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**Licence enquiry form**

Any researcher who suspects that they may require an export licence should complete this form with the advice of a University Export Control Manager (ECM). Before completing this form, please first read the [University’s Export Control Website](http://www.research-operations.admin.cam.ac.uk/policies/export-control). You will also need to consult the [UK Export Control Lists](https://www.gov.uk/government/publications/uk-strategic-export-control-lists-the-consolidated-list-of-strategic-military-and-dual-use-items-that-require-export-authorisation). Please also provide a copy of this form to your Departmental Administrator for information.

This form is designed to help the ECM to decide whether the goods, technology[[1]](#footnote-1), software or knowledge (referred to as “items” in the form below) being exported requires a licence and what type of licence would be required. Additional information may be required for a decision to be made, this should be provided in writing and kept with this form. **Do not go ahead with your export until you have got clearance from the ECM.**

The form should be retained by the ECM for at least 6 years (where a licence is requested this should be from the end of the year in which the export took place or longer if required by licence).

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| Project Information | |
| Project Title |  |
| Research Grant Number (where applicable) |  |
| Enquiry Number | [To be completed by the ECM] |
| Principal Investigator |  |
| Department |  |
| Telephone Number |  |
| Email Address |  |
| Funder (if any) |  |

|  |  |
| --- | --- |
| Item Information | |
| Description of the items / technology to be exported |  |
| Recipient of the items / technology (including their country and address). |  |
| Details of end-use (What will the recipient use the items / technology for?) If the end user is different from the recipient, please give details. |  |
| How are the items / technology being exported? (i.e. physically, digitally or otherwise?) |  |
| Original source of the items to be exported (if applicable) |  |

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| **Section 1: US imports and UK Export Control Lists** | | | |
|  | | Yes | No |
| 1. | Was the item / technology imported from the United States of America? |  |  |
| If yes, did documentation from the exporter state that the import would be subject to US export control law? Please provide any relevant documentation. |  |  |
| 2. | Does the item fall under any of the definitions given on the UK Export Control Lists? We have guidance on how to search the list [here](https://www.research-operations.admin.cam.ac.uk/policies/export-control/how-find-out-whether-export-control-may-apply-your-work).  **Please take an exclusionary approach.**  That means that, if you find an entry that is close but your export does not meet the control threshold, please provide the reference and explain why your planned export is not controlled under this entry in the box below.  E.g. *1C007.a. controls ceramic powders of titanium diboride (TiB2) (CAS 12045-63-5) having total metallic impurities, excluding intentional additions, of less than 5,000 ppm, an average particle size equal to or less than 5 µm and no more than 10% of the particles larger than 10 µm.* If you were exporting titanium diboride, but the export had a larger particle size than that set out in the controls, you would state that in the box.  If a control entry applies, please provide the whole control entry (e.g. 3B001.a.2. not just 3B001) and proceed to Section 2.   |  | | --- | |  | |  |  |
| 3. | If the item is not on the Lists, are you aware of any way in which it might be used for a military purpose? If so, please explain in the box below.   |  | | --- | |  | |  |  |

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| **Section 2 – Technology and Knowledge** | | | |
|  | | Yes | No |
| 1. | Is the item best described as ‘technology’ or ‘knowledge’ (i.e. not physical items, goods, materials or software), including written, electronic, diagrammatic, or recorded information? |  |  |
| 2. | Is the technology or knowledge “required” or “necessary” for the development, production or use of an item on the controlled list? Please discuss this question with your ECM before answering. |  |  |

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| **Section 3 – Software, Technology and Knowledge Exemptions** | | | |
|  | | Yes | No |
| 1. | Is the item software, technology or knowledge that classifies as ‘basic scientific research’?  (‘Basic scientific research’ 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”.) |  |  |
| 2. | Is the item software, technology or knowledge that is already in the ‘public domain’?  (To be ‘public domain’ the technology or knowledge must be available to the public without restriction upon dissemination, other than those arising solely from copyright). [Please see the HEECA guide on decontrols for more information](https://heeca.org.uk/videos/docs/HEECA-Resource-Bitesize0001_decontrols_May2022_v4.0.pdf). |  |  |
| 3. | Is the item the minimum information necessary for a patent application? |  |  |

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| **Section 4 – Weapons of Mass Destruction (WMD) End Use Controls** | | | |
|  | | Yes | No |
| 1. | Is the item designed for WMD purposes? |  |  |
| 2. | Have you been informed, are you aware, or do you suspect, that the recipient of the item intends to use it for WMD purposes?  If you have answered ‘Yes’ to either question please complete the final sections of this form and submit it to the ECM, a licence may be required. |  |  |

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| **Section 5 – Embargoes and Sanctions** | | | |
|  | | Yes | No |
| 1. | Is the recipient based in a country that is subject to an embargo or sanctions? Please check: <https://www.gov.uk/guidance/current-arms-embargoes-and-other-restrictions#non-country-specific-export-policies-and-restrictions>  If ‘No’ skip questions 2 and 3. |  |  |
| 2. | Are the items that you intend to export covered by the embargo or sanctions? If you are unsure, seek advice from your ECA. |  |  |
| 3. | Are you aware or have you been informed that the item/technology is (or may be) intended:   * for incorporation into or for the development, production, use or maintenance of military items * for use in any unfinished products in a plant for the production of military items * for use in production, test or analytical equipment and components for the development, production or maintenance of military items * for use by military forces, para-military forces, police forces, security services or government intelligence organisations * for an entity involved in the procurement, research, development, production or use of items on behalf of the entities above * For use as parts or components of military items illegally obtained from the UK?   Note: ‘Military items’ are items on the UK’s military control lists (please seek advice if you are unsure). |  |  |
| If you have answered ‘Yes’ to question 1 and either question 2 or 3 a licence may be required. | | |

Please sign this form and submit it to the ECM.

**Declaration**

I \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, Principal Investigator on this project, have read the University’s export control policy and guidance and confirm that the information provided on this form is correct to the best of my knowledge.

Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |
| --- | --- | --- | --- |
| **To be completed by the ECM** | | | |
|  | | Yes | No |
| 1. | Is this export taken to licence application? |  |  |
| If ‘no to the above, summarise the reason for completing the due diligence process without a licence application: | | | |

1. ‘Technology’ is defined as information necessary for the development, production or use of goods. [↑](#footnote-ref-1)