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**License enquiry form**

Any researcher who suspects that they may require an export license should complete this form with the advice of the University Export Control Manager (ECM). Before completing this form, please first read the University’s Export Control Website. 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).

This form is designed to help the ECM to decide whether the goods, technology[[1]](#footnote-2), software or knowledge (referred to as “items” in the form below) being exported requires a license 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.

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

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| Project Information | |
| Project Title |  |
| Research Grant Number (where applicable) |  |
| Enquiry Number | [To be completed by the ECM] |
| Principal Investigator |  |
| Department |  |
| 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 for?) If the end user is different from the recipient, please give details. |  |
| How are the items being exported? (i.e. Physically, digitally or otherwise?) |  |
| Original source of the items to be exported |  |

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| **Section 1: US imports and UK Export Control Lists** | | | |
|  | | Yes | No |
| 1. | Was the item imported from the United States of America? |  |  |
| If yes, did documentation from the exporter state that the item 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?  If ‘Yes’, please provide the list on which it appears and the reference to the specific definition (e.g. *UK Military List ML9, a.1.b* or *EU Dual-Use List 4A102*) 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? |  |  |

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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). |  |  |
| 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. | Have you been informed by the ECJU that the item is (or may be) intended for incorporation into or for the development, production, use or maintenance of military equipment in a location subject to an arms embargo? Or are you aware that the item will be used as parts or components of military goods illegally obtained from the UK? |  |  |
| 2. | 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 ‘Yes’ are the items that you intend to export covered by the sanctions? If you are unsure, seek advice from your ECA.  If you have answered ‘Yes’ to both questions a licence may be required. |  |  |

Please sign this form and submit it to the ECM at [RDM@Napier.ac.uk](mailto:RDM@Napier.ac.uk).

**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 \_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. ‘Technology’ is defined as information necessary for the development, production or use of goods. [↑](#footnote-ref-2)