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Responsible administrator: Margaretha Vikes	Responsible administrative unit: Property Management Office	

Name of assessment:

Dnr. Decision on authorisation or not:

Dual Use Items Classification Checklist

In order to comply with export control legislation, Stockholm University (SU) must determine whether an export authorisation is needed before exports at e.g. research projects, expeditions and conferences. For information on the university's export procedures regarding export control see Procedure for export control and Rules on export controls.

This checklist is an aid to determine whether an item or technology needs an authorisation before export. The checklist is also a way to document SU's export management.

Appointed contact persons for export control at the department/equivalent as well as the central export control function (exco@su.se) are available for support in case of questions.

Dual use items which require authorisation before exports are described in Annex I to the regulation (EU) 2021/821.

The central export control function will assist with the application to the Inspectorate for Strategic Products (ISP) or the Swedish Radiation Safety Authority (SSM), if an export authorisation is needed.

This checklist should be archived at the department where it was completed. A copy is sent to the central export control function via exco@su.se or via [Serviceportalen](#).

- 1. Briefly describe what is to be exported and the context of the export (conference, research collaboration, recipient country, project funding, expedition).**

2. Classify the item to be exported.

When classifying an item before export, the current control list for dual-use items is used.

- **What result does a free text search in the control list (Annex I) give?** The valid Annex I is always found at [the ISP's website](#) (English version at [EUR-Lex](#)).
- Search for keywords (ctrl+F) in Annex I and fill in the table if you get a hit.
- If you get a hit that is not relevant, explain why. It can be e.g. that the item does not meet the technical requirements to be controlled or that the item is for some reason exempt from authorisation (see remarks in Annex I). See the example of radar systems below.

Example, export of radar systems: When searching on keywords “radar systems”, you get match 6A008 and 6A108. Then enter the keywords “radar system” on the far left in the table. If the radar system does not need an export authorisation, i.e. not relevant, enter why. For example, the radar system may be a meteorological weather radar and then exempted by note to 6A008. If the radar system does not meet the technical specifications to be controlled, you also fill in a *non-relevant match*.

If the radar system meets the technical specifications to be subject to authorisation, contact the central export control function (exco@su.se) for assistance with the application to the ISP.

For further guidance on how to classify items, see [the ISP's website](#) (in Swedish).

Keywords	Relevant match, export requires authorisation	Reason why the match is non-relevant:

3. Does your export/cooperation involve the exchange or export of information/physical items/technology in particularly sensitive areas described in Annex IV of the regulation (EU) 2021/821?

If yes, permission is also required for transfers within the EU. Particularly sensitive items: Stealth technology; Equipment/devices to initiate explosive charges and energetic materials; Explosives; Object detection and localization systems; Acoustic equipment; Sound reduction system; Computing equipment with real-time calculations of results; Cryptography; MTCR technology items, unmanned aerial vehicles, missiles, spacecraft, nuclear technology, etc.

- Yes
 No

4. Is the item subject to catch-all/Article 4?

Do you in any way have knowledge about the item/technology being intended in whole or in part for use in connection with the development, production, handling, use, storage, detection, identification or proliferation of chemical or biological weapons or nuclear weapons or other nuclear charges, or development, production, maintenance or storage of missiles capable of carrying such weapons?

- Yes
 No

5. Will information/items/technology of American origin be exported?

USA has, under certain circumstances, requirements on re-export of American items. For example, it is not unusual with restrictions on the re-export of American software.

- Yes
 No

6. In your project, will you provide technical assistance/develop items intended for military use or do any of your project partners have a military connection?

If yes, contact the export control officer at Stockholm University for support.

- Yes
 No

Date: _____ Signature responsible researcher: _____

Name clarification: _____



Useful links with more about export control

[Guidance: The Commissions recommendation on compliance programs](#) – guide from the European Commission on compliance regarding the export of dual-use items.

[Export control in science and export control manual for research in academia](#) - document produced by the German BAFA (Germany's equivalent of the ISP) on export control in science and research sectors.