

Export Control Compliance Reviews for International Shipments

Any item that is shipped from the U.S. to another country is considered an export under U.S. export laws and regulations ([15 CFR 734.13](#) and [22 CFR 120.17](#)). To determine any applicable government controls and/or the need for an export license or other authorization, UCSB export review is required prior to shipping or hand-carrying "item(s)" (e.g., commodities, software, technology, technical data, information, equipment, clothing, research samples, and materials, etc.) shipped outside of the U.S.

To prevent UCSB researchers, staff, and students from unintentionally violating export control laws and regulations when shipping (i.e., freight forwarder, mailing or hand carrying) "item(s)" to a foreign destination or foreign end-user, the Export Control Officer (ECO) requires review all "item(s)" being exported to a foreign destination (letters and documents are exempt from this requirement). Please review the [International Shipping Guidance](#), <https://www.research.ucsb.edu/export-control/about>, for more information.

Failure to obtain an export license when required could result in fines of \$250,000 to \$1million per violation and prison time for criminal convictions. False export declarations fines are \$10,000. Customs fines vary by country and can also include seizure or detention of "item(s)". Before shipping internationally, a review by the ECO ensures UCSB is compliant with U.S. laws and regulations. Members of campus who wish to send or hand-carry UCSB developed materials to a destination outside of the U.S. will require the approval of the ECO before the item(s) leaves campus.

Note: If you plan to ship biological or hazardous materials, please also contact UCSB's Environmental Health & Safety (EHS) and follow their shipping procedures.

In order for the ECO to process a request, please provide detailed and complete responses to the following questions:

1. Who is the Faculty or Employee (first & last name) responsible for this shipment

2. UCSB Email Address of the responsible Faculty or Employee

3. UCSB Department processing the shipment

4. Method of Shipment (FedEx, DHL, Hand-carry, etc.)

5. What is being shipped (**please be detailed; no acronyms**)?

6. What is the quantity?

7. What is the estimated value? (we may ask how this value was determined)

8. What country is it being shipped to?

9. Who are you shipping to (institution or company)? Who are the ultimate end-users (individual users)?

10. What foreign institution(s) are the above persons primarily affiliated with?

11. What will be done with the equipment/material? Include a brief description of the research?

12. Will this equipment/material be used for any military or space purpose or has it been specifically designed for such use?

University of California, Santa Barbara

Export Controls

<https://www.research.ucsb.edu/export-control/about>

13. Were the goods being shipped provided by a third-party or do the goods incorporate products provided by a third-party?

14. Is there an intent to publish the research involving the goods being shipped?

15. What is the ECCN for the item? (if the manufacturer provided the ECCN please state that)

Review the Commerce Control List (CCL),

<https://www.bis.doc.gov/index.php/regulations/export-administration-regulations-ear>, and provide the ECO with a determination of whether your item is listed or not listed in the CCL. If your item is listed, provide the corresponding ECCN (Export Control Classification Number), e.g., 3A001.a.2, to the ECO for each item using the following methods:

- Review the Alphabetical Index to the Commerce Control List (CCL). The index provides a list of categories. Look in the category that corresponds to your item to determine if your item is described by an ECCN in that category. You may need to review more than one category of the CCL and more than one ECCN description. Instructions for using the CCL are found in EAR Part 738.
- Go to the source. Ask the manufacturer, producer, supplier or developer of the item for the corresponding ECCN.

CCL determination (listed / not listed) and ECCN(s) by item:

Please send your request and any questions to exportcontrol@research.ucsb.edu

- **NOTE:** If your shipment request is being processed through Gateway, and if you have not already done so, upload the completed shipping questionnaire to Gateway and notify export control through the relevant Gateway requisition.