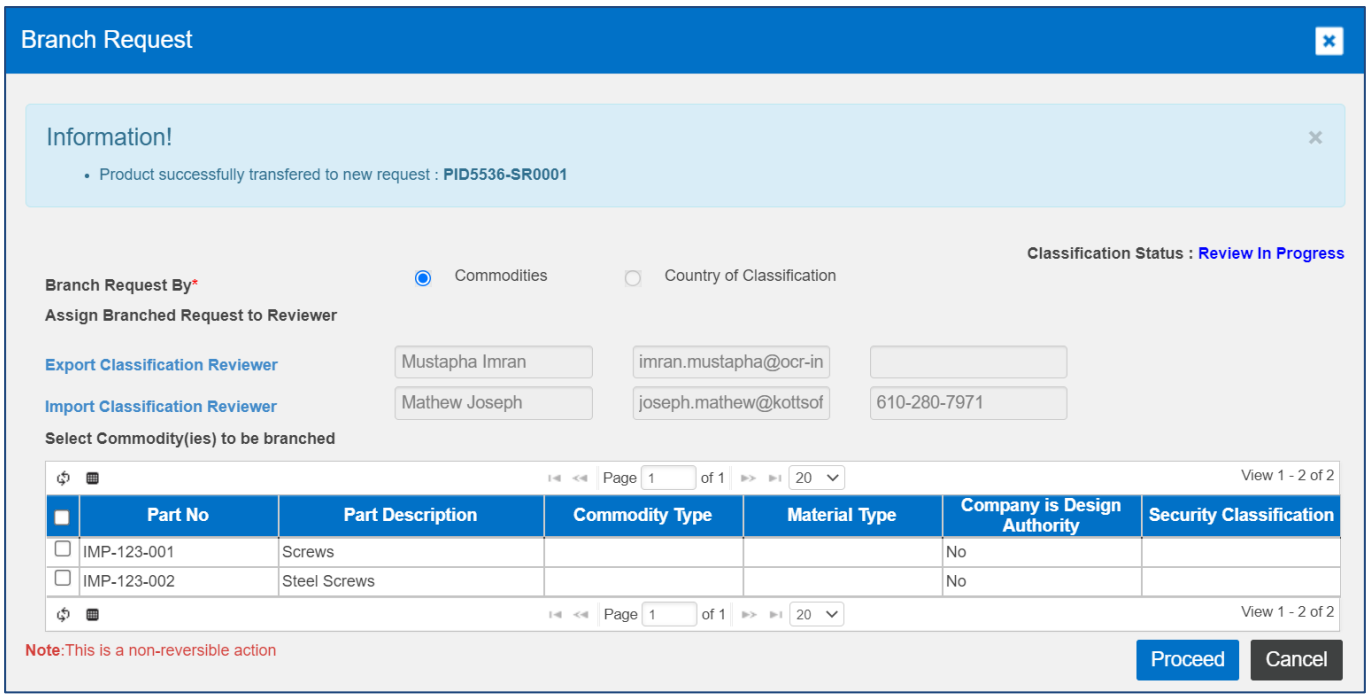

Figure 92: Alert Notification

- You can then navigate to the Status/Related Requests tab to

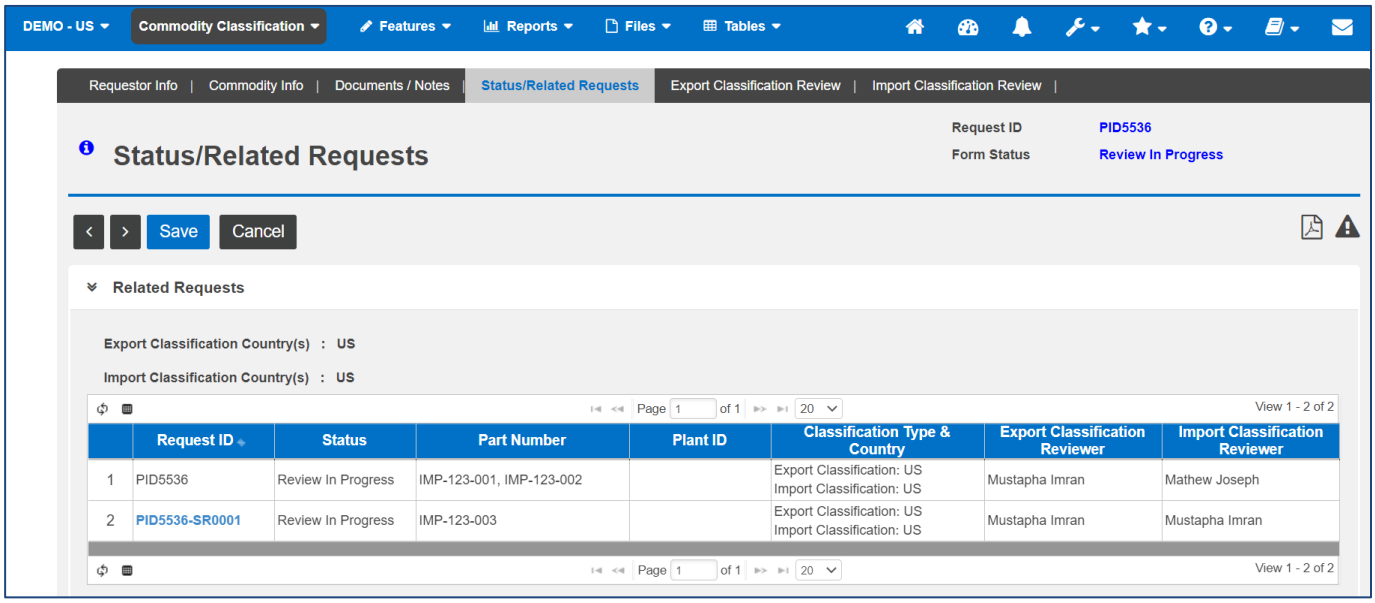

Figure 93: Status/Related Requests

- The new Request will be set to the same Review status, for the Jurisdiction Reviewer to carry through new Order of Review Checklist responses applicable to this separate list of parts.

If HTS Review was enforced on the original request and is pending or completed for any parts that got transferred – all HTS Review information will now be transferred to the new request.

3.2.3.4 Export Classification Review – Military Goods/Dual Use

Depending on the Jurisdiction that was assigned for the Export Classification, the next Review section for the commodities will appear dynamically: **'Military Goods Review'** or **'Dual Use Review'.**

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3.2.3.5 Military Goods Classification Review

If the Jurisdiction is Military Goods – then when clicking on the Part Numbers, the Export Classification Review will be tailored for **Military Goods**:

- Click the Military Goods Checklist button if the questionnaire is configured and mandatory to complete.
  - A similar process from the **Order of Review Checklist** will be applied for the **Military Goods Checklist.**

The red flag indicator will turn green once the responses are completed for the checklist. At this time, a Document icon will also display for reference to the responses given, as well as an audit of who completed the checklist and which date.

- Select the **Military Goods Category** that the Product falls under
  - Click the Reference Link to view the U.S. Regulations for a particular category
  - Select the **Cannot Determine Military Goods Category** check-box, if you cannot determine the Military Goods Category and need to obtain an Advisory Opinion
- Select the **Military Goods Subcategory** of the Product based on the base Category
  - The form will notify based on the Subcategory if SME
  - Select an **OCR Code** & **Related Category** if applicable based on the classification.
- Enter the rationale for the assigned Export Classification. When finished, click the Save button.

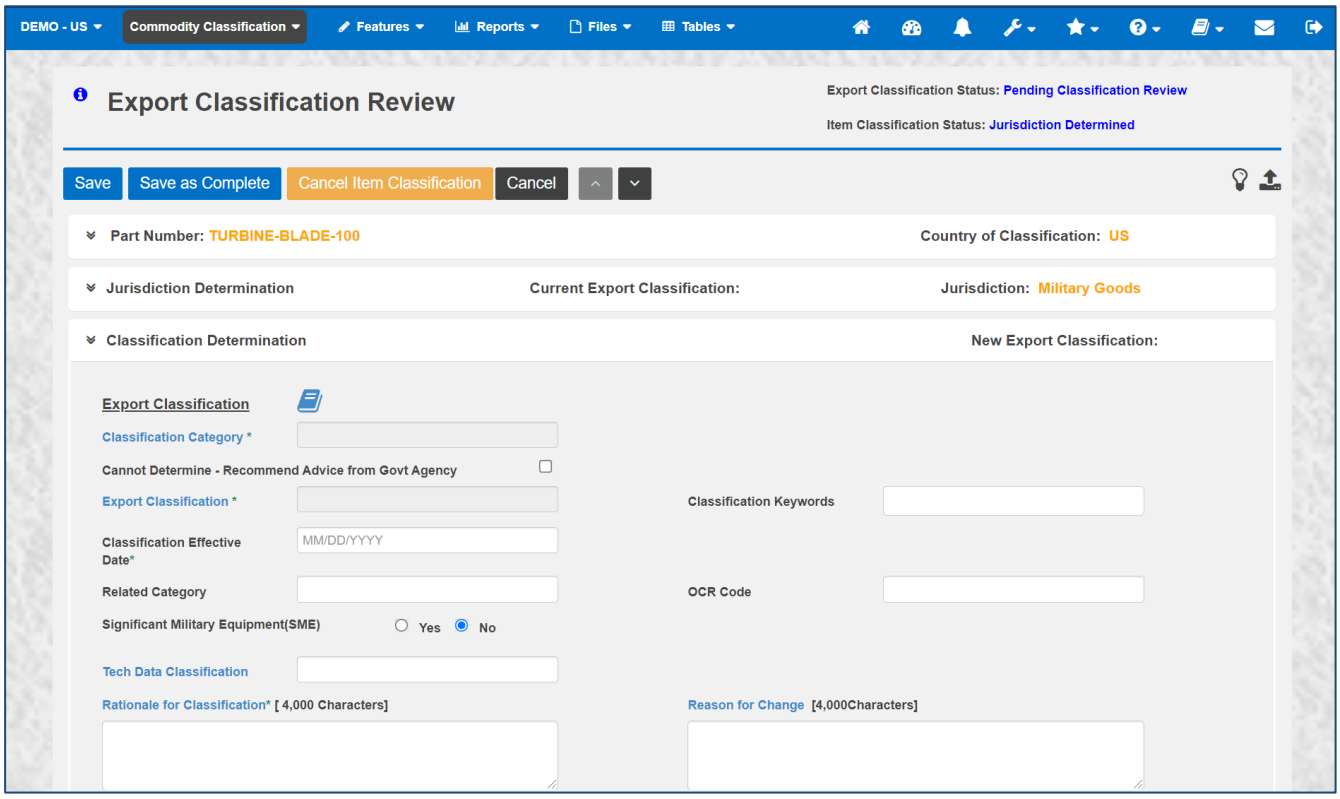

Figure 94: Military Goods Review Screen

User can click the Rationale link to view the rationale stored in the database.

3.2.3.6 Dual Use Classification Review

If the Jurisdiction is **Dual Use** – then when clicking on the Part Numbers, the Export Classification Review will be tailored for **Dual Use items**:

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- Click the Dual Use Checklist button if the questionnaire is configured and mandatory to complete.
  - A similar process from the **Order of Review Checklist** will be applied for the **Dual Use Checklist.**

The red flag indicator will turn green once the responses are completed for the checklist. At this time, a Document icon will also display for reference to the responses given, as well as an audit of who completed the checklist and which date.

- Select the **Dual Use Category** that the Product falls under
  - Click the **Reference Link** to view the U.S. Regulations for a particular category
  - Select the **Cannot Determine - Recommend CCATS** check-box if you cannot determine the **Dual Use Category** and recommend a CCATS
- Select the **Dual Use Subcategory** of the Product based on the base Category
  - Select the **Item is EAR99** check-box if the item is considered EAR99
- Enter or select the rationale for the assigned Export Classification
- When finished, click the Save button.

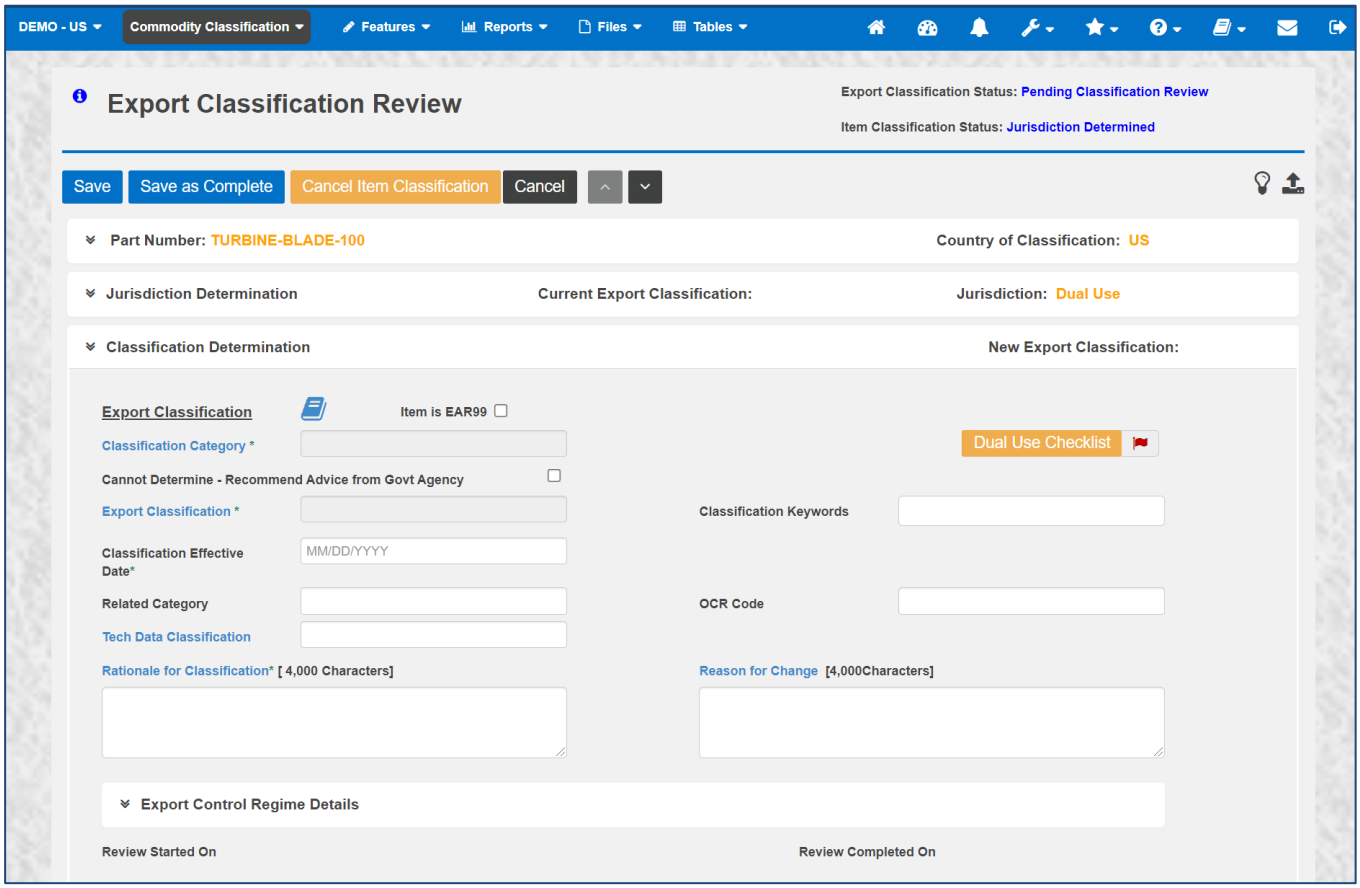

Figure 95: Dual Use Review Screen

A new button "Classification Suggestion" has been added to suggest potential Export Classification based on the Import classification. Button will be enabled only if data is available in the Regulatory Data Mapping table in the System for the selected Country.

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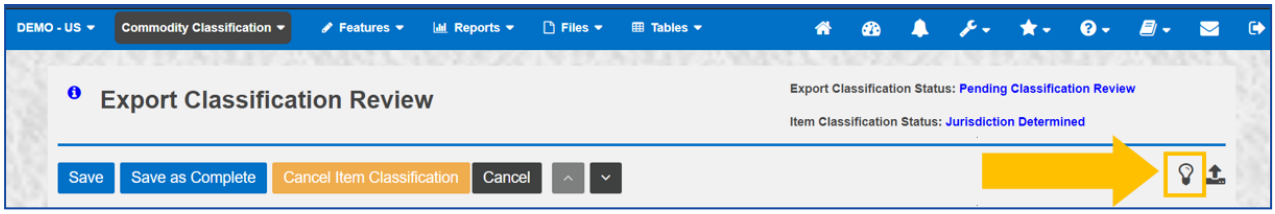
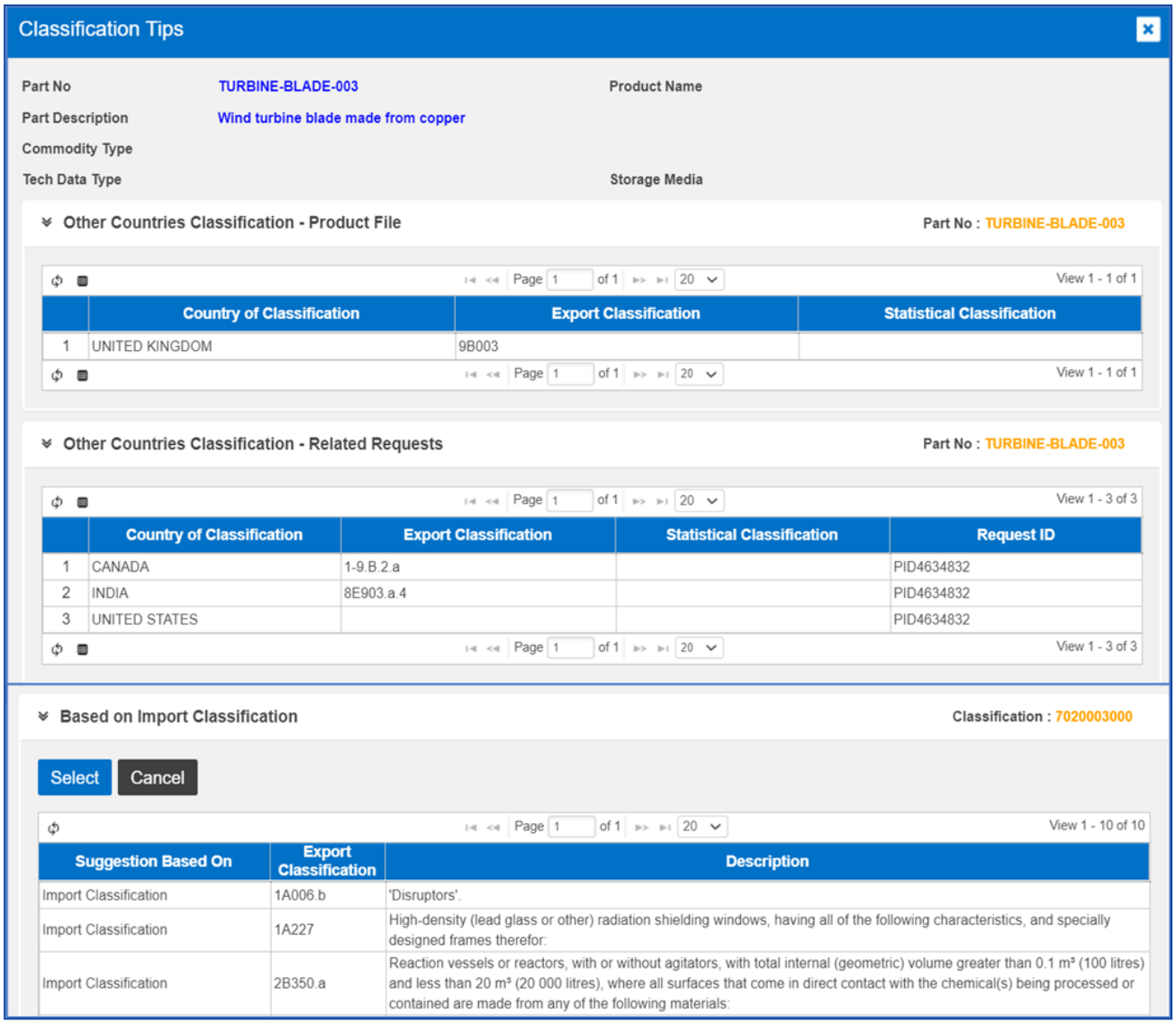


Figure 96: Classification Suggestion

Classification Tips:

Upon clicking the icon, you will see 3 separate grids:

- The 1st tip displays classifications tied to the Part Number currently being viewed for other countries.
- The 2nd tip displays the other Country Classifications you entered in the same request if you have done multi-country classification.
- The 3rd tip comes from the Import Classification you entered for the products from the same request or available in product file.



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3.2.3.7 Export Control Regime Details

If the any of the Export Control Regime Details is enforced, then after determining the Classification No. of the Product, select the Export Control Regime Details dropdown**.**

- If the Regime applies, select the **Category** and **Subcategory.**
  - If not, select 'No' in the column name 'Applicable'.
- Provide the rationale for your selection and click the Save button.

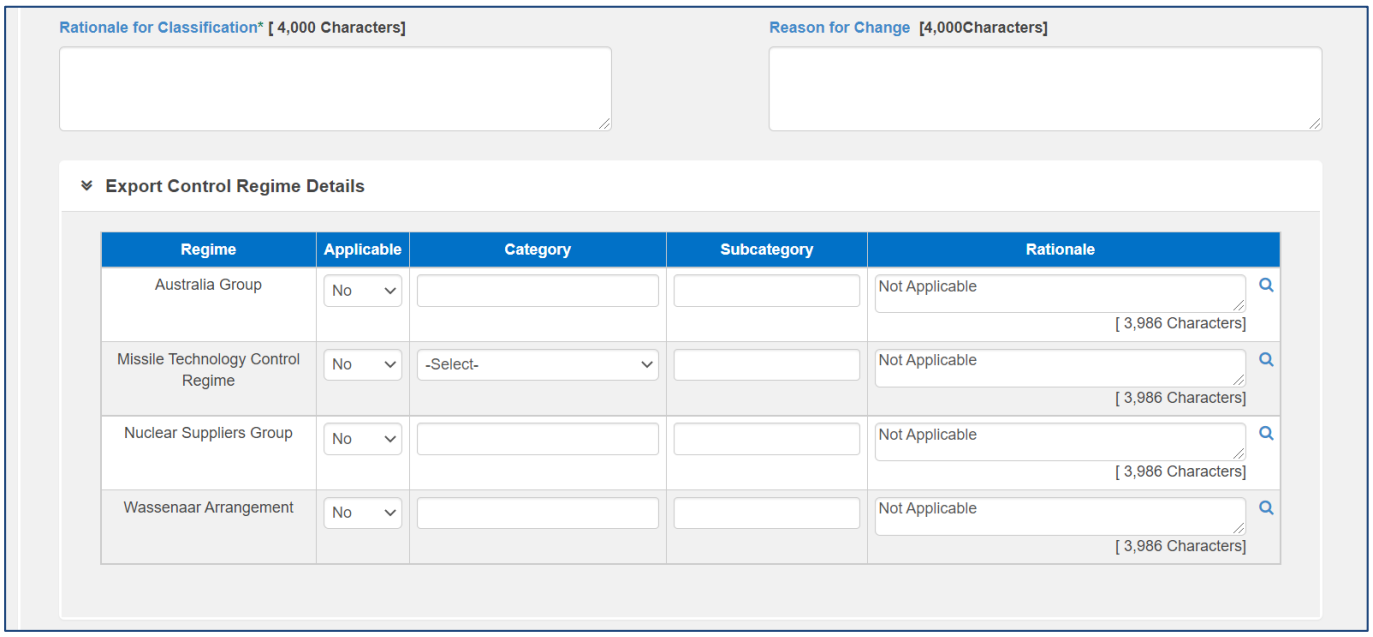

Figure 97: MTCR Review Screen

- After determining the Classification of the Product, submit the Request for final **Export Control Review.**
  - Select the Reviewer from the dropdown list and click the Submit button.
- Once all information has been completed, click on the Save as Complete button to set the Item Classification status as Classification Determined. You will then repeat the Classification Determination process for all commodities in the Request.
- Once all commodities are under Classification Determined Status, select 'Submit for Export Control Review' under the Reviewer Actions and click the Submit button.

3.2.3.8 Export Control Review

Once the Jurisdiction and Classification have been assigned for the Request, then proceed to the Export Control Review for finalizing the Product's Export Classification.

- Review the current Classification for finalization
  - Review the Jurisdiction Determination dropdown and the Classification Determination dropdown to view each information entered by both Reviewers.
  - If Export Control Reviewer wishes to override the existing classification decision made on the Request, then they can update the fields in the Final Review and Approval dropdown and provide a rationale for overriding.
  - Mark if requesting a CJ or CCATS and provide transaction information
- Click the Final Determination Checklist button if the questionnaire is configured and mandatory to complete.

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The red flag indicator will turn green once the responses are completed for the checklist. At this time, a Document icon will also display for reference to the responses given, as well as an audit of who completed the checklist and which date.

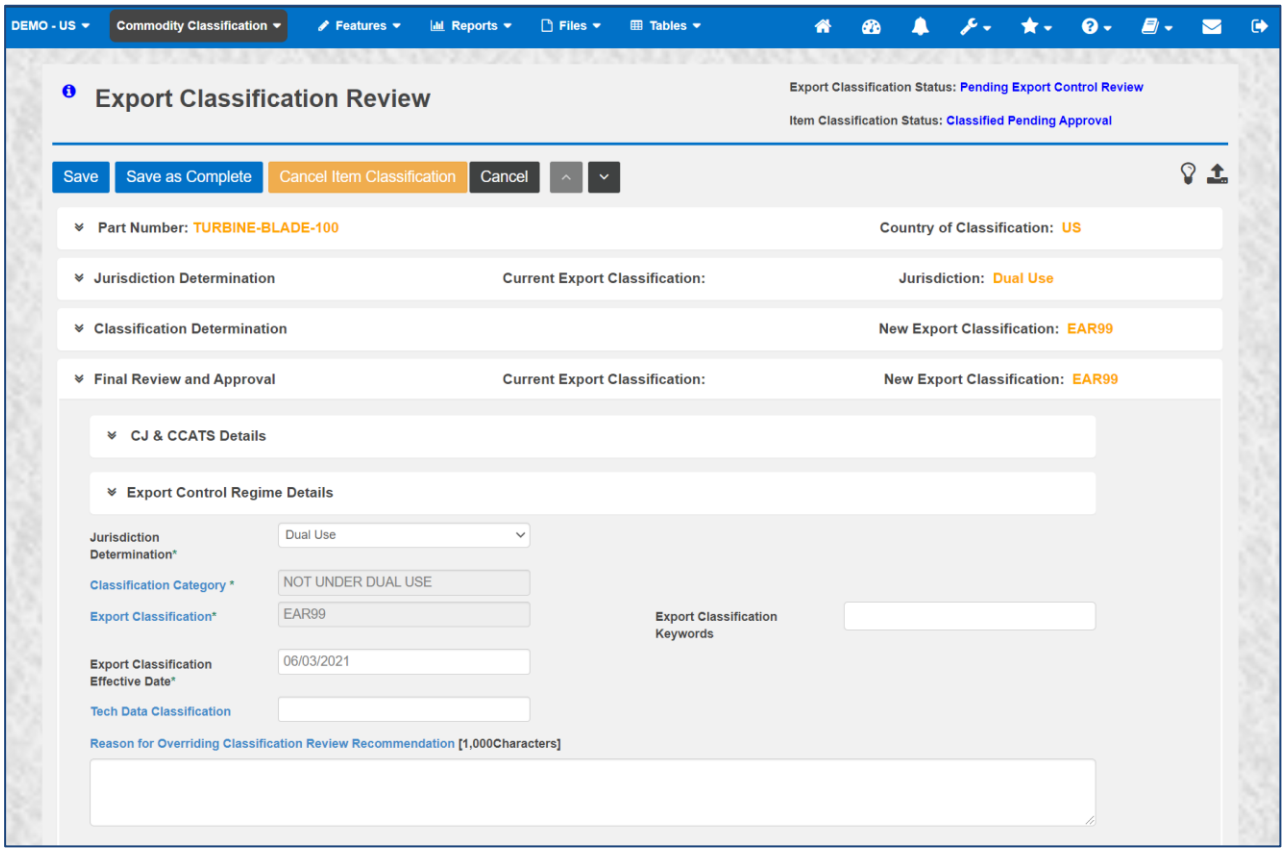

Figure 98: Export Classification Review

- When finished reviewing – decide if you wish to import the Commodity Details and Classification into the Product File Database
  - If so, you can Finalize by line item by clicking the Finalize Classification button after clicking the Save as Complete button for one line item. You do not need to hit Save as Complete if Finalizing commodities in bulk using the following steps.
  - If Finalizing multiple commodities but not all of them, select the commodities you want Finalized from the grid, click on the Bulk Update button and then chose the 'Finalize Item Classification' option.
  - If Finalizing all commodities at once, you can select the 'Finalize and Update Product File' option under Reviewer actions. You'll be able to add approval notes if needed, and click on the Finalize Request button.
  - This will complete the Export Classification Review portion for the entire Request.

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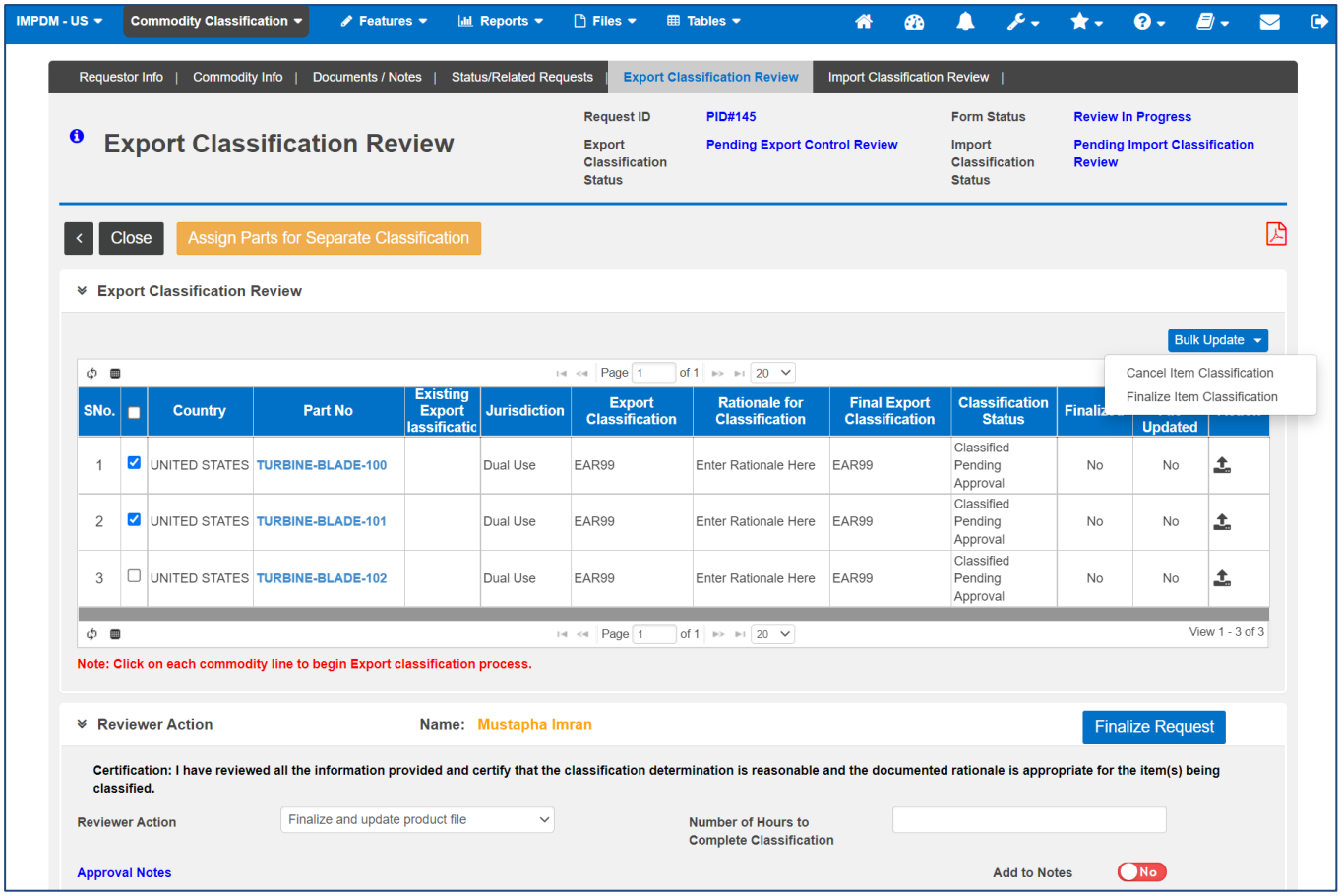

Figure 99: Review Completed

3.2.4 Export Classification Review – Review Cycle 2

Review Cycle 2 differs where the Jurisdiction and Classification Review are done in one stage before submitting to the Export Control Reviewer. Otherwise, the process is extremely similar.

Any number of Additional Classification Reviewers. Once Additional Reviewers are brought into the process, Classification can be finalized only after completion of review by the additional reviewers

3.2.4.1 Jurisdiction & Classification Review

You can begin the Export Classification Review by clicking on one of the Part Numbers and moving to the Review section.

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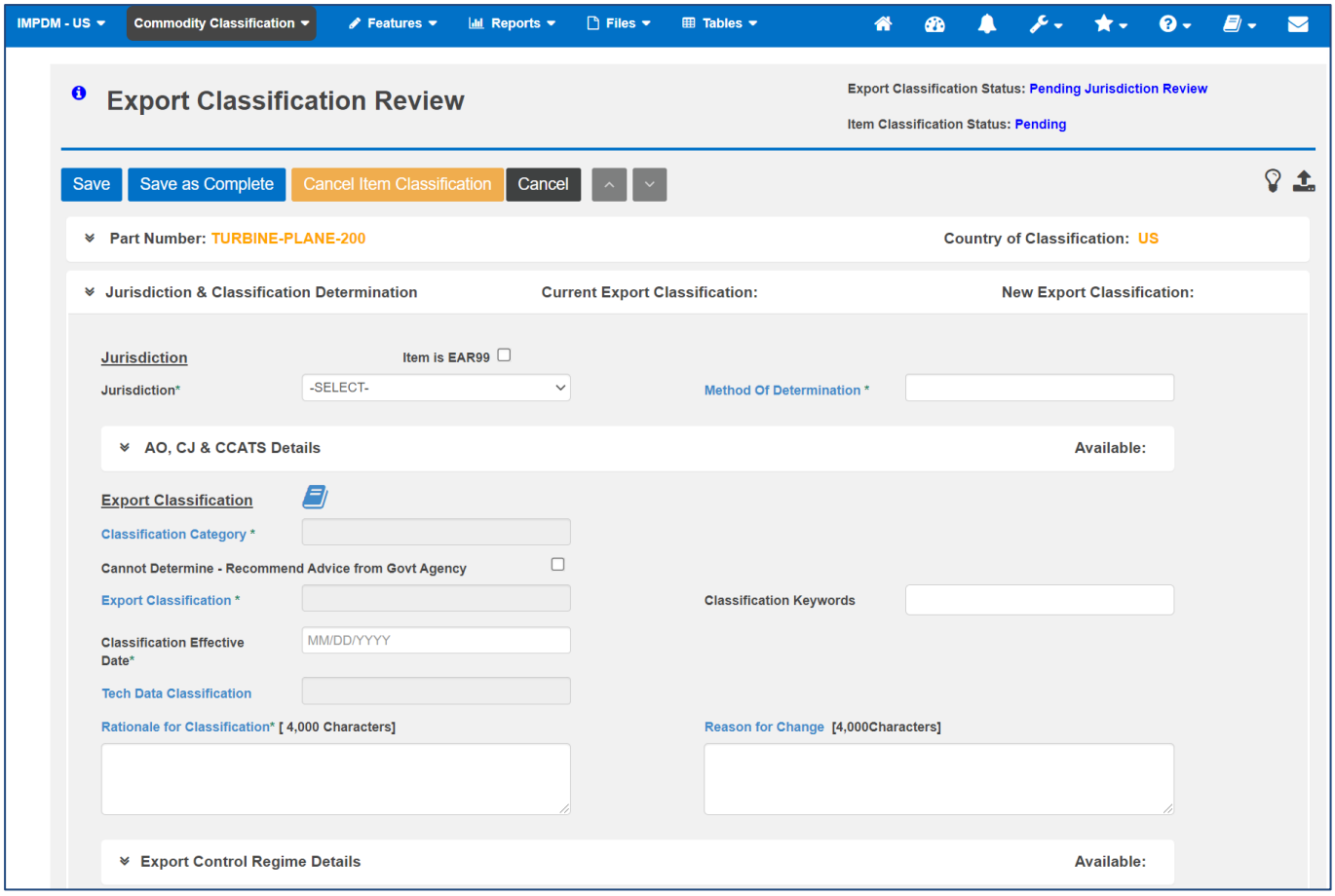

Figure 100: Review Begin From Part Number

- As part of the Jurisdiction & Classification Review, review the Part Number dropdown to understand the information added by the Requestor.
- Then, select the Determination - Does the Product fall under ITAR or EAR?
  - If DOS/ITAR Controlled, then select **'Military Goods'** for the Jurisdiction Determination.
  - If DOC/EAR Controlled, then select **'Dual Use'** for the Jurisdiction Determination.
  - The Method of Determination as defined internally by your company.
- Once the Jurisdiction has been determined, you can now select the Classification Category, the Export Classification, fill in the Rationale for Classification and enter any other information that is needed such as Export Control Regime Details when applicable.

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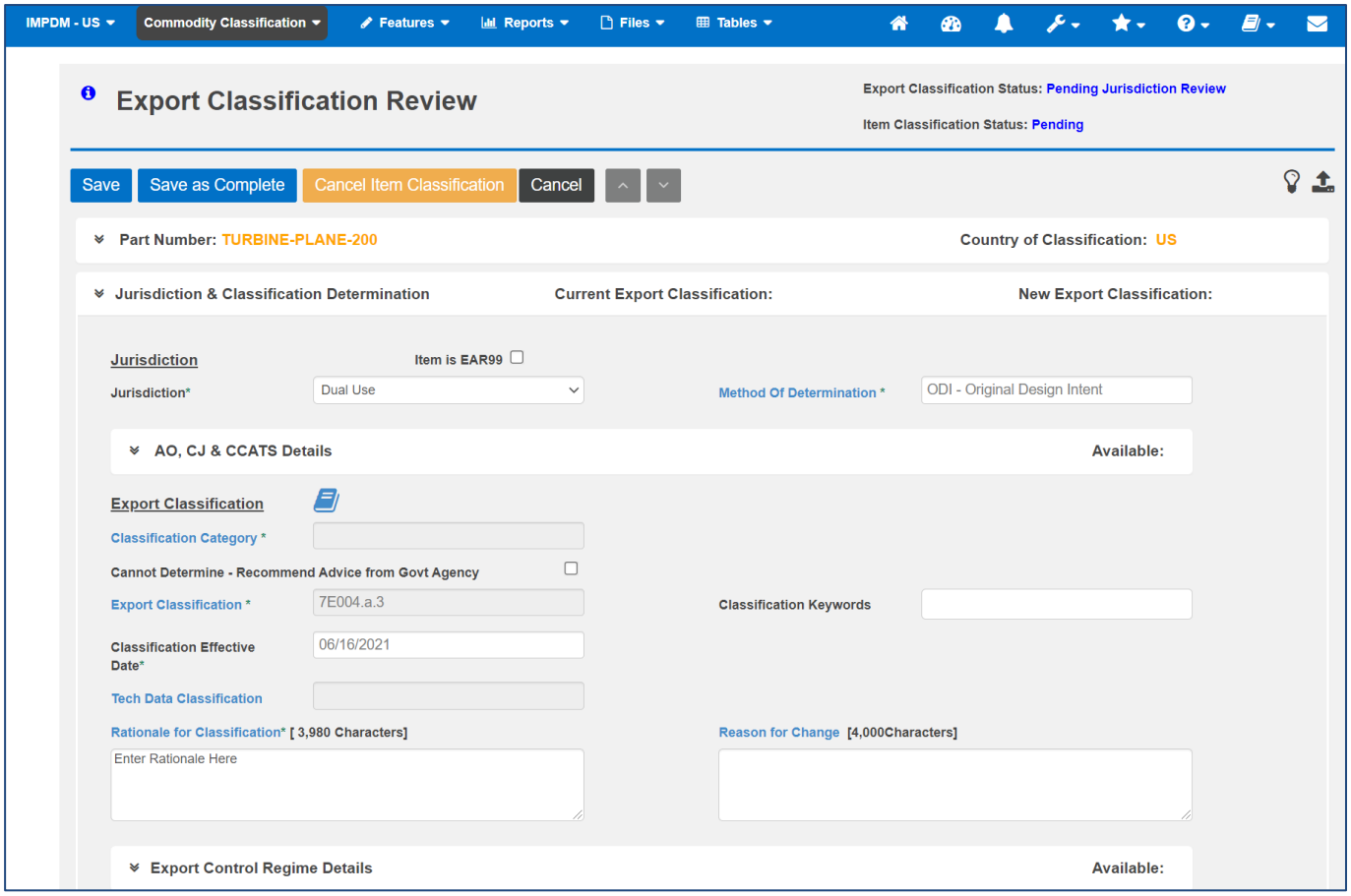

Figure 101: Complete Review

- Once all information has been entered, click on the Save as Complete button to set the Item Classification status as Classified & Approved.
- Once all commodities are under Classified & Approved Status, select 'Submit for Export Control Review' under the Reviewer Actions and click the Submit button.

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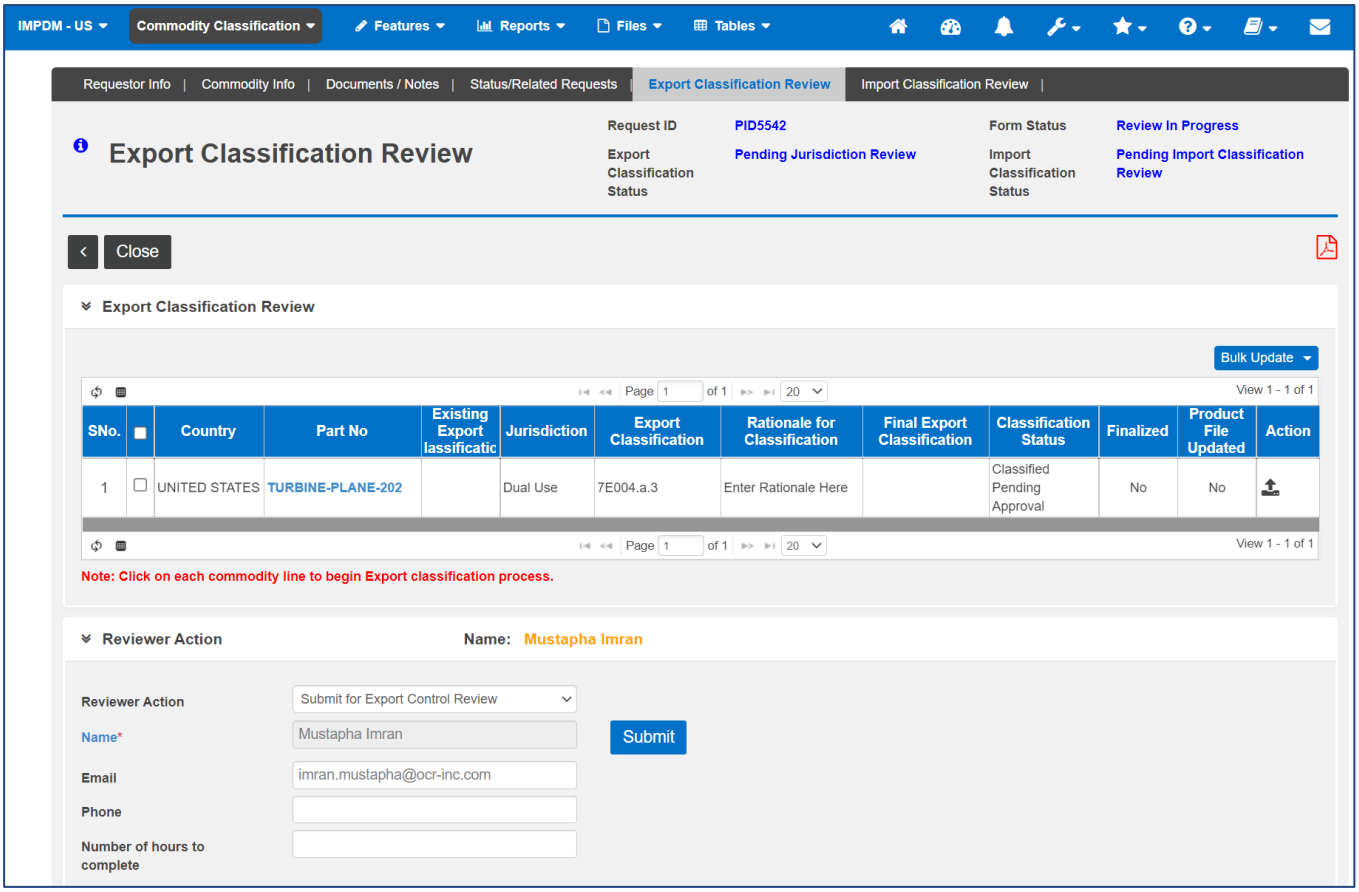

Figure 102: Review Completed

3.2.4.2 Export Control Review

Once the Jurisdiction & Classification Review has been completed, then proceed to the Export Control Review for finalizing the Product's Export Classification.

- Review the current Classification for finalization
  - Review the Jurisdiction & Classification determination dropdown to view the information entered by the previous reviewer.
  - If the Export Control Reviewer wishes to override the existing classification decision made on the Request, then they can update the fields in the Final Review and Approval dropdown and provide a rationale for overriding.

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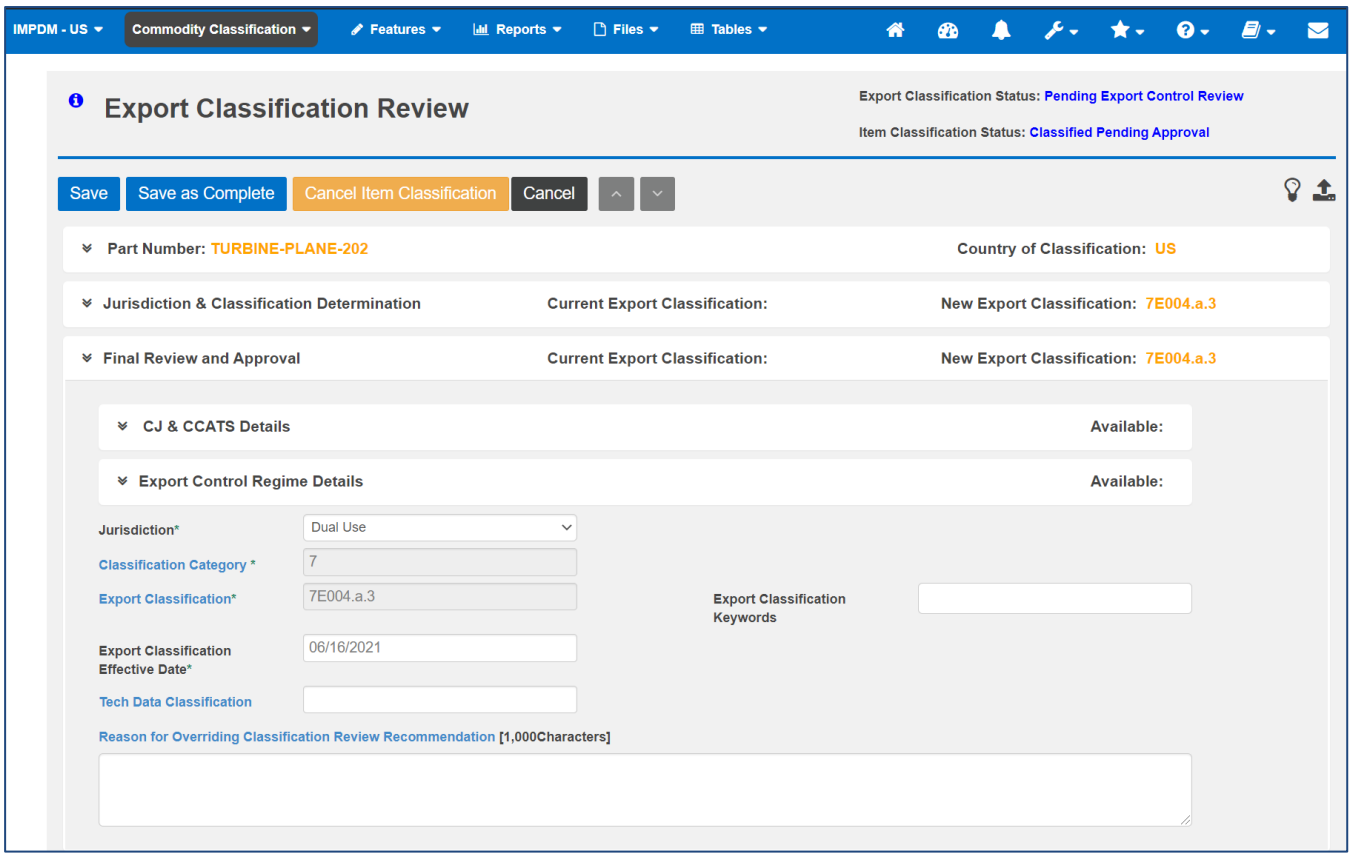

Figure 103: Export Control Review

- When finished reviewing – decide if you wish to import the Commodity Details and Classification into the Product File Database
  - If so, you can Finalize by line item by clicking the Finalize Classification button after clicking the Save as Complete button for one line item. You do not need to hit Save as Complete if Finalizing commodities in bulk using the following steps.
  - If Finalizing multiple commodities but not all of them, select the commodities you want Finalized from the grid, click on the Bulk Update button and then chose the 'Finalize Item Classification' option.
  - If Finalizing all commodities at once, you can select the 'Finalize and Update Product File' option under Reviewer actions. You'll be able to add approval notes if needed, and click on the Finalize Request button.
  - This will now complete the Export Classification Review portion for the entire Request.

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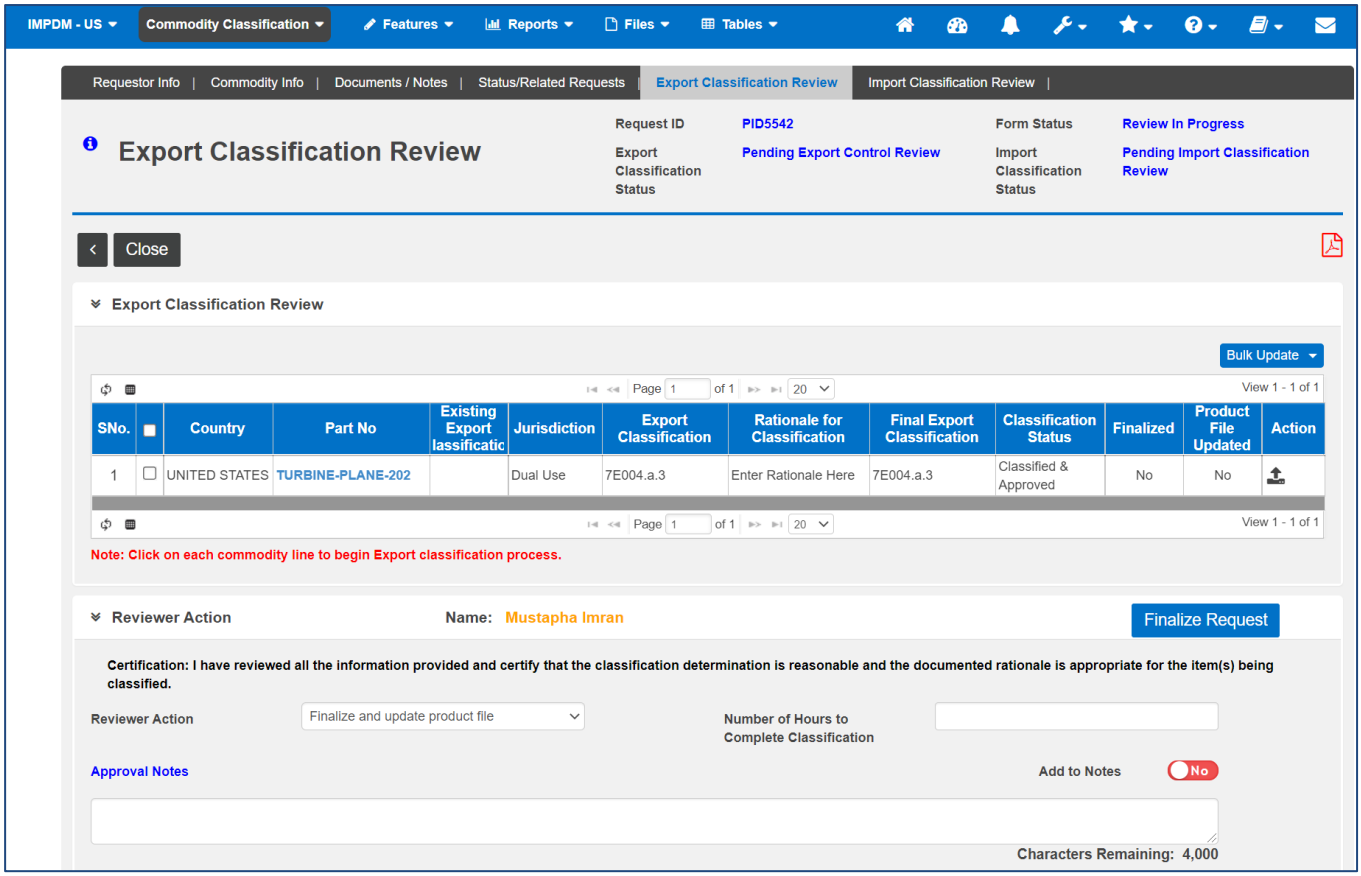

Figure 104: Review Completed

3.2.5 Export Classification Review – Review Cycle 1

In Review Cycle 1, there is no need for submission to an Export Control Reviewer as there is only one stage in the Export Classification Review. The Jurisdiction determination, Classification determination and Finalization of the Products will be done without having to submit to another level of review.

Any number of Additional Classification Reviewers. Once Additional Reviewers are brought into the process, Classification can be finalized only after completion of review by the additional reviewers

You begin the Export Classification Review by clicking on one of the Part Numbers and moving to the Review section.

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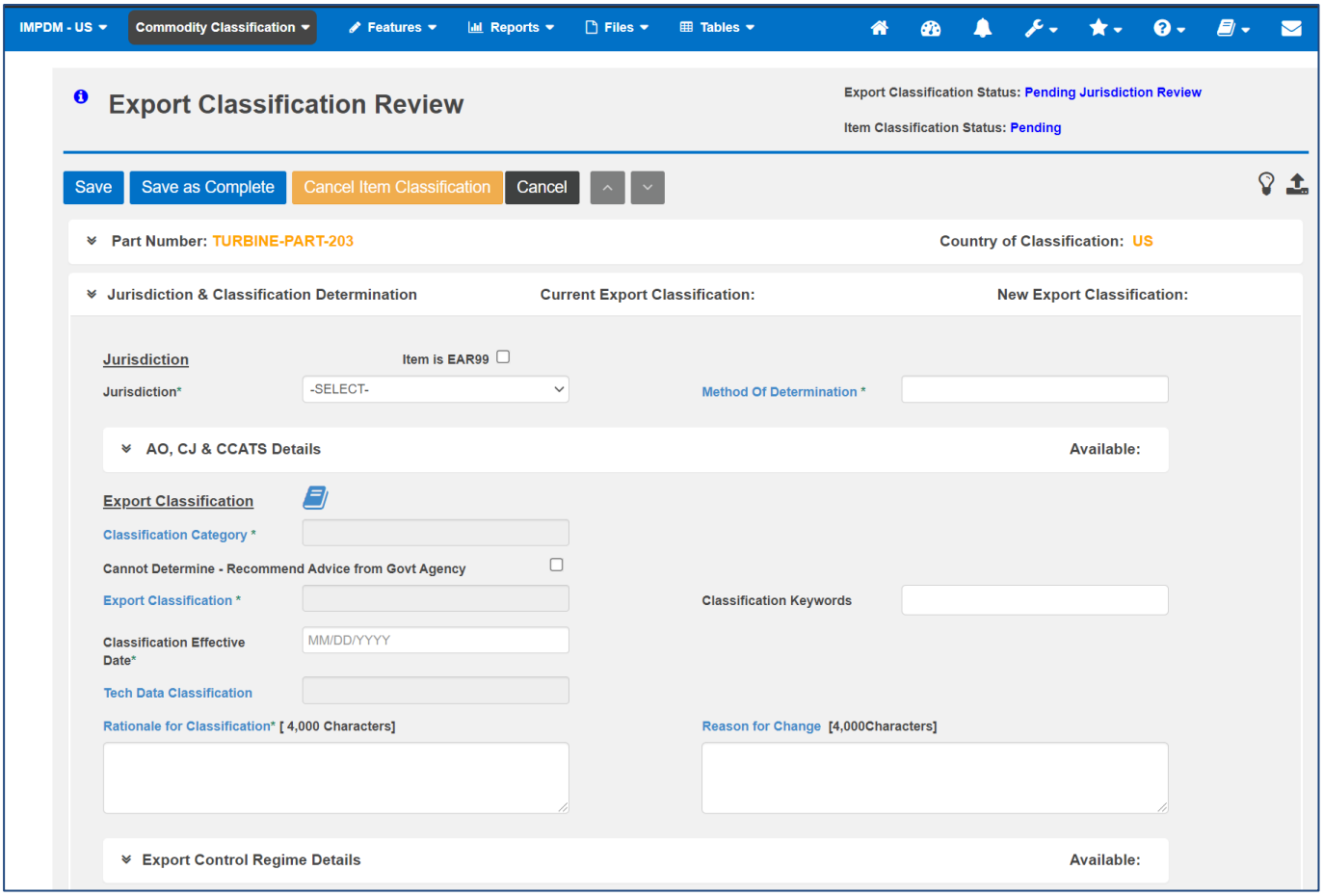

Figure 105: Pending Jurisdiction Review

- The screen will look exactly the same as 3.2.4.1.
- Therefore, as part of the Jurisdiction & Classification Review, review the Part Number dropdown to understand the information added by the Requestor.
- Then, select the Determination - Does the Product fall under ITAR or EAR?
  - If DOS/ITAR Controlled, then select **'Military Goods'** for the Jurisdiction Determination.
  - If DOC/EAR Controlled, then select **'Dual Use'** for the Jurisdiction Determination.
  - The Method of Determination as defined internally by your company.
- Once the Jurisdiction has been determined, you can now select the Classification Category, the Export Classification, fill in the Rationale for Classification and enter any other information that is needed such as Export Control Regime Details when applicable.
  - In this case, once you have clicked Save as Complete, the Finalize Classification button will appear as there is no higher level of review left to submit to. Therefore, we can Finalize the line item immediately. You do not need to hit Save as Complete if Finalizing commodities in bulk using the steps below.

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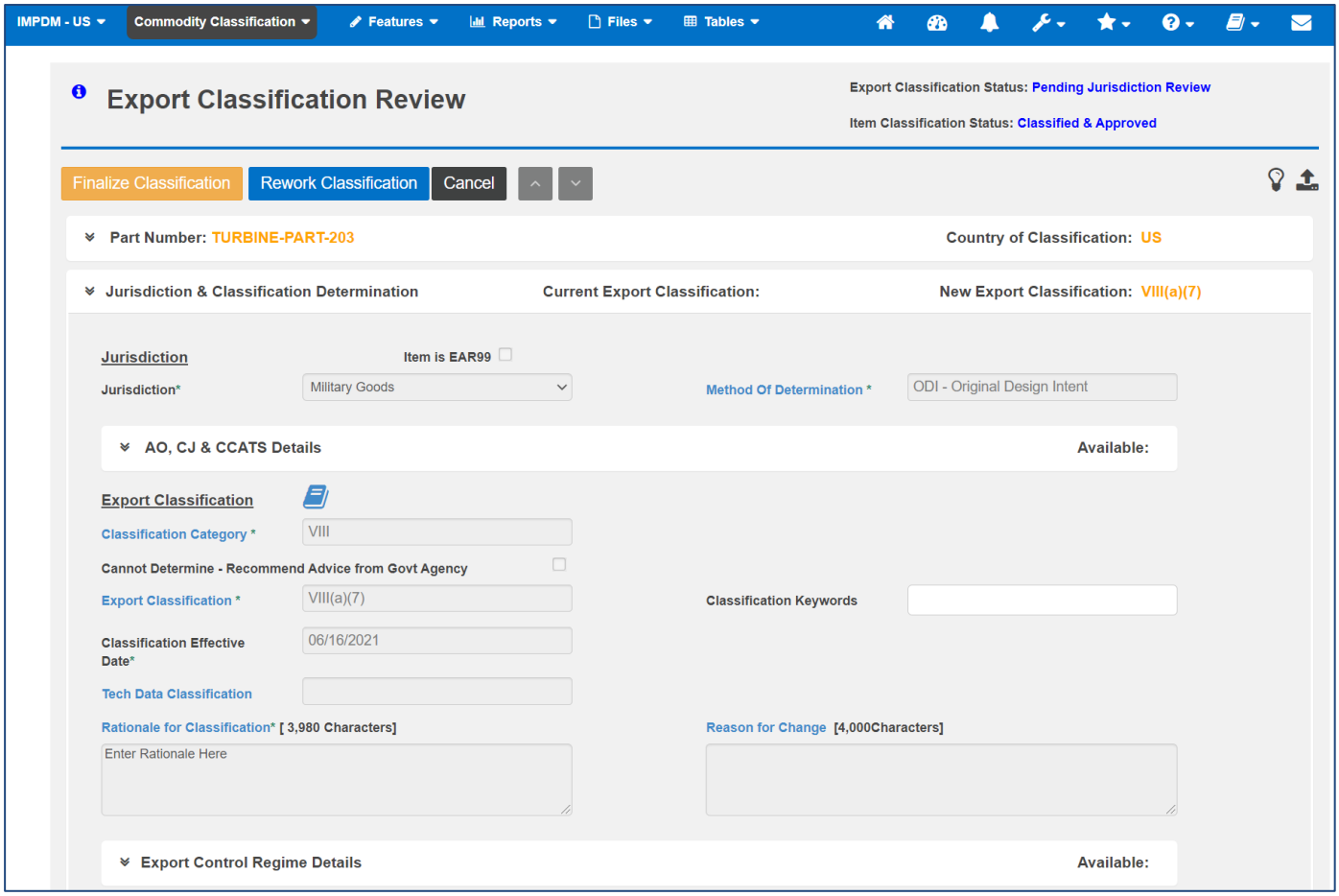

Figure 106: Complete Review

- If Finalizing multiple commodities but not all of them, select the commodities you want Finalized from the grid, click on the Bulk Update button and then chose the 'Finalize Item Classification' option.
- If Finalizing all commodities at once, you can select the 'Finalize and Update Product File' option under Reviewer actions. You'll be able to add approval notes if needed, and click on the Finalize Request button.
- This will now complete the Export Classification Review portion for the entire Request.

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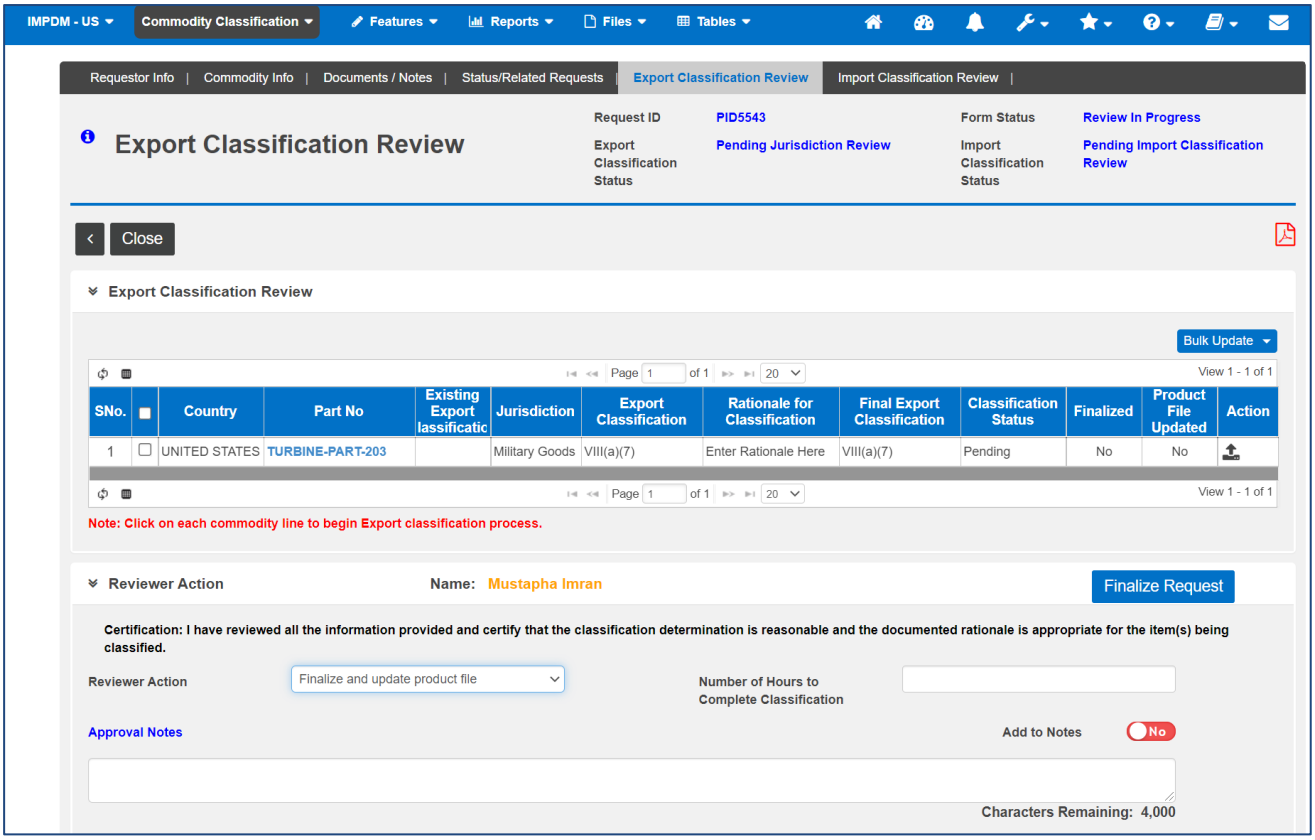

Figure 107: Review Completed

3.2.6 Import Classification Review

If the Import Classification Review is enforced, then from the **Import Classification Review Tab,** click any Part Number to begin Review.

The Import Classification Review screen is displayed.

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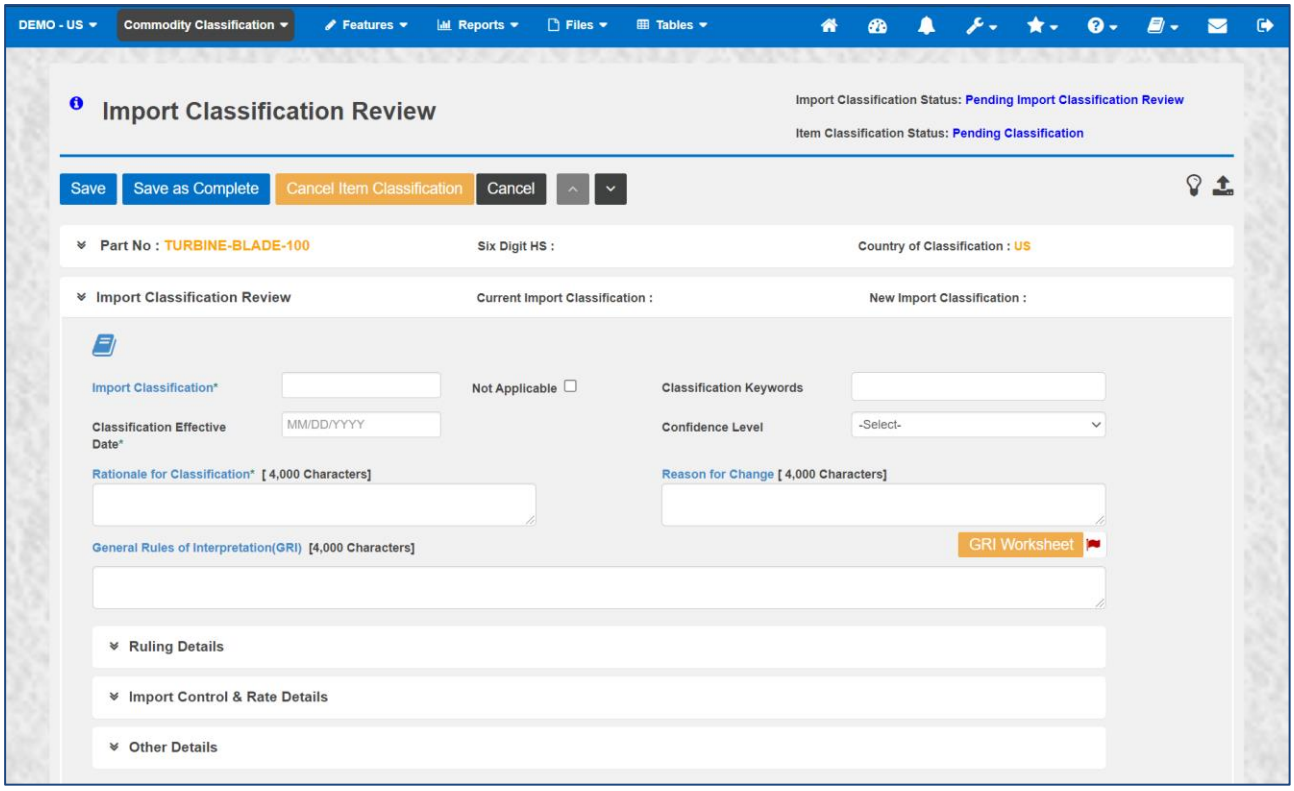

Figure 108: Import Classification Review Screen

- Review the Part Number dropdown to understand the information added by the Requestor.
  - The **Review Status** field displays the status as **'Classification Pending'**.

A Snapshot icon will display in the upper right corner, to provide a snapshot into the Import Questionnaire completed by the requestor.

- If you know the Customs Classification for the Product, then you can click the **Import Classification Review** hyperlink and search for the classification from the HTS Database. Once selecting the classification, the 6-digit HTS No will also populate.

- In the Ruling Details block, enter the details to record any Classification Authorization details. For example; Customs Binding Rulings, Confidence Level, GRI Details, Chapter Notes, etc.

A new button "Classification Suggestion" has been added to suggest potential HTS Classification based on the Export classification. Button will be enabled only if data is available in the Regulatory Data Mapping table in the System for the selected Country.

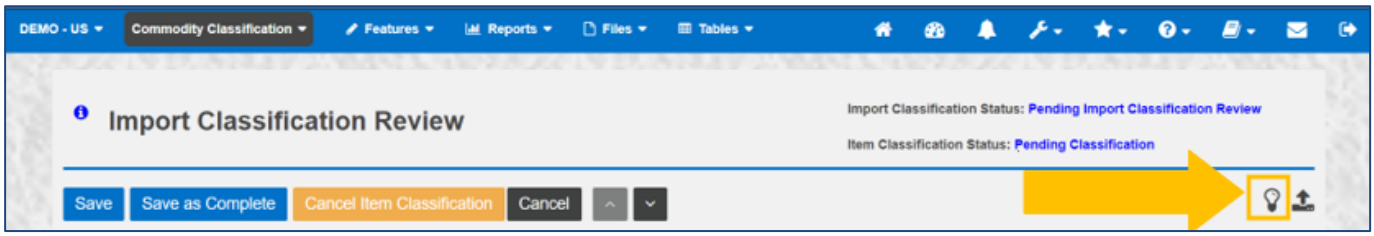

Figure 109: Classification Suggestion

Classification Tips:

Upon clicking the icon, you will see 3 separate grids:

- The 1st tip displays classifications tied to the Part Number currently being viewed for other countries.

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- The 2nd tip displays the other Country Classifications you entered in the same request if you have done multi-country classification.

- The 3rd tip comes from the Export Classification you entered for the products from the same request or product file.

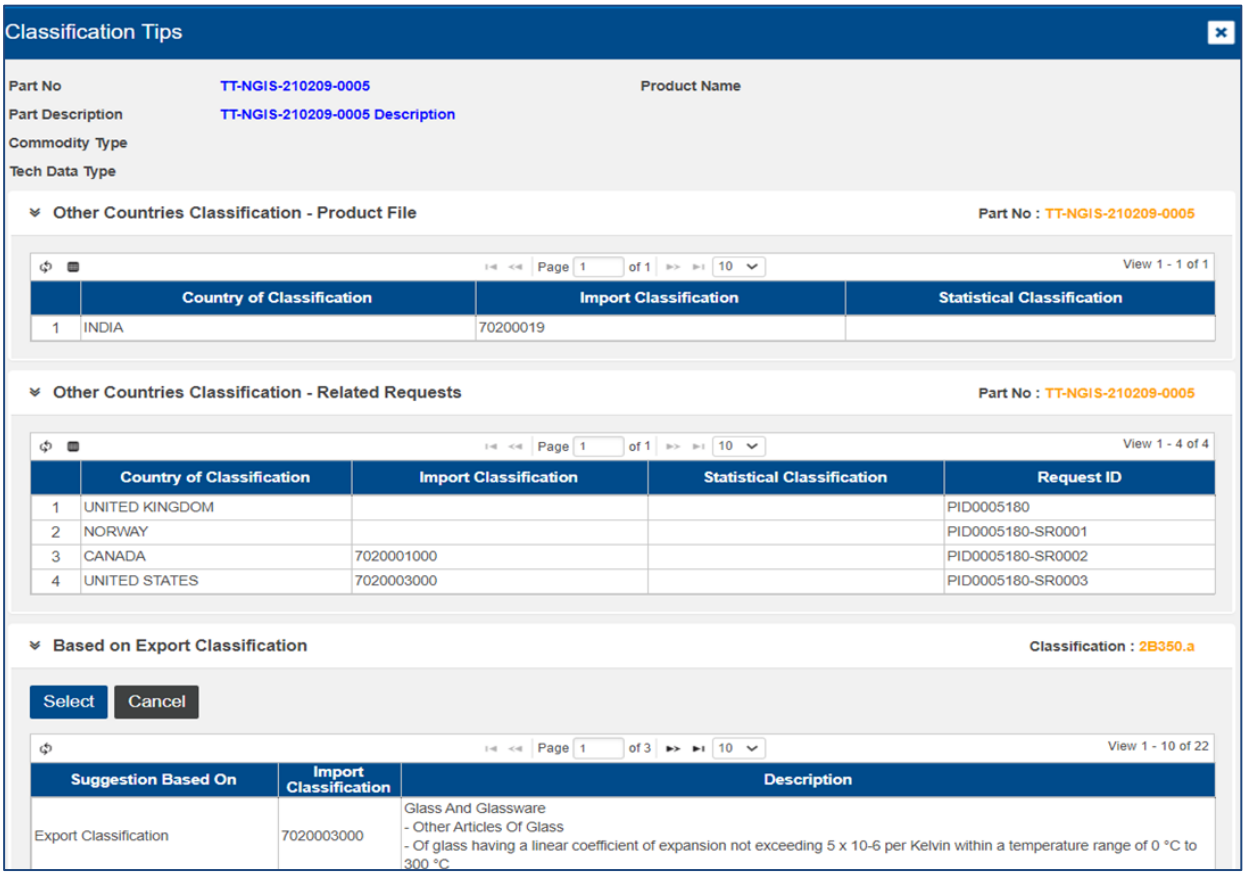

Figure 1109: Classification Suggestion

- If you have any additional documents that you want to attach to the classification section, then first click the Save button on the screen.
  - On the top right of the screen, you have the Attach Documents icon to upload your attachment.
- If you want to use the system defined GRI (General Rules of Interpretation) – to assist with the determination, then click the **'GRI Worksheet'** to display a popup window for the GRI Questionnaire.
- When you have finished assigning the Customs Classifications:
  - Enter the **'Rationale for Classification'** and **'GRI'** and click **'Save'.**
  - The Save as Complete button will appear at the top. Click this to change the **Review Status** from **'Classification Pending'** to **'Completed'.**

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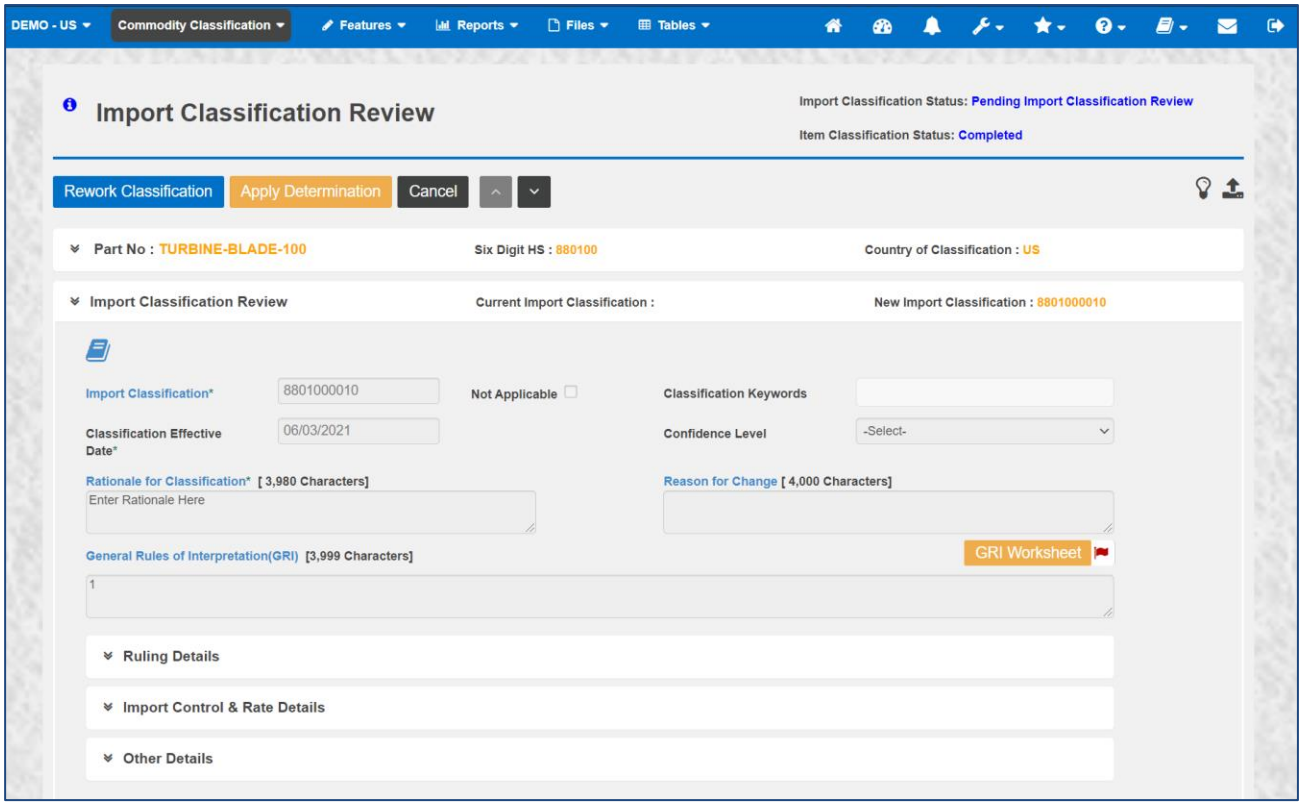

Figure 111: Classification Status

The Apply Determination button works the same throughout Export and Import Review Process. Refer to 3.2.3.2 for details.

3.2.7 Classification Completed

- Once a classification for a part is completed, a button appears for Apply Determination in case of multiple parts listed on the request. Use this to apply your same Customs Classification and rationale to additional parts.
- If you need to edit a particular classification that was made, click the Rework Classification button to set the Status back to 'Classification Pending'.

If there are multiple reviews/updates to the Customs Classification for a particular item, then each Reviewer's classification decision and rationale will be recorded within the details screen for the record at the bottom of the Classification Details screen.

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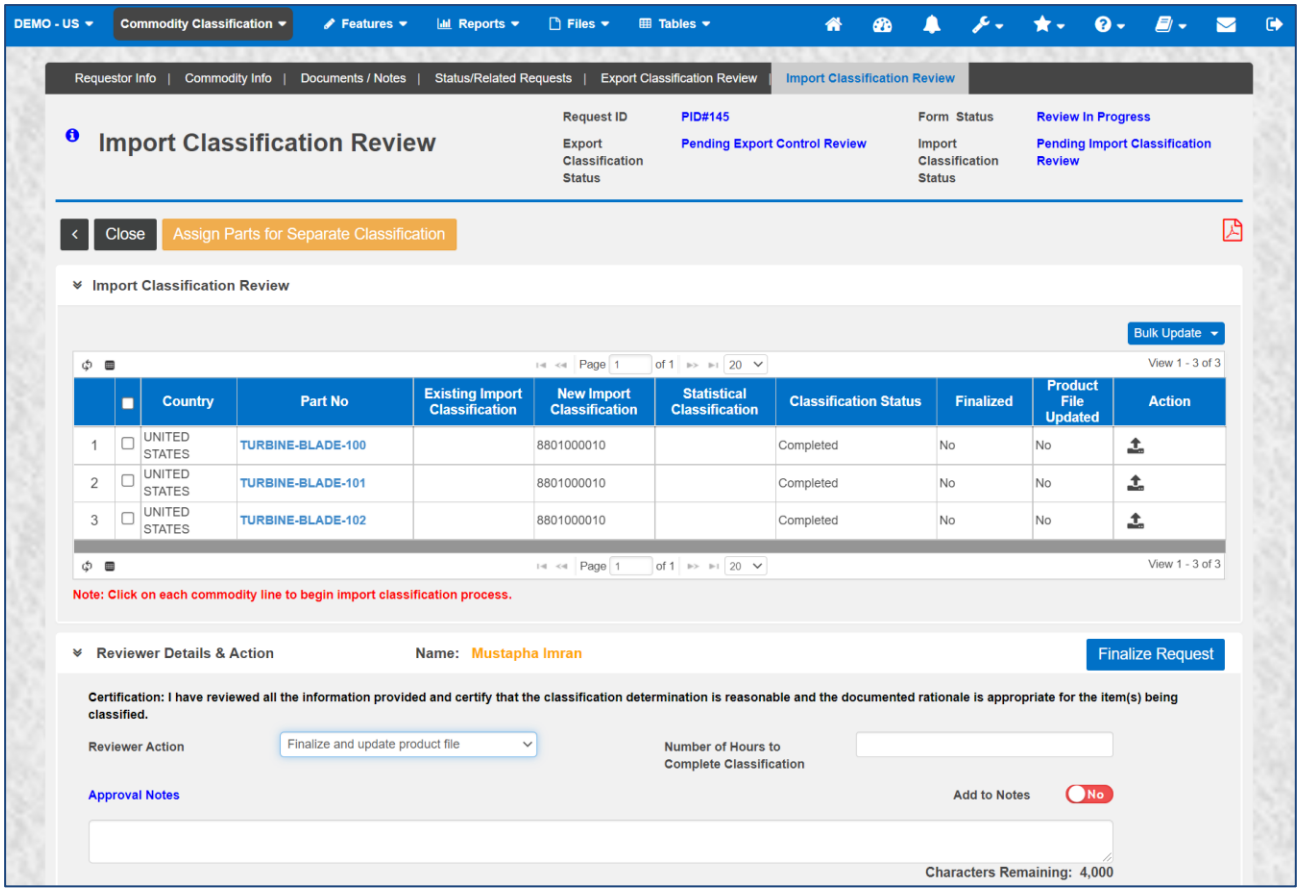

Figure 112: Classification Complete

Reviewer Actions:

After all commodities are Completed under the Classification Status, for all Products on the Request, go over to the Reviewer Actions Dropdown at the bottom of the screen and select the 'Finalize and Update Product File' option. Then, click the Finalize Request button to update the Product File Database with the Customs Classification details.

This will complete the Import Classification Review portion of the Review Cycle.

- If you need to return the Request to ask for additional information from the Requestor, then select the option for '**Return to Requestor for Rework'**, enter the reason for returning and click the corresponding **'Return'** button.
- When the request is submitted for Export and Import Classification Review and the Export Classification is completed while the Import Classification is still Pending. When HTS Reviewer returns the request to Requestor for Re-work. The Requestor will be able to edit the HTS Worksheet (only) to provide to any further details which could help the HTS Reviewer to assign appropriate classification.

  The rest of the request tabs will remain disabled (when Export Classification is completed) and HTS is still pending.

- If you need to reassign the Import Classification Review to a different reviewer, then select the option for **'Reassign to Import Classification Reviewer'** and enter the reason for reassigning and click the corresponding **'Reassign'** button.

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Once all the classifications have been completed:

- An e-mail notification will be sent to the Requestor, with the updated information
- **Portal Users** – The **Status Tab** of the Request will be updated with the Product Classifications
- Product File will be updated with the Part information from the Request.

Product File:

After the classification(s) of the Product have been finalized and the Request has a Status of 'Classification Completed'– this Request record will be retained in the Product File as reference.

- Navigate to **Files -> Products** to search for the Part No.
- Within the Product database for this Part No., you will see all details or the Product, pertaining to the Request.
- Navigate to the **Classification Tab** to view the Export/Customs Classification details as recorded on the request.
- The **Classification History Tab** will display the audit information for those classifications (Classified By, and Date) – as well as refer to the associated Classification Request
  - The Completed Requests section under the Commodity Classification History tab shows the Request ID on which the Part No. was classified.
  - The Pending Requests section under the Commodity Classification History tab shows the Request ID on which the Part No. is still pending classification on.

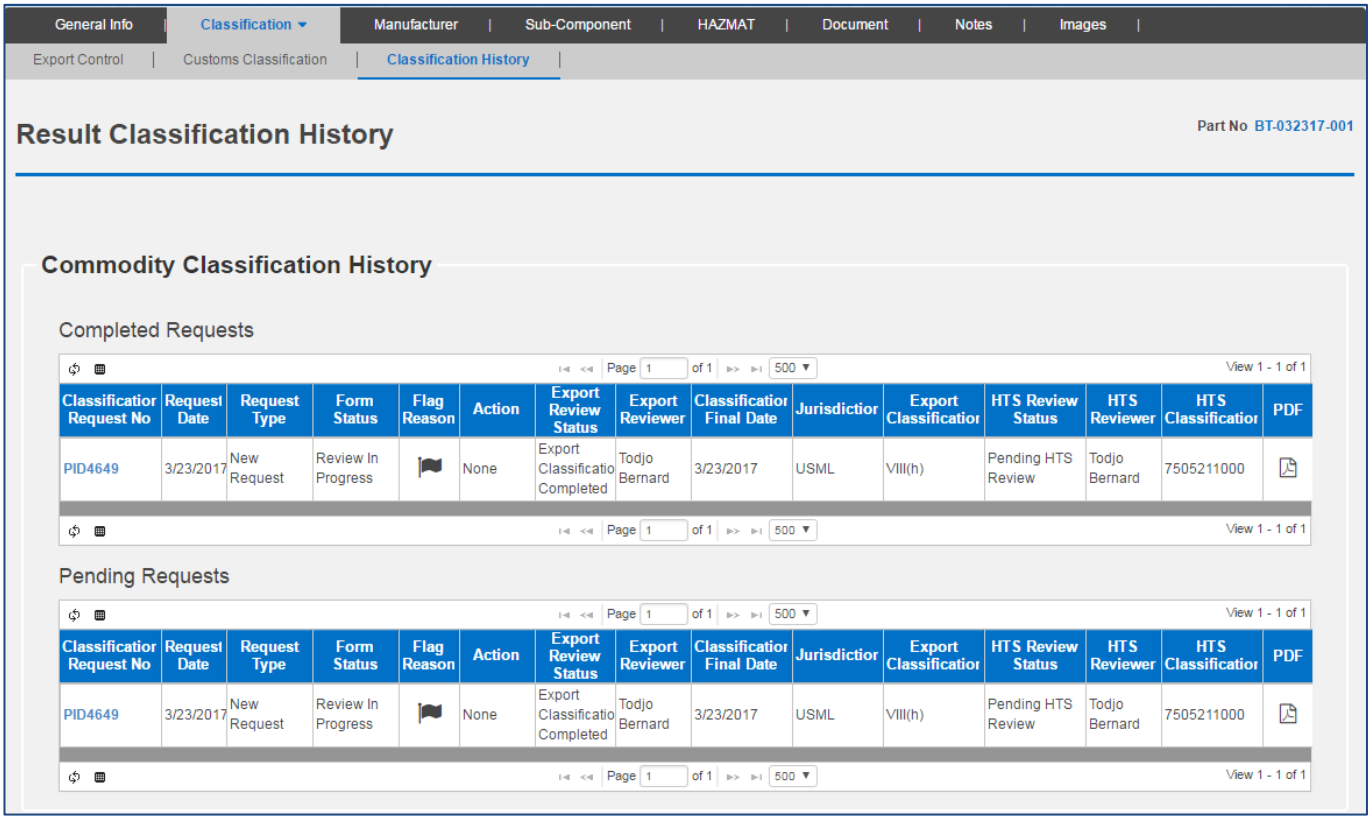

Figure 113: Result Classification History

After finalization, the CJ/CCATS/AO details entered in the CJ request will transfer over to the Product file.

3.2.8 Post Review Tab

After the classification(s) of the Product have been finalized and the Request has a Status of 'Classification Completed'– the Post Review Tab will be displayed for users with the appropriate User Role and Permission to Add Additional Commodities to the Request, or set/remove flag reasons for a request/product(s) cited on the request.

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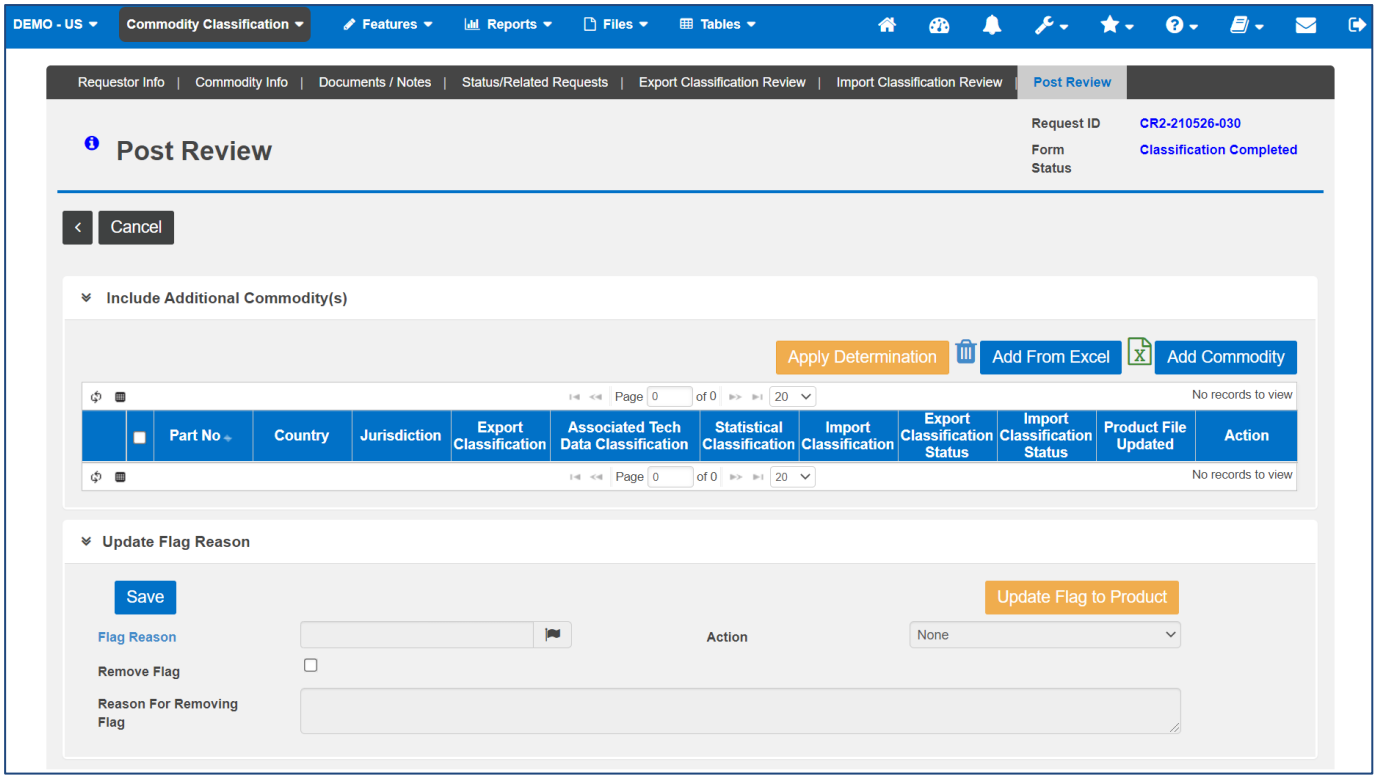

Figure 114: Post Review Tab

- The Post Review tab will display based on user role and permission:
  - Portal Users will be unable to view the Post Review tab
  - Registered User will only be able to view the Post Review tab but unable to make changes
  - Compliance Managers that have the Export Classification Reviewer or HTS Reviewer privileges will be able to make changes
  - SBU Administrators will be able to make changes
  - Corporate Administrators will be able to make changes

Include Additional Commodities:

- To add another commodity to the Request, click on the Add Commodity button or the Add From Excel to add commodities in bulk. The excel template to add the commodities in bulk can be downloaded by clicking the icon.
- **Note**: Any commodities added in the Post Review tab must be applied the same classifications from the completed request.
- After clicking the Add Commodity button, the Add/Edit Commodity Details Page will be displayed exactly like how a commodity is added in the Commodity Info tab.

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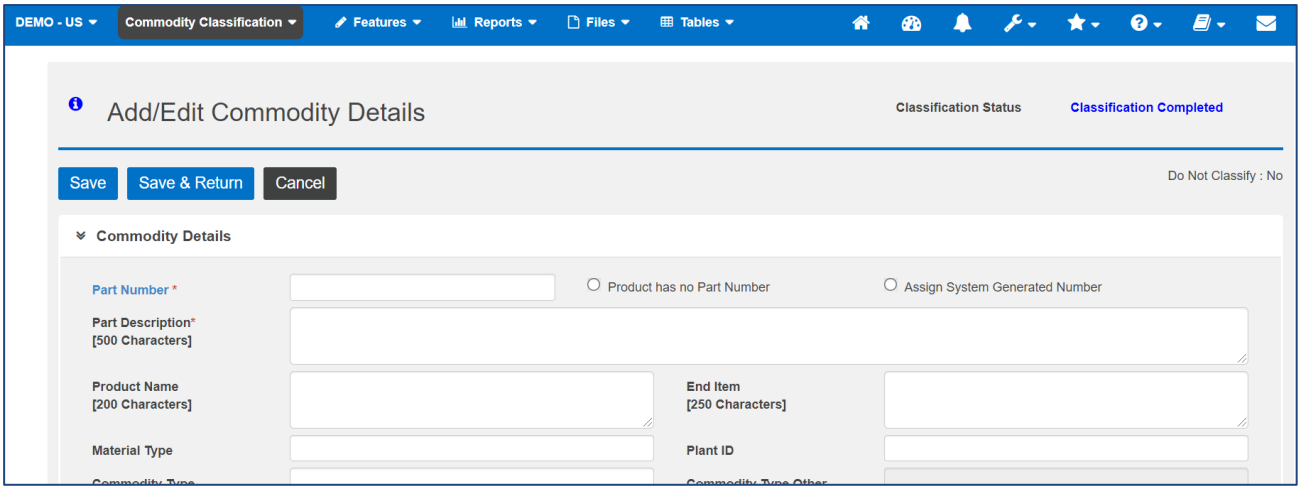
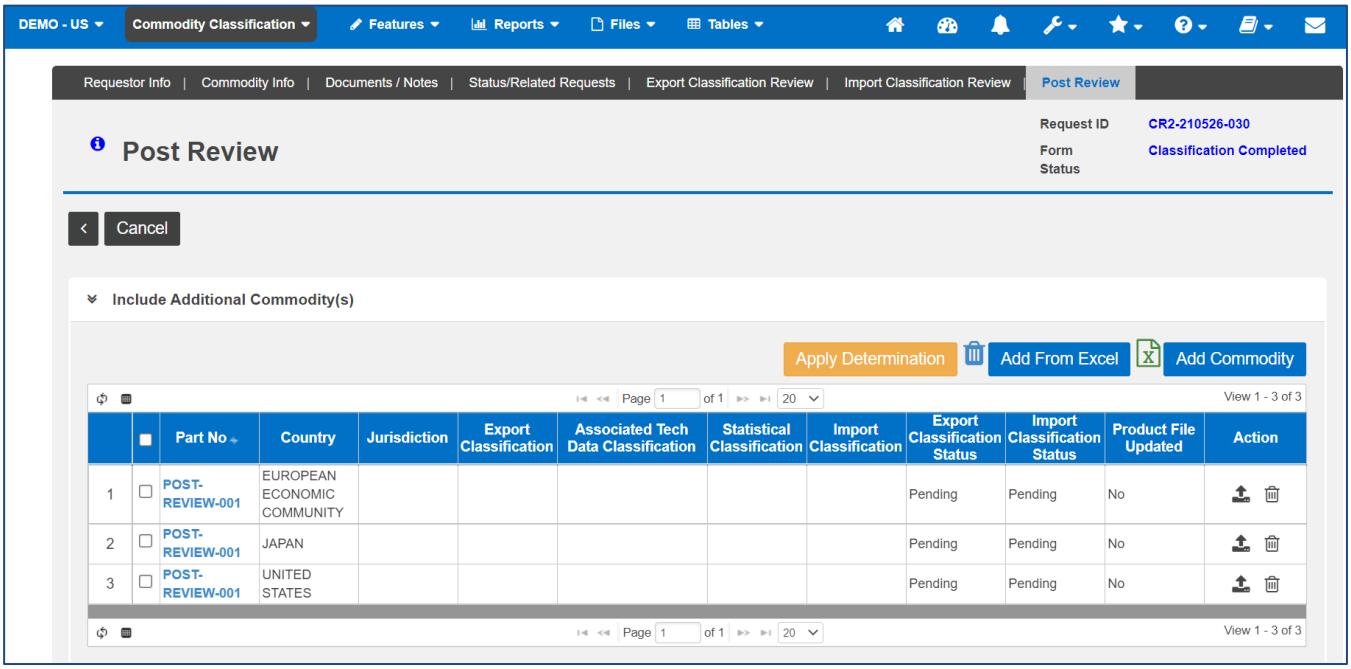
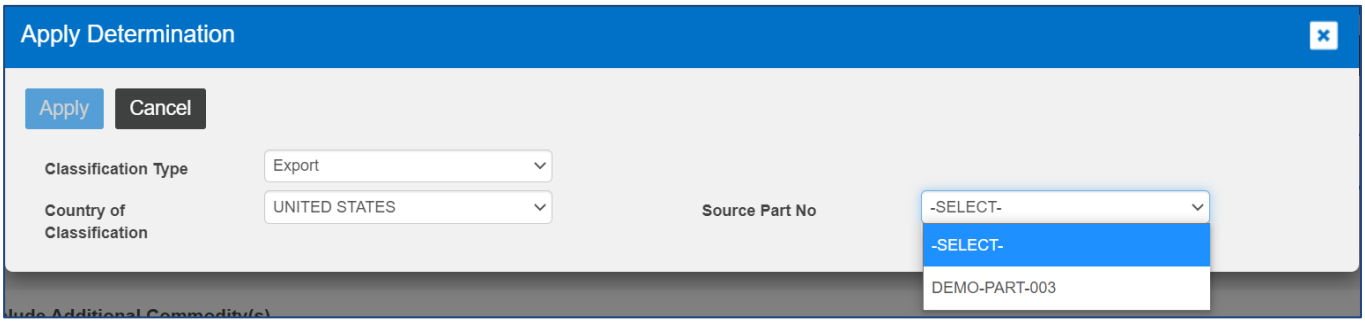


Figure 115: Add/Edit Commodity Details Screen

- Once you have entered the details and clicked the Save & Return button, the new commodity added will be displayed in the Include Additional Commodity(s) grid. If your request was being classified for multiple countries, then the commodity will be added for all countries in the request.



- After the commodities have been added, click the Apply Determination button to bring up the Apply Determination screen where we can select the Classification Type as Import/Export, the country of Classification and the Source Part Number we are applying the Determination from.



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- After selecting the Source Part No, we can choose to copy all details to the new commodity, or select specific details to leave out. However, the fields with the red asterisks * are mandatory for a classification and must be copied for the Apply function to be successful.
- You can also select specific commodities to apply the Determination aside from being able to select all of them.
- Once you have selected the details to be copied and the commodities to be copied to, click on the Apply button to apply the determination successfully.

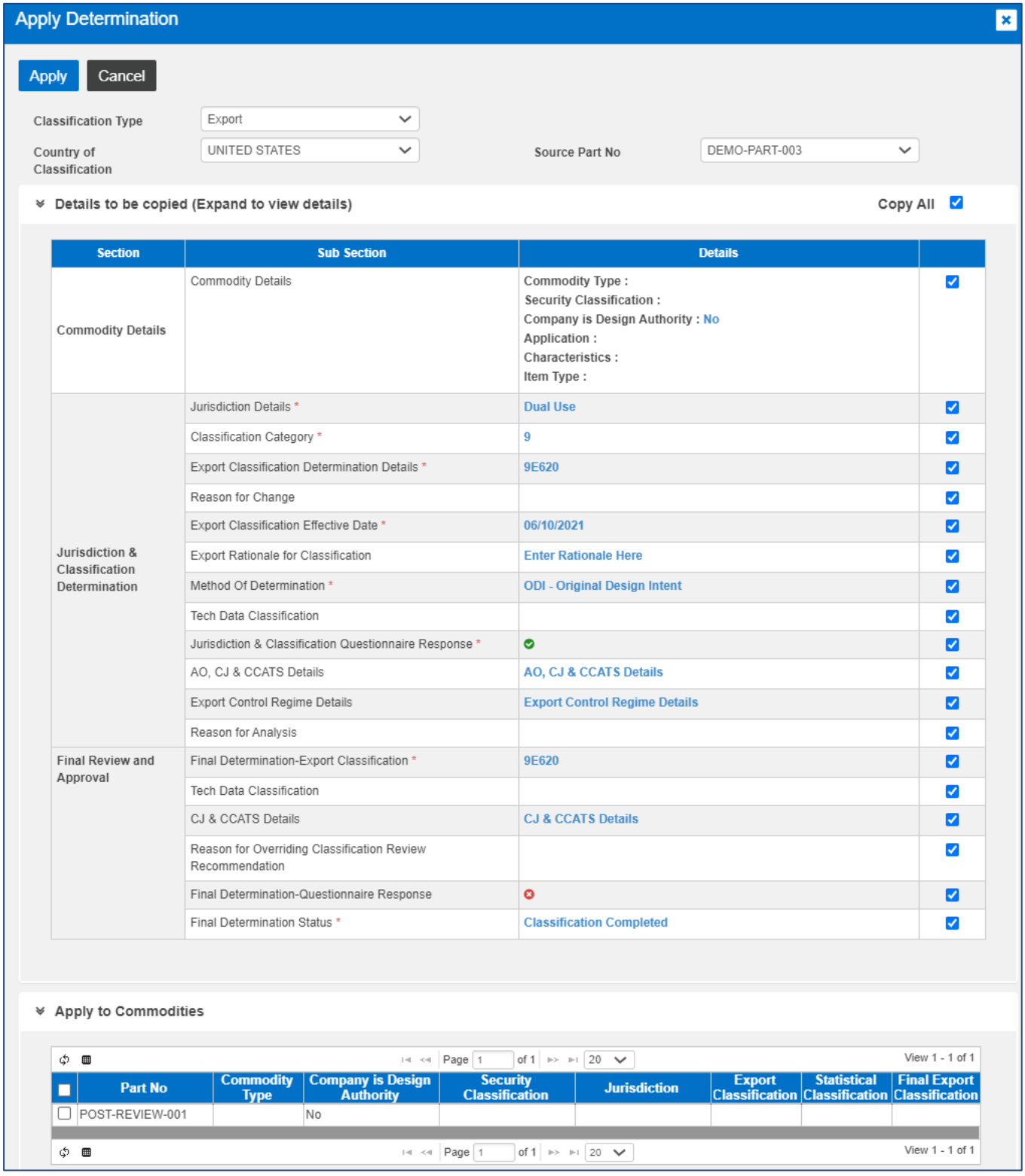

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Figure 116: Apply Determination

- You will then notice that the Classification has been added for the commodity you applied the determination to. However, the new classification has not been transferred to the Product File as seen from the 'Product File Updated' column.
- A new 'Update Classification' section has appeared where upon selecting the Classification and clicking on the Update Classification button will the Classification and the Commodity be updated in the Product File.

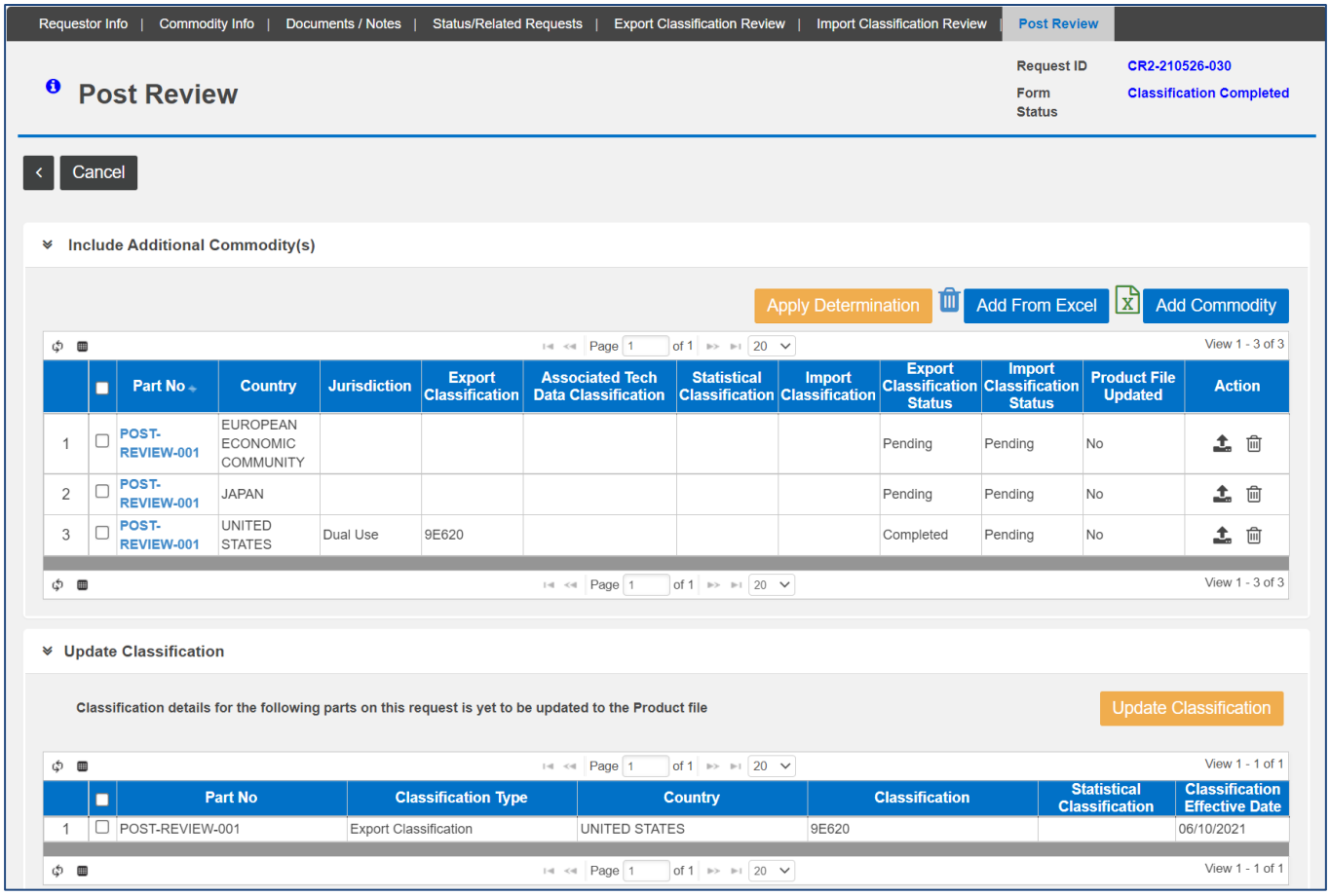

Figure 117: Post Review Screen

- Once the Update Classification has been completed, the section will disappear and the 'Product File Updated' column in the Include Additional Commodity(s) grid will have changed to Yes for the commodity that was updated.

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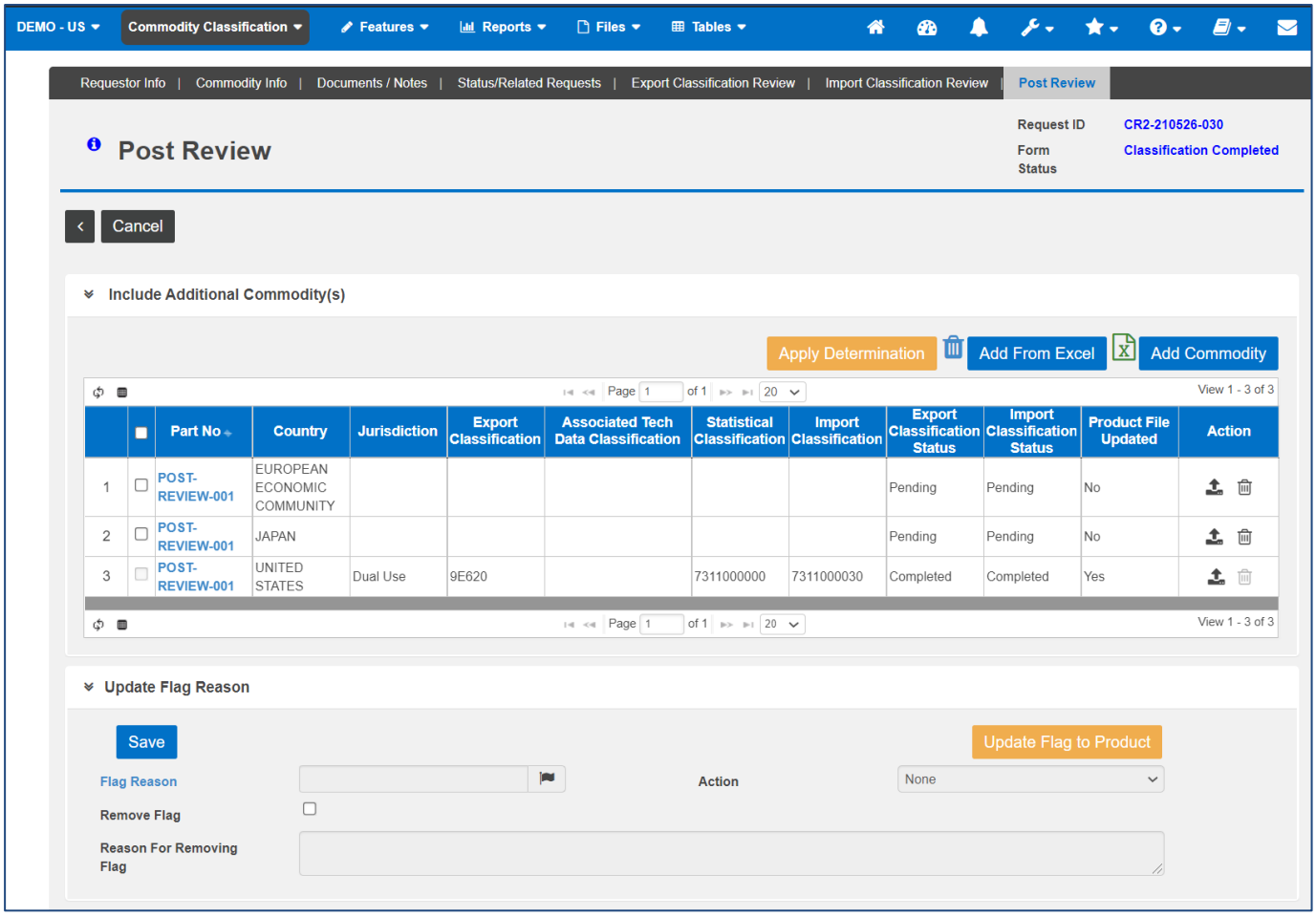

Figure 118: Product File Updated Option

- This process will then be repeated for all the other commodities that are part of separate countries of classification as you can not apply classifications from one country directly to another without review

Adding or Removing Flags:

- To set a Flag Reason for a request, click on the **Flag Reason** field hyperlink under the Update Flag Reason section. On the popup screen, search for available Flag Reasons, make a selection and click the Save button.

  The System will display available Flag Reasons that have been created under Files.

- To remove a Flag Reason assigned to a request, click on the **Remove Flag** check-box and enter a reason for removing **the** flag and click the Save button.
  - When **Add to Notes** is selected, the system will save the reason for removing a flag reason in the Notes section on the **Documents/Notes** tab.
- To set a Flag Reason for a product(s) cited on the request, click on the Update Flag to Product button.
  - On the Part Numbers dialog box, click the **Flag Reason** hyperlink, search for and select a Flag Reason, select the product(s) you want to apply the Flag Reason to, and click the Apply button.
- To remove a Flag Reason for a product(s) cited on the request, click on the Update Flag to Product button.
  - On the Part Numbers dialog-box, click the **Remove Flag** check-box and enter a reason for removing **the** flag, select the product(s) you want to remove the flag reason from and click the Apply button.

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- When **Add to Notes** is selected, the system will save the reason for removing a flag reason in the Notes section on the **Documents/Notes** tab.
- When a user assigns or removes a flag reason for a product and click the Apply button, the Product File (**Files** -> **Product**) is updated with the Flag Reason assigned or removed for the product.

- Instructions or comments pertaining to flag reasons for the request can be entered and saved in the **General Comments** field.

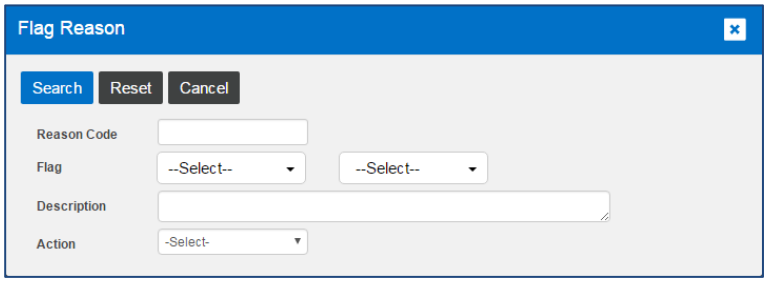

Figure 119: Flag Reason

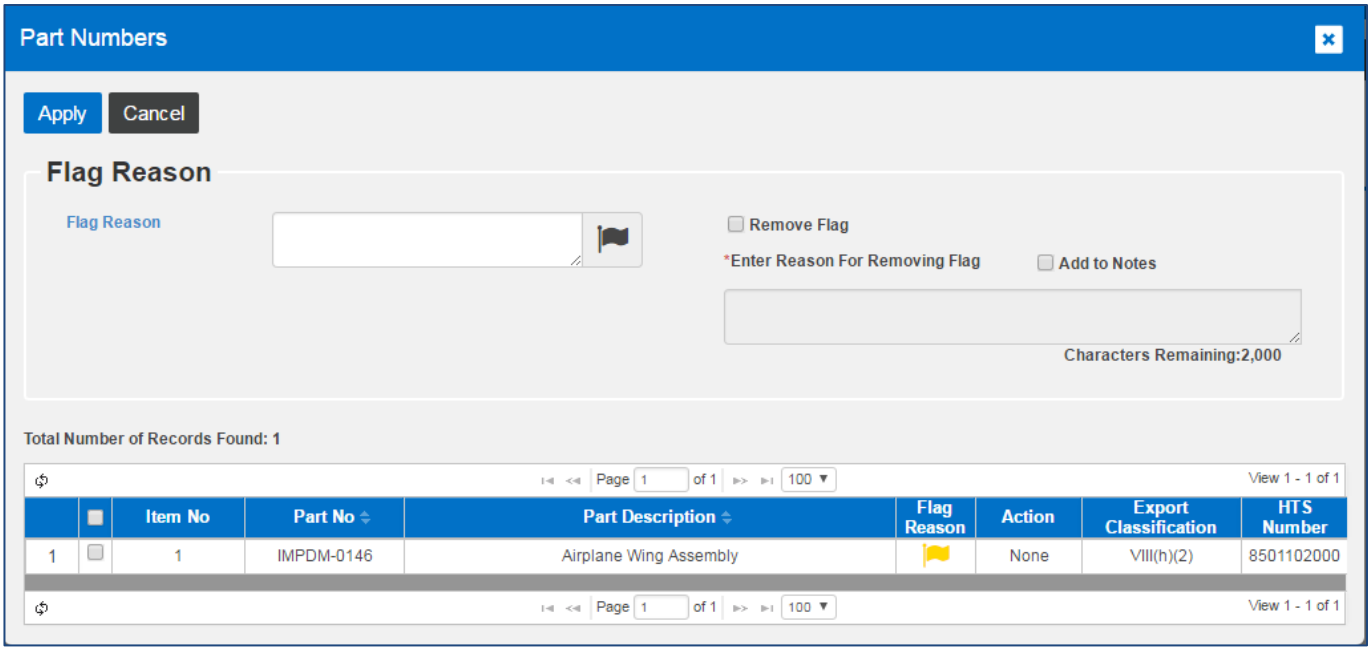

Figure 120: Flag on Part Number

3.2.9 Classification Audit Report

Classification Audit Report provides all details of the classification process including response to various questionnaires / checklists

Classification Audit Report can be generated from

- Classification Request – Search result list
- Classification Request – Requestor Info Tab, Commodity Info Tab, Export / Import Classification Review Tabs
- Product file – Classification History

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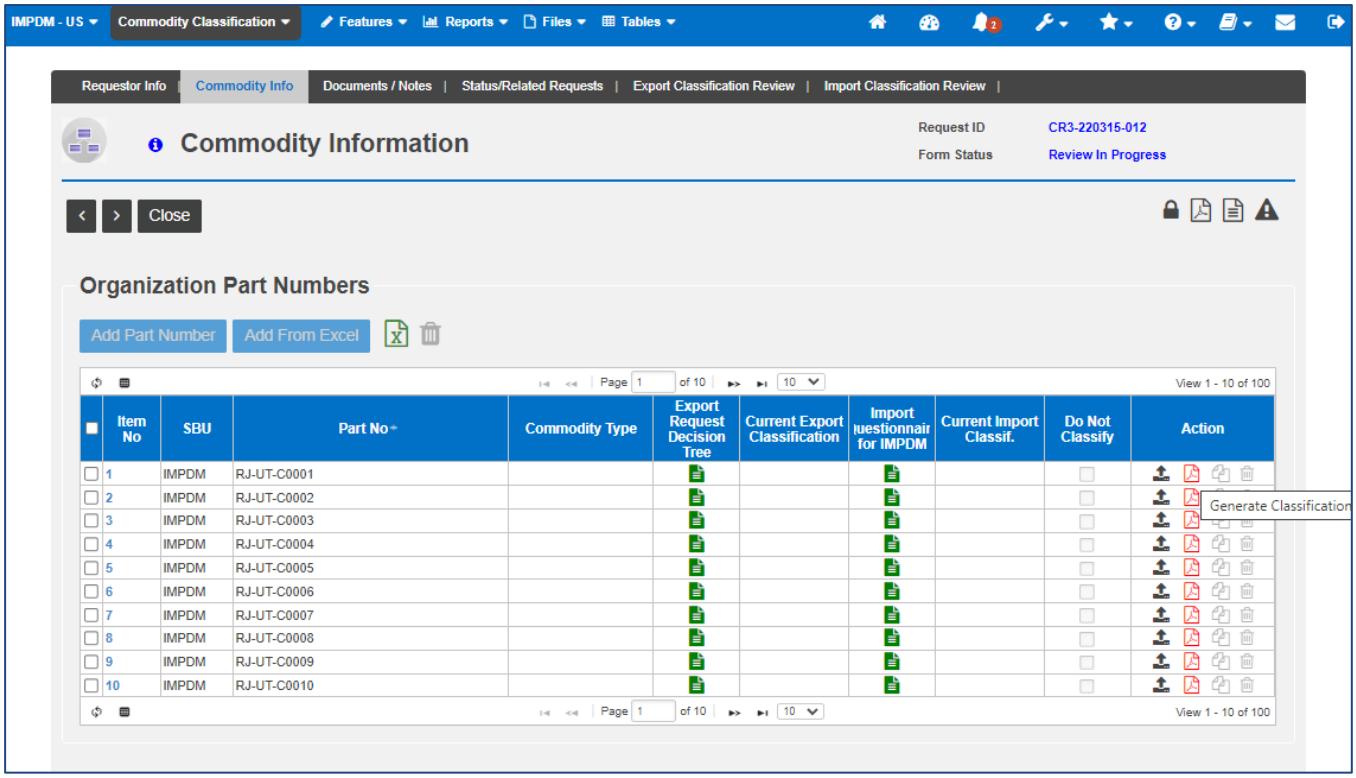
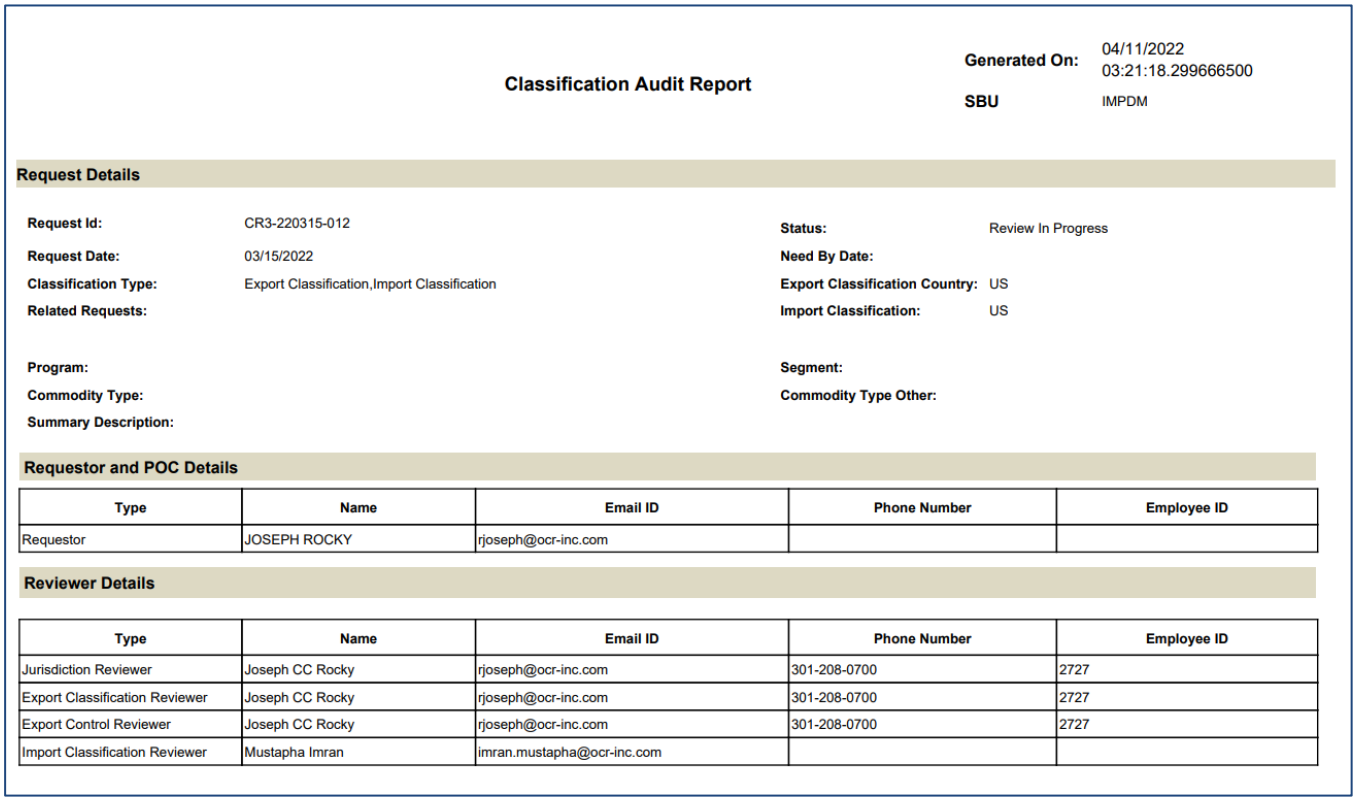


Figure 121: Generate Classification Audit Report



Classification Audit Report

Generated On: 04/11/2022 03:21:18.299666500

SBU IMPDM

Request Details

Request Id:	CR3-220315-012	**Status:**	Review In Progress
Request Date:	03/15/2022	**Need By Date:**	
Classification Type:	Export Classification,Import Classification	**Export Classification Country:**	US
Related Requests:		**Import Classification:**	US
Program:		**Segment:**	
Commodity Type:		**Commodity Type Other:**	
Summary Description:			

Requestor and POC Details

Type	Name	Email ID	Phone Number	Employee ID
Requestor	JOSEPH ROCKY	rjoseph@ocr-inc.com		

Reviewer Details

Type	Name	Email ID	Phone Number	Employee ID
Jurisdiction Reviewer	Joseph CC Rocky	rjoseph@ocr-inc.com	301-208-0700	2727
Export Classification Reviewer	Joseph CC Rocky	rjoseph@ocr-inc.com	301-208-0700	2727
Export Control Reviewer	Joseph CC Rocky	rjoseph@ocr-inc.com	301-208-0700	2727
Import Classification Reviewer	Mustapha Imran	imran.mustapha@ocr-inc.com		

Figure 122: Classification Audit Report

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3.3 Classification Engine

The Classification Engine functionality of the Commodity Classification module is efficient for narrowing down product classification. Based on a keyword text, the engine will gather results of potential Rating that a particular product could be identified as. There are many cases now where a general item, such as a microchip, could have a dual-use for commercial products (For example; computers, satellites) as well as military applications (For example; missiles).

Classification Engine feature enhanced to give greater flexibility while searching, resulting in increased search options and greater accuracy. Including facility to:

- Search for multiple countries at the same time.
- Perform search for multiple items at the same time (Using Bulk search upload feature).

It is important for a company to know which department classification their product should be filed under to avoid any violations to the U.S. laws and regulations. These determinations can be highly complex and the mistakes costly; therefore, it is crucial for making the right decision.

Export products may be classified to need licenses from Commerce (Commerce Control List, Supplement 1 to EAR Part 774) or State (U.S. Munitions List – USML, ITAR Part 121) Some jurisdiction questions to think about for a license determination would be:

- Is the item a defense article or military item, or specifically designed for a military application?
- Has the item been specifically modified, adapted, or configured for a military application?
- Does the item use military specifications?
- What is the intended use for the item – are there any end-uses military related?
- What, if any, are the civil or commercial related uses of the item?

Answers to these key questions will make the jurisdiction much easier to speed up the process and help to better utilize the **Classification Engine** functionality.

The following steps describe how to use the Classification engine.

1. To access the Classification engine, you need to first view the **Screening Options** screen successfully. This can be achieved by the following:
   a. Navigating to the **Classification Engine** feature of **Commodity Classification** module (Commodity Classification -> Features -> Classifications Engine).

The Classification Engine screen is displayed.

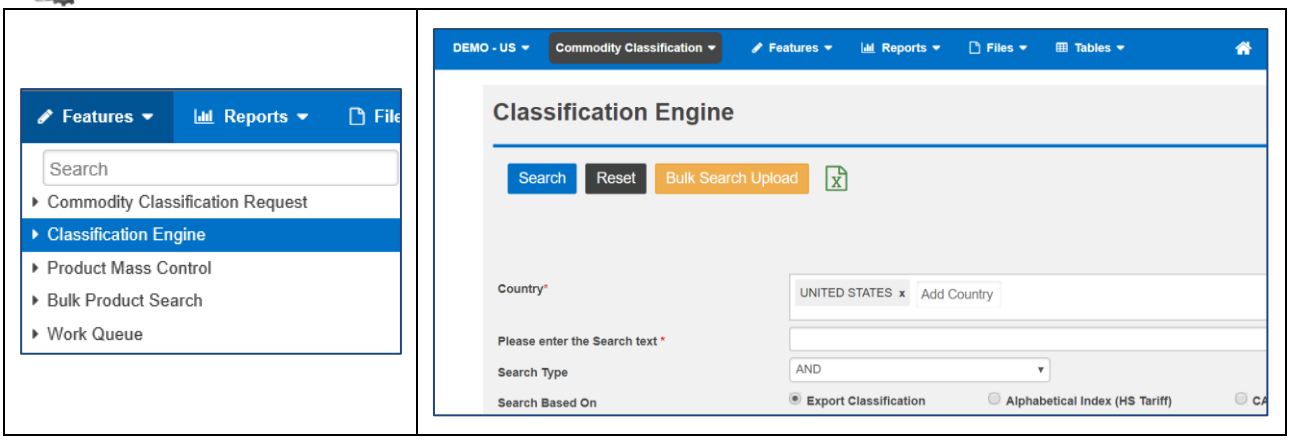

Figure 123: Classification Engine Screen

You can also search the required feature from the Search Bar provided in the Features Menu drop-down list.

You can click the Bulk Search Upload *button to upload the Excel file to screen multiple parts. Click the* *icon to download the template and enter the data.*

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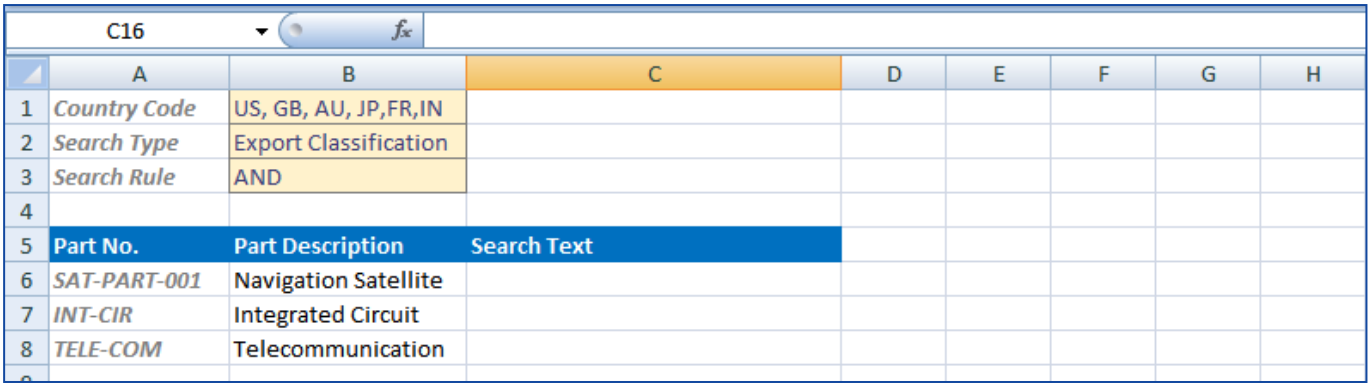
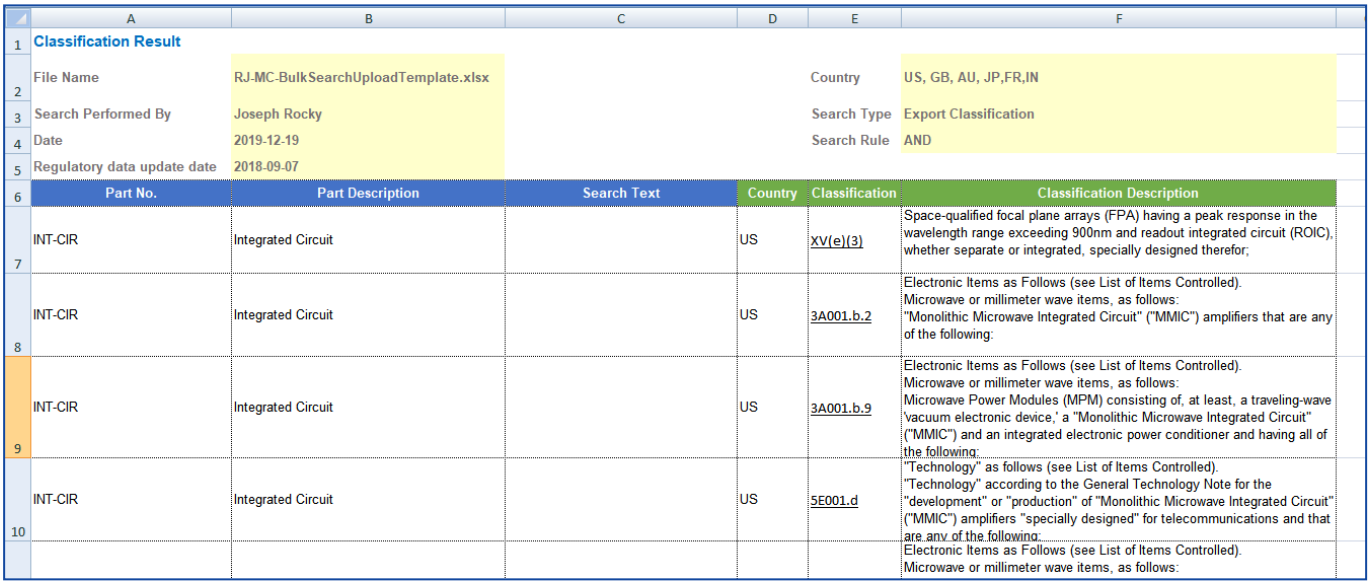


	A	B	C	D	E	F	G	H
1	*Country Code*	US, GB, AU, JP,FR,IN						
2	*Search Type*	Export Classification						
3	*Search Rule*	AND						
4								
5	**Part No.**	**Part Description**	**Search Text**					
6	*SAT-PART-001*	Navigation Satellite						
7	*INT-CIR*	Integrated Circuit						
8	*TELE-COM*	Telecommunication						

Figure 124: Sample Excel File



	A	B	C	D	E	F
1	**Classification Result**					
2	File Name	RJ-MC-BulkSearchUploadTemplate.xlsx			Country	US, GB, AU, JP,FR,IN
3	Search Performed By	Joseph Rocky			Search Type	Export Classification
4	Date	2019-12-19			Search Rule	AND
5	Regulatory data update date	2018-09-07				
6	**Part No.**	**Part Description**	**Search Text**	**Country**	**Classification**	**Classification Description**
7	INT-CIR	Integrated Circuit		US	XV(e)(3)	Space-qualified focal plane arrays (FPA) having a peak response in the wavelength range exceeding 900nm and readout integrated circuit (ROIC), whether separate or integrated, specially designed therefor;
8	INT-CIR	Integrated Circuit		US	3A001.b.2	Electronic Items as Follows (see List of Items Controlled). Microwave or millimeter wave items, as follows: "Monolithic Microwave Integrated Circuit" ("MMIC") amplifiers that are any of the following:
9	INT-CIR	Integrated Circuit		US	3A001.b.9	Electronic Items as Follows (see List of Items Controlled). Microwave or millimeter wave items, as follows: Microwave Power Modules (MPM) consisting of, at least, a traveling-wave 'vacuum electronic device,' a "Monolithic Microwave Integrated Circuit" ("MMIC") and an integrated electronic power conditioner and having all of the following:
10	INT-CIR	Integrated Circuit		US	5E001.d	"Technology" as follows (see List of Items Controlled). "Technology" according to the General Technology Note for the "development" or "production" of "Monolithic Microwave Integrated Circuit" ("MMIC") amplifiers "specially designed" for telecommunications and that are any of the following:
						Electronic Items as Follows (see List of Items Controlled). Microwave or millimeter wave items, as follows:

Figure 125: Bulk Search Result File

2. On the **Classification Engine** screen, in the Country field, select the required countries.
3. In the **Please enter the Search text** field, enter the text regarding a specific product for classification results.
4. In the **Search Type** drop-down list, select the search type AND or OR.
5. Once all fields are populated, click the Search button.

The Search Results screen is displayed.

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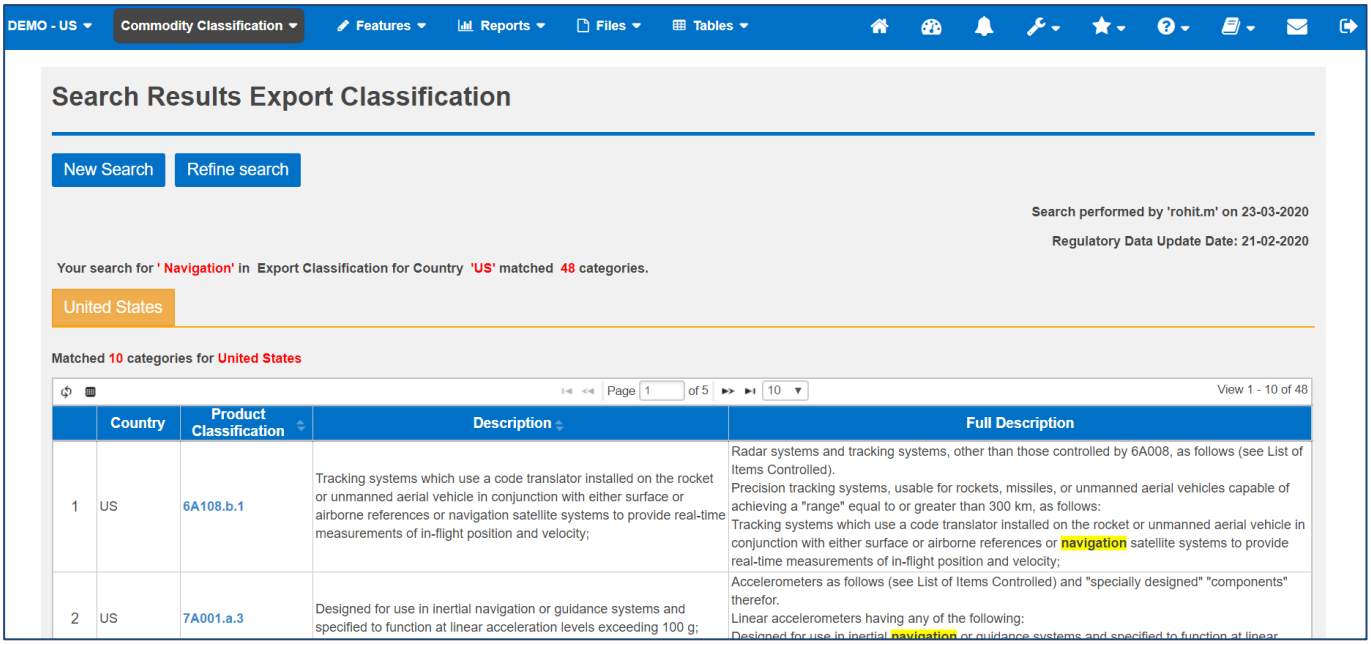

Figure 1266: Search Results Screen

At the top right side of the screen, the regulatory data update date and user name and date the search was performed are displayed.

The search criteria and a number of records found are displayed above the search results table.

You can click the Refine search *button to modify the search criteria.*

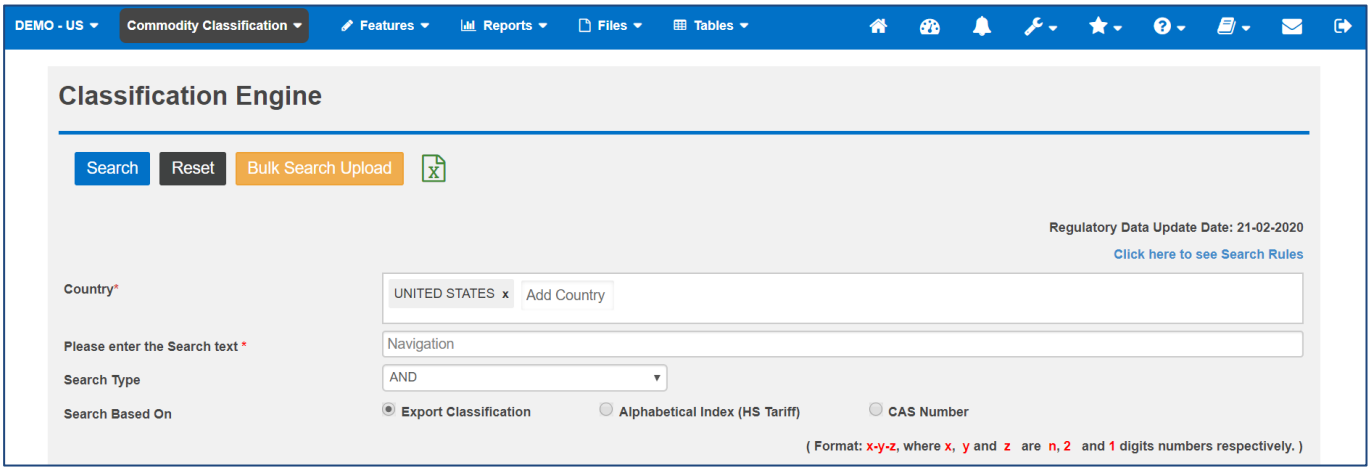

Figure 1277: Refine Search Criteria

6. In the **Search Results** table, under the **Product Classification** column, click the desired number link to view its details.

The Classification Number details are displayed in the new window.

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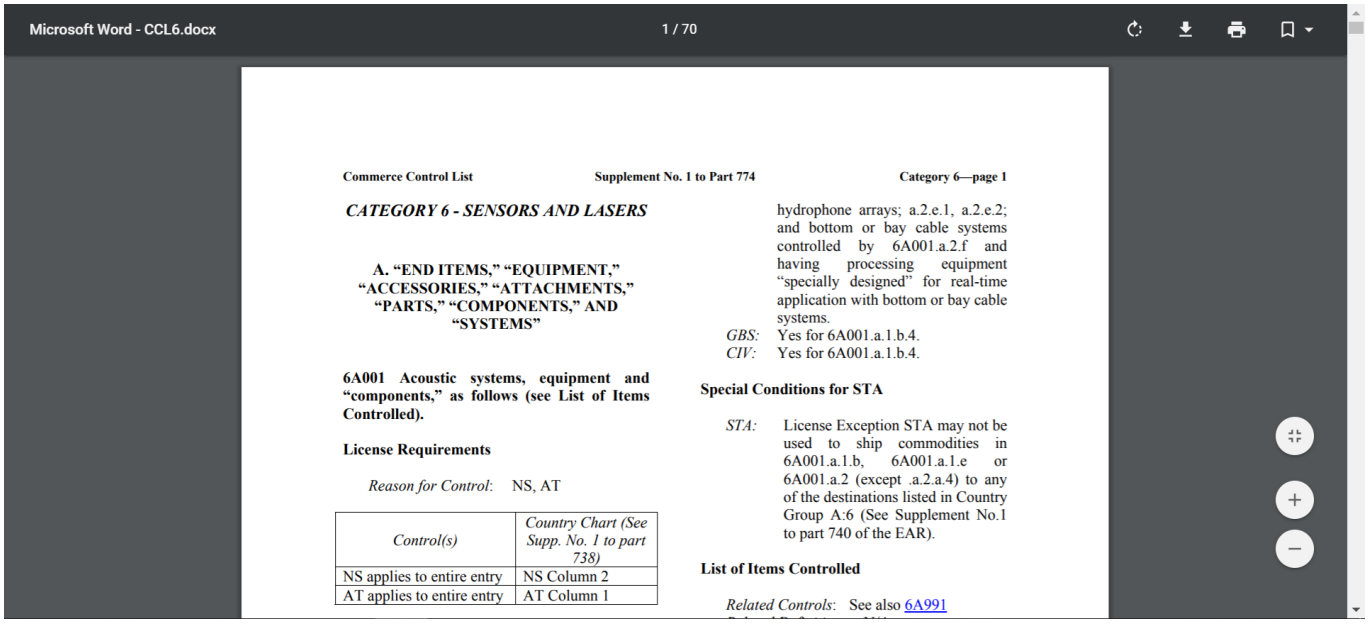

Figure 128: Classification Number Details

3.4 Bulk Update Classification

The Product Mass Control feature is used by the SBU Administrator and above level users to update the classification or flag reasons for more than one product. This feature is divided into two following sections:

- **Bulk Update Product Classifications** - Whenever Export Control Reform or HTS Update takes place, the user can search the impacted categories and bulk update Export and Customs Classification.
- **Bulk Flag Update** - Now with the Flagging capability, products in the database can be flagged for company-specific rules/holds, etc. For example, if there is a category of Products which have EAR99 as classification and under 1 SBU the company wants to review all the Products that are flagged as EAR99. Companies can flag all the EAR99 products as "On Hold until next update" and those Products will not be used for Export. A similar occurred in one of our clients recently for a different category of products.

Refer the following steps to update product classification and flag them.

1. To update the classification, you need to first view the **Search Product** screen successfully. This can be achieved by the following:
    a. Navigating to the **Bulk Update Classification** feature of **Commodity Classification** module (Commodity Classification -> Features -> Product Mass Control).

The Search Product screen is displayed.

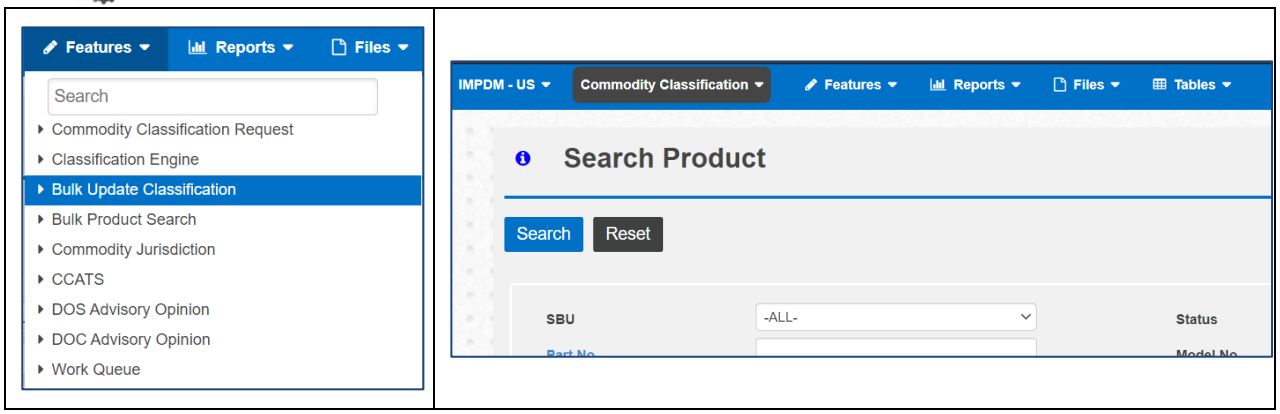

Figure 1299: Search Product Screen Navigation

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You can also search the required feature from the Search Bar provided in the Features Menu drop-down list.

b. On the **Search Product** screen, from the **Select SBU** drop-down list, select the desired SBU and enter the search parameters in the available fields. Once all parameters ad filled, click the Search button.

The Product Mass Control screen is displayed.

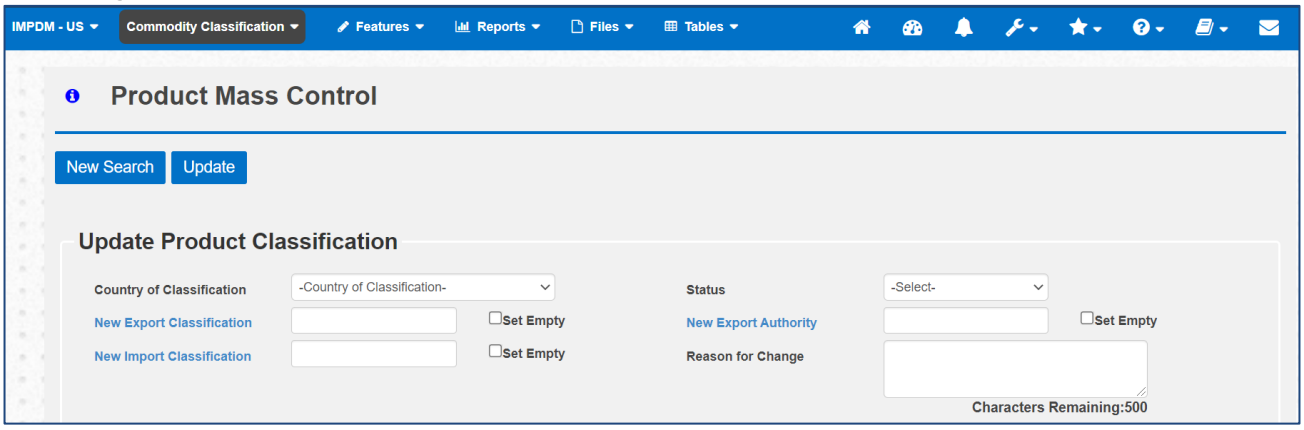

Figure 130: Product Mass Control Screen

2. The **Product Mass Control** screen is divided into three following sections:
   a. Classification selection block.
   b. Product Details block.
   c. Search Results table.
3. To update the Classification of the products, select the products in the search result table.

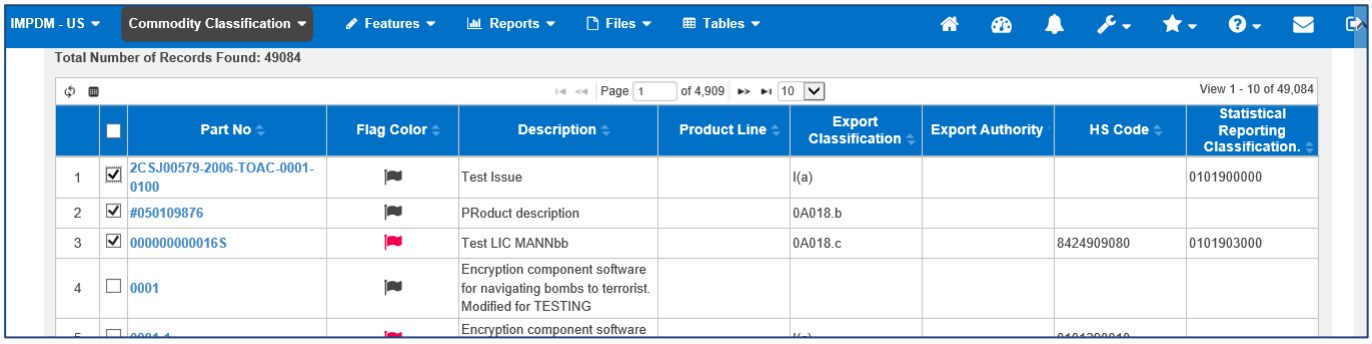

Figure 131: Search Results Table – Selected Products

4. For classification update, once all products are selected, go to Classification block, from the country of classification drop-down list, select the classification country. For example; United States.
   a. Select the desired classification (Import or export) in the available fields. Then, go to Step 6.

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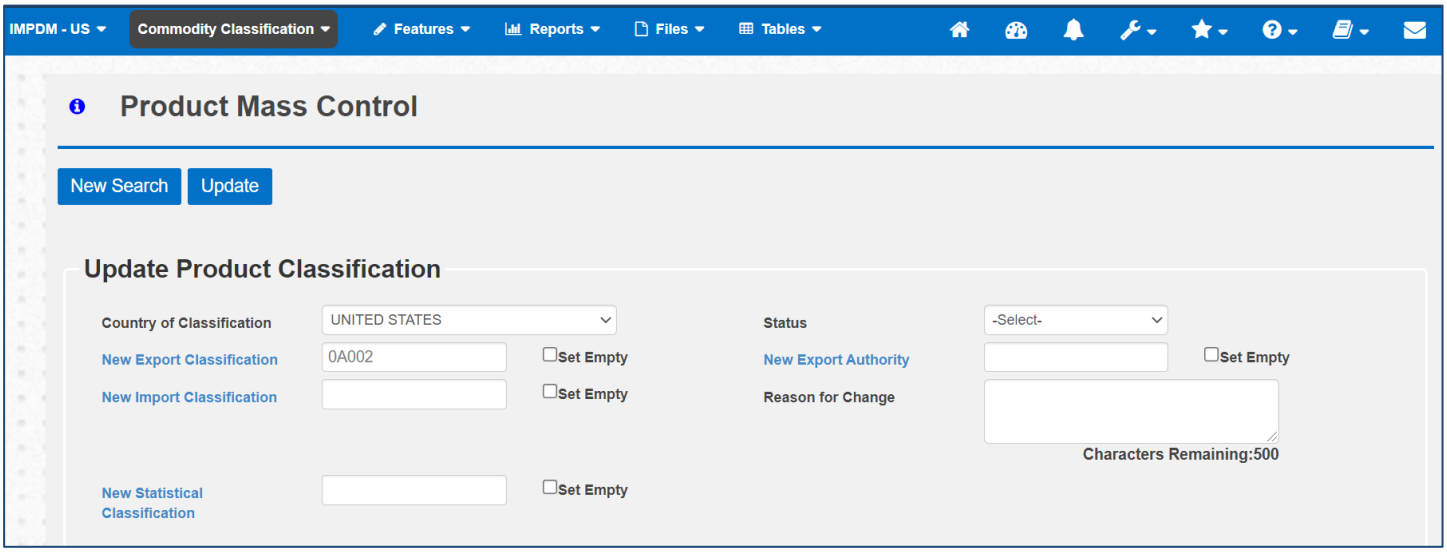

Figure 132: Classification Block

5. For Flag Reason update, go to Product Details block and select the desired flag for the selected products.

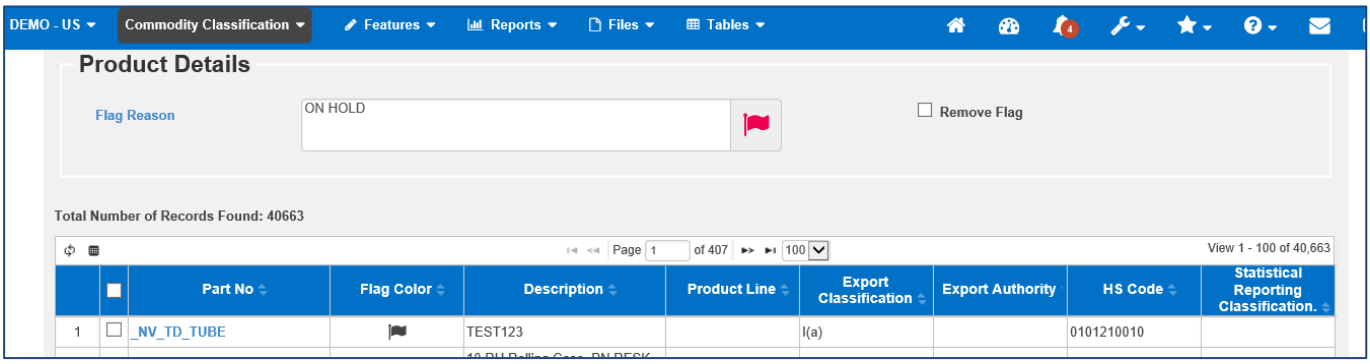

Figure 1333: Flag Reason Block

6. Once all required fields are populated, click the Update button to update the classification/Flag Reason of the selected products.

The Product Mass Control screen is redisplayed and in search results table selected products are not displayed.

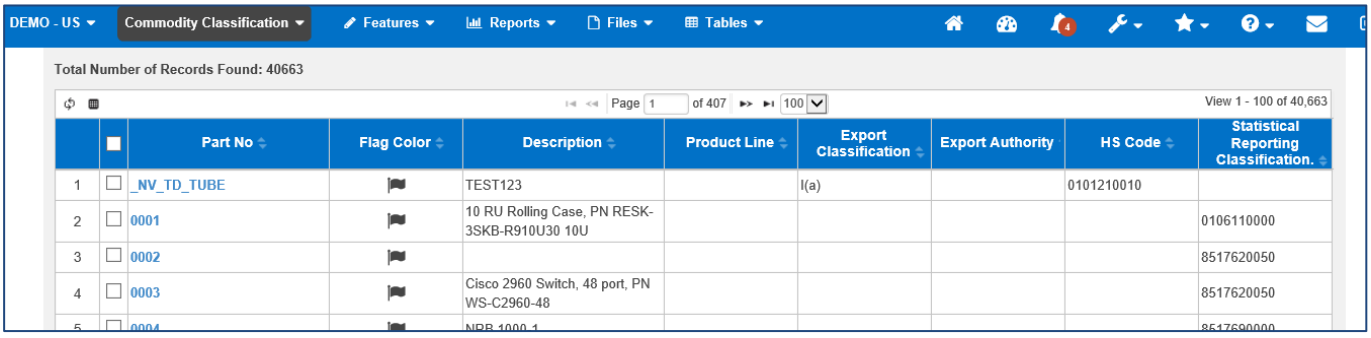

Figure 1344: Search Results Table

Click the New Search *button to search again.*

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3.4.1 Import Classification Regulatory Update

The Import Classification Regulatory Update feature is used to update the Import Classification of existing products in the database. Refer the following steps to check the latest update for Import Classifications and update the Import Classifications for one or more products.

1. To update the classification, you need to first view the **Search Import Classification Regulatory Update** screen successfully. This can be achieved by the following:
   a. Navigating to the **Bulk Update Classification** feature of **Commodity Classification** module (Commodity Classification -> Features -> Product Mass Control).

   The Search Product screen is displayed.

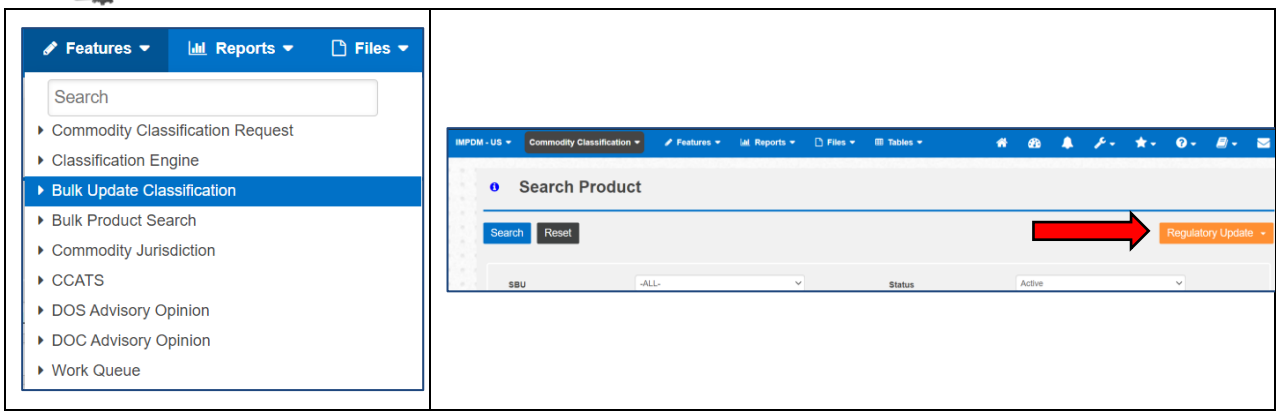

Figure 1355: Search Product Screen Navigation

You can also search the required feature from the Search Bar provided in the Features Menu drop-down list.

2. On the **Search Product** screen, select the Regulatory Update drop-down list and click the Import Classification button.

   The Search Import Classification Regulatory Update screen is displayed.

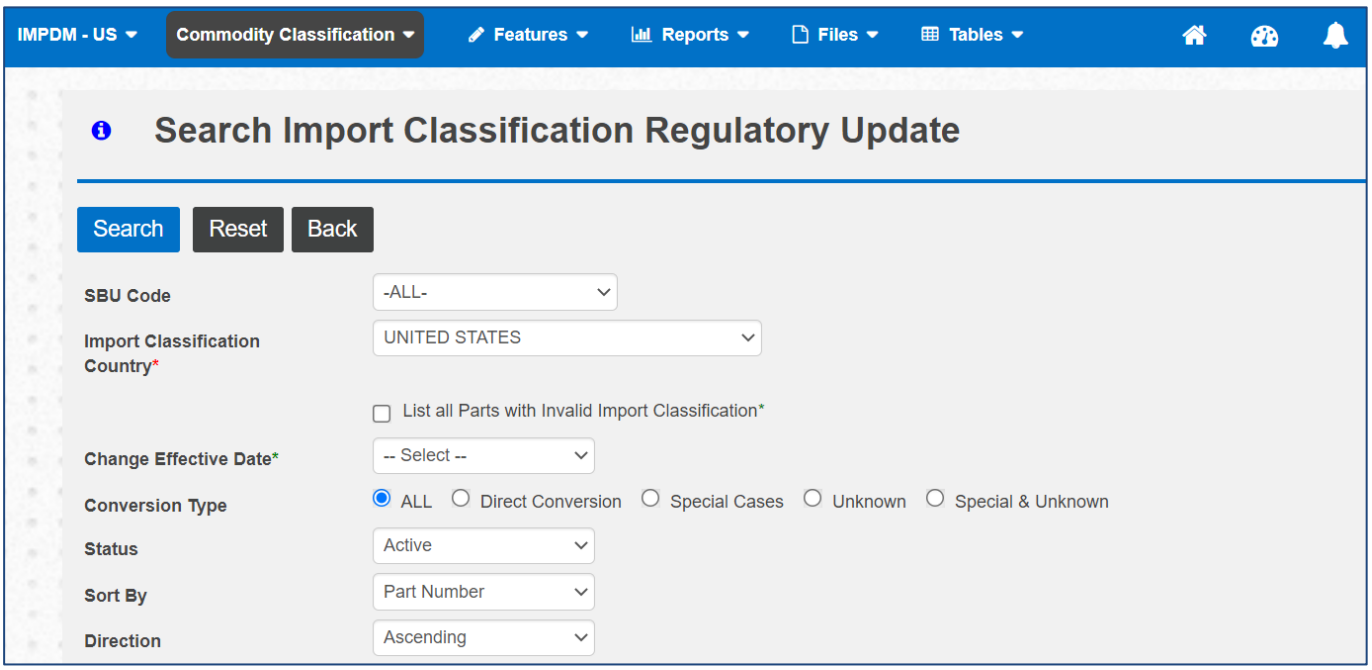

Figure 1366: Search Import Classification Regulatory Update Screen

3. On the Search Import Classification Regulatory Update screen, from the **SBU Code** drop-down list, select the desire SBU.

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4. From the **Country of Classification** drop-down list, select the country of classification.
5. Select the **'List all Parts with Invalid Import Classification'** checkbox, or select a **Change Effective Date** from the dropdown options.
6. Enter or select the other search parameters from the available options and click the Search button.

The Result Import Classification Regulatory Update screen is displayed.

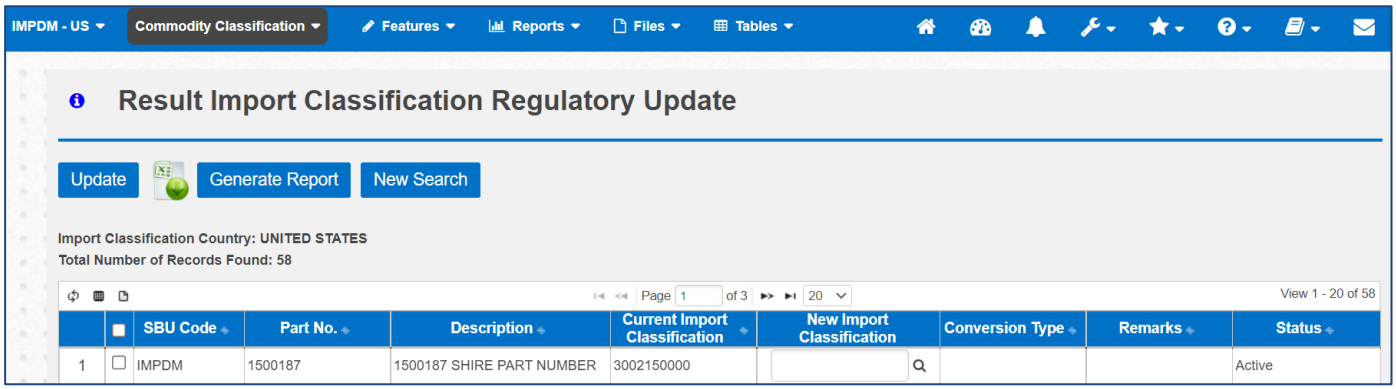

Figure 1377: Result Import Classification Regulatory Update Screen

7. On the **Result Import Classification Regulatory Update** screen, in the search result table, under the **Current HTS No.** column, the old HTS number of the product will be displayed and you will be able to select the new HTS number in the New Import Classification column.
8. In the Result table, select the product for which HTS number update is required and click the Update button.

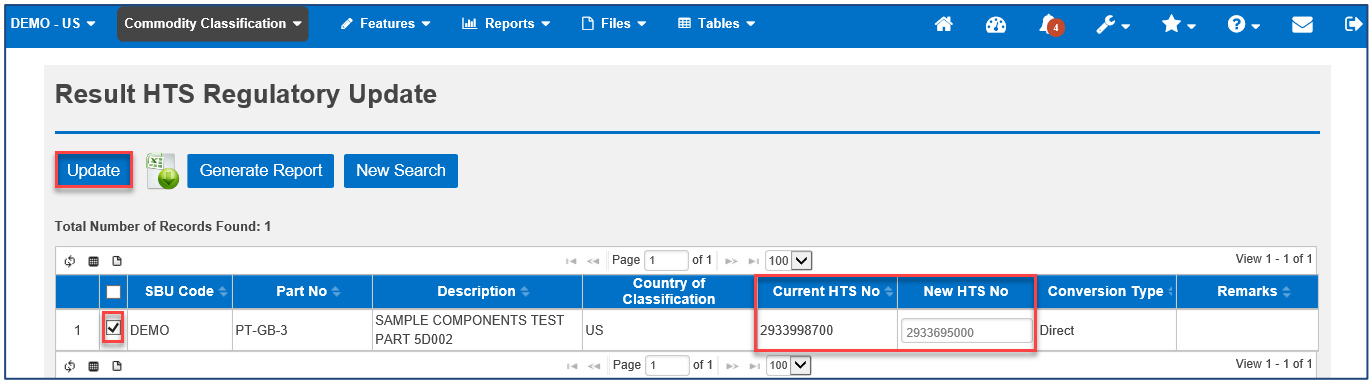

Figure 1388: Selected Product(s)

The Result Import Classification Regulatory Update screen is redisplayed with updated products record removed.

3.5 Bulk Product Search

The Bulk Product Search features is used to upload the multiple product lists in the system through an excel sheet. Moreover, user can also check whether the uploaded product is already available in the database or not and apply for the classification of newly added products. Refer the following steps to upload an excel sheet and view uploaded products details.

1. To upload an excel sheet, you need to first view the **Bulk Product Search** screen successfully. This can be achieved by the following:
   a. Navigating to the **Bulk Product Search** feature of **Commodity Classification** module (Commodity Classification -> Features -> Bulk Product Search).

The Bulk Product Search screen is displayed.

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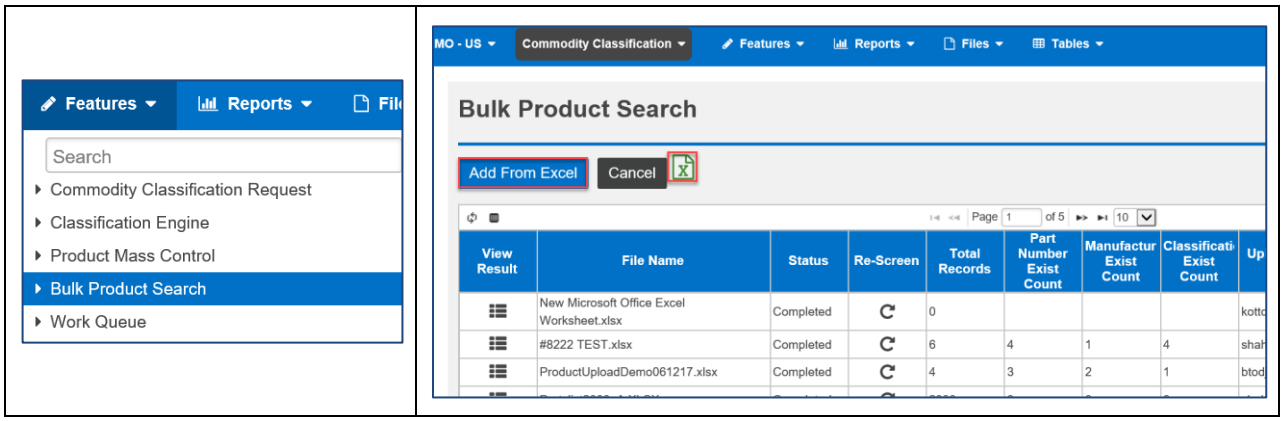

Figure 1399: Search Product Screen Navigation

You can also search the required feature from the Search Bar provided in the Features Menu drop-down list.

2. On the **Bulk Product Search** screen, click the icon to download the excel template, if required.

The sample excel file will be downloaded in the local system.

In the downloaded excel file, enter the products information.

Part No	Description	Product Name	Manufacturer Code	Manufacturer Name	Manufacturer Part No.	Country Of Origin	Affidavit Obtained	Manuf. Contact Name	Manuf. Contact Email	Manuf. Contact Phone	Manuf. Country of Classification	Manuf. Jurisdiction	Manuf. ECN Code

Figure 140: Excel File Header

3. Once the excel sheet is ready, click the Add From Excel button to upload the excel file.

The Attach File dialog box is displayed.

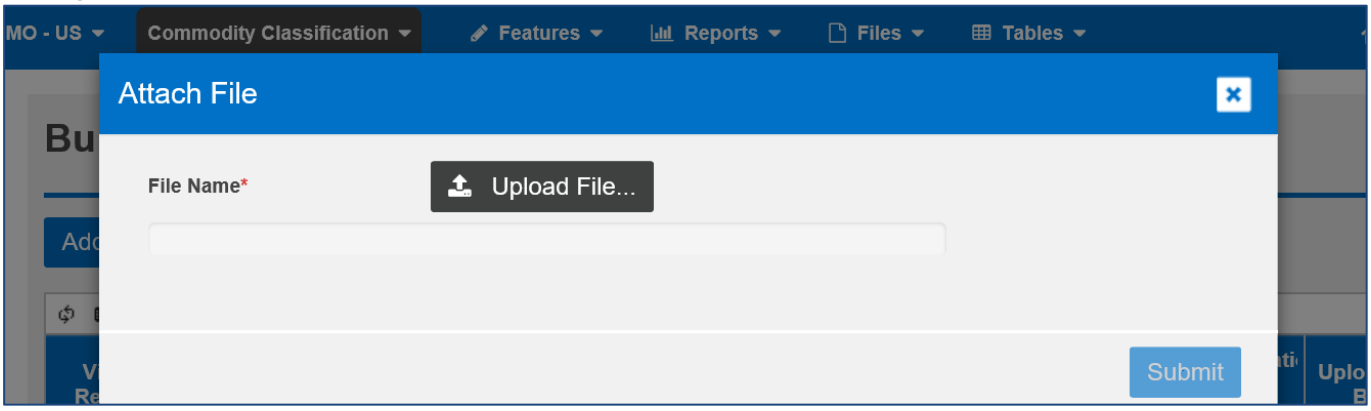

Figure 141: Attach File Dialog-box

4. After the file is uploaded successfully, click the Submit button.

The Bulk Product Search screen is redisplayed with added file status in the result table.

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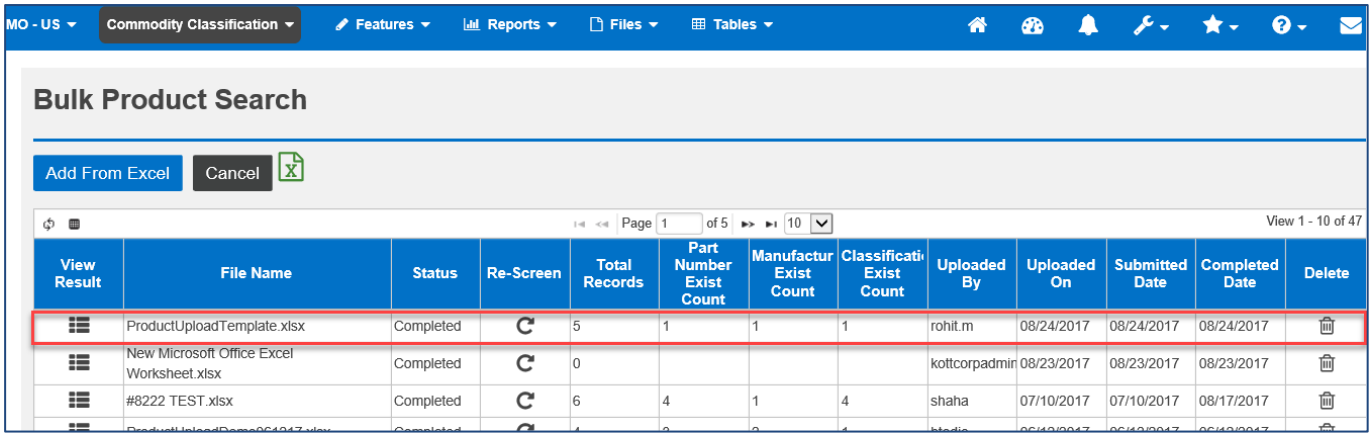

Figure 1422: Uploaded File Status

5. On the result table, in the **View Result** column, click the icon to view the details of the uploaded products.

The Bulk Product Search – New Products screen is displayed with all newly added product details.

This screen is divided into two tabs; New Products and Existing Products. The New Products tab is opened, by default.

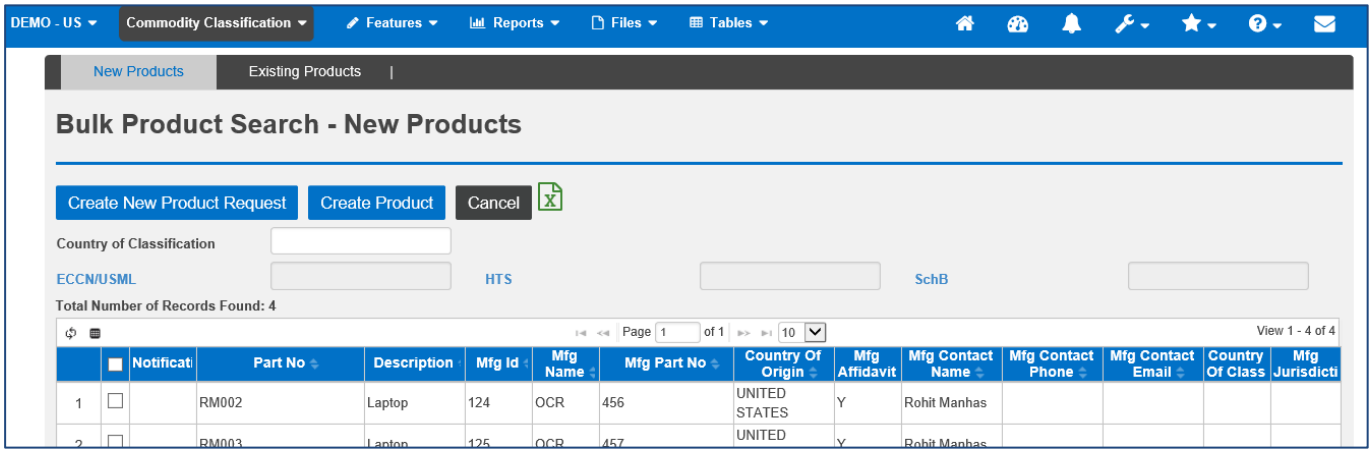

Figure 1433: Bulk Product Search – New Products Screen

6. On this screen, select the product to create a new classification request by clicking the Create New Product Request button.

The Bulk Product Search – New Products screen is redisplayed with the confirmation message.

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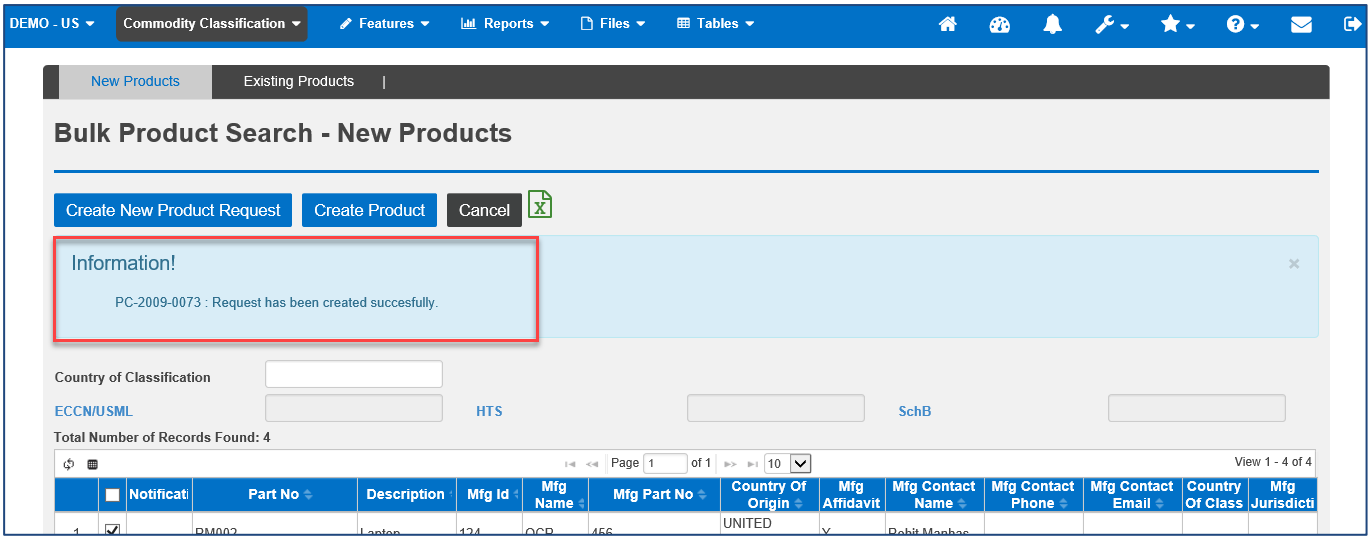

Figure 1444: Confirmation Message

Go to the Commodity Classification feature to fill other details of the product and submit for review.

7. If you know the classification of the product, after selecting the product(s), enter the details in the available fields and click the Create Product button to create a product in the database.

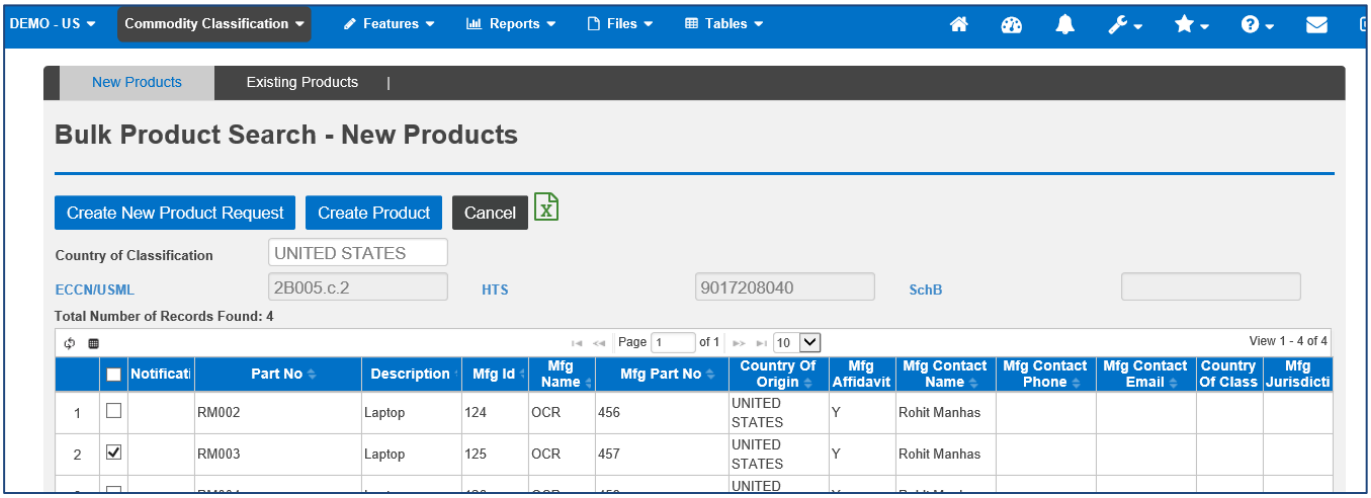

Figure 1455: Product Classification Information

The Bulk Product Search – New Products screen is redisplayed with confirmation message and product is added in the database.

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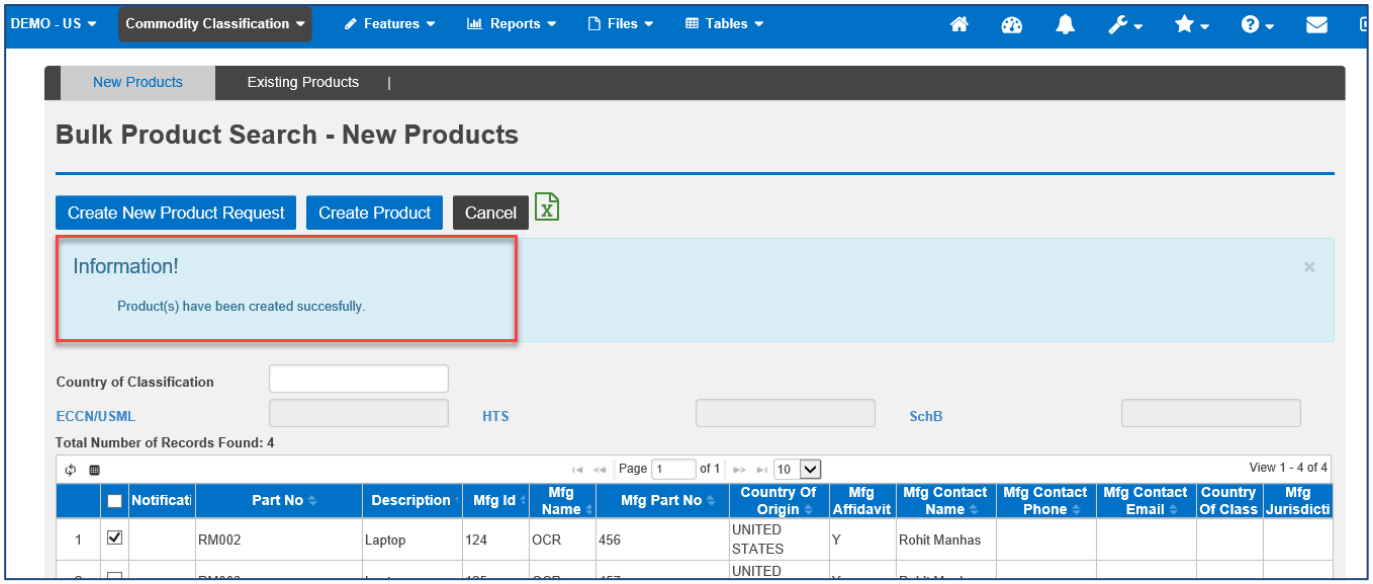

Figure 1466: Confirmation Message

8. Go to the **Existing Products** tab to view the details of the existing products.

The Bulk Product Search – Existing Products screen is displayed.

This screen is divided into two blocks; Existing Product Information and Excel Product Information. The Existing Product Information block is opened, by default.

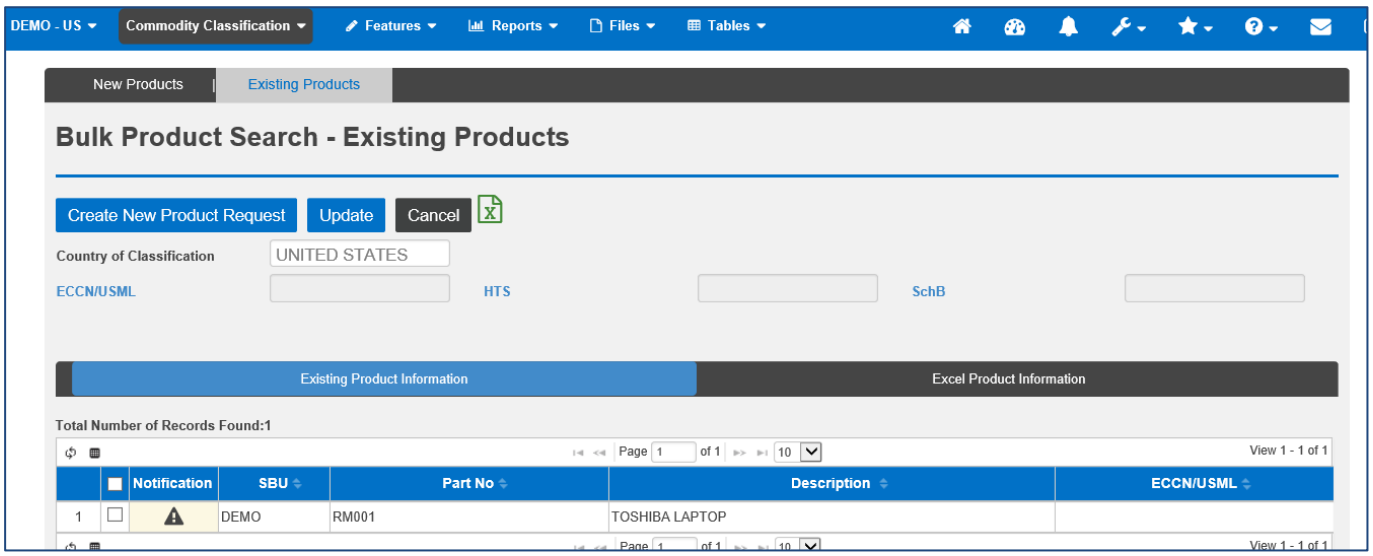

Figure 1477: Existing Products Tab

9. In the **Existing Product Information** block, under the **Notification** column, click the ⚠ icon to view about the product

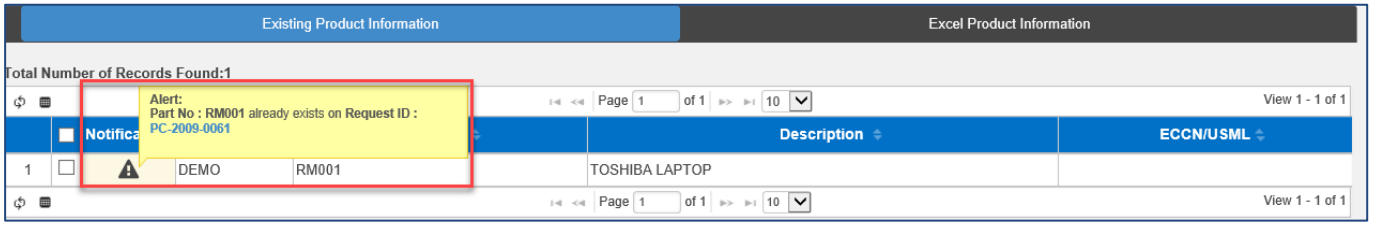

Figure 1488: Notification Column

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10. To view the other details of the product uploaded from the excel sheet, go to the **Excel Product Information** block.

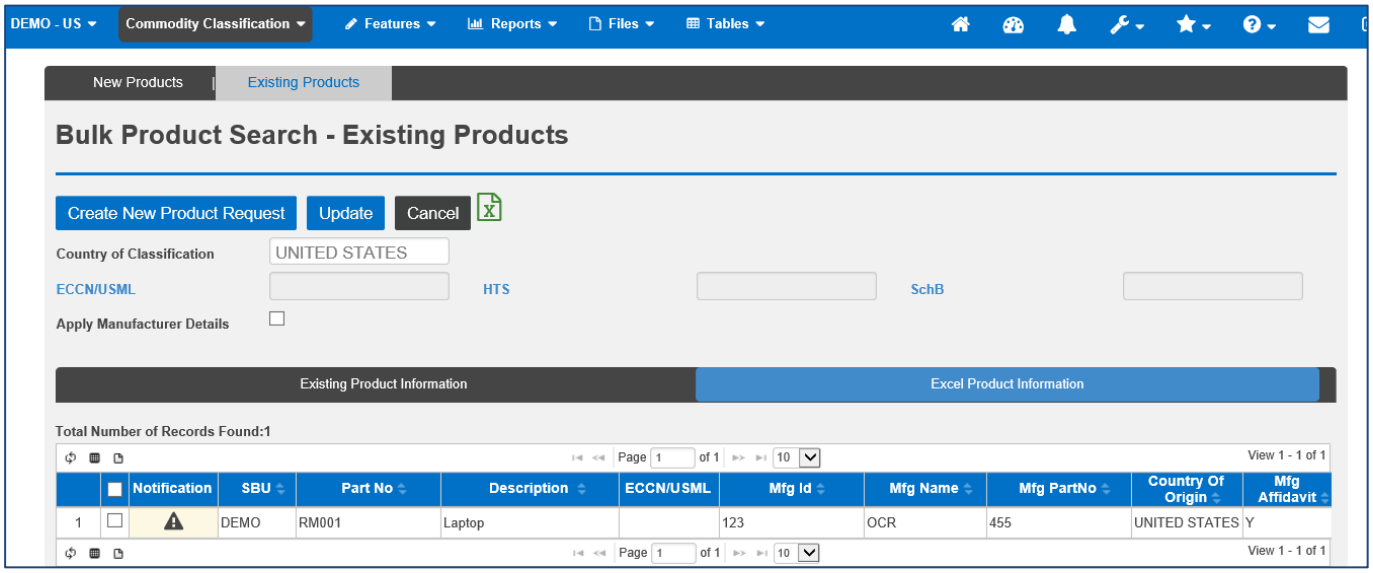

Figure 1499: Excel Product Information Block

11. To transfer the excel sheet information in the product database, select the product and click the Update button.

The Bulk Product Search – New Products screen is redisplayed with a confirmation message and product information is updated in the database.

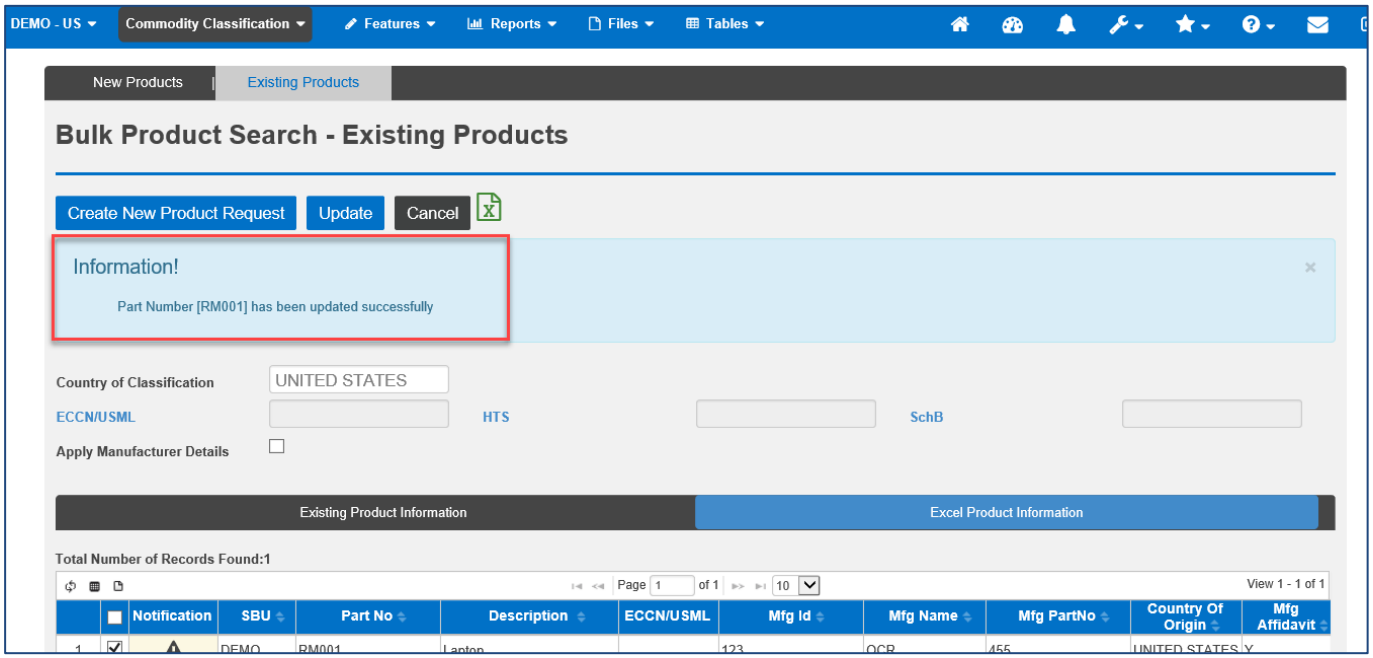

Figure 15050: Confirmation Message

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4. REPORTS

This section describes how to generate reports to keep an efficient log of your screenings with summary details and internal tracking.

The following are the list of available report categories.

- Adhoc Report
- Audit Reports
- Export Metrics Report
- Import Exception Report
- Import Metrics Report
- Metrics Report
- Product Details Report
- Product Report
- Request by Category Report

Procedure to generate all reports is the same, this section gives an example to generate Adhoc report.

4.1 Adhoc Report

The Adhoc Report provides a high-level overview of the details for a Product Classification Request. The requestor, reviewers, commodity type and part number details associated with the particular Request ID are displayed in the report.

The following steps describe how to generate Adhoc report.

1. To generate a report, you need to first view the **Search Adhoc Report** screen successfully. This can be achieved by the following:
   a. Navigating to the **Adhoc Report** option in **Reports** of **Commodity Classification** module (Commodity Classification -> Reports -> Adhoc Report).

   The Search Adhoc Report screen is displayed.

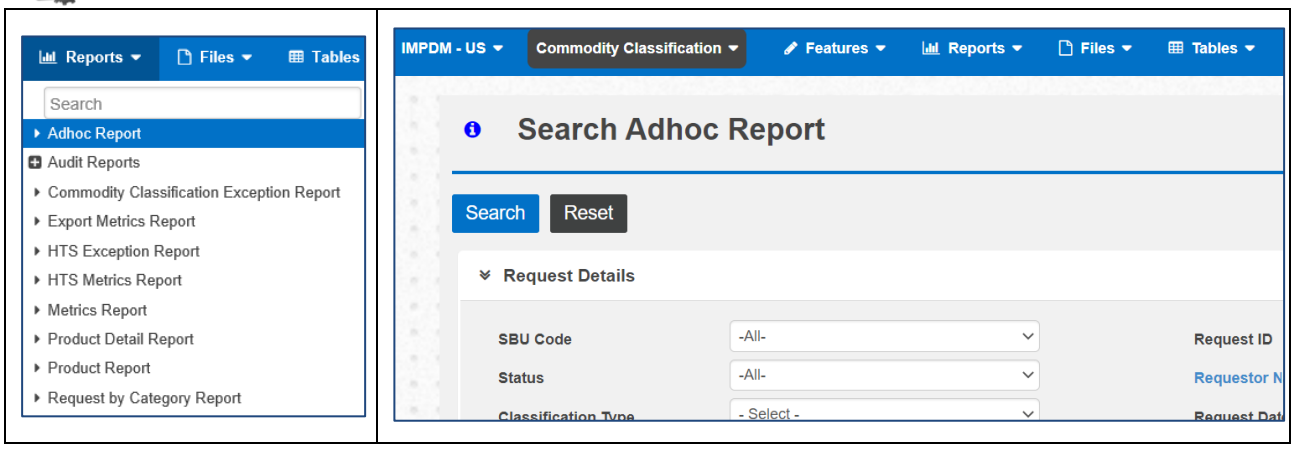

Figure 151: Search Adhoc Report Screen Navigation

You can also search the required option from the Search Bar provided in the Reports Menu drop-down list.

At any given time while you are on the screen, you can click the Reset *button to reset the fields to their default values.*

2. In the **Search Adhoc Report** screen, select the required SBU from **SBU Code** drop-down list. Enter the search parameters based on the Reviewers, item/rating details, status, screening dates, etc. and click the Search button.

The date format is DD/MMM/YYYY.

The Product Classification Adhoc Report screen is displayed.

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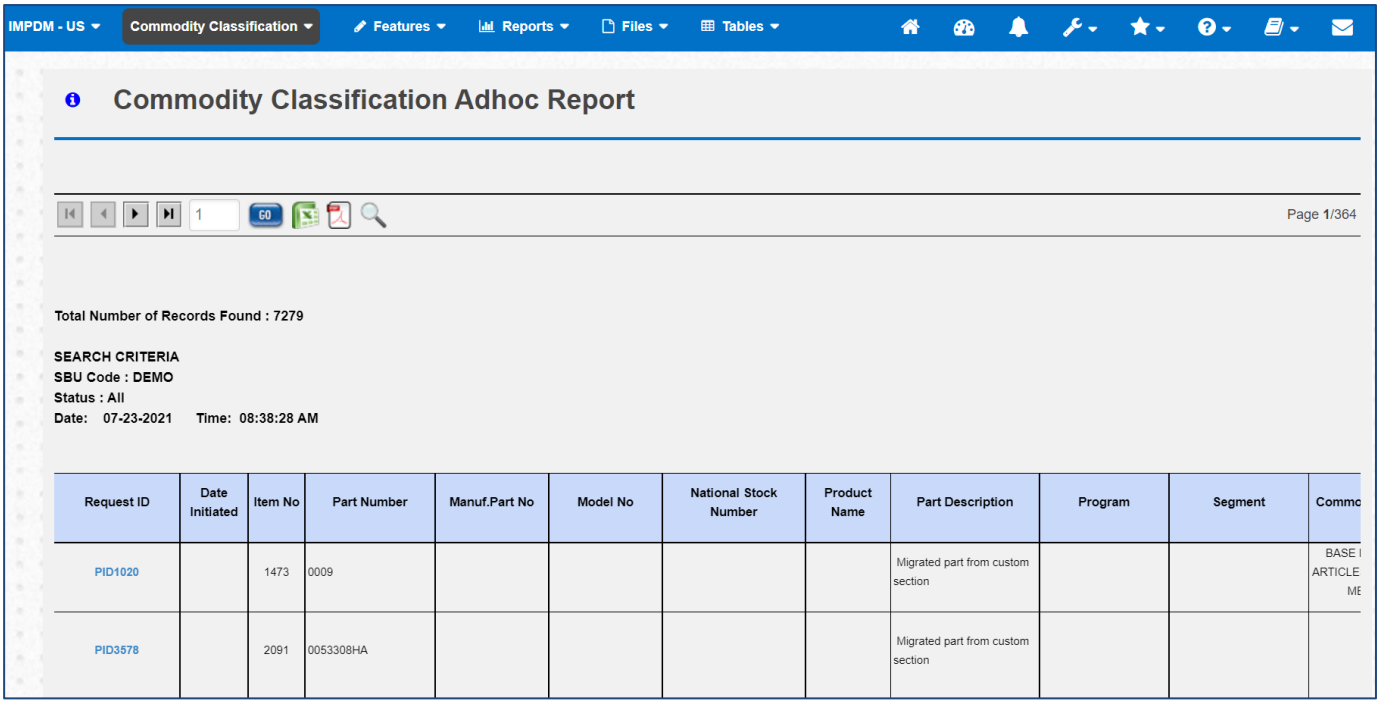

Figure 152: Product Classification Adhoc Report Screen

The total number of records, search criteria, and a report generated with the date and time are displayed above the table.

The total number of Classification Completed, Pending Reviews, In progress, Re-work and Cancel Request ID are displayed above the table.

You can export the report to '.xls' or '.pdf' file by clicking or button, respectively.

3. Click the icon to generate a new report.

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5. APPENDIX A – WHAT IS NEW?

- Simultaneous multi-country classification for Exports including classification of associated technical data, Imports and Statistical Classification
- Automated screening of product classifications, view upcoming changes to customs or export controls and related impacts on your products classifications.
- Classification Tips which suggest potential classifications for the product & Reference to Regulatory Content.
- Ability to automate Classification Request Submission to Reviewer.
- Ability to configure the fields across the Commodity Classification Request Process and make them mandatory/disabled.

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