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.

UM Export Control Office

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

#1002 2022

What you Need to Know

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

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

## Shipping and Receiving Fundamentals

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

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](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

Export Terms:

- **ECCN**: Export Control Classification Number
- **HTS**: Harmonized Tariff Schedule
- **AES**: Automated Export System

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

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Cooperative Institute for Marine and Atmospheric Studies
(CIMAS), Building 1102, Suite 313
Miami, FL 33149
Tel: (305) 284-9558 Fax: (305) 284-4353
Wjc59@miami.edu

<table>
<thead>
<tr>
<th>DATE</th>
<th>REFERENCE NUMBER</th>
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</table>

<table>
<thead>
<tr>
<th>SHIPPER</th>
<th>CONSIGNEE</th>
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<table>
<thead>
<tr>
<th>COUNTRY OF ORIGIN</th>
<th>IMPORTED (IF OTHER THAN CONSIGNEE)</th>
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<table>
<thead>
<tr>
<th>COUNTRY OF ULTIMATE DESTINATION</th>
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<table>
<thead>
<tr>
<th>Marks &amp; Numbers</th>
<th>No. of Packages</th>
<th>Complete Description of Goods</th>
<th>Weight</th>
<th>Quantity</th>
<th>Unit Value</th>
<th>Total Value</th>
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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.

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<thead>
<tr>
<th>TYPE NAME AND TITLE OF SHIPPER</th>
<th>SIGNATURE</th>
<th>DATE</th>
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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)

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

Import—Toxic Substance Control Act Form

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.
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 49 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:

Export-F-007 Office Of The Vice Provost For Research & Scholarship
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