

	Office of Export Controls and Customs	SOP Number:	SHP001.0
	Standard Operating Procedure for:	Implementation Date:	JUL-20-2018
	International Shipments (Exports)	Last Revision Date:	JUL-20-2018
		Related Policy Number:	REG01.15.08
	Related Policy Name	Export Controls and Customs Compliance	

PURPOSE

Describe the process for International Shipments outbound from East Carolina University to foreign destinations.

Multiple government agencies regulate the shipment or transfer of products, services, technology, and software to foreign entities or individuals outside of the United States. This SOP establishes the responsibilities of ECU faculty, staff, and students who engage in international shipments related to their role within the university.

SCOPE

RELEVANT ACTIVITIES

RELEVANT AUDIENCE

International shipments (exports) where the shipment or transfer of information (technology) supports or is related to the individual's ECU-related role	Faculty, Staff, Students
OUT OF SCOPE: Routine admissions-related documents Routine student transcript or student account documents	Staff

RESPONSIBILITIES

TASK	RESPONSIBLE PARTY	WHEN
Notification of intent to export physical items or information (technology) to foreign individuals or entities where the items or information is related to the person's role within ECU.	Faculty, Staff, Students	Prior to Export
Ensure that all shipments or transfers from a member of the ECU community to a foreign individual or entity is screened for export control requirements; verify that all proper documentation (including any required licenses, invoices, transportation documents, etc.)	Office of Export Controls & Customs	Prior to Export

TASK	RESPONSIBLE PARTY	WHEN
have been created/acquired and, if applicable, reported before the export takes place.		

DEFINITIONS/ACRONYMS

ACRONYM or TERM	DEFINITION
Export Control	Federal regulation(s) that define(s) the compliance requirements for the shipment or transfer, by whatever means, of certain items, technology, software, and services out of the United States.
Export License	A specific authorization provided by a government agency authorizing the export or activity that is subject to certain regulations or sanctions.
License Exception	A general authorization that allows for exports that may otherwise require a specific license to take place without obtaining a license if certain stated conditions are met and upheld.
OECC	ECU Office of Export Controls & Customs. Responsible for creating, implementing, and maintaining processes and procedures that facilitate and demonstrate ECU's compliance with federal import and export regulations; also promotes topic awareness and provides training to relevant audiences.
Restricted Party	An individual or entity included on any government sanctions list, such as the Entity List, Denied Persons List, or Specially Designated Nationals List, among others. Inclusion on a sanctions list may restrict or prohibit engaging with the named individual or entity.
Technology	Information in any tangible or intangible form that is necessary for the development, production, use, operation, repair, etc. of an item. Can be in the form of written and/or oral communication, drawings, formulae, tables, manuals, revealed through visual inspection, etc.

PROCEDURES

Sequence	RESPONSIBLE PARTY	DESCRIPTION
1	Exporter (ECU Faculty or Staff member, Student)	Notify the OECC with information regarding the proposed export.
2	OECC	OECC will provide "Toolkit - Sending Items Internationally from ECU" form to be completed by Exporter.
3	Exporter	Complete "Toolkit - Sending Items Internationally from ECU" form and return to OECC.
4	OECC	Information from "Toolkit - Sending Items Internationally from ECU" form is used to perform Restricted Party screening and to evaluate for export control requirements based on items shipping and destination and to generate all required documentation to execute the export shipment.
4.1	OECC	If an export license is required, OECC will initiate the licensing process; if a license exception is available, OECC will initiate the license exception process.
5	OECC	OECC will provide necessary paperwork to Exporter including an export invoice, packing list, license (if required). OECC will report the export to U.S. Census, if required. OECC will provide instructions on ensuring that the export is carried out in compliance with regulations, including instructions for Exporter to provide to Central Stores or Mail Services.
6	Exporter	When shipment is ready, provide instructions provided by OECC to Central Stores/Mail Services.
7	Central Stores/Mail Services	Prepares physical shipment and submits export information in accordance with instructions provided by OECC to Exporter. Sends Export Bill of Lading or Airway Bill Number (or tracking number) to OECC.
8	OECC	If applicable, updates AES filing.

OECC SERVICE LEVEL TARGET

SERVICE PERFORMED	TRIGGER EVENT	TARGET Turn-Around-Time
Analyze international shipment (export) requests for export control implications and/or requirements.	Exporter (ECU Faculty/Staff member or Student) notifies OECC regarding intent to export items or information (technology) to a foreign individual or entity.	<p>NO LICENSE REQUIRED → 3 business days of request receipt</p> <p>LICENSE EXCEPTION AVAILABLE → 3 business days of request receipt</p> <p>LICENSE REQUIRED → min. 30 days from request receipt</p>

REFERENCES

REFERENCE DESCRIPTION	LOCATION
ECU Export Control Policy	http://www.ecu.edu/prr/01/15/08
Export Shipping Document Request Form	https://rede.ecu.edu/oecc/toolkit/sending-an-ip/

CREATION/REVISION/APPROVAL HISTORY

Create Date	Owner	Approver	Comments
Jul-20-2018	Daniel Gregory	Tony Rowe	First Release
Revision Date	Owner	Approver	Significant Revisions
Not Applicable	Not Applicable	Not Applicable	Not Applicable

END OF PROCEDURE