

Note to Caltech Shipper: *The Caltech International Shipment Form will become a permanent record in the U.S. Customs Office. The U.S. and the foreign country of destination's export and import control requirements are dependent on several factors, such as: type of commodity being exported/imported, end-use, country of destination, and end-user. This form is not required for personal shipments, household goods, books, mugs, business documents, office supplies (e.g. pens), clothing, Caltech souvenirs and similar items.*

No review required by OEC:

Export Compliance review of this form is not required for items on the [NRR List](#) unless the shipment is destined to an embargoed or sanctioned country or the end-user is a [Restricted Party](#). However, [Mail Services](#) will need the Proforma Invoice pages of the form but not the Export Compliance Questionnaire portion because NRR Items it will not be sent to OEC for review.

Instructions for completing the Caltech International Shipment form:

1. **Complete the form:** Avoid delays! Provide as much information as possible. The information provided by you in the Caltech International Shipment Form must be an accurate and complete declaration of what you are exporting -- description, quantity, value, end-user, end-use, etc. Wherever possible, please provide a link to the commodity's technical specifications or a link to a white paper that will help us to determine if government controls will apply to your shipment.

Know before you ship! Don't know? Ask the foreign party what is the item's ultimate end-use before you export.

If you are sending **biologicals, chemicals, or nuclear materials**, please contact the Caltech Environment, Health, and Safety office: safety@caltech.edu or x6727.

2. **Value:** The [Customs Duty Value](#) of an item cannot be zero. You may use repair value, replacement value or sales price depending on nature of your transaction. See [Customs Duty guidance](#) to determine value for Customs duty purposes: <https://researchcompliance.caltech.edu/export/shipments/exports>.
3. **OEC Review:** The Caltech Office of Export Compliance (OEC) will review and return the form to you with the required information that will allow your shipment to clear Customs and to comply with the applicable U.S. government regulations, such as the Export Classification Control Number (ECCN) and the license determination; and HTS/Schedule B.
4. **Signature:** Please sign the form.
5. **Copies:** Caltech Mail Services/Shipping & Receiving require original plus two copies of the signed Shipment Form. (This document will travel with your package to clear Customs.) Please email a signed copy of the final Shipment Form to exportcompliance@caltech.edu and keep a copy for your files.

Contact Us: Email: exportcompliance@caltech.edu or (626) 395-2641

International Shipment Form - Export Classification Information

EC Form # 001 v.20221014

CEC ID#: EC-IS-	CEC Record Retention Date:	
PART A: CALTECH PRINCIPAL INVESTIGATOR AND PROJECT INFORMATION		
PI's Name:	Tel #:	Division:
Technical Contact's Name:	Tel #:	Email:
Is this a personal shipment? (i.e. non-Caltech business/research)	<input type="checkbox"/> Yes <input type="checkbox"/> No	PTA Alias charge #: P-
Project Title/Name:	Drop-off location: <input type="checkbox"/> Mail Services <input type="checkbox"/> Shipping and Receiving	
1. Brief description of the ultimate end-use, application or research area of the items you are exporting.		
PART B: SHIPMENT INFORMATION - Please complete only the sections that apply to your shipment. If Yes, please answer all questions in the sub section.		
PART B1: Are these HARDWARE or SOFTWARE ITEMS?		<input type="checkbox"/> Yes <input type="checkbox"/> No
1. Is the end-item, component, part, software, accessory or attachment specially designed for any of the following:		
a. Spacecraft systems (including scientific or research payloads)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
b. Sounding rockets (including scientific or research payloads)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
c. Designed or adapted for military applications ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2. Does the item contain encrypted software or firmware? If yes, please indicate the level of encryption: _____		<input type="checkbox"/> Yes <input type="checkbox"/> No
PART B2: Is this TECHNICAL DATA (all media types)? [Business documents: skip this section]		<input type="checkbox"/> Yes <input type="checkbox"/> No
1. Is this Technical Data or Technology (information) necessary for the design, development, production, manufacture, modification or enhancement of an export controlled item that will be used in military or space applications; will it be used for research in any of the categories mentioned in this form; or is subject to other restrictions?		<input type="checkbox"/> Yes <input type="checkbox"/> No
PART B3: Does this shipment include any CHEMICAL, BIOLOGICAL, PATHOGENIC, NUCLEAR or WEAPON or ARMAMENT MATERIALS?		<input type="checkbox"/> Yes <input type="checkbox"/> No
1. Is the item being shipped for the development or end-use for any of the following activities or industries? (Select all that apply or indicate "None".)		
<input type="checkbox"/> Genomic Elements, or genetically-modified organisms/ Genomic Material are genetically-modified organisms (e.g., Chromosomes, Genomes, Plasmids Transposons, Vectors) – Modified or Unmodified, may be Synthesized <input type="checkbox"/> Pathogen – Human or animal <input type="checkbox"/> Biological agents ('biological agents' are pathogens or toxins, selected or modified (such as altering purity, shelf life, virulence, dissemination characteristics, or resistance to UV radiation) to produce casualties in humans or animals, degrade equipment or damage crops or the environment.) i. Indicate biological species from which the item was generated or synthesized. (Provide actual biological species name, <u>not general terms such as</u> "protein", "bacteria", "yeast", etc.): <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div> b. Provide strain number: <input type="checkbox"/> Not applicable <input type="checkbox"/> Strain # _____ ii. For any newly-synthesized items (e.g., DNA, protein, etc.), are they pathogenic or virulent? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Chemical <input type="checkbox"/> Chemical Weapons Convention (CWC) Schedule 2 or 3 <input type="checkbox"/> Chemical warfare agents <input type="checkbox"/> Chemical agents (i.e., tear gas), including toxicological agents <input type="checkbox"/> Chemicals that may be used as precursors for toxic chemical agents <input type="checkbox"/> Nuclear or Atomic material <input type="checkbox"/> Weapons, armaments <input type="checkbox"/> None of the above apply. <input type="checkbox"/> Other	<div style="border: 1px solid black; height: 100px; width: 100%; margin-top: 10px;"></div>
2. If the materials are biological or chemical, has a Materials Transfer Agreement (MTA) been completed with Caltech's OTTCP? Yes No If not, please contact mta@caltech.edu . See https://ottcp.caltech.edu/patents-licensing/mtas for more information		
Contact: exportcompliance@caltech.edu or x2641		

International Shipment Form - Proforma/Commercial Invoice

EC Form # 001 v.20221014

CECID #: EC-IS-				CEC Record Retention Date:					
SECTION I – To be completed by Caltech Mail Services or Shipping & Receiving									
Date of Export:		Bill of Lading/Airway Bill #/Tracking #:			ITN:				
SECTION II – To be completed by Shipper									
1. PTA Alias charge #: P-		2. Customs duty paid by: <input type="checkbox"/> Caltech Shipper <input type="checkbox"/> Foreign Recipient <small>(For additional information see Incoterms 2010 http://www.iccwbo.org/incoterms_faq/#1)</small>		3. Authorized Agent: <input type="checkbox"/> FedEx <input type="checkbox"/> UPS <input type="checkbox"/> Other _____					
4. Shipping in Dry Ice: <input type="checkbox"/> No <input type="checkbox"/> Yes: a) Shipper must attach a UN1845 label. b) Weight of Dry Ice (kg) _____				5. Hazardous Materials/Dangerous Goods?: <input type="checkbox"/> No <input type="checkbox"/> Yes					
6. FROM (Shipper (exporter)/U.S. Principal Party In Interest)				7. SHIP TO (Foreign Recipient/End-User)					
Telephone:				Telephone:					
Contact Name:				Contact Name:					
Company Name:		California Institute of Technology		Company Name:					
Street Address:		1200 E. California Blvd., M/C: _____		Street Address:					
City:		Pasadena		City:					
Country:		U.S.A.		Country:					
State: California		Postal Code: 91125		State:		Postal Code:			
*Complete #8 and #9 only if you have a routed transaction, drop ship, or multi-party transaction.									
*8. Intermediate Consignee (Person or entity in foreign country who acts as an agent, takes temporary possession of the goods to effectuate its delivery to the ultimate consignee (e.g., freight forwarder, consolidator, etc.))				*9. Ultimate Consignee (Principal Party located abroad who receives the exported items. Not the forwarding agent or intermediary, but may be end-user)					
Telephone:				Telephone:					
Contact Name:				Contact Name:					
Company Name:				Company Name:					
Street Address:				Street Address:					
City:				City:					
Country:				Country:					
State:				State:					
Postal Code:				Postal Code:					
10. Type of Export: <input type="checkbox"/> Temporary <input type="checkbox"/> Permanent				11. Purpose of the items being shipped as they related to the research project, i.e. what is their functionality?					
12. Reason for Export: <input type="checkbox"/> Sale/Purchase Order <input type="checkbox"/> Research purposes only. Not for sale. <input type="checkbox"/> Gift <input type="checkbox"/> Other: _____ <input type="checkbox"/> Repair & return <input type="checkbox"/> Test & return <input type="checkbox"/> Sample <input type="checkbox"/> Personal Use				13. <input type="checkbox"/> Value for Customs purposes only. Not for sale. <input type="checkbox"/> Replacement cost – value for Customs duty purpose <input type="checkbox"/> Value of repair: \$ _____ / and Value of Item: \$ _____					
SECTION III – To be completed by Shipper -- *except for #18 HTS, and #19 ECCN.									
#	14. Description of Goods (Include Model/ Part #/Kind of Packages (cartons, cases, etc.))	15. Qty.	16. Name of Manufacturer (Include Product URL)	17. Country of Origin	*18 HTS #/ Schedule B	*19. ECCN/ License Exception	20. Unit Weight (Kg)	21. Unit Value* (price paid or estimated value) (USD \$)	22. Total Cost (USD \$)
1									
2									
3									
*Include cost of repair or replacement for anything other than a sales transaction.							Invoice Total (USD \$)		
These items are controlled by the U.S. Government and authorized for export only to the country of ultimate destination for use by the ultimate consignee or end-user(s) herein identified. They may not be resold, transferred, or otherwise disposed of, to any other country or to any person other than the authorized ultimate consignee or end-user(s), either in their original form or after being incorporated into other items, without first obtaining approval from the U.S. government or as otherwise authorized by U.S. law and regulations.									
I hereby certify that the information on this invoice is true and correct and that the contents of this shipment are as stated above.									
Signature:							Date:		
Type Name:							Title:		

