



CALIFORNIA INSTITUTE OF TECHNOLOGY

EXPORT COMPLIANCE OFFICE

1200 East California Boulevard, Mail Code 213-15 Pasadena, CA 91125
(626) 395-4469 · Fax: (626) 395-3144 · e-mail: ExportCompliance@caltech.edu

International Shipment Procedures

Shipments of goods, software or technology may be subject to U.S. export control regulations.

International shipments may be subject to U.S. export control laws and regulations as well as the import regulations of the country of destination. Depending on the type of commodity being exported or imported, the shipment may also be subject to other government agency regulations or controls (US Fish & Wildlife, Department of Health & Safety, Endangered Species Act or CITES) or may be subject to international agreements or laws governing the country of destination.

Fundamental Research

The fundamental research exclusion, as defined in the export regulations, does not cover the export of items outside the United States.

Export Documents

Export documentation may need to accompany your shipment, including federal forms, such as the Shipper's Export Declaration (SED) or its electronic equivalent. The information contained in your export documentation should be completed accurately. Incorrect information such as value, quantity, descriptions, Schedule B or Harmonized Tariff Code (HTS#), the Export Classification Number (ECCN) and license or license exemption information can cause your shipment to be delayed or seized by Customs officials. It can also subject the institute to penalties and fines.

How do I determine if my international shipment needs a permit or license?

The Caltech Export Compliance Office can assist you in determining whether or not your export requires an export license, permit or other requirement. Please allow sufficient time for this review to avoid any delays to your shipment.

What's not export controlled?

In many cases, no export control review is required because the item to be exported is not subject to the export regulations (e.g., books, journals, frames, household goods, personal effects, etc.). Please consult the "International Shipments: Items Approved for Export" list in the Mail Services and Shipping & Receiving Offices.

What is subject to the export control laws and regulations?

EAR: Dual-Use Items (may have both civil and military applications):

- Alpha Index: <http://www.access.gpo.gov/bis/ear/pdf/indexccl.pdf>
- ECCN #s: http://www.access.gpo.gov/bis/ear/ear_data.html

Example: computers, software, test equipment, integrated circuits, optics, GPS systems, chemicals

ITAR: Military or Spacecraft & Associated Equipment:

- http://pmdtc.state.gov/regulations_laws/itar_consolidated.html

Example: payload, software, equipment or components designed, modified or adapted for spacecraft/military or associated equipment

Schedule B # or Harmonized Tariff Schedule (HTS):

- <http://www.census.gov/foreign-trade/schedules/b/#search3>
- <http://www.usitc.gov/tata/hts/bychapter/index.htm>

Example: Computer laptop - 8471.30.0100

When and how do I get my shipment reviewed by the Caltech Export Compliance Office?

Whenever shipping items outside the United States for or on behalf of Caltech.

Please complete the Caltech International Shipment Form/Proforma Invoice found on at:

<http://www.researchadministration.caltech.edu/export/forms>.

Personal Shipments:

Personal shipments are not the responsibility of Caltech and will not be reviewed by the Caltech Export Compliance Office.

Export Compliance Contact Information:

Please send export classification and license determination request to the export office. Please allow sufficient time for the review. Please call if you need assistance or have any questions.

For general questions or shipping form requests, please contact:

Export Compliance Office

626-395-2641

626-395-3144 (fax)

ExportCompliance@caltech.edu

Jennifer Wong

Export Compliance Analyst

(626) 395-2558

(626) 529-6333 (cell)

Jwong2@caltech.edu

If your shipment has been seized or for all other export compliance questions or concerns, please contact:

Adilia Koch

Director of Export Compliance

(626) 395-4469

(626) 529-6415 (cell)

Adilia.koch@caltech.edu