

ANNEX 8

Non-exhaustive list of transport documents and related documentation.

<u>Document</u>	<u>Functions</u>
Advice Note	Written shipment information, for example, about the status of the goods.
Advice of Fate	Notice given by the collecting bank to the remitting bank as to payment, acceptance, non-payment, or non-acceptance of a draft presented at the remitting bank's request.
Affreightment	Contract which sets forth the obligations of both shipper and carrier concerning transportation of the merchandise. The most common forms of affreightment are Bills of Lading and Waybills.
Air Waybill (AWB)	A kind of waybill used for the carriage of goods by air. This serves as a receipt of goods for delivery and states the condition of carriage but is not a title document or transferable/negotiable instrument. There are 2 auxiliary standardized documents: Shippers Letter Of Instructions (includes all the data related to the goods) and Shipper Declaration for Dangerous Goods (identifies whether the goods are dangerous and provides instructions for use/manipulation)
Arrival Notice	Notice sent by a carrier or freight forwarder communicating the arrival of a shipment.
ATA Carnet	Customs document permitting the holder to carry or send merchandise temporarily into certain foreign countries (for display, demonstration or similar purposes) without completing normal customs formalities. With an ATA carnet, the holder avoids paying customs duties or taxes.
Back Letter	Back letters are drawn up in addition to a contract in order to lay down rights and/or obligations between both contracting parties, which, for various possible reasons, cannot be included in the original contract. This expression is sometimes used for letters of indemnity.
Bills of Lading (B/L)	An evidence of contract between the shipper of the goods and the carrier. The customer usually needs the original as proof of ownership to take possession of the goods. There are two types: a STRAIGHT bill of lading is non-negotiable and a negotiable or shipper's ORDER bill of lading (also a title document) which can be bought, sold or traded while goods are in transit and is used for many types of financing transactions.
Cargo Tracer	Information sent by the agent or airline to all relevant parties, stating that certain cargo is either missing or arrived in excess.
Certificate of Analysis	Document, often required by an importer or government authorities, attesting to the quality or purity of commodities
Certificate of Classification	Certificate, issued by the classification society, stating the class under which a vessel or an aircraft is registered.
Certificate of Free Sale.	Certificate, required by some countries as evidence that the goods are normally sold on the open market and approved by the regulatory authorities in the country of origin.

Certificate of Inspection	Document confirming that cargo has been inspected by a competent authority (SGS, Bureau Veritas or any national authority) before dispatch.
Certificate of Insurance	Document presented by the insurance company or by the insured individual as evidence that insurance is in effect. The insured may assign their rights under this negotiable document to a third party, usually the consignee, by endorsing the reverse of the certificate.
Certificate of Manufacture	Statement (often notarized) in which a producer of goods certifies that manufacture has been completed and that the goods are now at the disposal of the buyer.
Certificate of Origin	Statement signed by the exporter, or his agent, and attested to by a local Chamber of Commerce, indicating that the goods being shipped, or a major percentage of them, originated and were produced in the exporter's country.
Charter Party	Written contract, usually on a special form, between the owner of a vessel and a "charterer" who rents use of the vessel or a part of its freight space. The contract generally includes the freight rates and the ports involved in the transportation.
CIM consignment note	Document which evidences the existence of a contract of carriage by rail. It can be bearer, registered or payable to order and its existence or absence does not affect the validity of the contract.
Clean Bill of Lading	Receipt for goods issued by a shipping line that indicates that the goods were received in "apparent good order and condition", without damage or other irregularities.
CMR consignment note	Document which evidences the existence of a contract of carriage by road. The loss, irregularities or lack of this document does not affect the validity of the contract of carriage, which will still be subject to the CMR.
Collection Papers	All documents (Commercial invoices, Bills of Lading, etc.) submitted to a buyer for the purpose of receiving payment for a shipment.
Combined Transport Document (CTD)	Negotiable or non-negotiable document evidencing a contract for the performance of combined transport of goods
Commercial Invoice	Document issued by the seller to the buyer, which gives detail of merchandise sold, number of units being shipped, per unit cost and the terms of sale.
Commercial Set	Set of four "negotiable" documents that represents and replaces the goods themselves in the financing of the cargo sales transaction.
Confirmed Letter of Credit (L/C)	Letter of Credit, issued by a foreign bank, with validity confirmed by a bank of origin. A seller requiring a confirmed Letter of Credit from the buyer is assured of payment by the bank of origin even if the foreign buyer or the foreign bank defaults.
Consignment Note	Document prepared by the shipper and comprising a transport contract. It contains details of the consignment to be carried to the port of loading and it is signed by the inland carrier as proof of receipt.
Container Manifest (also; Unit packing list)	Document specifying the contents of particular freight containers or other transport units, prepared by the party responsible for their

	loading into the container or unit.
Container Lease	Contract by which the owner of containers (leasing company, lessor) gives the use of containers to a shipping line or other lessee for a specified period of time.
Contingency Insurance (also: Seller's insurance)	Secondary insurance coverage which will protect the financial interest of the insured entity/individual if the primary insurance cover effected by others does not respond for a covered loss.
Count Bill of Lading	Bill of Lading which shows the actual number of units being shipped.
Cover Note	Non-negotiable document evidencing insurance which may or may not indicate the terms of cover.
Credit Risk Insurance	Insurance designed to cover risks of non-payment for delivered goods.
Customs Invoice	Document required by customs in an importing country, in which the seller states the price (e.g. selling price, price of identical goods), and specifies costs for freight, insurance, packing, terms of delivery and payment. This is for the purpose of determining the customs value in the importing country of goods consigned to that country.
Damages Cargo Report	Written statement concerning established damages to cargo and/or equipment.
Dangerous Goods Declaration	Document issued by a shipper in accordance with applicable conventions or regulations, describing hazardous goods or materials for transport purposes, and stating that the latter have been packed and labeled in accordance with the provisions of the relevant conventions or regulations.
Dangerous Goods Packing Certificate.	Document as part of the dangerous goods declaration in which the responsible party declares that the cargo has been stowed in accordance with the rules in a clean container in compliance with the International Maritime Dangerous Goods regulations and has been properly secured.
Declaration of Origin	Appropriate statement as to the origin of the goods, made in connection with their exportation by the manufacturer, producer, supplier, exporter or other competent person on the commercial invoice or any document relating to the goods.
Deferred Payment Credit	Type of Letter of Credit providing for payment some time after presentation of shipping documents by seller.
Delivery Instruction	Document giving instructions regarding the details of the delivery of the shipment.
Delivery Order.	A document issued by or on behalf of the carrier authorizing the release of import cargo identified thereon and manifested under a single Bill of Lading.
Delivery Receipt	Document recording the delivery of shipment to a consignee.
Demise Charter	Contract whereby the ship-owner leases its vessel to the charterer for a period of time during which the whole use and management of the vessel passes to the charterer. This involves the charterer paying all expenses for the operation and maintenance of the vessel. Officers and crew become servants of the charterer. A demise charter whereby the charterer has the right to place its own master and crew on board of the

vessel is called “bareboat charter”.

Destuffing Report	A document reporting the destuffing of a container indicating time and place as well as responsible person and any damage.
Dispatch Note	Information sent by shipper to the consignee informing that specified goods have been sent or are ready to be sent advising the detailed contents of the consignment.
Dock Receipt (D/R) also: Mate’s Receipt	Form issued by a carrier or its representative as evidence that merchandise was in fact received by the carrier for shipment
Documentary Credit	Commercial Letter of Credit providing for payment by a bank to the named beneficiary, usually the seller of the goods, against delivery of documents specified in the credit.
Documentary Draft	Draft to which documents are attached.
Documents against Acceptance (D/A)	Instructions given by a shipper to a bank indicating that documents transferring title to goods should be delivered to the buyer (or drawee) only upon the buyer’s acceptance of an attached draft.
Documents against Payment (D/P)	Instructions a shipper gives to its bank that the documents attached to a draft for collection are deliverable to the drawee only against their payment of the draft.
Draft (or Bill of Exchange)	Unconditional order in writing from one person (the drawer) to another (the drawee), directing the drawee to pay a specified amount to a named drawer at a fixed or determinable future date.
Equipment Damage Report (EDR)	Written statement concerning damage to equipment, based on a physical inspection.
Export Declaration	Form indicating the value, weight, destination, and other basic information about an export shipment.
FIATA bill of lading (FIATA B/L)	Document designed to be used as a multimodal or combined transport document with negotiable status which has been developed by the International Federation of Forwarding Agents' Association (FIATA).
Forwarding agent Bill of Lading (FBL)	Similar to FCT (see below) when the principal transport is maritime transport.
Forwarding agent Certificate Receipt (FCR)	Certificate that indicates that the forwarder has received the goods from the carrier to transport them.
Forwarding agent Certificate Transport (FCT)	International transport contract between the forwarder and the carrier. Includes the parties, the cargo, the route and the price.
Forwarding agent Warrant Receipt (FWR)	Document which proves that the forwarder has received the goods from the carrier and that they are kept in a warehouse. If it is issued payable to an order, it is negotiable.
Foul Bill of Lading	Receipt for goods issued by a carrier with an indication that the goods were damaged when received.
General Average Bond	Document required of cargo owners, after a G/A loss, obtaining their agreement to pay any contribution that may become due.
General Average Security	Documents the cargo owner presents to the General Average Adjuster

	to replace the vessel owner's maritime lien on cargo for its share of General Average and to obtain release of the goods by the Steamship Company. G/A Security consists of a G/A Bond and either a cash deposit or an underwriter's guarantee.
General Export License	General license covering goods for which validated export licenses are not required. No formal application or written authorization is needed to ship exports under a general export license.
Goods Control Certificate	Document issued by a competent body evidencing the quality of goods described therein, in accordance with national or international standards, or conforming to legislation in the importing country, or as specified in the contract.
Goods Receipt	Document issued by a port, warehouse, shed, or terminal operator acknowledging receipt of goods specified therein on conditions stated or referred to in the document.
House Air Waybill (HAWB)	An air consignment note issued by an air freight agent to provide the cargo description and records. It is not a title document.
House Bill of Lading (Groupage)	A bill of lading issued by a forwarder and, in many cases, not a title document. Shippers choosing to use a house bill of lading, should clarify with the bank whether it is acceptable for letter of credit purpose before the credit is opened. Advantages include less packing, lower insurance premiums, quicker transit, less risk of damage and lower rates than cargo as an individual parcel / consignment.
Handling Instructions	Indication of how cargo is to be handled.
Gross Manifest.	Manifest containing freight details without any appropriate disbursements
Individually Validated Export License	A required document issued by the Government authorizing the export of specific commodities. This license is for a specific transaction or time period in which the exporting is to take place.
Inland Waterways Bill of Lading	Transport document made out to a named person, to order or to bearer, signed by the carrier and handed to the sender after receipt of the goods.
Insurance Certificate.	Proof of an insurance contract. Most goods will be insured by either the buyer or seller. Insurance policies can be "open" or "specific". An open policy means the importer will have a blanket open annual policy which covers all his freight. With each shipment he will issue an Insurance Certificate. A specific policy will apply to coverage for only one shipment.
Interim Receipt	Receipt given by a carrier pending execution of an Air Waybill.
Inventory (also stock list)	A detailed list of goods located in a certain place or belonging to a specified object.
Irrevocable Letter of Credit	Letter of Credit with a fixed expiry date that carries the irrevocable obligation of the issuing bank to pay the exporter when all of the terms and conditions of the Letter of Credit have been met.
Letter of Credit (L/C)	Method of payment between buyer and seller. The buyer opens a

	Letter of Credit in favor of the seller at their local bank by depositing the amount of the purchase price and dictating certain documents which the seller must present in order to obtain a payment. The Letter of Credit will be sent to a bank in the vicinity of the seller and upon presentation of the documents called for, the local bank will release payment.
Letter of Indemnity.	Written confirmation of holding a specified party harmless. E.g.: When a bank refuses to accept a foul Bill of Lading, the shipper may obtain a clean Bill of Lading. To acquire this, the shipper signs a letter of indemnity, which is an inducement to obtain the clean Bill of Lading through the dock or mate's receipt, given on delivery of the goods to dock or ship, showing that the shipment was damaged or in bad condition. This acts as a form of guarantee whereby the shipper accords a claim settlement against a steamship by a Bill of Lading holder resulting from a clean bill being issued
Letter of Instruction	Written directions to be followed.
Loan Receipt	Document signed by the assured where they acknowledge receipt of money advanced by the insurance company as an interest-free loan (instead of payment of a loss) repayable to the insurance company only if the loss is recovered from a third party and then only to the extent of the recovery.
Manifest	Document which lists the specifications of goods loaded in a means of transport or equipment for transportation purposes. As a rule cargo manifests are drawn up by the agents in the place of loading. Note: For shipping, a manifest represents an accumulation of Bills of Lading for official and administrative purposes
Master Air Waybill	Abbreviation: MAWB. Air Waybill issued by the originating airline when more than one airline is involved with a shipment, or when a freight forwarder issues a House Air Waybill.
Mate's Receipt	See Dock Receipt.
Net Manifest	Manifest containing all freight details including negotiated disbursements.
Ocean Bill of Lading	Bill of Lading (B/L) issued by the actual shipping line.
On Board Bill of Lading	Bill of Lading confirming the receipt of merchandise and the fact that it was loaded on board the ocean vessel.
On Deck Bill of Lading	Bill of Lading which states that the cargo has been stowed on deck.
Optional Stowage Bill of Lading	Bill of Lading which gives the carrier the right to stow cargo wherever they see fit, especially with respect to the stowage of containers on deck
Order Bill of Lading	Negotiable Bill of Lading made out to the order of a named party.
Payment against Documents	Instructions given by a seller to a bank that the buyer may collect the documents only upon payment of the invoice.
Price Quotation/Pro Forma Invoice	Invoice prepared by the seller in advance of shipment that documents the cost of goods sold, freight, insurance and other related charges. It is often used by the buyer to secure a Letter of Credit, an import licence or a foreign currency allocation

Pro-Forma Invoice	Draft invoice sent to an importer by the exporter prior to order confirmation and shipment to assist in matters relating to obtaining import licenses or foreign exchange allocations, or to advise the value of a consignment so that Letters of Credit can be opened.
Proof of Delivery Receipt	Receipt signed by the consignee upon delivery. Written acknowledgement confirming receipt of goods, cash or documents.
Received for Shipment Bill of Lading	Bill of Lading issued by the carrier evidencing actual receipt of merchandise for shipment. Also referred to as a Dock Receipt.
Red Clause Letter of Credit	Letter of Credit that allows the exporter to receive a percentage of the face value of the Letter of Credit in advance of shipment. This enables the exporter to purchase inventory and any other costs associated with producing and preparing the export order
Revocable Letter of Credit.	Letter of Credit that can be cancelled or altered by the drawee (buyer) after it has been issued by the drawee's bank
SAD: Single Administrative Document	Set of documents, replacing the various (national) forms for customs declaration within European Community, implemented on January 1st, 1988. The introduction of the SAD constitutes an intermediate stage in the abolition of all administrative documentation in intra European Community trade in goods between member states.
Seal Log	Document used to record seal numbers.
Seasonal Inventory	Inventory built up in anticipation of a seasonal peak of demand in order to smooth production.
Sea Waybill	A receipt for cargo which incorporates the contract of carriage between the shipper and the carrier but is non-negotiable and is therefore not a title document.
Ship's Manifest	Detailed list, signed by the captain of a ship, that contents the individual shipments constituting the ship's cargo
Shipping Guarantee	Usually a pre-printed form provided by a shipping company or the bank, given by an importer's bank to the shipping company to replace the original transport document. The consignee may then in advance take delivery of goods against a shipping guarantee without producing the original bill of lading. The consignee and the importer bank will be responsible for any loss or charges occurred to the shipping company if fault is found in the collection. It is usually used with full margin or trust receipt to protect the bank's control to the goods.
Shipping Order (S/O)	A document to give details of the cargo and the shipper's requirements. It is the basic document for preparing other transport documents such as bill of lading, air waybill, etc.
Shipping documents	Documents required for the carriage of a ship, containing the individual shipments constituting the ship's cargo.
Short Form Bill of Lading	Summary type Bill of Lading which does not incorporate all obligations and responsibilities of both parties. Unless a shipper is familiar with the carrier's tariff, they should request a full Bill of Lading.
Special Policy of	Document issued on behalf of the Underwriter stating the terms and

Insurance	conditions of the marine insurance. Issued when evidence of insurance is required, as by the bank issuing the Letter of Credit.
Straight Bill of Lading	Non-negotiable Bill of Lading in which the goods are consigned directly to a named consignee.
Through Bill of Lading	Bill of Lading that provides transshipment.
TIR Carnet	Customs transit document used for the international transport of goods a part of which has to be made by road. It allows the transport of goods under a procedure called the TIR procedure of the 1975 TIR Convention, signed under the auspices of the United Nations Economic Commission for Europe (UNECE), guaranteeing security and customs control checks.
Transferable Letter of Credit	Letter of Credit that allows all or a portion of the proceeds to be transferred from the original beneficiary to one or more additional beneficiaries.
Transaction Statement	Document that delineates the terms and conditions agreed upon between the importer and exporter.
Trust Receipt	Release of merchandise by a bank to a buyer in which the bank retains title of the merchandise. The buyer, who obtains the goods for manufacturing or sales purposes, is obligated to maintain the goods (or the proceeds from their sale) distinct from the remainder of his or her assets and to hold them ready for repossession by the bank.
Valued Bill of Lading	Bill of Lading issued by the carrier which indicates the amount which the shipper has declared as the value of the merchandise. The carrier will be liable for this amount in the event it is found responsible for loss or damage to the merchandise.
Warehouse Receipt	Receipt issued by a warehouse listing goods received for storage.