

The Office of Research Compliance present

Mail 101 - Mailing, Shipping and Receiving, Including Research Shipments

Session Agenda

- Tips on mail & package prep to minimize postage cost & maximize service
- Service differences between using USPS, UPS and FedEx
- How to prepare for a department move and have the mail follow you
- What is campus mail and what can be sent
- How to locate package tracking resources
- How to prepare large items for shipment and what paperwork is necessary
- How to place orders with vendors & prepare P.O.s to avoid shipping surcharges
- What Marketing Mail (bulk mail/nonprofit) services are available & how to use them
- USPS Postal Rate Increases, Address Validity & how it affects me
- How to order mailing materials through Supply Logic to have Mail Services prepare & mail your project
- When you must screen a shipment with Research Compliance and why
- Who to call for information and advice

Mail & Distribution Services

- Mail Services is the campus liaison to the USPS, UPS and eCampus textbook Service for campus
- We provide shipping consultation and resources to the entire 01003 campus community
- We administer the University's postal permits and safeguard our nonprofit mailing license by verifying compliance with federal regulations for design and content
- We assist Student Affairs and Campus Life desks with misdirected and unclaimed student mail and package searches

Mail & Distribution Services



- Distribution Services receives and delivers shipments and equipment to buildings that may have delivery challenges or lack a loading dock.
- All of these services are paid for by university funds and are free and available to every UMass dept and affiliates
- Postage is recharged weekly to individual speedtype accounts.
- The annual postage expenditure for the Amherst campus is approximately one million dollars.

Mail & Distribution Services

- Mail Staff consists of 9 FT employees, 2
 of our Mail staff are Certified
 Specialists in Mailpiece Design and
 Mail Center Management.
- Distribution staff consists of 6 FT employees, all of whom are trained Hoisting Engineers licensed by the state of Massachusetts

Breakout Sessions:

- Mail Services: Campus/First-class mail, compliance and rate change, minimize postage cost and maximize service
- Marketing Mail (Bulk Mail): Program mailings, address lists, compliance and available services, Supply Logic ordering for Marketing Mail jobs.
- Distribution Services: Prepare large items for shipment, placing orders with vendors & prepare P.O.s to avoid shipping surcharges
- Research Compliance: When you must screen a shipment with Research Compliance and why

Resource Links

Mail Services
Web Site Overview

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Homepage: www.umass.edu/mail

Customer Service Call Line: 413.577.9500

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Campus Mail... ...What is it?

Campus mail is any communication that conducts University business and will remain on the Amherst Campus.

There is no postage charge to send campus mail!

How does our mail system work?

- Mail Services picks up incoming USPS mail from the Post Office weekdays at 8:30 and 10:00 am.
- We add campus mail to the inbound USPS mail and deliver to the designated mailrooms in campus buildings.
- Outgoing building mail is collected once daily during delivery.

Who is responsible for mail in campus buildings?

- For single occupant buildings, sorting responsibility is designated by building coordinator or office manager.
- Mail sorting within multi-department buildings is typically shared by all building residents.
- Sorting routine is established by the building coordinator or the largest mail-stakeholder in the building.
- Duties are shared at the direction of the Coordinator or appointee with other departments sharing sorting responsibility.

What happens to the mail that is collected from my building?

- Outgoing mail is sorted by requested class of service
- ALL USPS or UPS Packages require a digital shipping label
- Our staff keys in the shipping label when required, adds postage and dispatches to carrier daily (UPS at 3pm, USPS at 3:30 pm, M-F)
- Postage is paid using your department's postage speedtype account for recharge.
- 'Pack & Ship' program through our Marketing Mail office for high volume shippers.
- ► EMS Webview browser app for high-volume shippers. Allows entry of your own shipping labels to expedite the process.

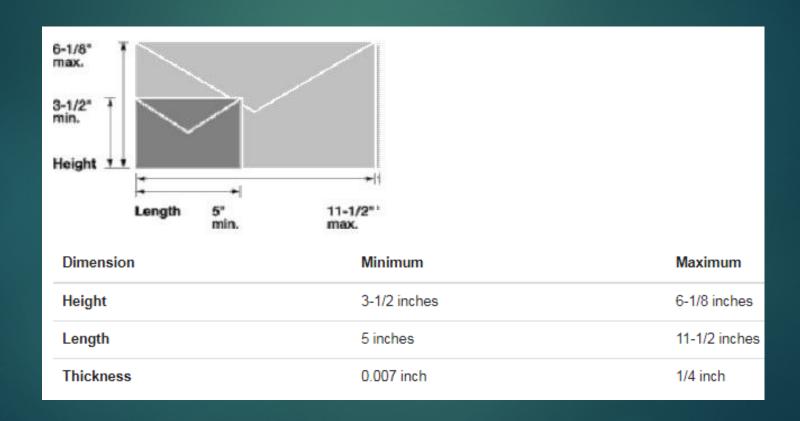
How should mail be addressed?

Correct Address Label Formats

FACULTY AND STAFF	EXAMPLE
Recipient Name Department Name Room and Building Street Address Amherst MA 01003-plus 4	Jonathan Glass-Beaker Chemistry Lederle Grad Research Tower Rm 374 710 N Pleasant St Amherst MA 01003-9305
CAMPUS MAIL	CAMPUS MAIL
Recipient Name Department Building and Room #	Rob Leveille Mail Services 120 Tillson Farm Rd - Rm 121
STUDENT RESIDENCE HALL	STUDENT RESIDENCE HALL
Recipient Name Residence Hall - UMass Street Address & Room # Amherst MA 01003 - Plus 4	Jane Q. Student Oak Hall - UMass 143 Commonwealth Ave rm 438 Amherst MA 01003 - 9253

Intro to Letters, Flats and Parcels:

What is a Letter?



What envelope should I use?

When appropriate, use a #10 envelope with applicable University branding for your department.

- > Triangle flaps process much better through our high speed equipment.
 Avoid square-flap invitation envelopes.
- White envelopes are the best choice; Avoid dark or fluorescent colors. Meter Imprints are red and must contrast with the envelope color.
- Blue or black ink ball-point pen, or printed label
- Simple Font such as Calibri, Arial or sans serif between 8 & 16 pts Fancy script fonts will confuse the USPS OCR camera.
- Omit all punctuation.
- Size correctly for contents, should not be able to shift. Contents creased, not puffy or bulging.
- Window Envelopes require the address to be fully visible including the zip code. There should be 1/8 inch white space between the address and the window edges on the envelope.
- Speedtype on envelope.

2023 USPS Postage Increase Letters and Postcards

The proposed Mailing Services price changes include the following:

Product	Current Prices	Proposed Prices		
FCM Letters (1 oz.)	\$0.60	\$0.63		
Domestic FCM Postcards	\$0.44	\$0.48		
FCM International Postcards	\$1.40	\$1.45		
FCM International Letters (1 oz.)	\$1.40	\$1.45		

There will be no change to the additional-ounce price of single-piece letters and flats, which remains at 24 cents. The Postal Service is also seeking price adjustments for Special Services products including:

- Certified Mail
- · Cost to purchase insurance when mailing an item

- Money order fees
- Post Office Box rental fees

As operating expenses continue to rise, these price adjustments provide the Postal Service with much needed revenue to achieve the financial stability sought by its Delivering for America 10-year plan. The prices of the U.S. Postal Service remain among the most affordable in the world.

- Letter mail increases \$0.03 to \$0.63 for a one-ounce letter
- Postcards increase \$0.04 to \$0.48
- International letters include postcards and increase \$0.05 to \$1.45

2023 USPS Postage Increase

Priority Mail Classes

The proposed domestic Priority Mail Flat Rate retail price changes are:

Product	Current Prices	Proposed Prices		
Small Flat Rate Box	\$10.40	\$10.20		
Medium Flat Rate Box	\$17.05	\$17.10		
Large Flat Rate Box	\$22.45	\$22.80		
APO/FPO Large Flat Rate Box	\$20.95	\$21.20		
Regular Flat Rate Envelope	\$9.90	\$9.65		
Legal Flat Rate Envelope	\$10.20	\$9.95		
Padded Flat Rate Envelope	\$10.60	\$10.40		

The complete Postal Service price filings with prices for all products can be found on the PRC website under the Daily Listings section at pro.gov/dockets/daily. For the Shipping Services filing, see Docket No. CP2023-42.

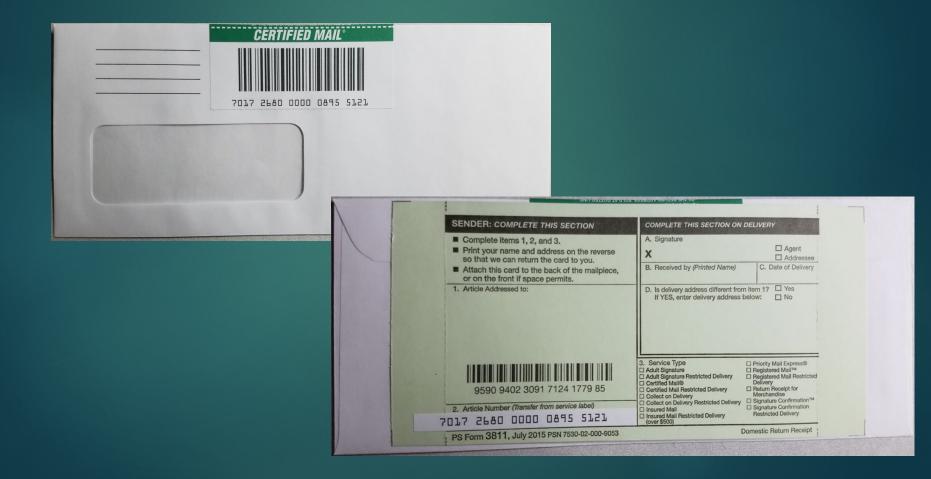
The Postal Service provides additional resources to assist customers regarding the price changes. These tools include price lists, downloadable price files and Federal Register Notices. This information will be available on the Postal Service's Postal Explorer website at pe.usps.com/PriceChange/Index on Wednesday November 16, 2022.

The increases in the Priority Mail Class are:

- Medium Flat Rate Box increasing \$0.05 to \$17.10
- Large Flat Rate Box increasing \$0.35 to \$22.80

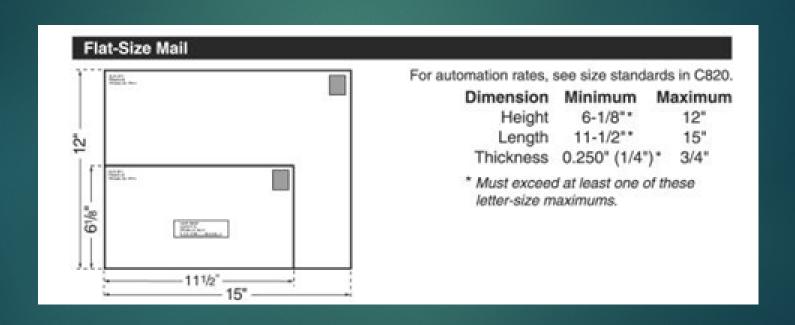
Certified Mail

- Certified Barcode placement must avoid meter imprint.
- Return Receipt on back of envelope.



Intro to Letters, Flats and Parcels:

What is a Flat?

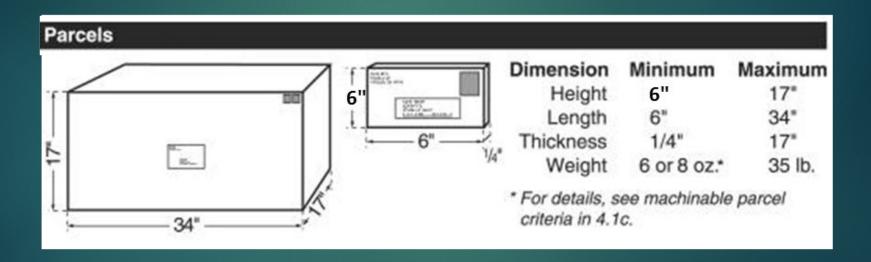


*Do not use clasp-envelopes. If you have inventory to use leave clasp flat. The clasp and flap must be taped over with shipping tape

Intro to Letters, Flats and Parcels:

What is a Parcel?





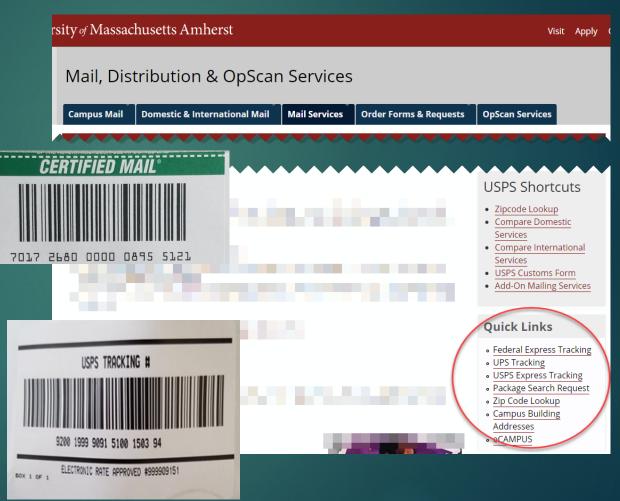
^{*}Keep packaging as compact as possible. Allow enough space to add bubble wrap, air pillows or foam peanuts for protection.

Contracted Shipping Services

- USPS works closely with Mail Services to maximize the customer experience with services provided. Dedicated customer service rep, close relationship with Amherst Postmaster
- ▶ UPS is on contract to provide negotiate rates for shipping. Better tracking visibility, more expensive and less customer services than USPS.
- FedEx does not provide regular daily service to campus like USPS and UPS. Less reliable incoming delivery, no relationship with Mail Services.
- ▶ DHL predominantly handle international shipping, and inbound delivery. No relationship with Mail Services.

Understanding USPS Tracking





Campus Mail to the Five Colleges

- Mail can be sent to
 - Amherst College
 - Mount Holyoke
 - Five Colleges Inc.

- Hampshire College
- Smith College

- Pickup at 120 Tillson 9 am, Mon Fri
- Write a complete delivery address as if you were sending first class mail.
- To the left of the address, write:
 "VIA 5 College Courier"

Personal Mail Policy

- Personal mail is any mail that has a return address that is not a campus address.
- Personal mail should never be processed using a speedtype account or bank card.
- UPS Campus Ship or Worldship accounts should never be used to process personal mail. In spite of advising that UPS discounts extend to faculty, staff and students, there is no reliable mechanism in place to assist with personal use of these rates.
- ➤ USPS & UPS prepaid return service (A.R.S. or R.S.) labels and mail that is imprinted with "Postage Paid" or "No Postage Necessary" can be mailed. Leave in out-going stamped mail.
- USPS Postage for personal mail can be purchased at the customer service window at 120 Tillson Farm Road during regular business hours.

International Mail Preparation

- > All Int'l mail that is not a letter requires a customs form.
- Package Shipping Preparation Form for Domestic & International Packages found on Mail Services webpage
- Custom forms must be digitally submitted when posted; hand-written forms are not accepted.
- USPS Requires Country name to be fully written out (no abbreviations)
- Both USPS & UPS now require a Harmonized Tariff Code. There is a look up link on Mail Services home page. Research Compliance can also assist.
- Write Air Mail or Par Avion to the left of the address, on an angle.
- For any research shipment, foreign or domestic, Research Compliance must approve the shipment and recipient prior to contacting Mail Services. May be directed to eShip Global.

Mail Services Contact

Rob Leveille - Mail Services Supervisor Direct Line 413.545.1084

rleveille@admin.umass.edu

Customer Service Call Line: 413.577.9500

Homepage: <u>www.umass.edu/mail</u>

Distribution Services

Physical Plant Receiving, Central Receiving

- Capable of receiving all sizes of trucks and freight
- Pallets, Crates, Lab equipment, computers
- Deliveries to all departments on and off campus
- Opscan Services Deliveries
- Outbound shipping- UPS, FedEx, returns, freight

**For shipments that contain hazardous materials, please contact Environmental Health & Safety for assistance.





Distribution Services Staff





Jim DeRoy



Lenny Kokoski



Kevin Billieux



Mark Kosloski



Dave Morneau



Kenny Perkins

Receiving Small packages

UPS, FedEx and other small package carriers will deliver parcels directly to your location on campus.

It is imperative that you provide a clear shipping address on the PO or verbal. When ordering from your suppliers insist on the following format:

Your Name and Department
Building and Room Number or Suite Number (very important)
University of Massachusetts
Your Street Address,
City, State ZIP

Signatures are usually required

For Freight deliveries

- ▶ Name / Dept
- ► UMASS DISTRIBUTION SERVICES
- ▶ 360 CAMPUS CENTER WAY
- ► AMHERST, MA 01003-9248



UPS surcharges <u>Actual invoice</u>

UPS Freight
REMIT TO:
P.O. BOX 650690

DALLAS, TX 75265-0690



Page 3 of 6

UPS FREIGHT LTL TEMPERATURE CONTROLLED

ORIGINAL FREIGHT BILL

SHIP DATE ORIGIN DESTINATION			FRE	FREIGHT BILL NO.			Net Amount Due		
	03-08-2016 GAR SPR			795667412			\$ 586.77 USD		
CONSIGNEE: 16514837 UMASS AMHERST %LIFE SCIENCE LAB 240 THATCHER RD		P.O. NO. A000394916 B/L NO. RP424888			Payment Due 04-08-2016				
							AMHERS		
SHIPPE UNIVAR 100 N SA MESQUI	ам но	ousto	N RD		BILL TO: 0284 UNIVERSITY OF 360 CAMPUS C AMHERST, MA	F MASSACHUSET ENTER WAY			
PCS			DI	ESCRIPTION	WEIGHT	NMFC	CLASS	RATE	CHARGES
1		DR	*** SHIPMENT RE CHEMICALS NOI 78.00% DISCOUNT 001850 LTL FUEL A 012000 LIMITED AC 03000 PROTECT FF 002500 REWEIGH F 00152-GAR ORIGIN SHIPMENT WEIGHE	DJUSTMENT CESS PU/DEL REEZING FEE EE AL WGT/REWEIGH	315	060000-00	70	349.20 78.00 18.50	1,099.98 -857.98 -44.77 120.00 -30.00 -25.00
			WEIGHT DECLAREI ACTUAL WEIGHT IS ADDITIONAL DELIV RCVNG HRS 7AM-3 012500 LIFTGATE S	D AS 00152 LBS. 3 00315 LBS. ERY INFO. PM					125.00
			50 CUBIC FEET 78F4X4 ACCT # "FREEZABLE PRO "TENTION SARAH PERRY 413 UPGF 6180 014496	545 6435					
1			UPGF 560 10/26/1 TOTAL AMOUNT DUE		315				586.77

If you have questions regarding this invoice, please contact Customer Service at 1-800-333-7400.





UP\$ \$urcharges

- \$ "on-call" pickup at your desk \$6 per call
- \$ Fuel surcharge +
- \$ Residential surcharge +
- \$ Delivery area surcharge +
- \$ Extended Delivery area surcharge +
- \$ Undeliverable return- \$21.90
- \$ Address Correction surcharge \$18.

Tracking Packages

BAD ADDRESSES HAPPEN

CONFIRM DELIVERY WITH TRACKING NUMBER

DISTRIBUTION OFFICE 5-5082 JIM

MAIN DOCK PHONE 5-3313

GOVCONNECTION INC 3900 STONECROFT BLVD CHANTILLY VA 20151

SHIP

TEL: 999-999-9999

UNIVERSITY OF MASSACHUSETTS CONFIGURED IN BUYWAYS CHECKOUT AMHERST, MA 01003



MA 011 9-03



TRACKING #: 1Z R09 0E3 03 0317 8176





OUTBOUND FREIGHT

12



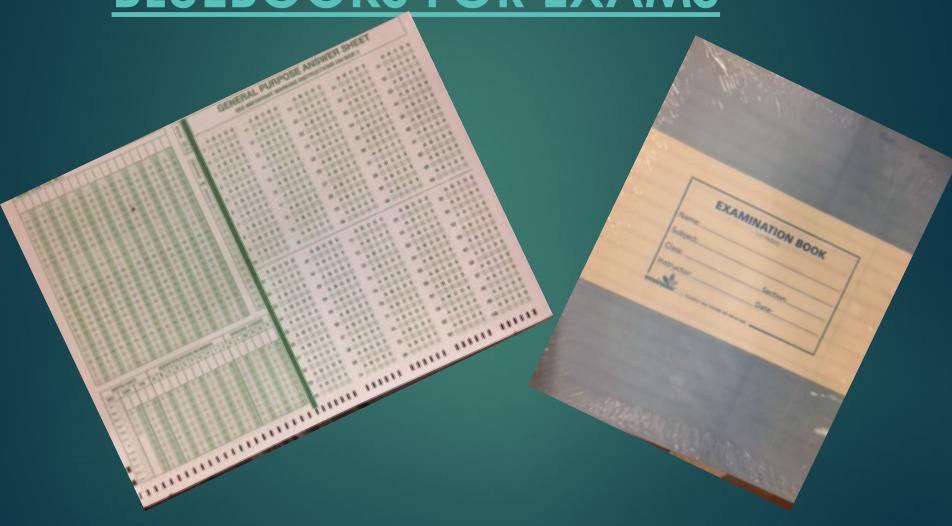






OPSCANS AND BLUEBOOKS FOR EXAMS

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WEI-COTTE IVIAIL 101

Bulk Mail refers to larger quantities of mail mailed at a reduced postage rate.

To qualify for certain postage discounts, you *MUST* mail a minimum number of pieces:

- 500 pieces for First-Class Mail (for discount postage) (maximum 16 ounces).
- 200 pieces or 50 pounds for Non-Profit Mail
- The size and shape of your mail piece will affect the price you pay.

2023 Rates (effective 1-22) (per qualifying piece)

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Non-Profit - (Letters) .016 - .022 / (Flats) .036 - .071
First Class - (Letters) .036 - .063 / (Flats) .069 - 1.07
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UMass Non-Profit Regulations and Guidelines

- Mailing must have a minimum of 200 pieces or 50 pounds, which are identical in size, weight and contents should not contain any handwriting or personalization.
- UMass Amherst return address <u>must</u> appear in a prominent place on content.
- Campus, five-college or foreign pieces should not be mixed in the mailing but kept separate.
- Material must eligibility requirements.
- Advertising restrictions include travel, insurance and financial.
- Advertisements that promote credit, debit, or charge cards are prohibited.
- Advertising must be "substantially related" to the mission of the University.

POSTAGE VARIATIONS

Imprint indicia

NON PROFIT ORG U.S. POSTAGE PAID AMHERST MA PERMIT NO. 2

Meter impression







THE COST FOR NON-PROFIT POSTAGE IS ABOUT ONE THIRD OF THE COST OF FIRST CLASS.

How long will Bulk Mail delivery take as opposed to First Class?

~ Or ~

- FIRST CLASS ON AVERAGE IS 3 TO 5 DAYS TO GET TO THE DESTINATION.
- BULK MAIL CAN TAKE UP TO TWO WEEKS IF TRAVELING ACROSS THE COUNTRY.

Mailing List Guidelines

- Create or acquire an address list.
- Check and verify data accuracy.
- Make corrections before submitting.
- Abbreviate as much as you can as long titles do not always fit.
- Send ONLY the information we need to print on the piece.
- No hidden rows, columns or formulas.
- Before preparing the job for print we run the list through NCOA (National Change of Address) for cleansing and address move updates.
- Alumni lists come to us already cleansed.
- Proper Database Design can be found at

Proper Database Design

Your data file should follow this format:

IMPORTANT NOTE:

- DO NOT hide any cells, columns or rows.
- Please delete any data not intended to be included.
- DO NOT use any formulas or lookup tables
- Flat file format ONLY

Maximum 65 characters			Max 50	Max 50	Max 50	Max 50	Max 24	Max 2	Max 9	Max 24	Max 50		
prefix	first	mid	last	suff	company	title	delivery address	alt address	city	st	zip	country	campus
Mr	John	М	Doe	Jr	Apex Inc	V.P.	175 Main St Apt 1	PO Box 2	Boston	MA	01201	Country Name	Campus mail and
acceptal	Full name in a single field is also acceptable but it impacts the integrity of locating duplicate records				It is accept insert add columns fo Name or oth info (Max 5	itional r Dept. ner user	Field can also contain apt, unit or suite numbers					spelled out in FULL for Customs acceptance	5 college addresses must be unique

Proper design and maintenance of your database will:

- Reduce postage costs
- Reduce mail preparation costs
- Improve delivery and recipient results

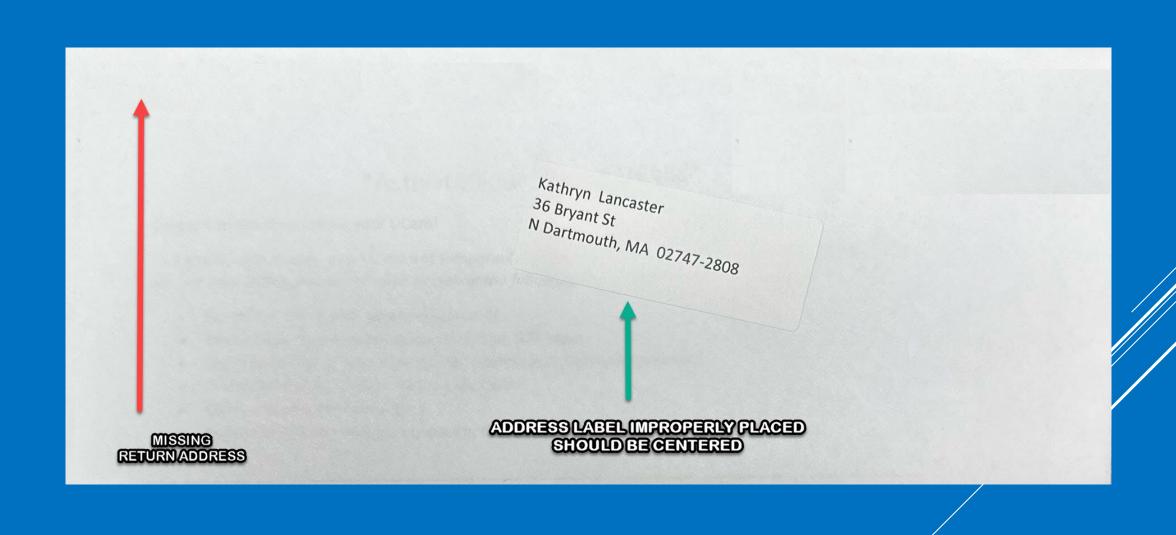
Q. How do I go about correcting addresses in my database?

A. There are several tools available from Mail Services, many at no charge, that offer address update and correction resources depending on the age and condition of your database.

Tips for successful database management-

- Have written guidelines and standards for data entry personnel to follow
- · Keep one master list- do not use secondary or shadow lists
- · Aggressively pursue address updates and make corrections promptly
- Request a list of bad addresses whenever you send a mailing
- Call Mail Services at 5-2488 for database consultation and advise

Remember- your mailing is only as good as the quality of your addresses "An address is not like wine—it does not get better with age" anonymous



Augusta Savage Gallery

103 New Africa House University of Massachsuetts 180 Infirmary Way Amherst, MA 01003 A126120 **UMassAmherst**

Augusta Savage Gallery

ADDRESS TOO LONG SHOULD HAVE BEEN SPLIT PROPERLY

Non Profit Org U.S. Postage PAID Permit No 2 Amherst, MA

Portraits in Red: Missing & Murdered Indigenous Women & Girls Nayana LaFond

January 30 - May 12, 2023

Opening Reception: Monday, January 30, 5-7 p.m.

Artist Talk: Wednesday, February 8, 6 p.m.

Striking portraits of Indigenous women and girls raise awareness and bring healing to victims and their loved ones

This exhibit is presented in partnership with UMass' Women of Color Leadership Network.

Additional events:

Avery Joi Quartet

Wednesday, March 1, 7 p.m.

Vocalist Avery Joi leads this Western MA Jazz/Neo-Soul/R&B ensemble comprised of Jazz in July Alumni

This event is in partnership with The Jazz In July Program.

How We Go Missing: Anishinaabe Theater Exchange Friday, April 21, 7 p.m.

Stories of Indigenous relatives through performances of survivance against colonial violence, lateral violence, and invisibility

This event is in partnership with UMass' Women of Color Leadership Network.

GALLERY HOURS: M, T 1-7 pm; W-F 1-5 pm All events are free and open to the public located in New Africa House near University Health Services 413.545.5177 www.fineartscenter.com/augusta *****AUTO**ALL FOR AADC 060

97108

REBEL MCKINLEY

ROBERT F. KENNEDY CHILDRENÆS ACTION CORPS I EXPERIMENT WITH

15 PAPINEAU ST

HOLYOKE MA 01040-3417

վելիեվակրինգութիրմարդիցրկրկաինկակներ

LEAVING ADEQUATE SPACE FOR ADDRESS PRINTING

Most common reasons delivery addresses fail

- Missing Street Number (example = Broad Street)
- Missing Apt or Suite Number (example = 23 Broad Street)
- Incorrect Street Number (example 23 should have been 27)
- Simple Spelling Errors (example 23 Round Cicrle = Circle, Street most common misspelled).
- Spaces between street address / Apt (example = 23BroadSt Apt2B)
- PO Box incorrect (example = BOX 48 or 48 PO BOX)
- Address database not kept up to date (example deceased persons, business closed)
- 2 Streets listed (example = 23 Broad Street 37 Apple Street)
- 6500 people an hour file an address change request with the USPS
- 3.4 billon dollars in undeliverable non-profit mail in 2022



Quote & Question Form for UMass

UMass has partnered with SupplyLogic to be the preferred supplier of printed material and branded merchandise.

Campus *
O UMass Amherst
O UMass Boston
○ UMass Dartmouth
○ UMass Chan
O President's Office
○ UMass Lowell
QUOTE INSTRUCTIONS
For orders of items not featured on the portal, such as mailings or special projects. Please use the link below to request a quote or ask questions to a SupplyLogic representative. Note that all fields with a red * are required
Upon receipt of the Quote Request, SupplyLogic will provide the quote, a confirmed schedule, contact information and details regarding how to provide artwork to SupplyLogic.
Note that UMASS requires a Buyways Purchase Order Number be submitted to SupplyLogic (DSSL HOLDINGS LLC) in order to begin production. Production times will begin upon receipt of this PO.
Project Details
Project Title *
Job Number
If Applicable
Project Type *
Choose the one that best fits this project. For Stationery Items, please see the SupplyLogic Punchout in Buyways.
○ Flyer / Letter ○ Catalog ○ Poster ○ Signs ○ Invitation
O Postcard O Mailing Package (Letter) Brochure (folded pages)



Quote & Question Form for UMass

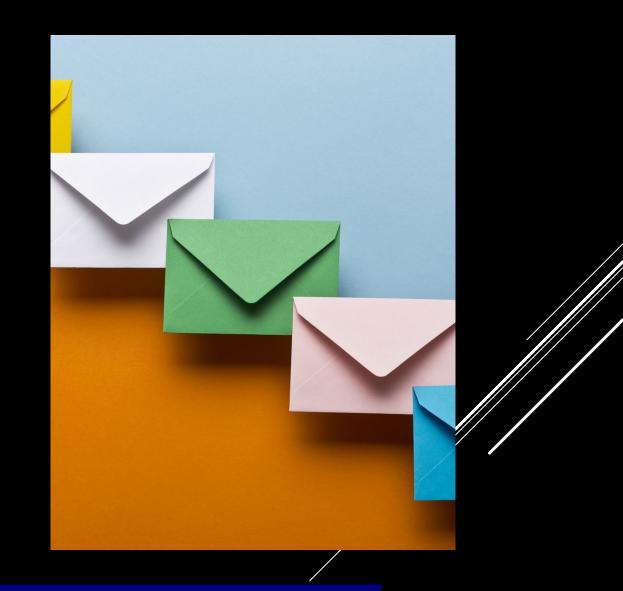
UMass has partnered with SupplyLogic to be the preferred supplier of printed material and branded merchandise.

DISTRIBUTION *
O Bulk Ship to 1 location
Bulk Mailing (Multiple locations)
Other (See Comments)
<u> </u>
AMHERST Campus Only: If mailing, who will prepare & distribute the mailing?
Choose one.
If choosing UMass Amherst Mail Services, click the link below to log in and complete the mailing portion of this request.
https://umass.webdeskprint.com/PSP/Appnet/PrintOrderPublic/Landing.aspx?LPID=4
○ UMass Amherst Mail Services ○ SupplyLogic
Mailing Date
Please indicate the date this project is expected to mail
63
If unchecked, provide details in comments.
Confirm that art file contains an indicia & speed type number
Proof Required *
Yes, Digital
O Yes, Hard Proof shipped to my location
O No Proof Required
File Upload
Please provide an art example (if available) or any additional support materials. If requesting a quote for multiple items, please attach a listing with specifications. If you choose "Multiple Items" - attach a listing of items and specifications here.
If Mailing with SupplyLogic, separate instructions will be provided for secure sharing of the mailing list. Do not attach here.
(PDF, Excel or Word files are welcome)

Let us help make your bulk mailing a success.

Contact us at 545-3158 for pre-preparation assistance.

- We can discuss with you the placement of the address panel and piece material.
- Dimensions of the piece.
- Letter rate vs Flat rates. (self-folded mailer)
- Finalizing your production work order placing your job on our radar. This form can be found online under Mail Services/Order Forms and Requests.



https://umass.webdeskprint.com/PSP/app/PSP_Start.asp

Additional Services Available through Mail Services

- Inserting (from one to multiple insertions)
- Matching (from one to multiple insertions)
- Tabbing (folded self mailers)
- Folding (single or multiple sheets)
- Labeling and Addressing (direct print or address labels)
- Sealing
- NCOA address updates

MAIL SERVICES CONTACT

Todd Zaganiacz

toddz@umass.edu

413-545-3158

www.umass.edu/mail



Enforcement Examples

Texas Tech, 2003

- Dr. Thomas Butler exported *Yersinia pestis* to Tanzania without a license
- Export Control
 Classification Number
 (ECCN) 1C351
- Reported missing to FBI
- \$37,400 civil penalty, 2 years in prison, export privileges denied for 10 years

UMass Lowell, 2007

- Exported items subject to EAR to SUPARCO in India without license.
- SUPARCO on a U.S. government restricted-party list (Entity List)
- Items could be exported without a license, but not to a listed entity
- \$100,000 civil penalty, suspended, 2-year probationary period

Princeton, 2021

- Exported animal pathogens (ECCN 1C351) to countries including U.K., Canada, Australia without a license
- Controls apply to certain biological materials even if materials are attenuated or widely available
- \$54,000 civil penalty



Export Control Regulations

What are Export Controls?

- "Export controls" are U.S. laws and regulations that restrict the export of sensitive items, information, and services to foreign nationals, within and outside of the United States, and to foreign countries.
- Export controls also <u>restrict activities within certain</u> <u>countries and with designated institutions, entities, and</u> <u>individuals</u>, even if no controlled items are involved, through sanctions programs and restricted-party lists.

Why are they imposed?

 To protect national security and achieve foreign policy objectives.







What Is An Export¹?

Export

• An actual shipment or transmission out of the United States, including the sending or taking of an item/defense article out of the United States, in any manner (e.g., ship, hand-carry, electronic transmission, etc.)

Deemed Export

- Releasing or otherwise transferring **technology/technical data**² or source code **to a foreign person in the United States**; such a release is deemed to be an export to the foreign person's most recent country of citizenship or permanent residency (for ITAR, to all countries in which the person has held or holds citizenship/permanent residency).
- The release of export-controlled technology can occur through a visual inspection (such as reading technical specifications, plans, blueprints, etc.), a discussion, or through practice or application.
- ¹See 15 CFR § 734.13; 22 CFR § 120.17.
- ²Technology and technical data are broadly defined terms that include **information** required for the design, development, production, manufacture, assembly, operation, repair, testing, maintenance or modification of items/defense articles. This includes information in the form of blueprints, drawings, photographs, plans, instructions or documentation.

Primary Export Control Regulations and Enforcement Agencies*

Homeland Security Investigations (HSI)

Primary Export Licensing Agencies

U.S. Dept. of State Directorate of Defense Trade Controls (DDTC)	U.S. Dept. of Commerce Bureau of Industry and Security (BIS)	U.S. Dept. of Treasury Office of Foreign Assets Control (OFAC)
 Regulates Export & Licensing of <i>Single-Use</i> Defense Articles (military and space applications) Controlled Items List: U.S. Munitions List (USML) Regulations Defined By: ITAR Violations Enforced Under: AECA 	 Regulates Export & Licensing of Dual-Use Commodities (Commercial & Military Applications) Controlled Items List: Commerce Control List (CCL) Regulations Defined By: EAR Violations Enforced Under: EAA/IEEPA 	 Regulates Licensing of <i>Transactions</i> involving sanctions & embargos Comprehensive & Selective Regulations may apply to: Countries Companies Individuals Regulations Defined By: Sanctions/Embargos Violations Enforced Under: IEEPA

Excerpted from presentation by Special Agent Jacquelyn Metzger, Homeland Security Investigations, at the 2017 AUECO Conference. (*Other agencies also impose export controls, but these impact universities most often.)



What types of items might be subject to export controls?

Examples:

- Sensors and lasers
- Computers and specialized software
- GPS/GNSS equipment
- Night-vision equipment or cameras (e.g., highspeed, infrared, underwater)
- Drones
- Biological/chemical materials
- Mass spectrometers
- These items may be classified for export, but will not necessarily require a license to ship
- Even if your item is not controlled, we still need to screen the recipient, affiliation, and destination country

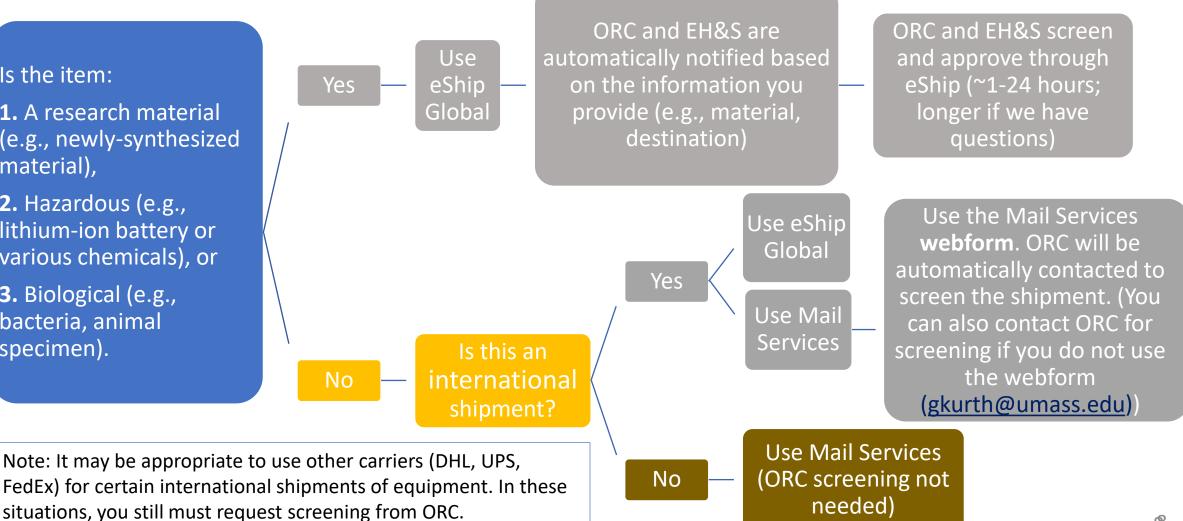
What shipments need to be for export controls?

- All international shipments and certain domestic shipments must be screened for export controls
 - Export controls apply even if the item is being shipped to the country where it was manufactured
- Key questions to assess:
 - 1. Is the item controlled for export to the destination country?
 - 2. What will the item be used for?
 - 3. Is the recipient on a U.S. government restricted-party list?
 - 4. Is the destination country or recipient subject to U.S. government sanctions?
 - Sanctions may be targeted towards specific goods, companies, or individuals
 - Sanctions may also be comprehensive (Iran, Syria, North Korea, Cuba, certain regions of Ukraine)

Flow chart for approval of shipments

Is the item:

- **1.** A research material (e.g., newly-synthesized material),
- 2. Hazardous (e.g., lithium-ion battery or various chemicals), or
- 3. Biological (e.g., bacteria, animal specimen).



How can I speed up the process?

Be as clear as possible when describing the shipment

- Item to be shipped, what it's made from, and intended use
- Recipient (person and their organization)
- Destination address
- For equipment, provide the name, model #, and value (or a link to the item on the manufacturer's website!)

Welcome to UMass Mail & Distribution Services Campus mail service is provided to students, faculty, and staff of

UMass Mail & Distributions Services offers:

• Incoming/outgoing mail pickup and on-campus delivery

the Five College community for University related business^.

- Campus inter-office mail delivery
- Bulk mail services
- Mailpiece design assistance
- 5 college campus mail pickup and delivery
- Distribution services
- Campus mail supplies
- OpScan Services intake and processing





Other ways we can assist you

- Commercial invoices and item descriptions
- Customs documentation (or permits)
- Large international shipments of research equipment

University of Massachusetts Amherst							
College of Natural Sciences							
Department of Geosci	ences						
SHIPPED TO:	SHIPPED FROM:						
Pole Position Logistics AS	Ray Bradley						
Attn/: Arctic Capacity/Henrik Lassen/Bradley	Dept of Geosciences	s,					
Port iof Longyear	627 N. Pleasant Street						
9170 Longyearbyen, Svalbard	Univesity of Massachusetts Amherst						
NORWAY	Amherst, MA 01003						
	Phone: 413-545-212	20 Cell: 4	13-512-1487				
DESCRIPTION OF SHIPMENT AND CONTENTS							
Supplies for scientific expedition to northern Greenland							
EMPLOYER IDENTIFICATION NUMBER (EIN): 04-3167352							
DECLARATIONS							
There are two 12v batteries in this equipment (in box #1)							
BOX No Qty Item	Description/use	Estimated value	Export control classification number (ECCN)	Harmonized tariff system code (U.S. Schedule B)			
1 Zarges aluminum box	·F4	,					
	Supplies	\$100	EAR99	9015.80.8040			
1 Van Doren water sampler & messeng		•	EAR99	9015.80.8040			

Other ways we can assist you

- Harmonized tariff codes/Schedule B numbers
- Required for all international shipments (except documents)

Harmonized Tariff Schedule of the United States Revision 2 (2023)

Annotated for Statistical Reporting Purposes

XVI 85-36

Heading/	Stat.		Unit		Rates of D
Subheading	Suf-	Article Description	of		1
	fix		Quantity	General	Specia
8517		Telephone sets, including smartphones and other telephones			
		for cellular networks or for other wireless networks; other			
		apparatus for the transmission or reception of voice, images			
		or other data, including apparatus for communication in a wired			
		or wireless network (such as a local or wide area network),			
		other than transmission or reception apparatus of heading			
		8443, 8525, 8527 or 8528; parts thereof:			
		Telephone sets, including smartphones and other			
		telephones for cellular networks or for other wireless			
		networks:			
				0/	
8517.11.00	00	Line telephone sets with cordless handsets	No	Free ^{8/}	
8517.13.00	00	Smartphones	No	Free	

Harmonized Tariff Codes Now Required



35%

Effective March 1,
2023, USPS customs
forms require the
Harmonized Tariff
Code (HTC) be
included for everything
shipped internationally,
except documents. UPS
has had this in effect for
years.

There are two search

tools that we recommend to help determine the proper HTC - The U.S. International Trade Commission HTS search tool and The U.S. Census

Bureau search tool. Both of these tools will provide up to a ten-digit

Schedule B number (which includes the six-digit HS code). The six-digit

HS code is required on the customs form(s). Should the code be more than six digits, you need only include the first six digits.

Click this link to view an informative video, provided by the US Dept. of Commerce International Trade Administration, titled Understanding Your Products HS Code.

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Export Control Contacts and Resources

- Ellie Kurth, Export Control Compliance Specialist
 - gkurth@umass.edu
 - 413-545-5201
- Dan Sacco, Sr. Associate Director, Office of Research Compliance
 - dansacco@research.umass.edu
 - 413-545-3468
- UMass export controls <u>Website</u> (<u>https://www.umass.edu/research/compliance/research-safety-and-security/export-controls</u>)

Export Controls Website (https://www.umass.edu/research/compliance/research-safety-and-security/export-controls)

