



Defence Export Controls

USQ perspective

Manager, Research Integrity and Ethics

Why does USQ need Export Controls?



It is the Law!

- support international efforts to **stem the proliferation** of conventional, chemical, biological, and nuclear weapons and the systems that deliver them
- collaborate with like-minded nations with a global mechanism to stem proliferation
- **prevent proliferate organisations and UN sanctioned countries** from easily accessing these goods and technologies
- **show transparency** in licensing procedures and processes to evaluate licence applications for proliferation concerns
- detect, identify and stop transfers that violate export control laws and regulations, as well as the ability to investigate and prosecute export control violators and
- develop and promote internal compliance systems to reinforce export controls 'best practice' to minimise the risk of further non compliance.



Legal Information

- USQ has obtained the Defence Export Controls System (DECS) Client Registration Number (DCRN) on behalf of the USQ.
- There are penalties for both the organisation (i.e. USQ) and individuals who breach the Defence Trade Control Act 2012 and the subsequent Defence Trade Controls Amendment Bill 2015.
- USQ will assist you in ensuring that your research activities are compliant, but the responsibility ultimately lies with you.
- All the information to assist is located on the [Defence Export Controls \(DEC\) website](#) and the [USQ Research Integrity website](#).



Will this affect you as a Researcher?

It depends on:

- the work you carry out
- the work you supervise
- who you collaborate with
- who your audience is
- what you publish
- where and how you publish



Defence and Strategic Goods List (DSGL)

The Defence and Strategic Goods List is divided into two parts:

Part 1 - lists munitions (or military) items. These items are more tightly controlled.

Part 2 - lists dual-use items; that is, items that may be used for commercial purposes, but may be used in military systems or for weapon of mass destruction purposes.

Use the Online DSGL Tool on the website to conduct text based searches of the DSGL. The Online DSGL Tool will return search results which match against specific control items. Make sure you follow the instructions on the site.



Online DSGL Tool

The Defence Export Control Office (DECO) has developed an online self-assessment tool ([Online DSGL Tool](#)) to assist you to establish whether or not you will require a permit from DECO to export, supply, publish or broker controlled goods, software or technology.

A permit from DECO is only required when an export, supply, brokering or publishing activity is controlled **and** the goods, software or technology are listed in the DSGL.

The export, supply, brokering or publishing of goods, software or technology that are not listed in the DSGL does not require a permit from DECO. Conversely, if the goods, software or technology are listed in the DSGL but your export, supply, brokering or publishing activity is not controlled, you will also not require a permit from DECO.

1. DSGL Search

The DSGL Search tool will assist you to identify whether your goods, software or technology are controlled.

DSGL Search

Please enter your search query below. Your queries will be retained for the duration of this session and listed in the My DSGL Items output document for your reference. N.B. You can generate an output document without adding any items to My DSGL Items.

Please enter your search query

Search Tips

Operator	Example search	Search will look for....
AND or +	sodium AND cyanide sodium +cyanide	All DSGL items containing the words <i>sodium</i> and <i>cyanide</i>
OR	sodium OR cyanide	All DSGL items containing either the word <i>sodium</i> or the word <i>cyanide</i>



2. Activity Questionnaire

The Activity Questionnaire is a self-assessment tool that will assist you to determine if your export, supply, publication or brokering activity is controlled.

[Reset Questionnaire](#)



Are you in Australia at the time of the publication?



Online DSGL Results

Outcomes:

1. Not Controlled - Permit not required
2. Controlled - Permit required
3. Assessment Required

The information provided and assessment process are incumbent on the researcher.

You can also contact the Manager, Research Integrity and Ethics at:

Export.controls@usq.edu.au or phone +61 7 4631 2214 if you have any questions.



Defence Export Controls Awareness Training Scenarios

<http://www.defence.gov.au/DECO/Training.asp>

Example 1

I plan to publish in a journal a scientific paper describing the results of my research, which is on technology listed in the DSGL. Do I need a permit to send a copy to my publisher abroad?

Is your technology listed on Part 1 or Part 2 of the DSGL?

- *If your paper includes only Part 2 DSGL technology you will not need a supply permit as sending a paper to a publisher is preparing for a publication and is therefore exempt as a pre-publication activity.*
- *If your paper includes Part 1 DSGL technology, you will need a supply permit to send a copy to your publisher abroad. (There are no exceptions for pre-publications supplies for Part 1 technology).*



Defence Export Controls Awareness Training Scenarios

<http://www.defence.gov.au/DECO/Training.asp>

Example 2

Do the export controls restrict my ability to publish the results of my research?

Is your technology listed on Part 1 or Part 2 of the DSGL?

- Research that includes technology listed in Part 2 of the DSGL will not require an approval to publish.
- If the results of your research include technology listed in Part 1 of the DSGL you will require an approval to publish.

Defence Export Controls Awareness Training Scenarios



<http://www.defence.gov.au/DECO/Training.asp>

Example 3

*I have been invited to present at a prestigious international scientific conference (outside Australia) on technology listed in the DSGL. Scientists in the field are given an opportunity to submit applications to attend. Invitations are given to those judged to be the leading researchers in the field, and attendance is by invitation only. Some of the attendees will be non-Australian persons. **Do I need a permit to present?***

No. A supply permit is not required to present at the conference.

However you might need to consider:

- *Whether you will require a permit to supply (e.g. email) your presentation from Australia to the conference organisers located overseas.*
- *If you are taking it outside of Australia in a tangible form, for example printed hard copies or stored on a laptop, you will need an export permit.*
- *If the paper is only going to be distributed to the selected conference attendees, this is not a publication and no pre-publication supply exceptions for DSGL Part 2 technology will be available.*

Forms on the Defence Export Controls website



Application Forms

1. Client Registration form
2. Application for DSGL Assessment
3. Application to Export Controlled Goods and Technology
4. Application for an Australian General Export Licence (AUSGEL)
5. Application for an International Import Certificate
6. Application for a Delivery Verification Certificate
7. Application for a Non-Transfer and End-Use Certificate
8. Application to Register as a Broker
9. Application to Make a Brokering Arrangement
10. DEC07 - Restricted Goods Permit Application

How long does it take for the approvals?

- up to 15 working days for non sensitive
- Up to 3 months for sensitive
- Longer for very sensitive depending on the destination



Exemptions for technology

The DSGL contains a number of [exemptions](#) that can apply to technology that may otherwise be controlled:

For example:

- Not listed on the DSGL or not a Dual Use item
- Not transported over Australian borders (physically or electronically)
- Already published and available in the public domain

Detailed information on exemptions is covered in the Defence and Strategic Goods List.



What now?

Go to the [Online DSGL Tool](#) website:

1. Check your research against the DSGL using the online tool
2. Complete the type Activity Questionnaire
3. Send the results to: export.controls@usq.edu.au

If you have any specific questions contact: Phillip Eastment:

Email: export.controls@usq.edu.au

Phone: 46 31 2214

Ensure you are not exporting anything that could be seen as a dual use without firstly checking the status of your work.



Role of the Office of Research

We are here to help!

- We can assist with liaising with Defence Export Controls Office
- Provide training and awareness to USQ Researchers
- Assist in the information sharing – but this will also rely on each and every individual.



More information is available

There is a comprehensive website the Department of Defence has created.

It includes:

- Training
- Examples
- Defence and Strategic Goods List (DSGL)
- An online DSGL tool
- Forms
- Legal requirements

<http://www.defence.gov.au/DECO/Default.asp>

Contact information

UNIVERSITY
OF SOUTHERN
QUEENSLAND



Manager Research Integrity and Ethics Phil Eastment

Phone: +61 7 4631 2214

Export.controls@usq.edu.au