**Export Controls Enquiry Form**

This form should be completed for all applications or proposals for research projects, material transfers, transnational education or IP licensing that concern work at staff research and post-graduate level which **a)** may involve the transfer of sensitive technology or other items out of the UK; and/or **b)** may involve any items that are subject to US export controls. Before completing this form, please refer to the Guidance on Export Control and Research. For the purposes of this form:

* ‘Item’ includes technology or technical information in any form (e.g. research results, data, models, designs, plans, formulae, etc.), and equipment, components, materials, biological agents or software.
* ‘Transfer’ includes physical export, carrying in personal luggage, sending by email, video conference, online learning, downloading or accessing of documents by a person located overseas, and by telephone if information is communicated as if the recipient had read it.

If you have any questions, please contact the Head of Research Development (Dr Matt Briggs. [m.briggs@uwtsd.ac.uk](mailto:m.briggs@uwtsd.ac.uk))

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| --- | --- |
| **Section 1: Project Information** | |
| Project Title |  |
| Research Compliance case reference | *[Research Division to complete]* |
| PI or Proposer |  |
| Collaborators, Co-investigators |  |
| Department |  |
| Telephone Number |  |
| Email Address |  |
| Funder (if any) |  |
| Date |  |
| **Section 2: Item Information** | |
| Description of the item(s) |  |
| Intended overseas recipient(s) (person, organisation, address). If publishing technology in an academic journal, please specify here: |  |
| How will the items be transferred or exported (e.g. digitally, physically)? |  |

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| **Section 3: End-Use** | | | | | |
| 1. What is the item(s) intended end-use? | |  | | | |
| 2. Are you aware if any further onward export will take place from the intended overseas recipient? | |  | | | |
|  | | | **Yes** | **No** | **Unsure** |
| 3. | Have you been informed, do you know or do you suspect that the items are intended to be used in a programme related to Weapons of Mass Destruction i.e. nuclear, chemical or biological weapons or missiles capable of delivering them? | |  |  |  |
| 4. | Have you been informed, do you know or do you suspect that the items are intended to be used for any military purpose? | |  |  |  |
|  | **Section 4: US-controlled items** | | | | |
|  | | | **Yes** | **No** | **Unsure** |
| 1. | Will any material, item or component be received physically or digitally from any country outside the UK? If so, please state which: | |  |  |  |
| 2. | Will any material, item or component be directly received physically or digitally from the US? | |  |  |  |
| 3. | Are you aware if the material, item or component received has, or could have a US origin? | |  |  |  |
| 4. | If yes to 2) or 3), please explain the nature and purpose of this import, its intended use, and whether it will be subject to any further onward export from the point of receipt here: | | | | |
| 5. | Will the import be controlled under the E.A.R list, classified under the  I.T.A.R regime, or subject to any other export control lists under the C.F.R? (Please ask the supplier for clarification if necessary) | |  |  |  |
| 6. | If the US Export Control Classification Number is known, please provide it here: | | | | |
|  | **Section 5: Exemptions** | | | | |
|  | | | **Yes** | **No** | **Unsure** |
| 1. | Does all the technology related to this proposal meet the definition of ‘basic scientific research’? This is defined as “*experimental or theoretical work undertaken principally to acquire knowledge of the fundamental principles or phenomena or observable facts and not primarily directed towards a specific practical aim or objective*”. It is likely to be exempt if:   * it concerns purely experimental or theoretical work, undertaken   solely to obtain new knowledge of the fundamental principles of phenomena or observable facts; | |  |  |  |

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|  | * the sole intended output is a published article in a peer reviewed scientific journal; * it is Technology Readiness Level (TRL) 1-3, but TRL 3 is borderline and needs to be considered case-by-case; * It is not directed towards a specific short-term practical aim nor addressing a specific technical problem.  |  |  | | --- | --- | | **TRL** | | | **1** | Basic principles observed | | **2** | Technology concept formulated | | **3** | Experimental proof of concept | | **4** | Technology validated in lab | | **5** | Technology validated in relevant environment | | **6** | Technology demonstrated in relevant environment | | **7** | System prototype demonstration in operational environment | | **8** | System complete and qualified | | **9** | Actual system proven in operational environment | |  |  |  |
| 2. | Does all the software and technology related to this proposal meet the definition of ‘already in the public domain’? This is defined as “*available without restriction upon further dissemination (no account being taken of restrictions arising solely from copyright*”. It is likely to be exempt if:   * It is available to anyone without restriction e.g. on a website, at an exhibition open to the public; * access to it is in no way restricted (except if it is available to anyone in return for payment); * it has been published. But research intended to be published is not exempt until after it is published. Sending unpublished research work overseas e.g. in the course research collaboration or for peer review is not exempt; * the act of publication is not itself subject to licensing unless the technology is restricted e.g. official classified information. |  |  |  |
|  | **Section 6: Military and Dual-Use Controls** | | | |
|  | | **Yes** | **No** | **Unsure** |
| 1. | Is any item specially designed or modified for military use? If yes, please refer to the ‘Goods Checker’ tool, check all relevant key terms, and provide your best estimation of the item’s classification (e.g. “ML22.a” for most forms of technology required for military items): |  |  |  |
| 2. | Is any item listed in the UK’s Dual-Use lists? Please refer to the ‘Goods Checker’ tool, check all relevant key terms and, if any item may meet the criteria, provide your best estimation of its classification (e.g. “9E001” for technology required for the development of certain aircraft engines): |  |  |  |

**Please submit this form to INSPIRE, Head of Research Development m.briggs@uwtsd.ac.uk**

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| **For completion by INSPIRE** | | | | |
|  | | **Yes** | **No** | **Unsure** |
| 1. | Will any item be transferred/exported out of the UK? |  |  |  |
| 2. | Are there any WMD end-use concerns? |  |  |  |
| 3. | Will any US export controls apply? |  |  |  |
| 3(a). | If so, is a compliance plan in place? |  |  |  |
| 4. | Do Public Domain or Basic Scientific Research exemptions apply? |  |  |  |
| 5. | Do any UK, EU or US sanctions apply? |  |  |  |
| 5(a). | If so, state which sanctions are applicable and their effect | | | |
| 5(b). | If an activity is restricted, is a compliance plan in place? |  |  |  |
| 6. | Do UK military or dual-use export controls apply? |  |  |  |
| 6(a). | If so, what are the export control classifications of the item(s) concerned: | | | |
| 6(b). | State the title and reference number of the export licence(s) to be used: | | | |
| 7. | Case Summary (including details as to how a decision/judgement has been reached): | | | |
| 8. | Any other comments or observations: | | | |
| **Completed by Head of Research Development**  Name:  Date:  Signature: | | | | |