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Effective Date: August 17, 2023**Revision History:** Noted Below**Responsible University Officer:** Vice Provost for Research + Scholarship**Responsible Offices:** Office of the Vice Provost for Research + Scholarship (OVPRS)

Procedure Statement

This standard operating procedure (SOP) document supports the University of Miami's policy for Shipping and Exporting Items Out of the Country. 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. Exporting to any country needs to be: 1) cleared by the Export Control & Compliance Section for the determination of the jurisdiction under the USDOC or USDOS; 2) conducted using the article classification of the item (Export Control Classification Number (ECCN)); and 3) undergo Restricted Party Screening (RPS) 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 ECS with any questions. One should not ship an item without taking the time to do due diligence and ask the Export Control Section (ECS) to determine if a license is required. **There are to be NO personal items (Non-UM Assets) to be Shipped either within the United States or Exported Out of the Country – by the University of Miami Shipping Department.**

Reason for the Procedure

This procedure is to enhance and streamline the shipping and exporting processes and procedures; including an effort to prohibit potential export control violations.

Who should Know This Procedure?

Provost, Vice Provosts, Deans, Center Directors, Department Chairs
Vice Provost for Research & Scholarship
UHealth Compliance
Audit & Advisory Services
General Counsel
Director of Export Compliance
Supply Chain/Purchasing
Research Administrators
Principal Investigators
Office of Research Administration
UM Shipping Departments

Definitions

UM
OVPRS
ECS
RPS

University of Miami
Office of the Vice Provost for Research & Scholarship
Export Control Section
Restricted Party Screening

Procedures

The Shipping and Exporting procedures are for the University of Miami Community that includes all UM personnel that are shipping items internationally “*outside the United States*” (including hand-carrying items), Staff, Researchers, PI’s, and Students in the various departments of Medical, Gables and the RSMAES Campuses. Procedures are relevant for exporting biological materials (e.g., blood samples), oceanographic scientific equipment, laboratory equipment, computers – proper labeling must be made that is compliant with relevant federal, state, and/or local regulations.

Step	Responsibility	Action
1	UM Personnel/Exporter	UM personnel who are shipping items internationally “ <i>outside the United States</i> ” (including hand-carrying items) are responsible for completing the UM Export Check List, Equipment List, and the UM Commercial Invoice documentation.
2	UM Personnel/Exporter	Provide the following information to complete the Check List, the Equipment List and Commercial Invoice: <ul style="list-style-type: none"> • Complete description of the item to be shipped/exported. (Equipment List) • Country of destination & Time Frame for the export. • Name of Recipient/End-User of the item. • Method of Transporting/Shipping.
3	OVPRS - ECS	Review of the Check List and Commercial Invoice, then the ECS and Shipping Department will start the process for the exporting of the items and commodities.
4	OVPRS- ECS	<ol style="list-style-type: none"> 1. The ECS will review the Check List & Equipment List and Commercial Invoice for the following: 2. Ensure that the items are UM “owned” assets and check for the UM UPC and UM Procurement information. 3. Verify that the RPS result is correct for the individual/entity. 4. Conduct an Order of Review for the item, commodity, software, or technology for the Export Control Classification Number (ECCN). Confirm if an export license or exception is required. 5. Research for the Harmonized Tariff Schedule (HTS) Code. 6. Check the value of each item, commodity, and software. NOTE: If any one item in your package is valued at \$2,500 or greater the commodity must be filed with the Automated Export System (AES) through the Electronic Export Information (EEI) system. 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)). If your item requires an export license, regardless of its value, it must be filed with the EEI. ECO who is authorized to assist with EEI filing. 7. All the above information will be entered into the UM Commercial Invoice for recordkeeping and to be submitted to Freight Forwarder for the exporting of the UM assets to its destination.
5	OVPRS- ECS Attachments	The Attachments for the SOP include: <ul style="list-style-type: none"> a. UM Export Check List b. UM Equipment List c. UM RSMAS Commercial Invoice • Attachments can be found on the Export Control Website in Shipping.

**Restricted Party Screening Requirements:**

Parties to be Screened:	
• Countries	• Visitors and the organization they represent
• Customers	• Sales representatives
• Suppliers and subcontractors	• Consultants
• Consignees and Intermediate Consignees	• Merger and acquisition parties
• Freight Forwarders	• New hires
• Banks or other financial institutions	• Contract workers
• Service Providers	• Agents
• "Pay to" parties	• Manufacturers
• "Pay from" parties	• End-users, if known
• Other business partners	• Recipients of technical data

Signature

Print Name:	Erin Kobetz
Title:	Vice Provost for Research & Scholarship
Signature	Date

History

Effective Date	Revision Date	Authors	Description
2023-Jun-30	N/A	William J. Collins	Establish a standard operating procedure for Shipping and Exporting Items Out of the Country (including hand-carrying items) to comply with export control laws and regulations.

Point of Contact Numbers**Vice Provost for Research & Scholarship** 305-243-6185**General Counsel** 305-284-4200**Director of Export Control Compliance** 305-284-9558



SHIPPING AND EXPORTING ITEMS – OUT OF THE COUNTRY PROCEDURE

ATTACHMENT 1:

University of Miami Export Control - Check List			
Date			
Professor Name			
UM ID Number			
Program/Grant Name and Number			
DONE	TASK	DATA/INFORMATION	NOTES
<input type="checkbox"/>	Contacted Export Control Office		
<input type="checkbox"/>	Restricted Party Screening (RPS) Verification		
<input type="checkbox"/>	ECCN Verification for items listed to Export		
<input type="checkbox"/>	AES Guidance		
<input type="checkbox"/>	Shipment Office Commercial Invoice Completed		
<input type="checkbox"/>	Procurement PO Number		
<input type="checkbox"/>	EDU Discount Verification with UM Procurement Office		



SHIPPING AND EXPORTING ITEMS – OUT OF THE COUNTRY PROCEDURE

ATTACHMENT 2:

NOTE: Complete Columns D through K Only, the ECS will complete A, B and C:

D	E	F	G	H	I	J	K
Manufacturer	Product	Part/Model Number	Serial Number	Quantity	Unit Price	Total Price	Technical Description



SHIPPING AND EXPORTING ITEMS – OUT OF THE COUNTRY PROCEDURE

ATTACHMENT 3:

NOTE: In completing the Commercial Invoice attach – the UM Equipment List.

 UNIVERSITY OF MIAMI ROSENSTIEL SCHOOL of MARINE, ATMOSPHERIC & EARTH SCIENCE 4600 Rickenbacker Causeway Miami, FL 33149-1098 Office: 305-421-4101 Fax: 305-421-1756 <u>COMMERCIAL INVOICE</u>						
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.						
<hr/> I HEREBY DECLARE THAT THE INFORMATION ON THIS INVOICE IS TRUE AND CORRECT.						
TYPE NAME AND TITLE OF SHIPPER		SIGNATURE	DATE			