Section 3

Performing Verification

3.6 REPORTING PHASE

3.6 Reporting Phase

The reporting phase starts when the execution process has been completed and the verification findings have been determined. The verification findings will be documented in an interim report that is presented to the client for their review and feedback within 30 days. At this point, the final report is completed incorporating any relevant comments and issues raised by the client.

Reporting Phase Summary by Type of Verification

Process Steps	**Multi Program Verification (MPV)**	**Single Program Verification**	
		SPV On-site	**SPV Desk Verification**
9.0 Report results to client	☑	☑	☑
10. Complete national reporting requirements	☑	☑	☑

Note that the steps within this phase of the process are significantly reduced in scope when conducting desk verification (single program). Ensuring adequacy of information gathered remains a key step; however, reporting to the client and completion of national reporting requirements require fewer tasks.

Key Steps in Reporting

9.0 Report Results to Client
- 9.1 Write interim report.
- 9.2 Manager review / approval.
- 9.3 Present interim report to client.
- 9.4 Incorporate client responses.
- 9.5 Complete final report.
- 9.6 Complete desk final letter.

Note – For desk SPV final letter required: file reviews may not be required.

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10.0 Complete National Reporting Requirements
- 10.1 Input to TRS, where required.
- 10.2 Complete time reporting.
- 10.3 Close CM Workbook.
- 10.4 Complete File Completion Checklist.
- 10.5 Complete Manager's File Review and Checklist.

Note – desk SPV only certain programs are entered into the CM workbook.

Reporting, Step-By-Step

9.0 Report Results to Client

The purpose of this step is to report verification findings, requirements and recommendations to the client. For on-site (MPV) verification, this step ensures that after an interim report is provided to the client, the client's responses, where required, are incorporated into the final report. The CVO should be familiar with **Exhibit A, Work Instructions**, **Exhibit B, Verification Report Instructions** and **Exhibit G, Reporting Guidelines.**

On-Site (O.S.) | Desk Verification (D.V.)

		O.S.	D.V.
9.1	Draft cover letter and the interim report using the most current version of the cover letter template (see **Exhibit D, Cover Letters to Client)** and Trade Compliance Interim / Final Verification Report template (see **Exhibit C,** Trade Compliance Interim / Final Verification Report or consult your local CM Workbook coordinator). The Interim/Final Verification Report may be modified and used for reporting On-site Single Program Verifications.	☑	☐
⇒	*For a desk verification (SPV) there is no interim report just a final letter.* (see **Exhibit F, Desk Verification Complete Letter**) *Complete letter and move to step 9.6*	☐	☑
9.2	Obtain approval of draft interim report (e-mail in file or signed hard copy) by manager (or as designated by region).	☑	☐
	9.2.1 Manager reviews File Review Checklist (**Exhibit E, Manager's File Review and Checklist** and completes Stage 1.	☑	☐
⇒	*In cases where manager or others identify errors, repeat process until the issues are resolved.*	☑	☐
9.3	Present interim verification report to client for their review and feedback.		
	9.3.1 Call client to set up a closing meeting and present interim report.	☑	☐
	9.3.2 Present report and provide a verbal overview; explain the 30 day limit for feedback.	☑	☐

		O.S.	D.V.
	9.3.3 Provide the client with a CD containing a Company Response Document for them to document and submit their comments electronically, if desired. This may also be e-mailed to the client. (**Exhibit H, Company Response Document**)	☑	☐
	9.3.4 Instruct client to submit B2s to the CVO in charge of the verification, referencing the verification case number, date of Final Verification Report and verification period. CSA client are to transmit X Type B3s and provide a list of the B3X adjustments to the CVO in charge of the verification. (See Section 4.4, Exhibit C for information about X type adjustments.)	☑	☐
	9.3.5 Provide the name and telephone number of a Client Services representative, who will be able to assist the client in the B2 process.	☑	☐
9.4	Receive client feedback on interim report and incorporate comments into final report; resolve those that are acknowledged as valid; escalate any issues to manager if CVO feels unable to resolve.	☑	☐
⇒	*Verify that changes to interim report have been reflected in CM workbook and support information*	☑	☐
	9.4.1 Ensure that all client comments are incorporated into the report as received i.e. do not edit. This is in order to maintain transparency of process.	☑	☐
	9.4.2 Respond, if necessary, to any of the comments submitted by the client.	☑	☐
	9.4.3 Have Manager review the File Review Checklist (see **Exhibit E, Manager's File Review and Checklist**) and complete Stage 2.	☑	☐
9.5	Complete Final Verification Report and mail to client with covering letter, using the templates provided (see **Exhibits C, Trade Compliance Interim / Final Verification Report, and Exhibit D Cover Letters to Client.**	☑	☐
9.6	Finalize desk (SPV) Letter and mail, fax or e-mail to the client. (A modified version of the Final Verification Report could also be used).	☐	☑

10.0 Complete National Reporting Requirements

The purpose of this step is to ensure that all results of the verification are communicated internally and that the Manager reviews and signs off the file.

On-Site → O.S. ; Desk Verification → D.V.

		O.S.	D.V.
10.1	Input information into TRS, if required.	☑	☑
10.2	Ensure that all time reporting requirements for this verification have been completed.	☑	☑
10.3	Close CM Workbook.	☑	☑
	10.3.1 Ensure CM Workbook Checklist is complete (**see Section 3.4 Planning Exhibit M, CM Workbook Checklist**).	☑	☑
	10.3.2 Notify CM Workbook Coordinator that verification is completed and that CM Workbook is ready for closing and transmission.	☑	☑
10.4	Review file completion checklist to ensure all steps completed in Reporting phase and sign as reviewed and approved. **(see Section 3.4 Planning Exhibit N, File Completion Checklist).**	☑	☑
10.5	Complete Manager's File Review Checklist (**Exhibit E, Manager's File Review and Checklist**) Stage 3.	☑	☐
	10.5.1 Review File Completion Checklist to ensure that all steps are complete. See **Planning Exhibit N, File Completion Checklist.**	☑	☑
	10.5.2 Obtain Manager's signature on Manager's File Review Checklist and add completed checklist to working papers file.	☑	☐
	10.5.3 File the completed verification working papers file as determined by Regional procedures.	☑	☑
	10.5.4 Ensure that both hard copy (paper) files as well as softcopy (spreadsheets etc.) are cross-referenced and filed / archived.	☑	☑
	For CSA client: Provide CSA Compliance Manager with a copy of the Final Verification Report.	☑	

Reporting Phase – At A Glance

Step 9.0 Report Results to Client

Objectives	Procedures
• To prepare and provide the client with an interim / final report using a standardized nationally accepted template. • To obtain and incorporate written feedback from the client into the final report.	• Using the most up to date interim / final report template, prepare a report to the client. • Obtain approval from Manager to provide the client with the report. • Hold a closing meeting with the client to review the findings on the interim report. Give 30 days to obtain written feedback. • Once feedback is obtained, finalize the report and mail to client with a covering letter.

Step 10.0 Complete National Reporting Requirements

Objectives	Procedures
• To ensure that all results of the verification are communicated internally and that the manager reviews and signs off the file.	• Notify the CM workbook coordinator that the verification is completed and that the CM Workbook is ready for closing and transmission. • Complete the Manager's File Review Checklist and signature and include into the working paper files.

Reporting Phase

Accompanying Documentation and Templates

Note that the Exhibits are maintained and controlled individually, being updated as versions change.

EXHIBITS	Version Date
A. Work Instructions for the reporting of results of a Trade Compliance Verification	Version 1.3 / February 28, 2007
B. Verification Report Instructions	Version 1.0 / April 16 2003
C. Trade Compliance Interim / Final Verification Report	Version 1.3 / February 28, 2007
D. Cover Letters to Client	Version 1.1 / February 28, 2007
E. Manager's File Review and Checklist	Version 1.0 / February 28, 2007
F. Desk Verification Complete Letter	Version 1.3 / February 28, 2007
G. Reporting Guidelines	Version 1.0 / April 14, 2003
H Company Response Document	Version 1.1 / August 26, 2004