



# Export Control Compliance

UM Export Control Office News Brief —The Eye of the Hurricane

#1002

2022

## Shipping & Receiving

The University of Miami's Export Control Office Website is a **"one-stop shop"** which furnishes export control written policies, procedures and a compliance program necessary to ensure UM, its management, employees and students remain in full compliance with U.S. Export Control Laws and Regulations.

Newsletter #1002 will **"furnish a guide"** to UM Personnel concerning "shipping and receiving" (Exporting and Importing) of items to and from the University of Miami.



### UMECO International Shipping Memorandum

Date: December 6, 2021

**UM Export Control Policy:** It is the responsibility of all UM personnel who are shipping items internationally *"outside the United States"* (including hand-carrying items) to comply with export control laws and regulations. Any transfer of export-controlled items by any method may be subject to export control restrictions and may require an export license or may be prohibited depending on the item, destination, recipient, and/or end-use. Even if an item is cleared through the U.S. Customs and Border Patrol (CBP), an export license may still be required.

**International Shipping:** (exporting to any country) 1) **to be cleared by the Export Control & Compliance office** for the determination of the jurisdiction under the USDOC or USDOS; 2) conduct the article classification of the item (Export Control Classification Number (ECCN)) and 3) restricted party screening of the foreign party/entity (Recipient/End-User). UM personnel who are responsible for shipping packages out of the country should obtain a list of contents before shipping and contact the ECO with any questions. One should not ship an item without taking the time to do due diligence and ask the Export Control Office (ECO) to determine if a license is required.

**Shipping Information:** When contacting the UM-ECO, please have the following information:

- Complete description of the item to be shipped/exported.
- Country of destination.
- Name of Recipient/End-User of the item.
- Method of Transporting/Shipping.

**Shipping Documentation:** 1) Mislabeling the package or misrepresenting the ECCN classification of the item(s) being shipped; 2) reporting an incorrect export value on an AES and/or Commercial Invoice and Customs Declaration; and 3) having the Harmonized Tariff Schedule (HTS) are all violations of export regulations.

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**OVPRS Web Site:**  
<https://www.research.miami.edu/about/admin-areas/raa/export-control-compliance/index.html>  
<https://www.research.miami.edu/about/admin-areas/raa/export-control-compliance/shipping-and-transportation/index.html>

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for RESEARCH & SCHOLARSHIP



*"The University of Miami  
is committed to compliance  
with the U.S. Export  
Control Laws "*



OFAC

## What you Need to Know

- International Shipping Memorandum
- Shipping & Receiving Fundamentals
- Export Documentation—Commercial Invoice
- Toxic Substance Control Act (TSCA) Import Certification Form

UM Export Control Office



# Export Control Basics

## What's EAR?

**EAR** = Export Administration Regulations

**DoC** = Department of Commerce  
**BIS** = Bureau of Industry & Security

**CCL** = Commerce Control List  
 5-digit Alphanumeric sequence (e.g., 7A994, 5D103, 3C600) "EAR99 / NLR"

## What's ITAR?

**ITAR** = International Traffic in Arms Regulations

**DoS** = Department of State  
**DDTC** = Directorate of Defense Trade Controls

**USML** = U.S. Munitions List  
 Roman numeral sequence (e.g., VII(i), XI(d), IV(e), etc.)

## What's OFAC?

**OFAC** = Office of Foreign Assets Controls



UM Export Control Office

## UM Export Control Office

# Shipping and Receiving Fundamentals

What, to whom and where are you shipping?	Was restricted party screening done?
Do you have the proper ECCN and HTS Codes?	Is the Freight forwarder approved in the UM Procurement System?
AES, Customs Declaration, POA, completed?	Did you contact the UM ECO?

Shipping items of any kind may take more effort than just putting it in a box and calling your preferred logistics provider.

For example, if you are shipping biological materials (e.g., blood samples) or agricultural or geological specimens – proper labeling must be made that are compliant with relevant federal, state, and/or local regulations.

- If any one item in your package is valued at **\$2,500** or greater the commodity must be filed with the Electronic Export Information (EEI) system—Automated Export System (AES). This applies not only for shipments from the U.S. to foreign countries, but to Puerto Rico and the Virgin Islands. (Reference FTR § 30.2(a)). (**UM Shipping URL below.**)

<https://www.research.miami.edu/about/admin-areas/raa/export-control-compliance/shipping-and-transportation/index.html>

# Export

## Documentation

The Commercial Invoice is a legal document between the supplier and the customer that clearly describes the sold goods, and the amount due on the customer. The Commercial invoice is one of the main documents used by U.S Customs in determining customs duties. **Declared amount needs to be correct—not a guess.**

## Restricted Party Screening (RPS)

- International Shipping (Exporting/Importing)
- RPS required for all foreign persons being sponsored by UM: I-129 / DS-2019—VISA
- University Visitors (U.S.)
- Research Contracts
- University Purchases

## Export—Commercial Invoice

UNIVERSITY OF MIAMI  
OFFICE of the VICE PROVOST  
for RESEARCH & SCHOLARSHIP



### EXPORT CONTROL OFFICE

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DATE	REFERENCE NUMBER
SHIPPER	CONSIGNEE
COUNTRY OF ORIGIN	IMPORTED (IF OTHER THAN CONSIGNEE)
COUNTRY OF ULTIMATE DESTINATION	

Marks & Numbers	No. of Packages	Complete Description of Goods	Weight	Quantity	Unit Value	Total Value

**THESE COMMODITIES ARE LICENSED FOR THE ULTIMATE DESTINATION SHOWN. DIVERSION CONTRARY TO THE UNITED STATES LAW IS PROHIBITED.**

**I HEREBY DECLARE THAT THE INFORMATION ON THIS INVOICE IS TRUE AND CORRECT.**

TYPE NAME AND TITLE OF SHIPPER

SIGNATURE

DATE

### Export Terms:

**ECCN: Export Control Classification Number**

**HTS: Harmonized Tariff Schedule**

**AES: Automated Export System**





**Import—Toxic Substance Control Act Form**

UNIVERSITY OF MIAMI



Revised 04-20-2021

**Toxic Substance Control Act (TSCA) Import Certification Form**

**You must download to your desktop before completing. Once completed, save prior to sending or all info will be lost.**

**Please read the following in its entirety before completing the form**

**Importer Instructions**

1. Provide this form to the US Postal Service (USPS), Express service, or Customs Broker prior to the import date. As an option, you may use the TSCA Import Certification paperwork provided by the chemical supply vendor or Customs Broker. Please forward copy to [exportcontrol@miami.edu](mailto:exportcontrol@miami.edu).
2. If chemicals are imported in your custody and carried over the US border, present this completed form to the Customs Agent at your time of arrival.
3. Maintain a copy of this form with identification and shipping paperwork from the Mail or Express service or Customs Broker for three years after shipment.

The chemicals listed on this form are imported into the US Customs territory via:

- Personal Conveyance     
  Mail or Express Service     
  Customs Broker

**Declaration**

In accordance with the Toxic Substance Control Act (TSCA) Section 13, Import Certification, and 40 CFR 707, I hereby certify that:

**Positive Certification**

- All chemical substances in this shipment comply with all applicable rules and orders under TSCA and that I am not offering a chemical substance for entry in violation of TSCA or any applicable rule or order thereunder.

**OR,**

**Negative Certification**

- All chemical substances in this shipment are not subject to TSCA.

Chemical Name (IUPAC)	CAS Number	Import Date

Importer Information		Exporter Information	
Name:		Company:	
Title:		Address:	
Address:		Contact:	
Phone 1:		Phone 1:	
Phone 2:		Phone 2:	

Importer Signature:  Date:

**Contact the UM ECO**

For assistance and questions concerning export control, call or email the UM ECO.

**UM ECO**  
 (305) 284-9558

**Wjc59@Miami.edu**

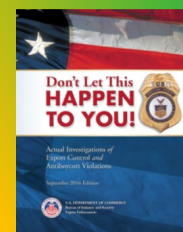
Visit us on the web at <https://www.research.miami.edu/about/admin-areas/raa/export-control-compliance/index.html>



**Consequences**

**Failure to comply with export control laws and regulations may lead to significant civil and/or criminal penalties including, but not limited to, monetary penalties per infraction starting at \$300,000 and up to \$1,000,000.00 per violation; prison term up to 20 years; denial of export privileges; and debarment from U.S. government contracts.**

Liability for any export violation is **personal and/or institutional**.  
**Don't Let This Happen to You!**



The Toxic Substance Control Act (TSCA) Import Certification Form: [UM TSCA URL Below](https://www.research.miami.edu/about/admin-areas/raa/export-control-compliance/export-control-compliance-policies-and-forms/index.html)

Utilize this form for the importing of “re-agents” from foreign suppliers.

UM has the responsibility for completing the TSCA form—NOT the foreign supplier.

<https://www.research.miami.edu/about/admin-areas/raa/export-control-compliance/export-control-compliance-policies-and-forms/index.html>