# Check list for export control

***If the answer to any of the questions below is ”yes” please seek assistance from the research advisors at Research Support Office (RSO) regarding export control.***

*In order to ensure that KTH follows the export control regulations it is important to assess whether an export license is needed. If the review of the project indicates that export license or consultation with the Supervising Authority is necessary, Research Support Office will assist you with the process. You can find useful links on pp. 3.*

|  |  |
| --- | --- |
| **Project title/Acronym** | **Export Control Officer at RSO** |
| **Principal Investigator** | **Date** |

|  |  |  |
| --- | --- | --- |
|  | **YES** | **NO** |
| **Will you in your project give technical assistance/develop products or research, which is intended for military use or do any of the partners in the projects have a military association?** |  |  |
| **Will you in your project generate any technology or software with both civil and military uses/applications, in accordance with the** [**Dual Use regulation**](https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32019R2199&qid=1579618429796&from=EN)**?** (see pp 3 below for detailed instructions how to navigate it) |  |  |
| **If “yes”, what in the Dual use regulation is applicable to your work? Please specify:**  **If “no”, where in the Dual use regulation have you checked? Please specify** (pp. no./category/sub-category)**:**  **Give short description/motivation for your response above** (i.e. why your work does/or does not apply to the pp./category/sub-category chosen above)**:** | | |
| **Will you in your project exchange information/knowledge/technology with partners outside the EU?** (Including Switzerland, Norway and UK) |  |  |
| **If ”yes”, which countries are involved?** | | |
| **Will you in your project exchange information/knowledge/technology with American origin?** (within your research project) |  |  |
| **Will you in your project, irrespective of country, exchange sensitive information/knowledge/technology as specified in Annex IV of the** [**Dual Use regulation**](https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32019R2199&qid=1579618429796&from=EN) **(see Annex IV, page 247)?**  Examples of sensitive technologies:  Stealth technology; Equipment/devices, specifically designed to, by electrical means, initiate charges and devices containing energetic materials; High explosives; Object detection or location systems; Acoustics; Noise reduction systems; Processing equipment for real time application; Cryptography; MTCR technology (incl. guidance sets, rocket propulsion systems, unmanned aerial vehicles, missiles, space launch vehicles, nuclear technology etc.) |  |  |
| **Will you in your project exchange information/knowledge/technology which can be used for the development, production or handling of weapons of mass destruction?**  For example chemical or biological weapons, nuclear weapons or nuclear explosives or missiles that can carry such weapons? |  |  |
| **Signature Principal Investigator:** | | |

**Useful guidelines and links:**

[Guidelines for researchers on dual-use and misuse of research](https://www.fdfa.be/sites/default/files/atoms/files/2017VLIR003_FolderOnderzoek_EN_DEF_20180212.pdf) – document produced in a collaboration between five Belgian universities.

[Guidance note: Research involving dual-use items](https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-dual-use_en.pdf) – short guide from the EU Commission regarding research and dual-use

[Guidance note: Potential misuse of research](https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/guide_research-misuse_en.pdf) – short guide from the EU Commission regarding misuse of research.

[Export Control in Science and Research](https://www.bafa.de/EN/Foreign_Trade/Export_Control/Export_Control_and_Academia/export_control_academia.html?nn=8065706) and [Export Control and Academia Manual](https://www.bafa.de/EN/Foreign_Trade/Export_Control/Export_Control_and_Academia/export_control_academia.html?nn=8065706) – two guides produced by German BAFA regarding export control, science and research.

**Structure of the** [**Dual Use regulation, Annex I**](https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32019R2199&qid=1579618429796&from=EN) **containing items with dual use***The text below is a translation of the information on the ISP website* [*https://isp.se/pda/klassificering-av-produkt-och-teknik/innehall-i-bilaga-i/*](https://isp.se/pda/klassificering-av-produkt-och-teknik/innehall-i-bilaga-i/)

The Annex 1 to the Dual use regulation contains the list of dual use items (from pp. 3 of the Dual Use regulation link above) and is structured like this:

***Introduction***

*Notes*

*Acronyms and abbreviations*

*Definitions*

***Categories and sub-categories***

The products are divided into the following nine categories (0-9):

*0 – Nuclear materials, facilities and equipment, starts on pp. 23*

*1 – Special materials and related equipment, starts on pp. 33*

*2 – Materials processing, starts on pp. 72*

*3 – Electronics, starts on pp. 104*

*4 – Computers, starts on pp. 133*

*6 – Sensors and Lasers, you have confirmed is not applicable*

*7 – Navigation and avionics, starts on pp 192*

*8 – Marine, starts on pp 204*

*9 – Aerospace and propulsion, starts on pp 210*

Each category is divided into the five sub-categories:

*A – Systems, Equipment and Components;*

*B – Test, Inspection and production equipment;*

*C – Materials;*

*D – Software;*

*E – Technology*

***Control numbers***

Each controlled product has a control number with five positions. The first and second denote which category and sub-category the product belongs to. The third position shows the export control regime that regulates the product – 0 is the Wassenaar arrangement (WA), 1 is the Missile technology regime (MTCR), 2 is the Nuclear Suppliers Group (NSG) and 3 is the Australia Group (AG). The fourth and fifth position is the serial number.

Example: 3A001

Explanation: 3 = Electronics, A = Systems, Equipment and Components, 0 = WA, 01 = Serial number.

***Definitions and notes***

When going through the dual use list it is important to read the definitions and notes. Definitions between ‘single quotation marks’ can be found in the technical notes below the control number of a product. Definitions between “double quotation marks” can be found in the introduction to the dual use list (Annex I).