

2.0	Deputy Vice-Chancellor Research & Enterprise	23 February 2021	23 February 2021	February 2024



Many countries have their own, often stringent, controls in place for the import and export of controlled goods and technology. This means that in addition to checking for the need to obtain a permit to export from Australia, researchers also need to check whether there are permit requirements in the countries they intend to enter and depart. Where possible, researchers should contact their international collaborators or qualified courier service providers to seek the relevant information or contact the UNSW Research Export Controls Officer.

Research activities involving the export of controlled goods and technology and activities are monitored by the University and its delegated bodies through mechanisms including annual and final reports for each approved project, internal and external audits of compliance with permit and approval conditions, and site visits and interviews with researchers and technical staff. Safeguards to identify potential controlled exports are also in place at various stages of the grants and contracts process.

The University may seek to suspend or withdraw approval by the Department of Defence for the export of controlled goods and technology and activities where it is reasonable to believe that continuation of the export activities may compromise compliance with legislation.

Permit and approval holders are required to monitor research according to the permit and approval conditions and report unexpected adverse events to the Research Export Controls Officer as soon as possible in accordance with the emergency instructions on the UNSW Research Export Controls [website](#).

Issues identified during monitoring or adverse event reporting which may possibly involve breaches of the UNSW *Research Code of Conduct* are handled in accordance with the UNSW *Research Misconduct Procedure*.

UNSW has established a complaints and grievances mechanism for UNSW staff, students and persons external to the University. Complaints about the conduct of research involving export controls by UNSW staff, students and visitors should be directed to the Director of Research Ethics and Compliance Support (RECS) ([exportcontrols@unsw.edu.au](mailto:exportcontrols@unsw.edu.au)). Allegations involving possible breaches of the *Australian Code for the Responsible Conduct of Research* are referred to the Conduct & Integrity Office ([research.integrity@unsw.edu.au](mailto:research.integrity@unsw.edu.au)) to be reviewed in accordance with the UNSW *Research Code of Conduct*.

Grievances about export control processes by UNSW staff and students should be addressed to the Director of RECS ([exportcontrols@unsw.edu.au](mailto:exportcontrols@unsw.edu.au)).

Research Export Controls operating guidelines in support of this Procedure, such as rulings on recordkeeping, monitoring and auditing are approved by the DVCRE or PVC(R) and displayed in their most current form on the Research Export Controls [website](#).

	<p>This Procedure supports the University's compliance with the following legislation:</p> <p><i>Customs Act 1901 (Cth)</i></p> <p>Customs (Prohibited Exports) Regulations 1958</p> <p><i>Defence Trade Controls Act 2012 (Cth)</i></p> <p><i>Weapons of Mass Destruction (Prevention of Proliferation) Act 1995 (Cth)</i></p>
	<p><a href="#">Research Code of Conduct</a></p>

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	the Australian Government Department of Defence and its Defence Export Controls Office.
	<p>occurs when a person in Australia provides DSSL technology to another person outside of Australia. If access to the DSSL technology is controlled or restricted to particular users or groups, it has not been placed 'in the public domain', and is therefore a supply.</p> <p>Examples of supply include supply via email or fax, or by providing someone outside of Australia with passwords to access controlled technology stored electronically.</p>

any controlled goods that leave Australia in physical form, with an intention to be landed outside Australia. This includes goods sent for personal use, sale, demonstration, repair or return to the manufacturer, and controlled technology stored on a physical medium, such as a0(i)-0610.6 3.3 ( 8 BDC /CA)4.3 d(r)17 (i)-073 (v)-2.6 (e)13.3 n, cumtehaor( )13.4 dorive(or)

