

## Dual Use Products (DUI) Classification Checklist

In order to comply with export control legislation, Stockholm University (SU) must determine whether an export licence 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 a product or technology needs a license before export. The checklist is also a way to document SU's export management. Appointed contact persons for export control at the institution/equivalent as well as the export control officer at the security section are available for support in case of questions. Dual use items which require licence before export are described in Annex I to the regulation [nr.\(EU\) 2021/821](#).

The export control officers will assist with the application to the Inspectorate for Strategic Products, ISP, if an export licence is needed,

This checklist should be archived at the institution where it was completed. A copy should be sent to the export control officer at the Section for security.

- 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 product to be exported.**

*When classifying a product before export, the current control list for dual-use products (PDA) is used.*

*What result does a free text search in [control lists](#) Annex I give?*

*Word search (ctrl+F) in Annex I in the control list 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 product does not meet the technical requirements to be controlled or that the product is for some reason exempt from license requirements.*

*Example, export of radar systems: When searching on keywords "radar systems", you get match 6A008 and 6A108. You then enter the keyword "radar system" on the far left in the table. If the radar system does not need an export licence, 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 hit.*

*If the radar system meets the technical specifications to be subject to a permit, contact the export control officer for assistance with the application to the Inspectorate for Strategic Products, ISP.*

*For further guidance on how to classify products, see the ISP's website*

*<https://isp.se/pda/klassificering-av-produkt-och-teknik/innehall-i-bilaga-i/>*

Keywords	Relevant match, export requires licence	Reason why the match is not relevant:

3. **Does your export/cooperation involve the exchange or export of information/products/technology in particularly sensitive areas described in Annex IV of the control list? If yes, permission is also required for transfers within the EU.**

*Particularly sensitive products: 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 products, unmanned aerial vehicles, missiles, spacecraft, nuclear technology, etc.*

- ☐ Yes  
☐ No

4. **Is the product subject to Catch-all/Article 4? (Do you in any way have knowledge about the product/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/products/technology of American origin be exported? USA has, under certain circumstances, requirements on re-export of American products. 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 products 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

Signature responsible researcher: \_\_\_\_\_

Name clarification: \_\_\_\_\_ Date: \_\_\_\_\_



### **Useful links with more about export control:**

[Guidelines for researcher regarding dual use](#) - guide produced by five Belgian universities.

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

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