

NOAO Shipping Procedures to Chile  
As of October 16, 2008  
(Edited on April 13 2010)

- 1) All shipping documents are to be addressed as follows:
  - A) Air Waybill (AWB):
    - a) Consignee:  
AURA, INC.  
AOSS-SANTIAGO OPERATIONS  
Av. Presidente Riesco 5335  
Oficina No 507  
Las Condes  
Santiago  
Chile
    - b) Notify Party:  
Edilia Cerda  
AURA, INC.  
Santiago Operations Manager  
Edificio Parque Araucano, Of. 507  
Avenida Presidente Riesco #5335  
Las Condes, Santiago. CHILE  
Phone: (56-2) 370-1085/6
  - B) Commercial Invoice and Packing List (CIPL):
    - a) Consignee:  
AURA, INC.  
Cerro Tololo Inter-American Observatory  
Casilla 603  
La Serena  
Chile
    - b) Intermediate Consignee:  
AURA, INC.  
AOSS-SANTIAGO OPERATIONS  
Av. Presidente Riesco 5335  
Oficina No 507  
Las Condes  
Santiago  
Chile
  - C) Automated Export System (AES) Filing:
    - a) Consignee:  
AURA, INC.  
Cerro Tololo Inter-American Observatory

Casilla 603  
La Serena  
Chile

- b) Intermediate Consignee:  
AURA, INC.  
Santiago Operations Manager  
Edificio Parque Araucano, Of. 507  
Avenida Presidente Riesco #5335  
Las Condes, Santiago. CHILE  
Edilia Cerda  
Phone: (56-2) 370-1085/6

- D) Commercial Invoice and Packing List (CIPL) to include the following:
- a) Shipper's name
  - b) Consignee's name (see above)
  - c) Intermediate Consignee's name (see above)
  - d) Date of Export
  - e) Port of Export
  - f) Air Waybill number
  - g) Total weight
  - h) Total cuft
  - i) Total Shipment Value
  - j) Description of items in the shipment:
    - (1) Description
    - (2) Quantity of each item
    - (3) Unit
    - (4) Unit Price of each item
    - (5) Total Price of each item
    - (6) Notes on the CIPL and/or the AWB will include, but may not be limited to:
      - (A) DIPLOMATIC GUARANTEE, INTERNATIONAL ORGANIZATION (CIPL and AWB)
      - (B) OFFICIAL LETTER 1899 OF THE 31ST OF JANUARY, 1963, OF THE HONORABLE CHAMBER OF DEPUTIES, REPUBLIC OF CHILE. (CIPL and AWB)
      - (C) ALL WOOD PRODUCTS INCLUDED WITH THE ABOVE SHIPMENT EITHER CONFORM WITH ISPM NO. 15 OR ARE PROCESSED WOOD AND EXEMPT FROM THOSE REGULATIONS. (CIPL)

(D) THESE COMMODITIES. TECHNOLOGY OR SOFTWARE ARE EXPORTED FROM THE UNITED STATES IN ACCORDANCE WITH THE EXPORT ADMINISTRATION REGULATIONS. DIVERSION CONTRARY TO UNITED STATES LAW IS PROHIBITED.

- (7) AES ITN (Pre-shipment Approval) number
- (8) Export license number and expiration if the shipment is made under an export license.

2) All items included in the shipment must have a Commercial Invoice from the vendor from which the goods were purchased.

A) If the materials were produced by the shipper, the shipper must create a Commercial Invoice listing the name of the shipper and AURA as the consignee. Insert 1 is a sample Commercial Invoice that can be used as a template for shipping equipment to Chile. If the shipment consists of many items, a list of the items being shipped can be attached to the Commercial Invoice.

**NAME OF ISSUER**  
*More info as needed*

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COMMERCIAL INVOICE  
No 99999999

Date: October 12, 2007 Air Shipment

From: THE ORIGINATOR

To: AURA, Inc.  
AV. PRESIDENTE RIESCO 5335  
OFICINA 507 - LAS CONDES  
SANTIAGO, CHILE

Country of Origin: U.S.A. Commodity Value\$4,482.00

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1 Box: Telescope Parts and Accessories (see attached) TOTAL US\$: \$4,482.00

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THESE COMMODITIES LICENSED BY U.S. FOR ULTIMATE DESTINATION CHILE DIVERSION CONTRARY TO U.S. LAW PROHIBITED.

WE CERTIFY THAT THIS DECLARATION IS TRUE AND CORRECT.

THESE COMMODITIES ARE INTENDED FOR ASTRONOMICAL RESEARCH

NOT FOR RESALE

SIGNATURE: \_\_\_\_\_

Insert 1

- B) The Commercial Invoice is in addition to the Commercial Invoice and Packing List created for the shipment and mentioned in a previous paragraph
- C) The Commercial Invoice(s) for each shipment must be either express shipped to AURA's Santiago Office (address listed above) or emailed to

Edilia Cerda at [ecerda@ctio.noao.edu](mailto:ecerda@ctio.noao.edu). Failure to provide the Commercial Invoices in a timely manner can result in:

- a) A delay entry into Chile resulting in increased storage charges, or
  - b) The duty-free import of the shipment being disallowed forcing the project to pay duties on the imported goods.
- 3) Packaging: All wooden packaging must comply with ISPM-15 requirements for treating and marking. Wooden containers that do not comply with these regulations may have to be fumigated in Chile before entry into the country is allowed. The fumigation includes both the containers and the contents.
- 4) Time Line of Shipping Activities:
- A) Ship date minus 1 year
    - a) Export Review:
      - (1) The shipping organization, with assistance as required from the AURA Export Control Administrator, will conduct a review of the imager, cloud camera and SISPI to determine if an export license is required.
      - (2) This review may include submitting a commodity classification request to the Department of Commerce's Bureau of Industry and Security or the Department of States Directorate of Defense Trade Controls.
    - b) Shipping Arrangements to Chile:
      - (1) Depending on the size of the item being shipped, the shipper will contact the Carrier's/forwarder's Project Office to:
        - (A) Alert them to the upcoming shipment,
        - (B) Determine the best method of handling the freight during shipment,
        - (C) Determine the best route for the shipment of the materials,
        - (D) Identify any potential pitfalls with the packing/crating, and
        - (E) Identify any special packing requirements.
    - c) Shipping Arrangements within Chile:
      - (1) Begin working with the AURA Santiago Office to begin the arrangements for the transport of the equipment from the Airport/Ocean Port to the telescope.
      - (2) Keep them informed if the shipment contains hazardous materials.
  - B) Ship Date minus 6-8 months:
    - a) Export License:
      - (1) Depending on the outcome of the above review, an export license may be required. If an export license is required, the parties to this agreement will determine who is to apply for the license.

- (2) The party applying for the license will also be the shipper of the licensable equipment.

NOTE: If AURA is the party applying for the export license, the equipment will be shipped as AURA property. This differentiates from the normal transfer of ownership when the equipment is received in Chile.

- C) Ship Date minus 6 months:
  - a) Insurance Coverage:
    - (1) Prior to shipment the determination as to whether or not the shipment will be insured. If insurance is requested and approved, the parties to this agreement will determine who will make the insurance arrangements.
- D) Ship Date minus 1 month:
  - a) Advise the insurance broker of the pending shipment:
    - (1) Complete and sign the insurance policy.
    - (2) Work with the insurance broker to determine any special need they have for the shipment – i.e. photos taken of the packing, shipment accompanied by the broker’s representative, etc.
  - b) Contact the carrier/forwarder and advise them of the pending shipment.
  - c) Finalize any crating/packing requirements the insurance broker has or that the carrier/forwarder may have.
- E) Ship Date minus 2 weeks:
  - a) Provide the shipper with a detailed list of the contents including a parts list and individual values.
    - (1) Only major components need be listed.
    - (2) List and values must match any export license issued for the equipment being shipped.
  - b) If a Department of State License is obtained, the license will be sent to the carrier’s/forwarder’s representative at the port of export for filing with Customs. No such requirement is necessary for a Department of Commerce license.
  - c) Work with the insurance broker to determine any special need they have for the shipment – i.e. photos taken of the packing, shipment accompanied by the broker’s representative, etc.
- F) Ship Date minus 2-3 days:
  - a) Complete all shipping documentation:
    - (1) Commercial Invoice and Packing List
    - (2) Air Waybill
    - (3) Hazardous Declaration (if required)
    - (4) File shipment with AES

- b) Confirm with the carrier's/forwarder's agent at the port of export that the license has been filed and that there are no issues that need to be addressed before the equipment is shipped.
  - c) Forward copies of all shipping documentation to the Santiago Office.
  - d) Contact the carrier/forwarder and make arrangements for the pick-up.
- G) Ship Date:
- a) Confirm that the containers are properly marked and labeled.
    - (1) If hazardous materials are included, have an individual go through the Hazardous materials check list.
  - b) Recheck shipping documents for correctness.
  - c) Insure that shipping documents are distributed correctly
    - (1) One the containers
    - (2) To the carrier
  - d) Insure that the containers are properly sealed and that the tilt and shock indicators are properly affixed to the containers and function properly.
  - e) Insure that the forklift/handling personnel are available and certified/trained.
  - f) Take photos as required by the insurance broker.

NOAO Shipping Procedures within Chile  
As of November 13, 2008

1) **GENERAL**

- A) The following will be applicable for inbound logistics regarding receiving, clearance and domestic ground transport of the Dark Energy Camera (DECam) and associated equipment from the port of entry to destination.
- B) The clearance or withdrawal of goods under customs control is carried out on the basis of the customs procedure as defined in Article 70 of the Customs Act, in which it is implicitly stated the owner's, consignee's or freight forwarders intention to import or export goods.
- C) The import/export of goods requires the conduct, completion and formal submission of a "Customs Entry Form" to Customs, which shall indicate the intended relevant customs procedure.

2) **IMPORTS**

A) **Submission of goods to the Customs Authority:**

- a) The submission of goods to Customs is made by the transporting carrier, who, after being granted authorization to unload its freight, places the arriving goods under the custody of customs storehouses.
- b) The formal submission of goods to Customs is carried out by completing the Cargo Manifest document.
- c) The international transportation companies perform the following functions:
  - (1) Receive the cargo from the transporting carrier.
  - (2) Deliver the goods to Customs' storage or within 24 hours immediately after having unloaded the carrier or to the destination indicated in the freight contract.
  - (3) Convey the cargo to the point of destination indicated in the freight contract.
  - (4) Complete and correct the shipping documents (namely the Bill of Lading and Air Way Bill)
  - (5) Send the corresponding original B/L or AWB to AURA's representative with the Customs cargo manifest
  - (6) Submit the Cargo Manifest to Customs.

B) **Storage of goods:**

- a) Unless the clearance formalities have been carried out in advance, and the duties, taxes and charges have been paid, as noted above, upon arrival, the goods are stored in a Customs Warehouses, under the protection of a Warehouse Operator and under the authority of the National Customs Service.
  - (1) Customs Warehouses may be located within or without areas under customs jurisdiction.

- (A) The storage facility operators shall be responsible for all goods lost or damaged and all property received in their installations.
- (2) AURA can set up a Private Storage option (bonded warehouse) at the geographical place of its convenience in Chile.
  - (A) This procedure will allow AURA Observatory Support Services (AOSS) to clear the instrument immediately upon arrival in Chile.

**NOTE:** As AURA routinely exercises this privilege for official cargo, it is expected that this option will be used for the prompt clearance of the DECam and supporting component freight shipments on arrival in Chile.

**C) Customs Formalities:**

- a) The consignee identifies and files the appropriate Customs procedure for the type of goods and destination including the Customs Bond option described above.
- b) The duties, taxes, charges and other levies are applied to the legal entry of goods into the country.

**D) Completion of the Customs Entry by the Customs Broker:**

- a) In accordance with Article 77 of the Customs Act, the Customs Broker is responsible for completing Customs Entries and shall strictly comply with the documents and requirements for this purpose, requesting the submission of those documents by his/her principals and assuring that the data contained therein relate to the correct customs procedure.
- b) The Customs Broker is also held responsible for requiring his/her principal to comply with the general pertinent requirements, and the rules related to foreign trade enforced by the National Customs Service and other Agencies that are legally enabled to control foreign trade activities in Chile.
- c) Where these documents do not allow the Customs Broker to produce a clear and precise entry declaration, the latter shall be completed based on an examination of the goods, in accordance with his functions and in his/her capacity of good-faith minister.
- d) All commercial imports, or imports conducted under the General Customs Regime must contract a Registered Customs Broker. AURA, however, is exempt from this regulation and a proper designated representative is granted the same authority and legal capacity as a Registered Customs Broker.
- e) Documents that are used as a basis for the completion of Customs Entry:

- (1) Air Way Bill or Bill of lading authorizing the importer/consignee of the goods
  - (2) Importation Report.
  - (3) Commercial Invoice and/or Invoice Pro-Forma
  - (4) Packing list, where appropriate, and always in the case of goods arranged in containers
  - (5) Insurance Certificate
  - (6) Certificate of origin, where the goods are under a trade agreement
  - (7) Endorsements, Certifications, Approvals and others, where appropriate (agricultural and livestock products, weapons, explosives, cosmetics, etc.)
  - (8) Reception Slip authorized by the freight forwarder, when a warehouse is privately operated
- E) **Withdrawal of goods from Customs Warehouses:**
- a) Where the goods are subject to duties, charges, taxes and other levies, they shall be duly paid prior to their withdrawal from the zone under customs jurisdiction, without prejudice of having submitted an entry for normal or advance processing.
    - (1) AURA has been granted the ability to conduct this procedure by means of its own staff.
  - b) Customs entries selected for physical or documentary revision must be endorsed by the Customs Office located inside the warehouses.
    - (1) Those entries submitted for normal processing can be cleared without being endorsed, providing evidence that the duties, taxes, charges and other levies have been duly paid.
  - c) The entries submitted for advanced processing shall require endorsement by the Customs Office located inside the warehouse. Receipt inconsistencies are examined by the Customs Officer in charge of the corresponding storage unit, and the clarification procedures can include the physical examination of the goods.
- F) **Insurance**
- a) The Shipper will inform AOSS as far in advance as reasonable about the need for insurance coverage in Chile. In order to seek for insurance in Chile the following documents/information will be required:
    - (1) Detailed description of the instrument
    - (2) Set of descriptive photos (the instrument and the packaging and stuffing)
    - (3) Type of packaging
    - (4) Quantity of boxes
    - (5) Total weight and volume
    - (6) Description of the shipping logistics –from origin to destination
    - (7) Amount to be insured

- (8) Safety devices, shock data loggers, tilt indicators, etc.
- b) In case the Shipper would opt for buying insurance in the USA, the policy must contain a subrogation waiver clause in favor of the local transportation agent.

### 3) SHIPPING PROCESS FOR IMPORTS

#### A) Pre-Shipping

- a) Advance Shipping Notice (usually issued at the point of origin)
- b) Log in Shipping Data Base (digital recording of the shipment's information)
- c) Prepare advance documentation (type forms, collect shipping paperwork, review documentation for compliance)

#### B) Arrival of Cargo (and delivery of physical documents by the shipping company)

- a) Preparation of Customs declaration forms (including private storage, division of packages, and other Customs destination operations)
- b) Prepare Letters of Guarantee and Pro-Forma invoices
- c) Prepare Declaration Forms
- d) Duplicate and distribute supporting documentation
- e) Presentation of documentation to Customs for approval
- f) Emission of approval & payment forms
- g) Payment in banks for corresponding legal dues and fees
- h) Presentation to Storage Warehouse for clearance
- i) Payment of Customs storage and cargo handling services (prior to clearance)
- j) Customs inspection and check ups
- k) Sanitary authority inspection for ISPM standards conformity
- l) Clearance of the cargo

#### C) Transportation

- a) Carrier selection and contracting
- b) Preparation of advance legal permits for oversize/overweight cargo
- c) Procurement of mandatory police escort services throughout the route, from the port of entry to destination
- d) Preparation of domestic transportation documents (Guia de Despacho)
- e) Loading of the cargo in the designated special transportation vehicles
- f) Insurance inspection
- g) Road transport operation up to destination; road controls and detentions as might be mandated by the traffic authority
- h) Receipt of cargo at destination
- i) Check up and control of the cargo
- j) Unloading of the truck(s)
- k) Insurance inspection
- l) Return containers to port

- m) Payment of domestic shipping invoice
- D) Duty-Free Administrative Procedures**
- a) Preparation of Duty-Free decree request (including translation of documents and other supporting documentation)
  - b) Presentation to the Ministry of Foreign Affairs for approval (or denial)
  - c) Filing of shipping documents with the Customs authority for importation liquidation of duties – or exemption thereof.