

SOP: Export Control Procedure - International Shipping

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Purpose:

Compliance of international shipments with export control laws and regulations

Applicability

These procedures apply to shipment of a tangible item (*e.g.*, equipment, materials, software, etc.) to a destination outside of the United States, regardless of whether the item is sold, used for research, loaned, donated, or being sent outside of the U.S. only temporarily.

I. Procedures

1. Perform restricted party screening of recipients and end user individuals and their organizations –Refer to the document “UCSF Export Control Procedures – Restricted Party Screening” for a step-by-step guide to screening and escalation of the results to the Export Control Officer or contract exportcontrol@ucsf.edu for assistance.
2. Contact the UCSF Export Control Officer (ECO) at Export.Control@ucsf.edu for a determination of whether the item is controlled or whether a license is required for shipping to the intended country of destination.
3. You will be asked to provide the following:
 - a. Information about what is being shipped internationally
 - i. The ECO will advise you about when it is necessary to request the Export Control Classification Number (ECCN) from the manufacturer or vendor. In cases where an ECCN is needed and the manufacturer or vendor cannot provide it, notify the ECO.
 - b. The name of the recipient end-user, their institutional affiliation(s), and their address
 - c. The proposed end use of the item by the recipient
4. If the dollar value of the item is in excess of \$2500 or if the ECO determined that a license is required, ensure accurate filing of shipping data through the US Customs and Border Protection’s AES (Automated Export System) at <https://www.cbp.gov/trade/technical-documentation/aes>. Contact exportcontrol@ucsf.edu for assistance.
5. If the item is a biological or hazardous material, escalate to UCSF [Environment, Health and Safety](#) at peili.zhu@ucsf.edu
6. Communicate with the foreign recipient and American Cargoservice (if appropriate; see below) to determine whether there are any import restrictions in destination country to avoid a customs hold
7. Contact [American Cargoservice](#), UC freight forwarder at +1 (858) 565-4125 if any of the following conditions apply:
 - International Shipping: If shipment is over 45 kg or 99 lb.
 - Equipment being sent for repair.
 - Special handling is required (Dangerous Goods, perishable, delicate, time deferred or time sensitive)
 - Crating services.
 - Cargo moving on a carnet.

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- AES filing services for international orders that include items valued at more than \$ 2500.00 or that require an export license.

8. Prepare commercial/Proforma invoice with all necessary data elements, *i.e.*, Schedule B, HTS codes, Country of Origin, Value. Refer to [FedEx guidance](#) for assistance in completing required documents.
9. Retain records for five years in accordance with [UCSF's Record Retention Policy](#).

II. Training and Resources

1. Departments shall all be required to either designate individuals to be able to carry out the procedures in this SOP, such as an Export Control Liaison, or provide training to all personnel as applicable.
2. Comprehensive Export Control Liaison training is available for persons serving as Liaisons for their departments. Additional training is available on demand from the Export Control unit within the Office of Ethics and Compliance.