

**Title: Export Control – Internal Compliance Programme for Research and Innovation****1. Introduction**

Export Control is a multi-lateral, global mechanism designed to prevent the proliferation of weapons of mass destruction, to preserve regional stability, to prevent terrorism and to protect human rights. Export Controls are rooted in the work of several multi-lateral non-proliferation international treaties and conventions.

The European Union operates a system of controls on the export of sensitive items from the member states. Sensitive items refer to goods or technologies that have potential military applications or could pose a threat to national security if exported, thus subject to strict export controls by the European Union

Export controls generally take the form of a legal obligation on exporters to obtain prior authorisation i.e., an export licence, from the national competent authority for the export to third countries of the listed items. In Ireland, this means that exporters must apply to the Export Control Unit of the Department of Enterprise, Trade and Employment (DETE) for an export licence before exporting any listed items or any technology, technical assistance, software, or knowhow relating to such items.

Universities are subject to export controls in the very same way as commercial exporters; the motivation or the reason for the export is not relevant. If a university exports a listed item, or exports technical assistance/knowhow etc. relating to a listed item, it must obtain a licence in advance, regardless of the intended use. Whilst academic freedom is a fundamental right guaranteed by the [Charter of Fundamental Rights of the European Union](#), that does not exempt researchers and Universities from complying with the Regulations.

University of Limerick (UL) is committed to upholding its legal and ethical responsibilities and, therefore, this Internal Compliance Programme (ICP) sets out mitigating measures to ensure that UL and the UL community comply with EU and national control law and regulations ((EU) 2021/1700, Regulation (EU) 2021/821, Regulation (EU) No 258/2012, Regulation (EU) 2019/125 and the EU Common Military List).

All members of the UL community, which includes staff and students, must comply with EU and national export control laws and regulations. Specifically, the researcher bears primary responsibility for ensuring their research complies with all export control laws. Non-compliance with regulations may result in disciplinary actions against the individual researcher and/or legal proceedings against the researcher and/or university. Current penalties for breaches of export controls are fines of up to €10 million (or three times the value of the technology) and/or a prison sentence of up to 5 years. These penalties can apply to individual researchers as well as to the

University. Irish funding bodies also include Export Control clauses as part of the grant terms and conditions.

## 2. Categories for Export Control Purposes

### 2.1. Dual use items ((EU) 2021/821)

Dual use items are goods, software, and technology (including technical information), which can be used for both civil and military purposes. This includes if used for the design, development, production, or use of nuclear, chemical, or biological weapons or their means of delivery, including all items which can be used for both explosive and non-explosive uses and assisting in any way in the manufacture of nuclear weapons or other nuclear explosive devices. Irish law is clear on the obligations of the person and the organisation and to export these types of goods an export license is required. The Minister and DETE is the competent authority for enforcing these controls in Ireland.

The person closest to the research, i.e. the individual researcher who intends to export goods, technology, software, or knowledge as part of their research activities, has primary responsibility, though they are not solely responsible, for ensuring compliance with export control legislation and policies. The university itself shares the responsibility for establishing policies, providing training, and conducting oversight to ensure that the research activities comply with applicable laws.

In the context of academic research within a university, export control laws are legal regulations that govern the transfer of specific goods, information, technology, software, and services across national borders. Export controls have relevance to university research activities because academic institutions often engage in innovative research that may involve technologies with potential military applications. The export of dual use items outside the EU requires an export license.

**Note on publishing listed dual use technology:** Presentations or publications will rarely in their entirety meet the controlled technology<sup>1</sup> threshold, however, some subsections or small excerpts may meet the threshold. If a publication contains controlled technology, the contractual arrangement between the author and the publisher should specify which party is responsible for acting as the exporter. Should the publisher be located outside the EU, the individual or entity within the EU who makes the final decision to transmit the controlled technology outside the EU is required to obtain an export licence.

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<sup>1</sup> For many items their control status is determined by their performance characteristics. Often low-specification items are not controlled, while higher specification or very specialised models are controlled. With relation to publications this includes the publishing of know-how that would allow the production of a controlled technology listed on the EU lists (<https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=OJ:L:2021:338:FULL&from=EN.>)

## **2.2. Military Use items**

The EU maintains a list of military equipment, known as the EU Common Military List. A licence is required for transfers of all equipment on this list within the EU, as well as for exports to a third country (i.e. outside the EU).

## **2.3. Firearms.**

Export controls are in place for firearms, parts, components, and ammunition. Exports of firearms to third countries are the responsibility of the Department of Enterprise, Trade and Employment. The Department of Justice is responsible for transfers of firearms within the EU.

## **3. Top-level management commitment to compliance**

UL has included export controls on its general risk register.

## **4. Organisational structure, responsibilities, and resources**

### **4.1. Organisational commitment.**

UL leadership (through the UL executive) are committed to ensuring that the University complies with all relevant Irish and EU export control and Trade Sanctions laws and regulations. This commitment is demonstrated through the provision of sufficient organisational, human, and technical resources for the University's commitment to compliance.

The University has established this ICP as a framework to assist members of the University community in adhering to export controls regulations.

### **4.2. Organisational Structure**

The following have been identified as the primary points within the University organisation structure for effectively developing and implementing the compliance programme.

#### **4.2.1. Office for the Vice President for Research (OVPR)**

Overall responsibility for implementing UL's ICP for research and innovation rests with the Vice-President for Research (VPR), with the administrative and policy support from the Office of the Vice President Research (OVPR). The VPR is a member of UL Executive and reports to the President. The OVPR consists of Research Support Services (incl. Pre award and Post Awards

Supports and Compliance units), Research Strategy and Policy, Doctoral College and Technology Transfer<sup>2</sup> (TTO)).

First point of contact for researchers will be the Post Awards Supports and Compliance unit within the Office of the Vice President Research.

Email: [research.contracts@ul.ie](mailto:research.contracts@ul.ie)

Webpage: [Export Controls \(sharepoint.com\)](https://ulcampus.sharepoint.com/sites/ExportControls)

#### **4.2.2. UL Research Community**

Individual researchers must be able to identify and report export control compliance matters while conducting their research activities. Accordingly, researchers are responsible for completing training that has been made available by the University so that they can understand how export control may be relevant to their role. If a researcher considers that their research may involve controlled technology and an export licence may be required in relation, they must take ownership of the matter and follow the procedures set out in this ICP.

UL Legal Services Unit provides legal guidance on making assessment as to whether an export control licence is necessary.

#### **4.2.3. UL Principal Investigators/Institute Directors/Heads of School**

UL Principal Investigators/Institute Directors/Heads of Schools and Departments are responsible for supporting a culture of compliance with the export control regulations and raising awareness of this within their units. They actively encourage researchers to undertake the training provided and ensure that this is an item of discussion at regular unit meetings.

### **5. Training and awareness raising**

All researchers and support staff involved in export-related compliance activities have access to training and education to enable them to ensure compliance with the regulations.

Export controls training is available as part of UL's online Research Integrity training programme which is available via the UL Research Portal. <https://ulcampus.sharepoint.com/sites/ResearcherPortal><https://ulcampus.sharepoint.com/sites/ResearcherPortal>

General guidance is available on a dedicated [Export Control site for staff and students.](#)

Notifications and checks relating to export control are incorporated into the pre- and post-award processes.

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<sup>2</sup> *Export controls matters in contracts that fall within responsibility of Technology Transfer Office, shall be dealt with in accordance with the UL Contract Signing Policy, Policy. These include Non-Disclosure Agreements, Materials Transfer Agreements, Licence Agreements, and other commercialisation related contracts.*

## 6. Export screening procedures.

The assessment of whether an export licence is required is principally the responsibility of the researcher, as they are closest to the research activity and most informed as to its technical specifications and application. The University has put in place the following procedure to enable researchers and other members of the UL community to make their assessment.

### 6.1. Procedure

Researchers must **assess their research activity at the earliest possible stage**, to ascertain if it falls under the export control legislation. Researchers should consider the following:

- Product (this can be a physical product, or technical expertise/knowledge): is it listed on any EU Export Controls List?
- Destination: Within or outside the EU customs area?
- Exporter: Who is the legal exporter i.e. who is in control of the export (in a consortium, this would be the lead partner)
- Receiver/End User: Do you know them?
- End Use: Is it clearly defined?
- Other use: could the export be repurposed for another use e.g. military?
- Finance: who is funding the export?

A wide range of research activities could trigger dual-use export controls and some illustrative examples can be found in Appendix I.

The EU has produced military and dual use lists of restricted products and activities, and researchers should assess whether their research falls under this legislation, and it should be noted that not every research activity involving dual-use items will require a licence. The EU dual-use Regulation includes five different types of activities that require an authorisation.

The following two will always require authorisation:

1. An export authorisation is needed for the movement or transmission outside the customs territory of the Union of any listed dual-use item in Annex I to the EU dual-use Regulation.
2. A transfer authorisation is needed for the movement or transmission of items inside the customs territory of the Union only for listed dual-use items in Annex IV to the EU dual-use Regulation.

The following three, are authorisation requirements on a case-by case basis:

3. A transit authorisation is needed for items passing through the Customs territory of the Union.
4. A brokering authorisation is needed for the brokering of items between third countries from inside the customs territory of the Union.
5. An authorisation is required for provision of technical assistance related to dual-use items.

If the researcher believes that a license may be required, they should tick 'yes' for export controls on the Research Proposal Authorisation System - RPAS (for funded research), for unfunded research, the researcher shall contact the Research Post Award Support and Compliance unit (RPAC).

The UL RPAC team (in consultation with other UL units as appropriate) can assist with this assessment. Appendix II lists the research areas that are most likely to be impacted by dual-use export controls, Appendix IV illustrates the dual use nomenclature methodology and Appendix V lists the types of Dual Use authorisations available.

The Research Post Award Support and Compliance unit will review and assess (in consultation with other UL units) any information provided by the researcher. This helps to support the researcher's assessment and is also necessary for record keeping purposes. A Record of the review will be maintained on the secure RPAC SharePoint. The RPAC shall also screen the RPAS database weekly to detect any proposed research that may have export control requirements.

The review should incorporate the following:

- Item classification, for goods, software, and technology (This is done by comparing the technical characteristics of an item against the EU and national dual-use control lists)
- Transaction risk assessment, including.
- Checks on trade-related embargoed, sanctioned or 'sensitive destinations and entities' (Ensure that none of the involved parties (intermediaries, purchaser, consignee, or end-user) are subject to restrictive measures (sanctions) by consulting the up-to-date sanctions lists)
- Stated end-use and involved parties screening (Know your customers and their end-use of your products.).
- Diversion risk screening (Be vigilant for diversion risk indicators and signs about suspicious enquiries or orders. Appendix III contains a list of questions to support diversion risk screening)
- 'Catch-all controls' for non-listed dual-use items (If the researcher or university is aware or suspects that an activity or project entails such a risk, it must abstain from engaging further to this research and immediately inform the competent authorities who will conclude whether a license application is necessary).
- Post-licencing controls, including shipment control and compliance with the conditions of the authorisation.

Following review, and in collaboration with the researcher, a decision on whether an export control licence application is required or not is made. Note that the process of obtaining an export licence may take several weeks, and any assessment of the need for a licence and an application for same needs to be done as early as possible.

Outcome procedure:

- a) If no export control licence is required, RPAC records the assessment of the information provided and no further action is taken.
- b) If an export control licence is required RPAC, with support from other units as required (e.g. UL Legal, Institutes etc), will assist the researcher in accessing the online portal (<https://oelas.djei.ie/>) and completing the export control licence application to the Department of Enterprise, Trade and Employment (DETE).

Once a licence has been issued by DETE, the RPAC will **discuss any terms of the licence** with the researcher as well as their record keeping and audit responsibilities.

An export cannot take place until the licence has been issued by DETE and the export must comply with all terms of the licence.

When exporting physical items using a freight forwarding service or similar, it is important to ensure that they satisfy professional standards. It is also essential to provide clear written instructions to the freight forwarding agent which will include the full licence details, an explanation of the implications of licence for the export (e.g. for routing) and their responsibility for documentation (e.g. returning completed customs declaration for UL records).

## **7. Reviews, audits, internal reporting, and corrective actions**

Export licences may be subject to inspection by the Trade Licensing & Control Unit of the DETE to ensure that the terms of the licence have been complied with. RPAC, UL Legal Services, the researcher and any other required units involved in the export will participate in the inspection as necessary.

RPAC will also undertake an annual internal audit of a small number of existing licences (the number will be proportionate to the number of active licences). The results of the audit will be reviewed and any necessary changes to this procedure will be made.

## **8. Violations of Export Control regulations**

UL is committed to ensuring that it always meets all its export control obligations. It is of utmost importance that UL is apprised of any potential violations. The UL community has a responsibility to report any suspected non-compliance occurrences. The University also reserves the right to report the matter to the DETE and to A Garda Síochána. The Control of Exports Act 2023 provides that a person who contravenes export controls for dual-use items or military equipment would be liable for fines and/or imprisonment.

Any suspected mistakes or violations with respect to the export control laws and regulations, and suspected mistakes or violations about export licences or other export control approvals, may be dealt with under the UL Disciplinary Procedures or the Student Discipline Procedures as appropriate.

## Useful links

- [Exporting dual-use items - European Commission \(europa.eu\)](https://ec.europa.eu/eu-exports-control/eu-exports-control_en)
- [https://policy.trade.ec.europa.eu/help-exporters-and-importers/exporting-dual-use-items\\_en](https://policy.trade.ec.europa.eu/help-exporters-and-importers/exporting-dual-use-items_en)
- <https://www.wassenaar.org/> (The Wassenaar arrangement on export controls for conventional arms and dual-use goods and technologies).
- [Export Licences - DETE \(enterprise.gov.ie\)](https://enterprise.gov.ie/export-licences)
- [Export Licensing and Control: Information for Exporters \(youtube.com\)](https://www.youtube.com/watch?v=...)
- [EU Sanctions Map](https://ec.europa.eu/eu-exports-control/eu-exports-control_en)
- CONTROL OF EXPORTS ACT 2023 [pdf \(irishstatutebook.ie\)](https://www.irishstatutebook.ie/eli/2023/act/11/section/1)

## Records

Records management is in accordance with UL Record Management and Retention Policy and in adherence to the requirements of the enforcement body, Department of Enterprise, Trade and Employment.

Requests by governmental officials concerning export transactions shall be addressed to the RPAC before any information is provided to the inquiring party.

The following records will be maintained:

- Training completion records.
- Awareness raising communications.
- Records of all export control assessments.
- Records of all export licences applied for, along with ancillary documentation.
- Decisions on all export licences applied for.



**Revision & Approval Log**

Rev No.	Date	Revised By:	List of Revisions	Approval Date
1.0	15 Dec 2023	RPAC	New document	18 December 2023
2.0	29 Feb 2024	RPAC	<ol style="list-style-type: none"><li>1. Added additional detail around the categories to which export controls apply (military, torture. Firearms).</li><li>2. Added appendix IV and V for further clarity.</li><li>3. Added information on applicability of export controls to publications and presentations</li></ol>	06 March 2024

## Appendix I: A non-exhaustive list of scenarios where export control may apply:

A wide range of research activities could trigger dual-use export control, as indicated in the illustrative list:

- changing the host spectrum of lumpy skin disease virus to include human reservoirs.
- multispectral imaging camera sensors for data collection of crops.
- laser-based next-generation uranium enrichment technology as a potential alternative for the industrial enrichment that involves gaseous uranium in centrifuges.
- 3D printing of energetic materials.
- prototype drone with spraying system for combatting Eastern equine encephalitis virus.
- autonomous scientific underwater vessel that collects data automatically in deep sea regions.
- Sending a camera outside of the EU for repair; and
- Publication of the design concept for a UAV/drone.

The following are scenarios where dual-use export controls may come into place. The list is non-exhaustive.

Scenario	What does the EU dual-use Regulation say?	To be considered as well
<b>Teaching, consulting, collaborating or working on research involving dual-use items inside customs territory of the Union with visiting third country researchers</b>	— The EU dual-use Regulation does not foresee controls for non-EU persons accessing dual-use items inside the customs territory of the Union. Hence, no licence is needed as long as the controlled dual-use items remain inside the customs territory of the Union. When the visiting third country researcher returns home with access to (or in possession of) the controlled dual-use item, then a licence is needed.	— In some cases, based on national provisions, a technical assistance licence is required or the supply of technical assistance is prohibited. — A licence may be required in case a sanctioned entity or a natural/legal person of a sanctioned country seeks cooperation inside the EU. In some cases such cooperation is prohibited according to EU sanctions.
<b>Teaching, consulting, collaborating or working on research involving dual-use items outside customs territory of the Union</b>	— The EU dual-use Regulation does not foresee controls for EU persons engaged outside the customs territory of the Union in research involving dual-use items. Hence, no licence is needed in principle <i>if there is no access to controlled dual-use items from within the customs territory of the Union</i> .	— In some cases, based on national provisions, a technical assistance licence is required or the supply of technical assistance is prohibited. — A licence may be required in case a sanctioned entity or natural/legal person of a sanctioned country seeks cooperation inside the EU. In some cases such cooperation is prohibited according to EU sanctions.
<b>Organising inside customs territory of the Union a (virtual) conference/meeting/seminar/... or presenting at a (virtual) conference/meeting/seminar/... on research involving dual-use items</b>	— The EU dual-use Regulation does not foresee controls for non-EU persons accessing dual-use items inside the customs territory of the Union. Hence, no licence is needed <i>if the controlled dual-use items remain inside the customs territory of the Union</i> . When the visiting third country researcher returns home with access to (or in possession of) the controlled dual-use item, then a licence is needed. — If the conference/meeting/seminar is virtual and transmitted to a destination outside of the EU, then a licence is needed for that part of the research that involves controlled dual-use items.	— In some national cases, a technical assistance licence is required — It is a good compliance practice to warn participants of licence requirements when exiting the customs territory of the Union with the controlled item(s). — A licence may be required in case a sanctioned entity or natural/legal person of a sanctioned destination seeks cooperation inside the customs territory of the Union. In some cases such cooperation is prohibited according to EU sanctions.
<b>Organising outside customs territory of the Union a (virtual) conference/meeting/seminar/... or presenting at a (virtual) conference/meeting/seminar/... on research involving dual-use items</b>	— The EU dual-use regulation does not foresee controls for EU persons engaged outside the customs territory of the Union in research involving dual-use items. Hence, no licence is needed in principle — <i>if orally presented, even when recorded on the spot, as long as there is no access to controlled dual-use items from within the customs territory of the Union</i> .	— In some cases, based on national provisions, a technical assistance licence is required or the supply of technical assistance is prohibited. — A licence may be required in case a sanctioned entity or a natural/legal person of a sanctioned country seeks cooperation inside the EU. In some cases such cooperation is prohibited according to EU sanctions

	<ul style="list-style-type: none"> <li>— if accompanied by presentation or other conference material where the information is not meeting the controlled technology threshold(s).</li> <li>— The EU dual-use regulation requires a licence,</li> <li>— if there is access to controlled dual-use items from within the customs territory of the Union.</li> <li>— if accompanied by presentation or other conference material (carried in paper, on laptop or other physical carrier such as USB stick) that contains controlled dual-use technology.</li> </ul>	
<b>Publishing listed dual-use technology</b>	<ul style="list-style-type: none"> <li>— A publication including technology that meets the thresholds for dual-use control needs an export authorisation. The intention to publish (and thus the act of publishing) is not enough to be considered to be in the public domain and is therefore not exempted from control. The export control authorities rely on the due diligence of research organisation to screen prepublications in sensitive research areas.</li> <li>— In case a (draft) publication (or raw data) meets the thresholds for containing export controlled dual-use technology it is subject to export controls. This applies to both the pre-publication phase and to the actual publication phase. In principle, this can also apply to Master or PhD thesis that meet the controlled technology threshold(s).</li> </ul>	The researcher or research organisation could consider to amend or omit the specific parts that contain the controlled technology or restrict the access to these specific parts. If mitigation is not feasible the researcher or research organisation should contact the competent authority how to fulfil the licence requirement (e.g. individual licence application).
<b>Patented information and information for patent application</b>	<ul style="list-style-type: none"> <li>— No licence is needed in principle, as the export of patented information that is fully disclosed on the public record is considered to be "in the public domain" and hence exempted from export controls.</li> <li>— No licence is needed for the export of the minimum necessary information for patent applications.</li> </ul>	
<b>Export of tangible dual-use items (goods), including prototype design and second-hand lab equipment</b>	<ul style="list-style-type: none"> <li>— Research organisations may (re)sell, donate or lend dual-use items or temporarily export them for their own research projects. Regardless whether the items are new, a prototype or second-hand, they require a licence for export if listed in Annex I and for intra-EU transfers if listed in Annex IV of the EU dual-use Regulation.</li> </ul>	

**Appendix II: Research areas that are more likely to be impacted by dual-use export control<sup>3</sup>**

The following research areas are more likely to be impacted by dual-use export control than other research disciplines. Please note that this list is non-exhaustive and may serve as a (non-binding) tool to identify relevant research more easily. In this Appendix, the dual-use descriptors (right column) are rather general in nature. Specific export control comprising sharp technical parameters are summarized in the Annex I to the EU dual-use Regulation, which should be consulted primarily.

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<sup>3</sup> <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=OJ:L:2021:338:FULL&from=EN>

Research areas	Dual-use descriptors
Biology and (nano)biotechnology	Human, plant and animal pathogens Toxins Biological protection, containment and handling equipment
Chemistry Advanced material science	Chemicals, polymers, lubricants and fuel additives Chemical manufacturing facilities, equipment and components such as pumps, heat exchangers, valves and distillation columns Chemical protection, containment and handling equipment
Nuclear physics and engineering	Nuclear reactors and specially designed or prepared equipment and components Nuclear material
Energy and environmental technology	Optical and acoustic sensors Cameras
Computer science and engineering Information and communications technology	Source code for some listed acoustic data processing Digital ruggedized computers Intrusion software related items Telecommunications systems, equipment, components and accessories (including interception and jamming) Information security hardware, software and technology (including encryption and cryptanalysis)
Avionics and aerospace engineering and design	Accelerometers Gyroscopes Navigation (receiving) systems Drones Launch platforms Satellites Aero gas turbine engines Ramjet, scramjet or combined cycle engines
Semiconductor	Integrated circuits Semiconductor manufacturing, testing or inspection equipment Wafer substrates (Computer-aided-design) software for semiconductors
Optical engineering	Lasers Optical sensors Imaging cameras
Robotics and process automation	Machine tools Robots, end-effectors and remotely controlled articulated manipulators Dimensional inspection systems
Additive manufacturing (3D printing)	Feedstock materials Manufacturing equipment
Quantum technologies	Quantum cryptography
Artificial intelligence and machine learning	Neural network integrated circuits Neural computers Electronic components
Naval technologies	Surface vessels Underwater vessels Underwater vision systems Power transmission and generation systems
Cyber-surveillance items	Mobile telecommunications interception equipment Internet surveillance systems Tools for the generation, command and control, or delivery of intrusion software Law enforcement monitoring software Digital forensic/investigative tools

### **Appendix III 'Red flags' relating to suspicious enquiries.**

You should be vigilant if one or more of the following 'red flags' are detected:

#### Your product(s)/research

- your research is still being developed or has not yet found many users in your domestic market.
- the characteristics of your research are technically superior to those of established competitors; — your customer requested unusual customisation or modification requests raise concerns about potential applications
- your research has known dual-use, military, or sensitive application.

#### End use and End user.

- the end user is new and your knowledge about him/her is incomplete or inconsistent or it is difficult to find information about them in open sources.
- the stated end user is a trading company, distributor or based in a free trade zone so that you might be unaware where your product(s)/research finally ends up.
- the end user is tied to the military, the defence industry or a governmental research body and the stated end use is civilian.
- the customer seems not to be familiar with the research and its performance characteristics (e.g. an obvious lack of technical knowledge).
- the end user requests an item that seems overly capable for the intended application.
- the contact information in enquiries (e.g. phone numbers, email, and addresses) is located in other countries than the stated end user or changed to that over time.
- the end user has a foreign company name (e.g. in a language that is unexpected for the country where headquarter is located).
- the end user website lack content in comparison to what is normally found on a legitimate company website.
- the end user is reluctant to offer information about the end use of the items (e.g. via an end-user statement), provide clear answers to commercial or technical questions which are routine in normal negotiations or to provide an end user statement.
- an unconvincing explanation is given as to why the items are required, given the end users normal business, or the technical sophistication of the items.

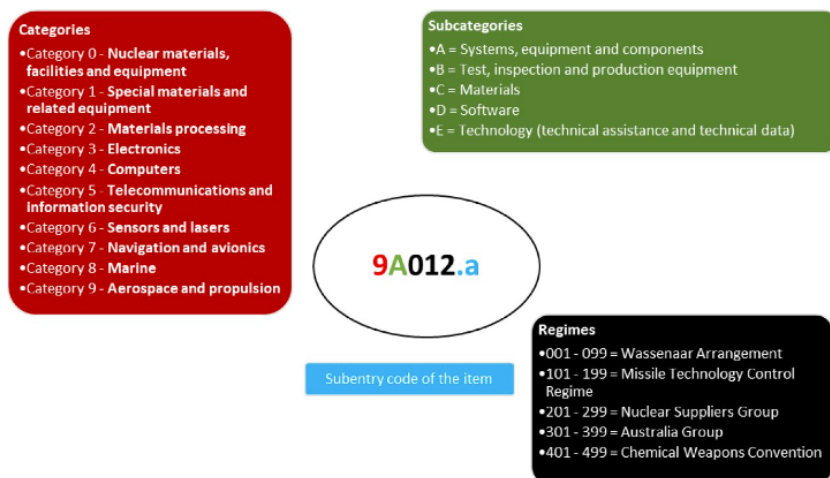
#### Shipment

- unusual shipping, packaging or labelling arrangements are requested; usual incoterms for shipment, the sealing of containers/trucks and the confirmation of receipt by the consignee/end-user are refused.
- Finance and contract conditions.

- unusually favourable payment terms such as paying an unreasonably high price, full payment in advance or want to do a full cash payment immediately.

- the payment is made by other parties than the customer or stated intermediaries and follow another route than the products.
- routine installation, training or maintenance services are declined.
- the installation site is in an area under strict security control or is in an area to which access is severely restricted,
- the installation site is unusual in view of the exporter's line of business or is unusual in view of the type of equipment being installed.
- there are unusual requirements for excessive confidentiality about final destinations, or customers, or specifications of items.
- there are requests for excessive spare parts or lack of interest in any spare parts.

## Appendix IV Dual-use classification numbering system





## Appendix V: Types of Authorisations

- Individual export authorisations covering one or more dual-use items to one specific exporter for one end-user or consignee in a third country.
- Global export authorisations covering one or more dual-use items which may be valid for exports to one or more specified end-users and/or in one or more specified third countries.
- Large project authorisations covering one or more dual-use items which may be valid for exports to one or more specified end-users in one or more specified third countries for the purpose of a specified large-scale project.
- Union General Export Authorisations (EUGEAs) serve the aim to simplify the export of specific dual-use items to certain countries of destination available to all EU-based exporters who respect its conditions and requirements for use as listed in Annexes IIa to IIh. Annex IIa to IIh correspond to the eight available EUGEAs (EUGEA 001 to EUGEA 008).
- National General Export Authorisations (NGEAs) are additional simplified authorisations for specific dual-use items to certain countries of destination as defined by national legislation. These authorisations only apply to exporters based in the respective EU Member State.
- Authorisation for the provision of technical assistance from the customs territory of the Union into the territory of a third country, within the territory of a third country or to a resident of a third country temporarily present in the customs territory of the Union.
- Authorisation for brokering services for a set quantity of specific dual-use items moving between two or more third countries.
- Transit authorisation for non-Union dual-use items that only transit the EU.
- Intra-EU transfer authorisation for Annex IV dual-use items from one EU Member State to another EU Member State