

International Shipping





Learning Objectives

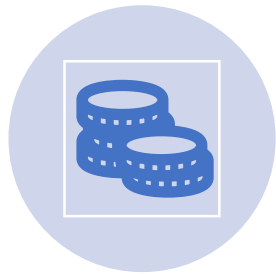
After completing this training, you should be able to identify the:



Basics of the ‘why and how’ of Export Control requirements as they pertain to international shipments of research materials (e.g., equipment and information).



Type(s) of materials that may be subject to shipping regulations.



Concept of Deemed Exports



Whom to contact with questions, or for help.

Key Takeaway for this training – Please reach out to the Office of Research Integrity if you have **any questions... we are here to help.*



Three questions to ask before shipping...

- When do these regulations apply?
- What types of materials or equipment are subject to these regulations?
- I do not want to break the law, be subject to fines, or go to jail. Where can I go for assistance?



When does it apply?

- **Everything** that leaves the United States, physically and digitally, is considered an export
- Shipping research materials, equipment, and even data must comply with export (and import) control laws and regulations
- Providing incorrect information on international shipping documents can result in shipment delays, significant fines and criminal penalties



When does it apply?

- Materials being shipped may be subject to one or more of the following restrictions based on **type** of material, **where** it is being shipped, and the intended **recipient** of the shipment.
- Defense/military items subject to International Traffic in Arms Regulations (ITAR) - see the [United States Munitions List](#) (USML) for examples
- "Dual-use" items designed for commercial purposes, but which could have military applications and are subject to Export Administration Regulations (EAR) - see the [Commerce Control List](#) (CCL)
- Sanctioned individuals, organizations, or countries identified by the Office of Foreign Asset Control (OFAC) [Sanctions Program](#) and [Specially Designated Nationals and Blocked Persons](#) (SDN) List



What types of materials are (or could be) subject to these regulations?

- Examples include equipment, commodities, certain chemicals and biological items, software or technology, technical information, blueprints, design plans, and circuit boards
- Items listed on the USML or CCL – these lists are extensive with many exceptions and country-specific rules
- These items may require an export license depending on destination and how they will be used by the recipient
- Research data
- ‘Deemed exports’

Deemed Exports



Click [here](#) for BIS Training Video on YouTube



Deemed Exports

- [Deemed Exports](#) are the release of technology, functional processes, and non-encryption source code to a foreign national *within the U.S.*
- A deemed export is “deemed” to be an export to the country where the person is a resident or citizen and could be subject to licensing requirements
- This also applies to items and information shared with foreign persons hired by the university in faculty and staff positions



Other Shipping Considerations

- International shipping is subject to customs controls, duty, and regulations—all shipments will clear customs upon arrival at the destination country.
- Shipping to foreign countries incorrectly can result in fines, payment of unnecessary fees & taxes, or seizure. Some items are classified as Dangerous Goods, or Hazardous, and may need to be packaged, placarded, marked, and labeled properly for shipment. These can include:
 - Biologicals
 - Chemicals
 - Batteries and fuel cells
 - Radioactive materials
- If you are shipping items similar to the ones listed above, they are possibly also regulated by the US Department of Transportation (DOT) and the International Air Transport Association (IATA) or International Maritime Dangerous Goods (IMDG) Code based on the mode of shipment.
- Plant or animal products are subject to US Department of Agriculture - Animal and Plant Health Inspection Service (USDA APHIS) regulations.



Other Shipping Considerations

- The Principal Investigator (PI) is responsible for properly identifying and categorizing the material(s) being shipped. Manufacturers can often provide the USML or CCL classification information.
- In the case of physical items being shipped internationally, they should be shipped using the University's preferred international shippers - FedEx or UPS.

To ship biological or radioactive materials or items requiring a USDA APHIS permit, contact the Office of Research Integrity at ori@utc.edu.





Materials that generally don't require review

- “Published works” including scholarly works (journals, individual articles, textbooks, presentation papers, publicly available theses and dissertations, posters etc.), published books, magazines and newspapers, and similar printed material.
- “Personal correspondence” includes personal and professional messages (letters to relatives, communication with a conference organizer etc.), awards (certificates, plaques etc.), and personal items (food, clothing etc.).



I do not want to break the law. Where can I go for assistance?

- Contact the UTC Office of Research Integrity – eco@utc.edu
- [UTC Export Control Website](https://www.utc.edu/research/research-integrity/export-control) –
<https://www.utc.edu/research/research-integrity/export-control>
- Recent Example: Feb 2021 – [US Department of Commerce Fines Princeton University \\$54,000](#)

Again...

Please contact The Office of Research Integrity **with any questions or concerns about potential shipping issues.**

