



DTCA Permit Information Form

GUIDE TO COMPLETING THIS FORM & DEFINITIONS

The Defence Trade Controls (DTCA) Permit Information Form is designed to help you assess, address and understand your obligations for protecting the information that is identified as “controlled” for “export/supply” that is generated as part of this project.

The following outlines key areas to consider when completing this document:

Part 2: Project/Activity Description

Provide a clear and definitive outline of the project including:

- Details of the equipment to be used and who is providing this equipment
- The scope of research
- The potential end use of the research
- Phones, PDAs, Tablets, Computers and any other personal electronic devices to be used. Note all USBs should be NEW and SPECIFIC to the project.

Part 7: Type of Research Definitions

1. **Pure Basic Research:** is experimental and theoretical work undertaken to acquire new knowledge without looking for long term benefits other than the advancement of knowledge.
2. **Strategic Basic Research:** is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas in the expectation of useful discoveries. It provides the broad base of knowledge necessary for the solution of recognised practical problems.
3. **Applied Research:** is original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives.
4. **Experimental Development:** is systematic work, using existing knowledge gained from research or practical experience that is directed to producing new materials, products or devices, to installing new processes, systems and services, or to improving substantially those already produced or installed.

Upon completion of this form press the **SUBMIT BUTTON** and this will automatically create an email with the form attached that you then send to the Research Integrity Officer.

ENSURE you include any additional attachments in the email.

FILE REFERENCE NUMBERS (RESEARCH INTEGRITY OFFICE USE ONLY)

UOW Ref No:		Date Received:	
DGSL Self Assessment Completed	Permit Application	Required	Not Required

To be completed and returned to the [Research Integrity Officer](#).

PART 1: LEADER DETAILS	
Faculty/Division/Unit:	
First Name:	Family Name:
Position Title:	
Email:	Phone:

PART 2: INFORMATION	
Title:	
Start Date:	Projected End Date:
Project/Activity Description: <i>(Insert a brief overview of the project):</i>	
Documents attached:	<p>Research Proposal Abstract Summary Other</p> <p><i>There MUST be one of these documents attached.</i></p>
Contract/Agreement No:	Date Enacted:

PART 3: CHECKLIST
<p>The project/activity involves international collaboration.</p> <p>The project/activity has research team members based outside of Australia.</p> <p>The project/activity is a commercial development.</p> <p>The project/activity will produce a publication.</p> <p>The project/activity is related to an existing defence contract <i>(attach details)</i>.</p> <p>The project/activity goods/technology are designed specifically for medical end-use.</p> <p>The project/activity goods/technology will be incorporated into medical equipment <i>(attach details)</i>.</p> <p><i>Tick ALL applicable boxes</i></p>

PART 4: REASON FOR EXPORT OR SUPPLY
<p><i>Tick the most APPLICABLE box(1 only) to best describe why you are exporting or supplying the goods or technology</i></p> <p>For use by the end user</p> <p>Academic research or international collaboration efforts</p> <p>To be on-sold by a distributor or retailer</p> <p>Temporary basis – demonstration or exhibit</p> <p>Temporary basis – use in a shooting competition or recreational activity</p> <p>Being returned to the Original Equipment Manufacturer or their agent (includes for repair, or at the expiration of the original equipment)</p> <p>Expiration of a foreign Government temporary export license</p> <p>Being returned to the owner after repair, modification, demonstration or exhibition in Australia</p> <p>Being exported or supplied under a Defence contract</p> <p>For integration into a larger assembly and subsequent return to Australia</p> <p>For tender evaluation or testing</p> <p>Transshipment of controlled items through Australia</p> <p>Other <i>(attach details)</i></p>

PART 5: SUPPLY ASSESSMENT

TRADE CONTROL ACTIVITY

TANGIBLE EXPORTS: These are physical exports sent overseas by ship, aircraft, post, courier or as checked in or hand held luggage. This includes software and technology ie. Diagrams, notes, documents, sketches, plans, sent on a USB, CD, DVD, computer hard drive or paper.

Goods or technology will be exported overseas?	Yes	No
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SUPPLY ACTIVITY

INTANGIBLE SUPPLY: Distributing controlled information via electronic means or providing access to stored or online controlled information. Methods can include but is not limited to: Email, Fax, SMS, MMS, server upload, document sharing or online collaboration tools, cloud computing etc.

It can also include providing access via forwarding a password of a Login ID and password or a link to a server or cloud facility that contains the technology at the time of providing the access and the recipient is outside of Australia.

Technology will be supplied by intangible means overseas?	Yes	No
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PART 6: END USER/CONSIGNEE DETAILS

The consignee is usually a third party, or an intermediary, who is either involved in the supply chain for the export of the goods or they can be the End User of the goods. They are also the person/entity to which you will supply intangible technology to.

End Users are the persons, companies or research/tertiary institutions that will received and or use the goods or technology located overseas.

Identify the department or section within any larger entity and PO boxes are **not** accepted. International numbers must contain the full details including the prefix eg (0011), country code, number.

First Name:		Family Name:	
Position Title:			
Mailing Address:			
State/Postcode:		Country:	
Email:		Phone:	
Company Website			

***Each consignee/end user must be listed on the permit.
If there are more than one end users please attach another sheet to this submission.***

PART 7: TRADE ACTIVITY QUESTIONNAIRE

The Defence Export Controls Office (DECO) needs to understand more about the entities receiving the goods and technology and their intended use.

The End-User/Recipient is in an industry associated or similar to you:	Yes	No
Provide further details on the industry:		
I have previously conducted business with this End-User/Recipient	Yes	No
When? For how long? Details?:		
I believe the technology/services to be exported may be used in a weapons of mass destruction program:	Yes	No
If yes detail how?		
The technology is to be exported/supplied to a country or entity subject to United Nations or Australian Autonomous Sanctions	Yes	No
If yes advise who?		
The technology is specifically designed for military use.	Yes	No

If yes provide details:			
The supply of the goods and technology is related to Australian Government business:		Yes	No
The item/technology is already in the public domain <i>(ie. Downloaded, purchased or accessed without any restrictions)</i>		Yes	No
The technology is considered to be basic scientific research.		Yes	No
If yes identify the type(s) by the definitions in Appendix I.		Pure Basic Research Strategic Basic Research Applied Research Experimental Development	
Describe below how the End User/Recipient will use the items and/or technology			

PART 8: THIRD PARTY/FOREIGN GOVERNMENT APPROVALS

Some countries such as the USA have strict requirements on the re-export of goods and technology they supply. You will need to check with the supplier or source that your goods or technology is not subjected to any requirements to obtain approval from that country prior to re-export permission from DECO. Note evidence of the approval may be requested by the DECO before they issue a permit. This may include:

- USA Technology Agreement (TAA, MLA or DSP5)
- Foreign Government Approval Letter
- Foreign Export Licence
- Foreign Import Licence (allows passage into the foreign country)
- Warehouse and Distribution Licence

The goods or technology including any embedded technology, data or equipment are subject to re-export controls by a foreign Government		Yes	No
If yes provide details including Country:			

PART 9: GOODS DESCRIPTION

Quantity of Goods Being Supplied:	
No. of shipments anticipated:	
Estimated Value \$AUD:	
Description of the goods being supplied <i>(attach details):</i>	

PART 10: PERSONNEL CERTIFICATION

Project Leader:
As the Project Leader I acknowledge that I understand it is an Australian Government requirement to ensure that technology listed within the DGSL and protected under the DTCA 2012 is not inadvertently disclosed to unauthorised recipients. Should it come to my attention of such disclosure, I will report it immediately to the Research Integrity Officer. I further acknowledge that I am responsible for ensuring that the research project is carried out in accordance with the information provided.

Full Name (Print):			
Faculty/Department:			
Position Title:			
E-Signature:		Date:	