



## SHIPPING INSTRUCTIONS FOR EXPORT/IMPORT LICENSES (ITAR)

Revision D, 8/30/2011

### PURPOSE

This document describes the steps for shipping hardware or technical data that is subject to an import or export license under the International Traffic in Arms Regulations (ITAR). The purpose of these instructions is to ensure that:

- The license is forwarded to the appropriate U.S. Freight Forwarder and/or Customs Broker.
- The license is appropriately decremented by U.S. Customs & Border Patrol.
- If a DSP-5, the license is lodged with U.S. Customs & Border Patrol.
- Appropriate records of the shipment are maintained.

All persons working for or on the behalf of the University of Wisconsin-Madison shall ensure that any shipments subject to a license shall be shipped in compliance with the ITAR according to the content and constraints of the applicable license. Non-compliances with the ITAR and/or the applicable license shall be disclosed to UW-Madison Administrative Legal Services and reviewed for reporting to the U.S. Department of State. Persons or organizations found to be non-compliant maybe subject to fines, penalties or disciplinary actions levied by the State Department or UW-Madison (depending on the nature of the non-compliance).

Questions regarding these instructions, the specific license being used for your shipment or licenses in general should be forwarded to Tom Demke, UW Export Control Officer ([tom.demke@ssec.wisc.edu](mailto:tom.demke@ssec.wisc.edu)) or Ben Griffiths, UW Legal ([bgriffiths@vc.wisc.edu](mailto:bgriffiths@vc.wisc.edu)).

\* Note: For exports, UW-Madison is the shipping organization. For imports, an organization external to UW-Madison is the shipping organization.

### **CAUTION**

*Prior to commencing import or export activities with a foreign entity, applicable UW-Madison staff shall verify that all entity(ies) involved in the transaction (including the Freight Forwarders and Custom Brokers) are not designated on any of the following federal government entity lists. Records shall be maintained of this assessment.*

- **Nonproliferation Sanctions List:** <http://www.state.gov/t/isn/c15231.htm>
- **Denied Persons List:** <http://www.bis.doc.gov/dpl/thedeniallist.asp>
- **Entity List:** <http://www.access.gpo.gov/bis/ear/pdf/744spir.pdf>
- **Unverified List:** [http://www.bis.doc.gov/enforcement/unverifiedlist/unverified\\_parties.html](http://www.bis.doc.gov/enforcement/unverifiedlist/unverified_parties.html)
- **Specially Designated Nationals List:** <http://www.treas.gov/offices/enforcement/ofac/sdn/t11sdn.pdf>

Owner	Task
<b><i>DSP-61 – Temporary Import Instructions</i></b>	
UW-Madison	<p><b><u>Temporary Import Preparation</u></b></p> <ol style="list-style-type: none"> <li>1) E-mail instructions to the foreign entity shipping hardware to UW to prepare their shipping paperwork and to provide draft copies to UW for review prior to the goods leaving the foreign country.           <ol style="list-style-type: none"> <li>a) UW must provide to the foreign entity a description of the hardware, quantity, values, US Customs Broker, freight forwarder and the address at the UW to where the shipment will be delivered. This is to ensure the foreign entity's paperwork is completed correctly. All this information should come directly from the DSP-61 Temporary Import License.</li> <li>b) A copy of the license can be provided to the foreign party as long as our PM/DDTC Code is removed (white out) from the DSP-61.</li> </ol> </li>   <li>2) Require the foreign entity to provide UW with an estimated ship date.</li>   <li>3) UW must review all import paperwork to ensure the information matches what is on the DSP-61. If the information is identical, the import of the hardware will clear through Customs correctly.</li>   <li>4) E-mail the electronic copy of the license to the UW Customs Broker (designated in the license) who will be handling the import of the shipment. This license, once printed off by the Customs Broker, will then become the original license.           <ol style="list-style-type: none"> <li>a) The license should be provided to the Customs Broker at least 3 days prior to shipment.</li> <li>b) When the hardware arrives in the US, the carrier will notify the Customs Broker of the delivery of goods at the port of entry.</li> <li>c) The Customs Broker will hand carry the DSP-61 to Customs and will ensure that the decrementation is done by Customs correctly. This process of decrementing the import on the license needs to occur when the hardware arrives at the port of entry.</li> <li>d) The DSP-61 is then provided back to the Customs Broker. The Custom Broker must review the decrements to ensure that the Customs Agent recorded the shipment (qty, name, value, date) correctly on the DSP-61. This is critical because if the decrements are done incorrectly, there will be problems when the hardware will be returned back to the foreign party using the DSP-61.</li> <li>e) The DSP-61 should then be returned to the UW for recordkeeping. UW will retain the DSP-61 on file until it is time to export the hardware back to the foreign entity.</li> </ol> <p>Note: The shipment may be the entirety or a subset of items listed on the license.</p> </li>   <li>5) Applicable UW-Madison staff shall coordinate all shipments involving a license. Shipments shall not be coordinated by a 3<sup>rd</sup> party without UW-Madison participation.</li> </ol>

Owner	Task
<b><i>DSP-61 – Temporary Import Instructions</i></b>	
Shipping Organization (consignor)*	<p><b><u>Temporary Import</u></b></p> <p>6) Reference the license # on the Commercial Invoice (or similar document), airway bill and packing list.</p> <p>7) Ship only:</p> <ul style="list-style-type: none"> <li>a) Items described in the license. Do not exceed the maximum quantities or values.</li> <li>b) To the destination listed on the license.</li> <li>c) Via the freight forwarders and brokers (consignees) identified on the license.</li> </ul> <p>Note: The items, destination, freight forwarders and brokers shall be identified by the UW-Madison as described in Step 1.</p> <p>8) Package and label the item per standard shipping requirements applicable to the commodity being shipped.</p>
UW-Madison	<p><b><u>Temporary Import Verification</u></b></p> <p>9) Verify the shipment:</p> <ul style="list-style-type: none"> <li>a) Have the Customs Broker forward the original license decremented by a U.S. Customs and Border Protection (CBP) agent to applicable UW staff.</li> <li>b) Verify the decrementation information is correct.             <ul style="list-style-type: none"> <li>1. The items imported match the items listed in the license.</li> <li>2. The decrementation information matches the items received.</li> <li>3. The values ascribed to the items received are correct.</li> </ul> </li> </ul> <p>10) Records:</p> <ul style="list-style-type: none"> <li>a) The original decremented license, and copies of all paperwork and communications regarding this shipment shall be maintained in the shipping organization's shipping file with copies of the records forwarded to the organizational point-of-contact for export control.</li> <li>b) Send a copy of the decremented license to the UW Export Control Officer.</li> </ul>

Owner	Task
<i><b>DSP-61 – Return of Hardware Pursuant to a Temporary Import License</b></i>	
UW-Madison	<p><b><u>Export Preparation</u></b></p> <p>1) To export hardware per a DSP-61, overnight the original decremented license to the Freight Forwarder/Customs Broker (designated in the license) who will be handling the export of the shipment.</p> <p>a) This activity should be completed 3 days prior to the hardware being shipped from UW-Madison.</p> <p>Note: The shipment may be the entirety or a subset of items listed on the license.</p> <p>2) Applicable UW-Madison staff shall coordinate all shipments involving a license.</p>
Shipping Organization (UW-Madison)*	<p><b><u>Export</u></b></p> <p>3) Reference the license # on the Commercial Invoice.</p> <p>4) Reference the license # and the AES/ITN number on the Air Waybill.</p> <p>5) Add the required Destination Control Statement on the Commercial Invoice, Air Waybill and Packing List:</p> <p><i>WARNING: INFORMATION SUBJECT TO U.S. EXPORT CONTROL LAWS. These commodities are authorized by the U.S. Government for export only to (country of ultimate destination) for use by (end-user). They may not be resold, diverted, transferred, transshipped, or otherwise be disposed of in any other country either in their original form or after being incorporated through an intermediate process into other end-items, without the prior written approval from the U.S. Department of State.</i></p> <p>Note: The above statement needs to be customized for each shipment based on the country of ultimate destination and who the end-user(s) is when the hardware is returned. This information is obtained from the DSP-61 temporary import license.</p> <p>6) Ship only:</p> <p>a) Items described in the license. Do not exceed the maximum quantities or values.</p> <p>b) To the destination listed on the license.</p> <p>c) Via the freight forwarders and brokers (consignees) identified on the license.</p> <p>7) Package and label the item per standard shipping requirements applicable to the commodity being shipped.</p>

Owner	Task
<b><i>DSP-61 – Return of Hardware Pursuant to a Temporary Import License</i></b>	
UW-Madison	<p><b><u>Export Verification</u></b></p> <p>8) Verify the shipment:</p> <ul style="list-style-type: none"> <li>a) Have the Customs Broker forward the original decremented license to UW staff.</li> <li>b) Confirm the following:           <ul style="list-style-type: none"> <li>1. The decrementation information matches the items shipped.</li> <li>2. The values ascribed to the items shipped are correct.</li> </ul> </li> </ul> <p>9) Records:</p> <ul style="list-style-type: none"> <li>a) Copies of all paperwork, and communications regarding this shipment shall be maintained in the shipping organization's shipping file with copies of the records forwarded to the organizational point-of-contact for export control. This will include a "copy" of the decremented license, airway bill, commercial invoice and packing list.</li> <li>b) Send the original decremented license to the UW Export Control Officer.</li> <li>c) Maintain records of all shipping documents for 7 years from when the license is terminated or all shipments have occurred and the license is returned to the State Dept. Include a copy of the DSP-61 showing the decrementation with all records.</li> </ul> <p>10) Return the license:</p> <ul style="list-style-type: none"> <li>a) The license shall be returned to the State Dept. within 60 days of completing all activities described in that license.</li> <li>b) If you do not have the original decremented license of the DSP-61 from the Customs Broker, request it from the broker.</li> <li>c) Create a cover letter and forward the original decremented license to the State Dept.</li> </ul>

Owner	Task
<b><i>DSP-73 – Temporary Export Instructions</i></b>	
UW-Madison	<p><b><u>Temporary Export Preparation</u></b></p> <ol style="list-style-type: none"> <li>1) To export hardware per a DSP-73, e-mail the electronic license to the Freight Forwarder/Customs Broker (designated in the license) who will be handling the export of the shipment. <ol style="list-style-type: none"> <li>a) This activity should be completed 3 days prior to the hardware being shipped from UW-Madison.</li> </ol> <p>Note: The shipment may be the entirety or a subset of items listed on the license.</p> </li> <li>2) Applicable UW-Madison staff shall coordinate all shipments involving a license.</li> </ol>
Shipping Organization (UW-Madison)*	<p><b><u>Temporary Export</u></b></p> <ol style="list-style-type: none"> <li>3) Reference the license # on the Commercial Invoice.</li> <li>4) Reference the license # and the AES/ITN number on the Air Waybill.</li> <li>5) Add the required Destination Control Statement on the Commercial Invoice, Air Waybill and Packing List: <p><i>WARNING: INFORMATION SUBJECT TO U.S. EXPORT CONTROL LAWS. These commodities are authorized by the U.S. Government for export only to (country of ultimate destination) for use by (end-user). They may not be resold, diverted, transferred, transshipped, or otherwise be disposed of in any other country either in their original form or after being incorporated through an intermediate process into other end-items, without the prior written approval from the U.S. Department of State.</i></p> <p>Note: The above statement needs to be customized for each shipment based on the country of ultimate destination and who the end-user(s) is. This information is obtained from the DSP-73 temporary export license.</p> </li> <li>6) Ship only: <ol style="list-style-type: none"> <li>a) Items described in the license. Do not exceed the maximum quantities or values.</li> <li>b) To the destination listed on the license.</li> <li>c) Via the freight forwarders and brokers (consignees) identified on the license.</li> </ol> </li> <li>7) Package and label the item per standard shipping requirements applicable to the commodity being shipped.</li> </ol>

Owner	Task
<i><b>DSP-73 – Temporary Export Instructions</b></i>	
UW-Madison	<p><b><u>Temporary Export Verification</u></b></p> <p>8) Verify the shipment:</p> <ul style="list-style-type: none"> <li>a) Have the Customs Broker forward a copy of the decremented license to UW staff.           <ul style="list-style-type: none"> <li>1. The original decremented license remains with the Customs Broker for use when the items are returned.</li> </ul> </li> <li>b) Confirm the following:           <ul style="list-style-type: none"> <li>1. The decrementation information matches the items shipped.</li> <li>2. The values ascribed to the items shipped are correct.</li> </ul> </li> </ul> <p>9) Records:</p> <ul style="list-style-type: none"> <li>a) Copies of all paperwork, and communications regarding this shipment shall be maintained in the shipping organization's shipping file with copies of the records forwarded to the organizational point-of-contact for export control. This will include a "copy" of the license, airway bill, commercial invoice, and packing list.</li> </ul>

Owner	Task
<b><i>DSP-73 – Return of Hardware Pursuant to a Temporary Export License</i></b>	
UW-Madison	<p><b><u>Import Preparation</u></b></p> <ol style="list-style-type: none"> <li>1) E-mail instructions to the foreign entity shipping hardware to UW to prepare their shipping paperwork and to provide draft copies to UW for review prior to the goods leaving the foreign country.           <ol style="list-style-type: none"> <li>a) UW must provide to the foreign entity a description of the hardware, quantity, values, US Customs Broker, freight forwarder and the address at the UW to where the shipment will be delivered. This is to ensure the foreign entity's paperwork is completed correctly. All this information should come directly from the DSP-73 Temporary Export License.</li> <li>b) A copy of the license can be provided to the foreign party as long as our PM/DDTC Code is removed (white out) from the DSP-73.</li> </ol> </li>   <li>2) Require the foreign entity to provide UW with an estimated ship date.</li>   <li>3) UW must review all import paperwork to ensure the information matches what is on the DSP-73. If the information is identical, the import of the hardware will clear through Customs correctly.</li>   <li>4) The UW Customs Broker (designated in the license) should have the original decremented license from the export of the item(s). If not, overnight the original decremented license to the Customs Broker who will be handling the import of the shipment.           <ol style="list-style-type: none"> <li>a) The license should be provided to the Customs Broker at least 3 days prior to shipment.</li> <li>b) When the hardware arrives in the US, the carrier will notify the Customs Broker of the delivery of goods at the port of entry.</li> <li>c) The Customs Broker will hand carry the DSP-73 to Customs and ensure that the decrementation is done by Customs correctly. This process of decrementing the import on the license needs to occur when the hardware arrives at the port of entry.</li> <li>d) The DSP-73 is then provided back to the Customs Broker. The Custom Broker must review the decrementations to ensure that the Customs Agent recorded the shipment (qty, name, value, date) correctly on the DSP-73.</li> <li>e) The fully decremented DSP-73 should then be returned to the UW.               <ol style="list-style-type: none"> <li>1. The UW will be responsible for returning the license once all activities have been completed per that license (see Step 11).</li> </ol> </li> </ol> <p>Note: The shipment may be the entirety or a subset of items listed on the license.</p> </li>   <li>5) Applicable UW-Madison staff shall coordinate all shipments involving a license. Shipments shall not be coordinated by a 3<sup>rd</sup> party without UW-Madison participation.</li> </ol>



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<b><i>DSP-73 – Return of Hardware Pursuant to a Temporary Export License</i></b>	
Shipping Organization (consignor)*	<p><b><u>Import</u></b></p> <p>6) Reference the license # on the Commercial Invoice (or similar document), airway bill and packing list.</p> <p>7) Ship only:</p> <ul style="list-style-type: none"> <li>a) Items described in the license. Do not exceed the maximum quantities or values.</li> <li>b) To the destination listed on the license.</li> <li>c) Via the freight forwarders and brokers (consignees) identified on the license.</li> </ul> <p>Note: The items, destination, freight forwarders and brokers shall be identified by the UW-Madison as described in Step 1.</p> <p>8) Package and label the item per standard shipping requirements applicable to the commodity being shipped.</p>
UW-Madison	<p><b><u>Import Verification</u></b></p> <p>9) Verify the shipment:</p> <ul style="list-style-type: none"> <li>a) Have the Customs Broker forward the original license decremented by a U.S. Customs and Border Protection (CBP) agent to applicable UW staff.</li> <li>b) Verify the decrementation information is correct.             <ul style="list-style-type: none"> <li>1. The items imported match the items listed in the license that were originally temporarily exported.</li> <li>2. The decrementation information matches the items received.</li> <li>3. The values ascribed to the items received are correct.</li> </ul> </li> </ul> <p>10) Records:</p> <ul style="list-style-type: none"> <li>a) Copies of the original decremented license, and all paperwork and communications regarding this shipment shall be maintained in the shipping organization's shipping file with copies of the records forwarded to the organizational point-of-contact for export control.</li> <li>b) Send the original decremented license to the UW Export Control Officer.</li> <li>c) Maintain records of all shipping documents for 7 years from when the license is terminated or all shipments have occurred and the license is returned to the State Dept. Include a copy of the DSP-73 showing the decrementation with all records.</li> </ul> <p>11) Return the license:</p> <ul style="list-style-type: none"> <li>a) The license shall be returned to the State Dept. within 60 days of completing all activities described in that license.</li> <li>b) If you do not have the original decremented license of the DSP-73 from the Customs Broker, request it from the broker.</li> <li>c) Create a cover letter and forward the original decremented license to the State Dept.</li> </ul>

Owner	Task
<i><b>DSP-5 – Permanent Export Instructions</b></i>	
UW-Madison	<p><b><u>Export Preparation</u></b></p> <ol style="list-style-type: none"> <li>1) For the initial export of hardware on a DSP-5 Permanent Export License, e-mail the electronic copy of the license to the Freight Forwarder/Customs Broker (designated in the license) who will be handling the export of the shipment.             <ol style="list-style-type: none"> <li>a) Request the Freight Forwarder/Customs Broker to print off the license and lodge the license with U.S. Customs.</li> <li>b) Require the Freight Forwarder/Customs Broker to provide UW with a confirmation receipt signed by Customs. The license must be lodged prior to any shipment activities commencing and the Automated Export System filing is completed.</li> </ol> <p>Note: The shipment may be the entirety or a subset of items listed on the license.</p> </li> <li>2) Applicable UW-Madison staff shall coordinate all shipments involving a license.</li> </ol>
Shipping Organization (UW-Madison)*	<p><b><u>Export</u></b></p> <ol style="list-style-type: none"> <li>3) Reference the license # on the Commercial Invoice.</li> <li>4) Reference the license # and the AES/ITN number on the Air Waybill.</li> <li>5) Add the required Destination Control Statement on the Commercial Invoice, Air Waybill and Packing List:             <p style="margin-left: 40px;"><i>WARNING: INFORMATION SUBJECT TO U.S. EXPORT CONTROL LAWS. These commodities are authorized by the U.S. Government for export only to (country of ultimate destination) for use by (end-user). They may not be resold, diverted, transferred, transshipped, or otherwise be disposed of in any other country either in their original form or after being incorporated through an intermediate process into other end-items, without the prior written approval from the U.S. Department of State.</i></p> <p>Note: The above statement needs to be customized for each shipment based on the country of ultimate destination and who the end-user(s) is. This information is obtained from the DSP-5 permanent export license.</p> </li> <li>6) Ship only:             <ol style="list-style-type: none"> <li>a) Items described in the license. Do not exceed the maximum quantities or values.</li> <li>b) To the destination listed on the license.</li> <li>c) Via the freight forwarders and brokers (consignees) identified on the license.</li> </ol> </li> <li>7) Package and label the item per standard shipping requirements applicable to the commodity being shipped.</li> </ol>

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<i>DSP-5 – Permanent Export Instructions</i>	
UW-Madison	<p><b><u>Export Verification</u></b></p> <p>8) Verify the shipment:</p> <ul style="list-style-type: none"> <li>a) Have the Customs Broker forward a copy of the AES filing to applicable UW staff.</li> <li>b) Confirm the following:             <ul style="list-style-type: none"> <li>1. The AES record identifies the DSP-5 export license.</li> <li>2. The items exported match the items listed in the license.</li> <li>3. The values ascribed to the items shipped are correct.</li> </ul> </li> </ul> <p>9) Records:</p> <ul style="list-style-type: none"> <li>a) Copies of all paperwork, and communications regarding this shipment shall be maintained in the shipping organization's shipping file with copies of the records forwarded to the organizational point-of-contact for export control. This will include a "copy" of the license, airway bill, commercial invoice, packing list, and AES record.</li> </ul>