



**BUSINESS PROCESS DIGITALIZATION**

# **Import Compliance & Documentation Management System Blueprint**

A proposed digital workflow for managing import compliance documentation

**Prepared by Liberty Jaya**  
Business Process Digitalization

Workflow Design · Governance · Documentation · Reporting

# Executive Summary

Import operations are document-heavy, deadline-sensitive, and dependent on coordination between internal teams and external parties. A single shipment may involve shipment references, airway bill information, PIB data, invoices, packing lists, product details, regulatory import approvals, special access documentation, certificate of analysis records, forwarder charges, duty and tax information, and distribution center planning. Each document may be owned by a different party, updated at a different time, and required for a different decision.

When shipment volume is small, teams can often manage this process using spreadsheets, email, shared folders, and manual follow-up. As the business grows, this approach becomes difficult to control. Regulatory Affairs may track SKI or SAS status separately. Logistics may track AWB, PIB, forwarder updates, and shipment milestones. Quality or technical teams may manage COA evidence. Finance may wait for duty and tax information. Supply Chain may need visibility before goods can move to the distribution center. Management may only see problems after a delay has already affected release, planning, or customer service.

The business problem is not simply that documents exist in many places. The deeper problem is that import compliance depends on connected evidence. Invoice lines relate to product records. Packing list batches relate to COA requirements. Shipment type may determine whether SKI or SAS is required. PIB information may trigger duty and tax tracking. Product, brand, country, plant, sourcing, forwarder, HS code, COA parameter, and currency master data influence the quality of the import record.

The Import Compliance & Documentation Management System Blueprint describes a collaborative workflow for controlling this end-to-end process. It positions import documentation as a governed business process, not only as an administrative filing activity. The blueprint helps organizations improve document readiness, regulatory visibility, shipment coordination, quality evidence control, duty and tax follow-up, and management reporting.

The implementation team approaches this area as a process digitalization challenge. The objective is to convert import rules, document requirements, approval responsibilities, shipment milestones, and reporting needs into a digital workflow. The blueprint is intended as a discussion framework and implementation starting point rather than a fixed software specification.

## Business Context

Import compliance documentation connects several operational disciplines. It is not owned by one department alone. Regulatory Affairs may manage product-related import approvals and government-facing documentation. Logistics may manage shipment movement, AWB information, PIB references, forwarder coordination, and delivery planning. Supply Chain may monitor arrival plans and distribution center readiness. Quality Assurance or technical teams may verify product evidence and COA information. Finance may review forwarder invoices, duty, tax, and cost implications. Management needs visibility of shipment readiness, document delays, and unresolved compliance issues.

The process typically begins before goods are released from origin or while shipment planning is being prepared. Product, sourcing, country of origin, plant, brand, HS code, and category information must be available so the organization can determine document requirements. After shipment details are known, AWB or PIB information may be registered. Invoice and packing list information must be completed, including product lines, quantities, batch details, and supporting files. Depending on shipment type, the organization may need SKI, SAS, or other import approval documents. COA evidence may need to be linked to product and batch

records. Duty and tax information must be tracked before goods move to the distribution center.

Several master data elements support the process:

- Product master for product code, product name, classification, and document linkage.
- Brand and division master for ownership and business grouping.
- Country, city, plant, and sourcing master for origin and supplier context.
- Forwarder master for external logistics coordination and charges.
- HS code master for customs classification support.
- COA category and parameter master for quality evidence requirements.
- Currency master for invoice, charge, duty, and tax tracking.
- PIC or email recipient master for shipment monitoring and communication control.

Because import documentation depends on connected information, the organization needs more than a document repository. It needs a controlled process where records are created, completed, reviewed, linked, updated, reported, and retained with clear ownership.

## Typical Business Challenges

Organizations managing import documentation manually often face recurring operational problems:

- Shipment information, invoice data, packing lists, regulatory approvals, and COA evidence are tracked in different files or systems.
- Teams lack a single view of which shipments are complete, pending, approved, rejected, or waiting for document update.
- Regulatory import documents such as SKI or SAS are tracked separately from shipment and invoice details.
- Product and batch information from packing lists may not be clearly connected to COA requirements.
- Supporting files are stored in shared folders without consistent linkage to shipment records.
- Forwarder updates and customs-related information may arrive through email and require manual re-entry.
- Duty and tax information is difficult to reconcile with shipment, invoice, PIB, and forwarder data.
- Management reports are prepared manually and may not reflect current shipment status.
- Distribution center planning is affected when document readiness or release status is unclear.
- Audit or internal review requires reconstructing evidence from spreadsheets, emails, uploads, and separate records.

These challenges create operational risk because each delay can affect several downstream activities. A missing packing list detail may delay document preparation. A product classification issue may delay regulatory review. A missing COA file may delay release. A duty and tax update may delay financial confirmation. A shipment may be physically moving while the documentation status remains unclear to stakeholders.

The practical result is repeated follow-up work. Teams ask for status, confirm document readiness, check uploads, reconcile product lines, and prepare manual reports. The process becomes dependent on individual knowledge rather than controlled visibility.

# Regulatory & Governance Drivers

Import documentation is subject to internal governance and external compliance expectations. Requirements differ by product category, country, customs process, regulatory authority, and company policy. This white paper does not provide legal advice, customs advice, or regulatory interpretation. The purpose is to explain why organizations need structured control over import documentation and shipment evidence.

Common governance drivers include:

- Import activities require evidence that shipment, product, invoice, packing, and regulatory information are consistent.
- Product import approvals must be connected to the correct shipment, invoice, and product lines.
- Special access or sample-related imports may require different documentation from regular commercial imports.
- Quality evidence such as COA may need to be linked to product, batch, category, and parameter requirements.
- Customs and finance teams need reliable references for PIB, duty, tax, forwarder charges, and invoice data.
- Document changes must be traceable when shipment details are updated or corrected.
- Management needs visibility of delayed, rejected, incomplete, or high-risk shipments.
- Audit review requires reliable records, supporting documents, timestamps, and ownership.

In regulated industries, import documentation is not only a logistics activity. It is part of compliance control. The organization must be able to demonstrate that the right documents were prepared, reviewed, uploaded, generated, approved, rejected, corrected, or retained at the right stage of the process.

Governance is also important for internal accountability. If SKI or SAS status is late, which shipment is affected? If COA evidence is missing, which product batch is blocked? If duty tax information is incomplete, which invoice or PIB record requires follow-up? If goods are planned to move to the distribution center, which document evidence must be complete before release? A controlled workflow helps answer these questions without manual reconstruction.

## Proposed Process Workflow

The Import Compliance & Documentation Management System Blueprint follows the import lifecycle from shipment registration to document completion, compliance review, release, and reporting. The workflow should be adjusted to each organization's import model, but the following baseline reflects common control points.

### Step 1: Maintain Import Master Data

Before transactions are created, the organization maintains master data for products, brands, divisions, countries, cities, sourcing locations, plant countries, forwarders, HS codes, COA categories, COA parameters, currencies, PIC records, and shipment notification recipients.

The output of this step is a controlled reference base that supports consistent shipment, invoice, packing list, regulatory, quality, and finance records.

## Step 2: Register Shipment and AWB / PIB Information

The import process begins with a shipment record. The shipment may include AWB information, PIB reference, shipment date, forwarder, destination, movement plan, status, and uploaded files. Invoice details can be linked to the shipment record. Shipment type should be captured because it may determine whether the downstream workflow requires SKI, SAS, or another compliance path.

The output of this step is a shipment record with clear ownership, reference numbers, attached evidence, and invoice linkage.

## Step 3: Complete Invoice Information

Invoice records are created from shipment invoice details and then completed with additional information. Product lines are added or validated, including product code, quantities, values, currency, and related document information. Where necessary, sub-product records may be created to reflect product composition or document grouping.

The output of this step is a structured invoice record connected to shipment, product, and supporting files.

## Step 4: Complete Packing List and Batch Details

Packing list records are created from product information and completed with batch code, quantity, item details, and uploaded evidence. If one product line must be split into multiple batches, the workflow should support that split while preserving traceability to the original invoice and shipment context.

The output of this step is packing list detail that supports regulatory review, COA linkage, and release control.

## Step 5: Route Regulatory Import Documentation

Based on shipment type and product context, the workflow prepares or tracks regulatory import documents. Regular commercial shipments may require SKI. Research, marketing, sample, tester, or special access shipments may require SAS or a different documentation path. The system should show related AWB, invoice, packing list, and uploaded documents so the regulatory team can review the full context.

The output of this step is a regulatory import document record with status, certificate number where applicable, release date, rejection reason if applicable, and supporting evidence.

## Step 6: Validate COA and Quality Evidence

The COA workflow links product and batch information to quality evidence. COA category and parameter rules may determine which norms, results, or certificate records are required. The process should support document retrieval, upload, parameter completion, and merged evidence where required.

The output of this step is quality documentation that can be connected back to shipment, product, batch, and release decisions.

## Step 7: Track Forwarder Invoice, Duty, and Tax

When PIB or forwarder information is available, the workflow tracks invoice forwarder charges and duty tax information. Finance or logistics users complete active fields, validate charge categories, and update tax-related details at invoice level.

The output of this step is duty and tax visibility connected to shipment, invoice, PIB, forwarder, and financial follow-up.

## Step 8: Plan Release and Move to Distribution Center

After required documentation and release conditions are visible, the organization can monitor shipment readiness for movement to the distribution center. The workflow should show shipments with planned movement dates and allow users to trace back to the source shipment record.

The output of this step is better coordination between import documentation, logistics, and downstream distribution planning.

## Step 9: Monitor Shipment and Report

Process owners and management monitor shipment status, document completeness, SKI or SAS status, COA readiness, duty tax status, pending uploads, release readiness, and distribution center planning. Reports should be filterable by shipment, invoice, product, brand, country, forwarder, status, and date.

The output of this step is stronger management visibility and more reliable follow-up.

# Proposed System Modules

The modules below describe business capabilities that support the import compliance workflow. They should be reviewed and customized based on actual operating procedures.

## Shipment Register

The Shipment Register is the central record for AWB, PIB, forwarder, shipment status, movement plan, invoice linkage, and uploaded shipment documents. It gives Logistics, Regulatory Affairs, Supply Chain, and management one reference point for import activity.

Expected controls include mandatory shipment references, status tracking, invoice detail linkage, upload control, and movement visibility.

## AWB / PIB Management

AWB / PIB Management records shipment identifiers and customs-related references. It also supports update shipment activities and provides the starting point for downstream invoice, regulatory, duty, and release workflows.

Expected controls include AWB number, PIB number, shipment date, forwarder, destination, related invoices, and document upload history.

## Invoice Management

Invoice Management captures invoice-level information and product details linked to the shipment. It supports product line completion, sub-product handling, document generation, and supporting upload records.

Expected controls include invoice reference, product details, quantity, value, currency, upload evidence, and relationship to shipment records.

## Packing List Management

Packing List Management captures item, product, batch, and quantity details required for regulatory, quality, and release follow-up. It should support batch splitting where one product line maps to more than one batch.

Expected controls include batch code, quantity, item number, product linkage, uploaded packing documents, and traceability to invoice lines.

## **SKI Management**

SKI Management supports regular import documentation where Surat Keterangan Importasi is required. It should connect SKI status to AWB, invoice, packing list, product, and supporting document evidence.

Expected controls include document generation, certificate number, approval status, release date, rejection reason, certification file, and related document tabs.

## **SAS Management**

SAS Management supports Special Access Scheme or sample-related import workflows. It should handle special access documentation, status update, document upload, approval, rejection, and linkage to shipment, invoice, and packing list records.

Expected controls include document generation, certificate number, approval status, release date, rejection reason, certification file, and supporting document upload.

## **COA Management**

COA Management controls Certificate of Analysis evidence by product, batch, category, and parameter. It supports completion of norms and results, retrieval or upload of certificate files, and merged evidence where required.

Expected controls include batch date, COA category, COA parameters, norms, results, product-batch linkage, certificate file, and merged COA evidence.

## **Duty & Tax Tracking**

Duty & Tax Tracking connects PIB, forwarder invoice, charge categories, tax details, and invoice-level financial information. It helps Finance and Logistics monitor import cost and customs-related follow-up.

Expected controls include forwarder invoice data, charge category, tax free and taxable information, invoice linkage, and update history.

## **Shipment Monitoring**

Shipment Monitoring provides operational visibility across shipment milestones, document readiness, regulatory status, COA status, duty tax status, and planned movement to the distribution center.

Expected controls include status views, aging, exception filters, planned move date, document completion indicators, and stakeholder notifications.

## **Document Repository**

The Document Repository stores shipment, invoice, packing list, SKI, SAS, COA, certification, forwarder, and duty tax evidence in relation to the relevant transaction record.

Expected controls include upload category, file ownership, document linkage, download access, and retrieval for audit review.

## Master Data Administration

Master Data Administration manages the controlled reference data used throughout the workflow. This includes product, brand, division, country, city, sourcing, plant country, forwarder, HS code, COA category, COA parameter, currency, PIC, and notification recipients.

Expected controls include authorized maintenance, active records, consistent naming, required fields, and periodic review.

## Reporting

Reporting supports operational review and management oversight. Reports may include shipment monitoring by invoice, document completion status, pending SKI or SAS, COA readiness, duty tax follow-up, planned movement to distribution center, and exception lists.

Expected controls include filter parameters, downloadable output, consistent definitions, and report ownership.

# Example User Journey

## Consumer Goods Import Shipment

A consumer goods company plans an import shipment containing several product lines from an overseas plant. The shipment involves commercial goods, supporting invoice records, a packing list with batch details, regulatory import approval, COA evidence, forwarder charges, duty tax follow-up, and distribution center planning.

The Logistics team starts by registering the shipment and AWB information. The shipment record includes the forwarder, expected movement information, uploaded AWB evidence, and invoice details. Because each invoice line must be connected to product and compliance information, the invoice data is completed with product codes, quantities, values, and currency details.

The Packing List team completes batch-level information. One product line is split into two batch records because the shipment contains two production batches. This batch detail is important because COA evidence must later match the product and batch combination.

The shipment type is marked as a regular import, so the regulatory workflow prepares the SKI record. The Regulatory Affairs team reviews related AWB details, invoice details, packing list details, and uploaded documents from one location. After the import approval is received, the certificate number, release date, and certification file are recorded. If the approval had been rejected, the rejection reason and rejection date would have been captured instead.

In parallel, the Quality or technical team validates COA requirements. Based on the COA category, the required parameters appear for completion. Norms and results are entered where required, and the certificate file is linked to the product and batch record. The evidence can be downloaded or combined for review.

After PIB information is available, the Finance or Logistics team completes forwarder invoice, duty, and tax details. Charge categories are added, and tax information is updated at invoice level. The shipment can then be reviewed for release readiness.

Supply Chain monitors shipments planned for movement to the distribution center. Instead of asking each department for status, users can trace the shipment record and review document readiness, regulatory status, COA evidence, duty tax follow-up, and planned movement date. Management can download reports showing

shipment monitoring by invoice and identify which shipments require follow-up.

This journey shows why import compliance documentation should be treated as a collaborative workflow. The value is not only storing PDFs. The value is connecting shipment, product, invoice, packing, regulatory, quality, customs, finance, and release information into one controlled process.

## Expected Benefits

### Operational Benefits

- Reduced manual reconciliation between shipment trackers, invoice files, packing lists, regulatory records, and uploaded documents.
- Better shipment visibility because AWB, PIB, invoice, packing list, SKI, SAS, COA, duty tax, and DC planning are connected.
- Faster follow-up because incomplete documents, pending statuses, and missing evidence are easier to identify.
- More consistent data entry through controlled master data for products, countries, plants, forwarders, HS codes, and COA parameters.
- Improved coordination between Regulatory Affairs, Logistics, Quality, Finance, Supply Chain, and management.
- Easier report preparation for shipment monitoring and operational review.

### Compliance Benefits

- Stronger traceability between shipment, product, invoice, packing list, regulatory import approval, and quality evidence.
- Improved audit readiness through connected document records and status history.
- Better control over SKI, SAS, COA, certification file, rejection reason, release date, and supporting evidence.
- Reduced risk of relying on informal email attachments or disconnected shared folders.
- Clearer evidence of document readiness before release or movement to distribution center.
- More reliable handling of product-batch evidence and COA parameters.

### Management Benefits

- Better visibility of import status across multiple departments and document types.
- Clearer accountability for pending regulatory, logistics, quality, finance, or supply chain tasks.
- Better understanding of bottlenecks affecting release, duty tax follow-up, or DC planning.
- Stronger governance over import documentation performance and exception management.
- More practical foundation for continuous improvement in import operations.

## Customization Considerations

Every organization manages import compliance differently. Product category, import type, regulatory obligation, customs process, country of origin, internal authority, and document standards can vary significantly. The blueprint should therefore be adapted before implementation.

Typical customization areas include:

- Shipment type classification and the rules that determine SKI, SAS, sample, tester, or other documentation paths.

- Product master structure, including product code, brand, division, category, sourcing, plant, and country of origin.
- HS code governance and responsibility for customs classification maintenance.
- Required invoice fields, packing list fields, batch details, and upload categories.
- COA category, parameter, norms, result, and certificate evidence requirements.
- Forwarder charge categories and duty tax reporting expectations.
- Status definitions for shipment, regulatory approval, COA readiness, duty tax follow-up, and release.
- Notification rules for shipment monitoring, document completion, and delayed updates.
- Report formats for Regulatory Affairs, Logistics, Finance, Supply Chain, Quality, and management.
- Document retention, access control, and audit review requirements.

The implementation team uses the blueprint as a starting point for process review. A project should begin by mapping the import lifecycle, identifying document owners, clarifying master data responsibility, defining compliance evidence requirements, and agreeing on management reports. The system design should then reflect the organization's actual workflow rather than forcing a generic import template.

## Integration Considerations

Import compliance documentation often needs to connect with existing business systems and external processes. Integration should be planned around business value and data ownership.

Common integration areas include:

- ERP or purchasing systems for invoice references, product data, supplier data, cost information, and purchase transactions.
- Master data repositories for product, brand, division, country, plant, sourcing, forwarder, and currency information.
- Forwarder or customs broker data sources for shipment updates, AWB information, PIB references, and charges.
- Regulatory document repositories for SKI, SAS, certification files, and supporting approvals.
- Quality systems or laboratory repositories for COA files, batch evidence, parameters, norms, and results.
- Finance systems for duty, tax, forwarder invoice, and cost reconciliation.
- Email or notification systems for shipment monitoring recipients and follow-up reminders.
- Reporting platforms for management dashboards and operational analytics.

Not every integration needs to be implemented immediately. Organizations can start by centralizing import records and document evidence, then add automated exchange where volume, risk, or reporting needs justify it.

## Related Blueprint Opportunities

The Import Compliance & Documentation Management System Blueprint can become the main blueprint for several related workflows:

- SKI BPOM Management System for focused control over regular import approval documentation.
- Special Access Scheme Management System for sample, tester, research, or special access import documentation.
- Certificate of Analysis Management System for product-batch quality evidence and COA parameter control.

- Shipment Visibility & Monitoring System for operational tracking of shipment milestones and document readiness.
- Forwarder & Customs Coordination System for managing external logistics updates, charges, PIB references, duty, and tax follow-up.
- Product Registration System for connecting product regulatory records with downstream import documentation needs.
- Document Control System for managing controlled policies, procedures, and supporting import compliance documents.

These related opportunities allow organizations to treat import compliance as part of a broader regulatory, quality, logistics, and enterprise workflow roadmap.

## Conclusion

Import compliance documentation is more than a collection of files. It is a coordinated business process involving shipment references, invoices, packing lists, product records, regulatory approvals, quality evidence, customs information, forwarder charges, duty tax follow-up, and distribution center planning. When these elements are managed separately, teams lose visibility, ownership becomes unclear, and compliance evidence becomes difficult to reconstruct.

The Import Compliance & Documentation Management System Blueprint provides a structured approach for improving control. It connects master data, shipment records, AWB and PIB information, invoice details, packing list batches, SKI and SAS workflows, COA evidence, duty tax tracking, document repository, shipment monitoring, and reporting. The expected outcome is stronger import visibility, better document readiness, improved compliance evidence, and more reliable management control.

The blueprint is intended as a discussion framework and implementation starting point rather than a fixed software specification.

## Implementation Approach

### About The Implementation Approach

The implementation approach helps organizations transform business rules, compliance requirements, approvals, documents, and reporting processes into digital systems.

Areas of focus:

- Regulatory Workflow
- Compliance Documentation
- Approval Governance
- Enterprise Reporting

The implementation team works with organizations that need practical systems for real business processes. For import compliance, the work starts by understanding document flows, department responsibilities, compliance evidence, shipment milestones, and reporting needs before defining the digital workflow.

### Call To Action

Need an import compliance workflow adapted to your organization?

A process digitalization team can help:

- review the current import documentation process
- identify compliance and governance requirements
- define workflow ownership across departments
- prepare implementation scope
- customize the blueprint

Contact the implementation team to discuss process review, workflow design, and import compliance requirements.

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