



Australian Government
Department of Defence

Application To Export or Supply Controlled Goods and Technology

INFORMATION ABOUT THE APPLICATION TO EXPORT OR SUPPLY CONTROLLED GOODS AND TECHNOLOGY

This form should be completed if you are seeking

- a permit to export goods or supply technology,
- to renew an existing permit,
- an in-principle approval assessment, or
- a permit for yourself and other applicants as part of a project or collaboration activity.

This application will be subject to an assessment against the following legislation:

- Regulation 13E of the *Customs (Prohibited Exports) Regulations 1958*
- *Defence Trade Controls Act 2012*
- *Weapons of Mass Destruction (Prevention of Proliferation) Act 1995* (WMD Act)
- Section 112BA of the *Customs Act 1901* (Military End-Use provision)

If you are unsure whether the supply activity is controlled by the *Defence Trade Controls Act*, you should first complete the online Activity Questionnaire at <https://dsgl.defence.gov.au>.

You should familiarise yourself with the United Nations and Australian Government's implementation of sanctions against certain countries and entities. Information is available on the Department of Foreign Affairs and Trade website at www.dfat.gov.au/sanctions.

Prior to submitting your application you should ensure you have completed each of the questions and that all of the required supporting documentation is attached. An incomplete application may result in a delay of the assessment.

COLLECTION, USE AND DISCLOSURE OF BUSINESS AND FINANCIAL INFORMATION

The business and financial information you provide in your application will be treated as confidential. This information may be used to administer export controls, counter proliferation and control arms. We will not disclose this information to third parties for any other purpose, unless you have provided your consent or we are otherwise authorised to do so by law.

COLLECTION, USE AND DISCLOSURE OF PERSONAL INFORMATION

The personal information you provide in this application form is being collected by the Department of Defence for the purpose of administering export control legislation including the *Customs Act 1901*, the *Defence Trade Controls Act 2012* and the *Weapons of Mass Destruction (Prevention of Proliferation) Act 1995*.

The information you provide will be used to assess your application. Defence may also use the information when undertaking other export control functions including compliance activities, and to contact you with information regarding export controls. Defence may provide some or all of the information to other Australian Government agencies involved in the administration of export control legislation including the Department of Immigration and Border Protection, the Department of Foreign Affairs and Trade, the Department of Industry, law enforcement and intelligence agencies. In some circumstances, Defence may be required to provide some of this information to Australia's international regime partners in order to fulfil Australia's reporting and consultation responsibilities. Defence will not disclose your personal information beyond these circumstances unless authorised to do so by law.

The Department of Defence has a Defence Privacy Policy. The Defence Privacy Policy contains information on how an individual may apply for access to their personal information and how an individual may apply to have their personal information amended. The Defence Privacy Policy also contains information for individuals on how to make a privacy complaint to Defence if they consider Defence may have breached the Australian Privacy Principles. A copy of the Defence Privacy Policy can be found at www.defence.gov.au. For more information, the Defence Privacy Officer can be contacted by email at defence.privacy@defence.gov.au.

If you require further assistance please contact Defence Export Controls by telephone on 1800 66 10 66 or by email at exportcontrols@defence.gov.au.



**APPLICATION TO EXPORT OR SUPPLY
CONTROLLED
GOODS AND TECHNOLOGY**

Applicant Details

Your applicant name and DECS Client Registration Number (DCRN) details will be matched against our client records. Your client record details will appear on permits and other correspondence produced by Defence Export Controls.

To enable Defence Export Controls to seek further information during the assessment process, you must include details of a nominated contact person. This person should be able to discuss the technical attributes of the items or technology, and other details of the application. It does not have to be the same person who is completing the application.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

DECS Client Registration Number (DCRN) *

645365D

Registration for a DCRN must be done with a separate form available from www.defence.gov.au/ExportControls.

Name of Applicant (Company or Individual) *

University of Technology Sydney

Contact Person - First (Given) Name *

Namrata

Contact Person - Last (Family) Name *

Ghanshamdas

Contact Person - Position/Title *

Defence Trade Controls Compliance Officer

Contact Person - Phone *

02 9514 9616

Contact Person - Email *

dtc@uts.edu.au

Contact Person - Confirm Email *

Do you have an internal reference number for this application? *

☒ No

☐ Yes, please enter your internal reference number

Are you exporting goods or technology on behalf of someone else? *

☒ No

☐ Yes

Application Purpose

You should select the description that best describes why you are submitting this application. As the assessment of your application will consider all of the relevant export control legislation, it is important that you provide as much information as possible.

You should tell us of any previous correspondence you have had with us regarding this activity. If we have issued you with a permit or reference number in our correspondence you should quote this number.

You should tell us if your application will involve the export or supply of items to a sanctioned destination or entity. We consult with the Department of Foreign Affairs and Trade on cases that are controlled by sanctions legislation.

If this application is to *renew a permit, export control assessment or in-principle approval assessment*, you do not need to complete Sections 4-13 if there are no changes to the list of Goods or Technology, the Consignees or End Users / Recipients, and the permit was issued on the Defence Export Control System (DECS) after 1 May 2013. If any of these details need to be updated in the renewal, you must complete all the questions in the application.

What is the purpose of this application? Do you want to: *

- ☒ Apply for a new permit
- ☐ Seek an in-principle approval assessment
- ☐ Apply to export or supply items that have previously been granted in-principle approval assessment
- ☐ Renew a permit or in-principle approval assessment

Have you previously received an Outcome of Export Control Assessment letter from Defence Export Controls for the goods and technology in this application?

- ☒ No
- ☐ Yes

Do you believe or suspect the goods, technology or any services to be exported or supplied may be used in a weapons of mass destruction program? *

- ☒ No
- ☐ Yes

Are the goods or technology to be exported, or supplied, to a country or entity subject to United Nations or Australian Autonomous Sanctions? *

- ☒ No
- ☐ Yes

Details of Goods or Technology

In this section you must list all the goods, software and technology (items) that are to be assessed. Use the "Add Goods or Technology" button for each new line item. For each line item you must indicate whether it will be exported or supplied as approvals are issued under two separate pieces of legislation.

Describing your goods or technology

- In this section you must separately list each item that is to be exported or supplied.
- When entering the items, you should enter the information as you want it to appear in the approval.
- For **physical goods**, the information should be comprehensive enough that a person can compare the approval against other commercial documentation and, if required by law or enforcement officers, the information can be matched against the physical goods.
- Where applicable you must include details of the manufacturer, make, model, serial number, NATO Stock Number, quantity, unit of measure and value. If these details are not provided, the assessment may be delayed.
- For **technology (e.g. data or software)** the information should accurately describe the actual technology that is being supplied in as much detail as possible.
- You should avoid the use of initials, acronyms or abbreviations.
- Where additional information, such as brochures or technical specification, explains the design features or capabilities of the items, these should be submitted as attachments to the application.

Listing Military Equipment

- If the items are parts, components or sub-assemblies of a larger military system, describe the top level system or higher level platform that they are fitted to or used in, eg i.e. *"Parts and components for a specified super fast military aircraft, model type AB"*
- If you require a full list of parts and components to be shown on the export permit you should attach a completed [Bulk upload file for an Application to Export Controlled Goods and Technology](#) to your application instead of entering the items directly into the application form.

Exporting Firearms

- The description of every firearm must include the Type, Model, Calibre and Action
- Applications must be accompanied by documentation demonstrating the ownership of the firearms and/or ammunition. For example, a firearms dealers licence, individual firearms registration and licences.
- If the owner is NOT the applicant (i.e. an agent), written authority is required from the owner to export the firearm and / or ammunition, as well as the owner's proof of ownership and a firearm licence.
- If the firearms or ammunition are to be exported to a foreign government, a completed DEC04 End-User and Non-Transfer Certificate must be submitted.
- If the firearms or ammunition are to be exported to private individuals overseas, an import permission, issued by the foreign government, or a completed DEC09 Firearm / Ammunition End-User Certificate should be submitted to verify the end-users.

Manufacturer and Model number	Serial Number (if applicable)	NATO Stock Number (if applicable)
N/A	N/A	N/A
Quantity	Unit of Measure	Value (AUD) or Added Value *
s47G	s47G	s47G

Enter the value of the item, if you are unsure enter an estimated value. If the item has no value, enter '0'. Only enter numbers, do not include symbols (e.g. '\$' '.' '-').

Full Description of the Goods or Technology (Max 1,000 Characters) *
The item description you enter in this field will be the description of the item that is displayed in your permit.

Note: For Firearms include Type, Model, Calibre and Action or For Chemicals include Chemical Name, CAS Number, Composition and Concentration

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Will this item be

☒ Exported

☐ Supplied

Is the item software or technology?

The software or technology may be in either tangible (to be exported) form or intangible (to be supplied) form

Is the item in the public domain?

Software and technology is in the public domain if it can be downloaded, purchased by anyone, or accessed by anyone without any restrictions.

- ☒ No
☐ Yes
☐ Unsure

Is the item for the installation, operation, maintenance or repair of goods (including software and technology)?

This could include

- a user manual or basic repair manual
- software normally supplied with an exported good, such as an operating system - including firmware
- a diagnostic program for fault finding in the goods

- ☒ No
☐ Yes

Is the technology basic scientific research?

Basic scientific research is experimental or theoretical work undertaken principally to acquire new knowledge of the fundamental principles or phenomena or observable facts, not primarily directed towards a specific practical aim or objective.

This means technology that in itself constitutes basic scientific research, or is the outcome of basic scientific research.

- ☒ No
☐ Yes

Is the technology for an actual patent application?

Technology that is in a form required for submission to a patent office, and is being submitted to a patent office, may not be controlled.

- ☒ No
☐ Yes

Are the goods or technology specially designed for military use?

- ☒ No
☐ Yes

Is the item specially designed for medical end-use?

- ☒ No
☐ Yes

Is the item, or will the item be, incorporated into medical equipment?

Medical equipment is equipment that is specially designed for medical end-use.

- ☒ No
☐ Yes

Add Goods or Technology

Are there Goods and Technology listed on a separate "Bulk Line Items" list? *

A "Bulk Line Items" list spreadsheet can be used where you need to separately describe a large number of goods and technology for assessment. The spreadsheet can be downloaded from the Forms section at www.defence.gov.au/ExportControls.

- ☒ No
☐ Yes

Reason for Export or Supply of Goods and Technology

Export permits are required when controlled goods or technology are transhipped through Australia. Transshipment occurs when items are brought to Australia on a ship or aircraft, and the items are transferred to another ship or aircraft which departs Australia for the subsequent destination.

Certain technologies, including software, relating to controlled items require an export permit. If you will be providing further software releases or patches, these may be controlled. You must tell us about these so we can assess if you will require permit. In the details, you should explain the function of this software or firmware, including if it will provide an additional capability or if it incorporates encryption.

Information on the factors that we consider when assessing if items may have a 'military end-use' are listed in the Frequently Asked Questions of our website.

Select the option which best describes why the goods or technology will be exported or supplied *

- ☐ For use by the consignee or end user
- ☒ Academic research or international collaboration efforts
- ☐ To be on-sold by a distributor or retailer
- ☐ Temporary basis - demonstration or exhibit
- ☐ Temporary basis - use in a shooting competition or recreational activity
- ☐ Being returned to the Original Equipment Manufacturer or their agent (includes for repair, or at the expiration of the original equipment)
- ☐ Expiration of a foreign Government temporary export license
- ☐ Being returned to the owner after repair, modification, demonstration or exhibition in Australia
- ☐ Being exported or supplied under a Defence contract
- ☐ For integration into a larger assembly and subsequent return to Australia
- ☐ For tender evaluation or testing
- ☐ Transshipment of controlled items through Australia
- ☐ Other

Will you be exporting or supplying future software or firmware releases? *

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Do you need your permit to be tailored to support: *

- ☐ An existing Defence contract
- ☐ A Multi-party permit or collaboration activity
- ☒ Not applicable

Export Details

Typically tangible items are exported when sent overseas by ship, aircraft, post, courier, or as checked-in or hand-held luggage. It includes software and technology, such as diagrams and notes, that are sent overseas in a medium such as CD, DVD, USB, computer hard drive or on paper.

Exports can be permanent (eg for sale to a foreign buyer), or temporary (eg for demonstration, exhibition, use at a conference or workshop, repair by the original equipment manufacturer, or for competition and sporting activities).

Will any of the goods or technology be exported?

- ☐ No
- ☒ Yes

You will need to tell us if the export will be a one-off shipment, or you require a permit for multiple shipments so we can determine the validity period for the permit.

What is the expected date of export?

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Will there be more than one shipment?

- ☒ No
- ☐ Yes

How will the goods or technology be exported?

- ☐ Air Cargo
- ☐ Carried by a person (e.g. checked-in or hand carried luggage, documents, CD, laptop or USB)
- ☒ Post
- ☐ Sea Cargo
- ☐ Other (provide further details (Max 1,000 Characters))

Supply Details

Methods of supplying software or technology can include, but is not limited to:

- ☐ email
- ☐ fax
- ☐ electronic messaging (SMS, MMS)
- ☐ uploading software or technology to a server
- ☐ document sharing or online collaboration tools
- ☐ cloud computing

It can also include providing access through the forwarding of a login ID and password, or a link to a server or cloud facility that contains software or technology, and at the time of providing the access, the recipient is not in Australia.

If you believe the recipient already has knowledge of the software or technology being supplied, this is still a 'supply'.

Will any technology be supplied by intangible means?

- ☐ No
- ☒ Yes

What is the expected date of supply (if known)?

01/03/2019

Over what period of time will the supply occur (if known)?

How will the technology be supplied?

- ☒ Email
- ☐ Fax
- ☐ Made available for download from website owned by applicant
- ☐ Made available for download via site not owned by applicant
- ☐ Made available for download from a secure or restricted access server or cloud facility
- ☐ Other, please specify (Max 1,000 Characters)

Consignee Details

A "consignee" is usually a third party, or an intermediary, who is part of the supply chain for the export of goods, or they could be the end user of the goods. A "consignee" is less likely to be involved in the supply of technology.

If you are exporting the goods for your own use overseas, or will retain control of goods exported temporarily, your name and overseas contact details must be provided in this section.

Post Office boxes are not acceptable.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

Name *	Number and Street Name	Suburb/Town	State
s47G			<input type="text"/>
Postcode	Country *	Contact - Name	Contact - Phone
<input type="text"/>	CHINA	s47F	
Contact - Fax	Contact - Email	Contact - Website	Contact - Position or Title
s47F			

Add Consignee

End-User/Recipient Details

The End-User/Recipient will be the persons, companies or research/tertiary institutions that will receive and/or use the goods and technology. In

most cases, the End-User / Recipient will be located overseas at the time the export or supply occurs.

For items being sent overseas for repair, maintenance or testing, the End-User will usually be the name of the Australian owner of the goods or the entity the goods will be returned to.

If the End-User/Recipient is a large organisation, government agency or institution, you should identify the department or section within the larger entity, eg "School of Engineering, Knoxside University". If the names of the End-Users are unknown, such as when items are sent to a distributor, then enter "Unknown" in the Name field. If you will use the goods overseas, include your details.

Post Office boxes are not acceptable.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

Name *	Number and Street Name	Suburb/Town	State
s47G			
Postcode	Country *	Contact - Name	Contact - Phone
	CHINA	s47F	
Contact - Fax	Contact - Email	Contact - Website	Contact - Position or Title
s47F			

Add End-User

Consignee/End-User/Recipient Questions

To conduct our assessment of your application, we need to understand what you know about the parties who will be receiving the goods and technology, and how they intend to use them.

If your application includes the export of goods or technology, you should submit an applicable End-Use Certificate, Statement by Ultimate Consignee or Purchaser, Import Permission issued by the foreign government, Work Order, Repair Order or Purchase Order.

Is the consignee/end-user/recipient in an associated/related industry to you?

- ☒ No
☐ Yes

Have you exported or supplied goods or technology to the consignee/end-user/recipient previously?

- ☒ No
☐ Yes

Will the goods or technology be used for military purposes?

Goods will be used for military purposes "if the goods are or may be for use in operations, exercises or other activities conducted by an armed force or an armed group, whether or not the armed force or armed group forms part of the armed forces of the government of a foreign country".

- ☒ No
☐ Yes

How will the end-user/recipient utilise these items and/or technology? (Max 1,000 Characters)

s47G

Do you have evidence from the end-user/recipient verifying how they will use the goods or technology, or the purpose for which they are receiving the goods or technology?

- ☒ No
☐ Yes, you must attach evidence with your application

Third Party/Foreign Government Approvals

Some countries have strict requirements on the re-export of goods they permit to be exported. One example is the United States of America. Prior to submitting your application, you should check with your supplier to confirm whether your items are subject to any requirement to obtain approval for re-export of the items.

If approval is required, you should submit evidence of that Third Country clearance. These may include documents such as a:

- Technical Assistance Agreement (TAA)
- Manufacturing Licence Agreement (MLA)
- Foreign Military Sale documentation
- a US DSP-5
- Government approval letter
- Warehouse and Distribution Licence, or
- Foreign export licence.

Are the goods or technology, including any embedded technology, data or equipment, subject to re-export controls by a foreign government, such as the United States International Traffic in Arms Regulations (ITAR) or the United States Export Administration Regulations (EAR)?

Note: Third Party clearances must be attached to this application *

- ☒ No
☐ Yes, specify the country

Were the goods or technology previously subject to the Australian-US Defense Trade Cooperation Treaty? *

- ☒ No
☐ Yes, what is the Approved Community Identification (ACID) number for this facility?

Activity Related to Australian Government Business

You must tell us if the goods or technology are owned, or were supplied to you, by the Australian Government. The provision of Government contact details will allow us to determine if approval is required from another part of the Australian Government before we can finalise our assessment.

Is the export or supply of the goods and technology related to Australian Government business? *

- ☒ No
☐ Yes

Further Information

If there is any further information that you believe we should know about in assessing your application, and we have not asked you about it, you should provide those details here. If there is insufficient space you can include those details as an attachment to your application.

Do you wish to provide additional information in support of your application? *

- ☐ No
☒ Yes

Provide further details or provide as an attachment to the application (Max 2,000 Characters)

s47G

Statement by Applicant

ACKNOWLEDGE

In applying to the Department of Defence, you consent that the information provided in this application may be provided to other Australian Government agencies.

Any person who makes a false or misleading statement in an application may be prosecuted for an offence under Section 136.1 of the *Criminal Code Act 1995*. If found guilty, penalties (including imprisonment) may be imposed by the court.

STATEMENT BY APPLICANT

I certify that the information in this application is true and correct. * ☒

I will promptly notify Defence Export Controls of any changes relating to the information provided in this application. * ☒

Use contact person details from section one? ☒

First Name *

Namrata

Last Name *

Ghanshamdas

Position/Title *

Defence Trade Controls Compliance Officer

Email *

dtc@uts.edu.au

Contact Phone Number *

02 9514 9616

Date (Auto-completed on submission)

10/08/2018

Submit

E-mail

Acknowledgement o...

Received / Sent Date 19/06/2019 10:04 AM

E-mail

From



Defence Export Controls

To



Namrata Ghanshamdas

Cc



University of Technology Sydney

Bcc

Subject

Acknowledgement of receipt of application #2019123399 [SEC=UNCLASSIFIED]

Regarding



2019123399

Security
Classification

UNCLASSIFIED

Dissemination
Limitation Marker

No DLM

UNCLASSIFIED

Dear Sir/Madam,

We refer to your application for the Export of Controlled Goods and Technology, with your reference number Not Supplied, submitted on 19/06/2019.

Your application has been received and has been issued with the reference number 2019123399.

If you contact us by phone, you will be asked for the application reference number.

Information on the time it takes us to assess your application can be found on our website. You should note that sensitive cases may require a longer period of time to be assessed.

If you have any additional information that may benefit or support your application, you should include reference number #2019123399 in the subject line of your email correspondence with us.

Yours sincerely,

Defence Export Controls
R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: exportcontrols@defence.gov.au**Website:** www.defence.gov.au/ExportControls**Attachments**

 E-Mail Attachments Activity Attachment Associated View	
<input type="checkbox"/> File Name	File Size (Bytes)
No E-Mail Attachment records are available in this view.	
0 - 0 of 0 (0 selected)	
Page 1	

Notes**Details**

Owner	 David Sandbach	Priority	Normal
Duration		Folder	
Due		Referral	
Risk Assessment		Status Reason	Sent
Project		Direction	Outgoing
Received / Sent Date 19/06/2019 10:04 AM			

Report

The report is loading

Status Reason	Sent
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E-mail

RE: Re: HPRM: Re: F...

Received / Sent Date 11/07/2019 2:25 PM

E-mail

From  [Namrata Ghanshamdas](#)

To  [Defence Export Controls](#)

Cc

Bcc

Subject RE: Re: HPRM: Re: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Regarding  [2018120032](#)

**Security
Classification**

**Dissemination
Limitation Marker**

Thanks a ton Ye!

Cheers
Nam

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Thursday, 11 July 2019 1:13 PM
To: Defence Export Controls <ExportControls@defence.gov.au>; Namrata Ghanshamdas <Namrata.Ghanshamdas@uts.edu.au>
Subject: RE: Re: HPRM: Re: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Hi Nam,

Please note we are still progressing this application - we are consulting with other Government stakeholders, and while I can't provide you with a timeframe I will keep you updated on any progress made.

Thank you for your patience in this matter.

Yours sincerely,
Ye Lee
Defence Export Controls
R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: ExportControls@defence.gov.au

Internet: www.defence.gov.au/ExportControls

----- Original Message -----

From: Defence Export Controls

Received: 12/06/2019 8:46 PM

To: Namrata Ghanshamdas

Subject: RE: Re: HPRM: Re: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Thanks Nam, much appreciated!

Regards,

Ye

----- Original Message -----

From: Namrata Ghanshamdas

Received: 11/06/2019 5:08 PM

To: Defence Export Controls; s47F

Subject: Re: HPRM: Re: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Thanks s47F

Kind regards,

Nam

From: s47F

Sent: Tuesday, 11 June 2019 5:06:55 PM

To: Namrata Ghanshamdas; Defence Export Controls

Subject: RE: HPRM: Re: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Hi, Nam,

Sorry for the late response since I just got back from an overseas trip.

My answers to the questions are provided as follows:

s47G

Best regards,

s47F

From: Namrata Ghanshamdas <Namrata.Ghanshamdas@uts.edu.au>
Sent: Sunday, 2 June 2019 11:56 AM
To: S47F Defence Export Controls
<ExportControls@defence.gov.au>
Subject: Fw: HPRM: Re: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Hi s47F
Can you address the below please?

Kind regards,
Nam

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Friday, 31 May 2019 9:56:50 AM
To: Defence Trade Controls Compliance Officer; Defence Trade Controls Compliance Officer;
Defence Trade Controls Compliance Officer
Subject: RE: HPRM: Re: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Hi Nam,

s47G

Please let me know if you have any questions.

Yours sincerely,
Ye Lee
Defence Export Controls
R1-3-A004
PO Box 7901

CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: ExportControls@defence.gov.au

Internet: www.defence.gov.au/ExportControls

----- Original Message -----

From: Defence Export Controls

Received: 29/05/2019 9:38 AM

To: Defence Export Controls; Namrata Ghanshamdas; Samantha McCourtie; University of Technology Sydney

Subject: RE: HPRM: Re: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Dear Nam,

Thank you for the information below, much appreciated.

Regards,

Ye

----- Original Message -----

From: Namrata Ghanshamdas

Received: 27/05/2019 11:11 AM

To: Defence Export Controls; s45(1)

Subject: RE: HPRM: Re: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED] - 15/686/4

Thank you s45(1)

Hi Ye,

Can you please confirm receipt of the same?

Cheers

Nam

From: s47F

Sent: Friday, 24 May 2019 3:31 PM

To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>; Defence Export Controls <ExportControls@defence.gov.au>

Subject: HPRM: Re: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED] - 15/686/4

Dear Nam,

My answers to the questions are provided below:

s47G

s45(1)

From: Namrata Ghanshamdas on behalf of Defence Trade Controls Compliance Officer
Sent: Thursday, 23 May 2019 1:26:13 PM
To: Defence Export Controls; S45(1)
Subject: FW: FW: FW: Request for further information regarding application #2018120032
[SEC=UNCLASSIFIED] - 15/686/4

Hi S45(1)

Can you please answer the below as requested by DECO? Please do a reply all in your answer.

Cheers
Nam

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Thursday, 23 May 2019 1:21 PM
To: Defence Export Controls <ExportControls@defence.gov.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: RE: FW: FW: Request for further information regarding application #2018120032
[SEC=UNCLASSIFIED]

Hi Nam,
Apologies for not getting in touch earlier, please note I've taken this case from Jess and I hope you could assist me. S47G

Sorry if you've answered these questions before, please feel free to contact me if you have any questions.

Yours sincerely,
Ye Lee
Defence Export Controls
R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66
Email: ExportControls@defence.gov.au
Internet: www.defence.gov.au/ExportControls

----- Original Message -----

From: Defence Export Controls
Received: 16/04/2019 2:24 PM
To: Namrata Ghanshamdas
Subject: RE: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Many thanks for your email,

Jessica Saladine

----- Original Message -----

From: Namrata Ghanshamdas
Received: 16/04/2019 10:10 AM
To: Defence Export Controls; Namrata Ghanshamdas; University of Technology Sydney
Subject: RE: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Hi Jessica,
That is correct.

Kind regards,
Nam

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Tuesday, 16 April 2019 8:49 AM
To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: RE: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Hi Namrata,
s47G

Please confirm if this accurately reflects the export and approval by UTS to make these changes.

Kind regards,
Jessica Saladine
1800 661 066

----- Original Message -----

From: Namrata Ghanshamdas
Received: 12/04/2019 1:39 PM
To: Defence Export Controls
Subject: FW: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED] - 15/686/4

Hi Jessica,
Please see below response from CI re this application.

*Kind regards,
Nam.*

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls
Compliance Officer



Research Office

Phone: +61 (0) 2 9514 9616

Email: namrata.ghanshamdas@uts.edu.au

University of Technology Sydney

CB01.14.2406, Building 1, City Campus

15-73, Broadway NSW 2007

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Please consider the environment before printing this email 

From: S47F

Sent: Friday, 12 April 2019 1:27 PM

To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>

Subject: RE: FW: Request for further information regarding application #2018120032
[SEC=UNCLASSIFIED] - 15/686/4

Hi, Nam,

Regarding this application, s47G is the entity that
UTS is engaging with for this export.

Best regards,

s47F

From: Namrata Ghanshamdas <Namrata.Ghanshamdas@uts.edu.au> On Behalf Of Defence Trade
Controls Compliance Officer
Sent: Friday, 12 April 2019 1:15 PM
To: Defence Export Controls <ExportControls@defence.gov.au>; s47F

Subject: FW: FW: Request for further information regarding application #2018120032
[SEC=UNCLASSIFIED] - 15/686/4

Hi s47F
Please see below and advise.

*Kind regards,
Nam.*

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls
Compliance Officer
Research Office
Phone: +61 (0) 2 9514 9616
Email: namrata.ghanshamdas@uts.edu.au
University of Technology Sydney
CB01.14.2406, Building 1, City Campus
15-73, Broadway NSW 2007



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✉ ✉ ✉ ✉ ✉ ✉ ✉ UTS



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Please consider the environment before printing this email 

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Wednesday, 10 April 2019 4:04 PM
To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: RE: FW: Request for further information regarding application #2018120032
[SEC=UNCLASSIFIED]

Hi Nam,

s47G

**Warm regards,
Jessica Saladine
Defence Export Controls
1800 661 066**

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Attachments

E-Mail Attachments Activity Attachment Associated View	
<input type="checkbox"/> File Name	File Size (Bytes)
No E-Mail Attachment records are available in this view.	
0 - 0 of 0 (0 selected)	
Page 1	

Notes

Details

Owner	 svc_decs_System Account	Priority	Normal
Duration		Folder	
Due		Referral	
Risk Assessment	 Risk Assessment by Ye Lee	Status Reason	Received

Project

Direction

Incoming

Received / Sent Date 11/07/2019 2:25 PM

Report

The report is loading

Status Reason

Received

Item 1 Serial 5

E-mail**RE: Application #201...**

Received / Sent Date 8/03/2019 2:26 PM

E-mail

From

 Defence Export Controls

To

 Defence Export Controls;  Namrata Ghanshamdas

Cc

Bcc

Subject

RE: Application #2018120032 [SEC=UNCLASSIFIED]

Regarding

 2018120032Security
Classification

UNCLASSIFIED

Dissemination
Limitation Marker

No DLM

Good afternoon Namrata**This is a courtesy email to advise that we are still progressing this application.****The consultation is still underway and we will be in touch as soon as n outcome is known.****Yours sincerely,****Defence Export Controls****R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610****Tel: 1800 66 10 66****Email: ExportControls@defence.gov.au****Internet: www.defence.gov.au/ExportControls****----- Original Message -----****From: Defence Export Controls****Received: 21/02/2019 4:39 PM****To: Namrata Ghanshamdas****Subject: RE: Application #2018120032 [SEC=UNCLASSIFIED]****Good afternoon Namrata**

Thank you for your email.

The application has been identified as a complex application, and will require further consultation with additional technical, legal and policy experts.

These consultations are underway and we will endeavour to obtain a final outcome as soon as practicable.

Yours sincerely,

Defence Export Controls

R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: ExportControls@defence.gov.au

Internet: www.defence.gov.au/ExportControls

----- Original Message -----

From: Namrata Ghanshamdas
Received: 19/02/2019 3:51 PM
To: Defence Export Controls
Cc: s47F
Subject: RE: Application #2018120032
[SEC=UNCLASSIFIED]

Hello,

Can you please give me an update on the above application? It has been nearly 6 months now since we applied for a permit.

*Kind regards,
Nam.*

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls
Compliance Officer



Research and Innovation Office


Phone: +61 (0) 2 9514 9616

Email: namrata.ghanshamdas@uts.edu.au

University of Technology Sydney
CB01.14.2406, Building 1, City Campus
15-73, Broadway NSW 2007

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Please consider the environment before printing this email 

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Thursday, 24 January 2019 2:52 PM
To: Defence Trade Controls Compliance Officer <dte@uts.edu.au>
Subject: Application #2018120032 [SEC=UNCLASSIFIED]

Good afternoon Namrata

This is a courtesy email to advise that your case is still progressing.

The application is still subject to an inter-governmental consultation with technical and policy experts to assess your application.

We will endeavour to contact you with an outcome as soon as it is known. In the meantime, if the circumstances of your case change please let us know on any of the details below.

Yours sincerely,

Defence Export Controls

**R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610**

Tel: 1800 66 10 66


Email: ExportControls@defence.gov.au

Internet: www.defence.gov.au/ExportControls

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Attachments

 E-Mail Attachments Activity Attachment Associated View	
<input type="checkbox"/>	<div><div>File Name</div><div>File Size (Bytes)</div></div>
No E-Mail Attachment records are available in this view.	
0 - 0 of 0 (0 selected)	
Page 1	

Notes

Details

Owner	 Branka Gajic	Priority	Normal
Duration		Folder	
Due		Referral	 Request for Additional Information from Namrata
Risk Assessment	 Risk Assessment by Stephen Robinson	Status Reason	Sent
Project		Direction	Outgoing

Received / Sent Date 8/03/2019 2:26 PM

Report

The report is loading

Status Reason	Sent
---------------	------

E-mail

RE: FW: Request for...

Received / Sent Date 14/01/2019 12:47 PM

E-mail

From

 **Namrata Ghanshamdas**

To

 **Defence Export Controls**

Cc

Bcc

Subject

RE: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Regarding

 **2018120032**

Security
Classification

Dissemination
Limitation Marker

Thank you!

*Kind regards,
Nam.*

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls
Compliance Officer



Research and Innovation Office

Phone: +61 (0) 2 9514 9616

Email: namrata.ghanshamdas@uts.edu.au

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Please consider the environment before printing this email 

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Thursday, 3 January 2019 11:47 AM
To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: RE: FW: Request for further information regarding application #2018120032
[SEC=UNCLASSIFIED]

Dear Namrata

This is another courtesy email to let you know that your application is being progressed through the assessment stage.

If your export circumstances change please notify us as soon as possible.

Yours sincerely,

Defence Export Controls

R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66
Email: ExportControls@defence.gov.au
Internet: www.defence.gov.au/ExportControls

----- Original Message -----

From: Defence Export Controls
Received: 28/11/2018 4:20 PM
To: Namrata Ghanshamdas

Subject: RE: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Good afternoon Namrata

In Stephen's absence we can advise that your case is still progressing.

Your application has been identified as a complex case and we are undertaking consultation with technical and policy experts to finalise the assessment of your application.

yours sincerely

**Defence Export Controls
R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610**

Tel: 1800 66 10 66

Email: exportcontrols@defence.gov.au

Website: www.defence.gov.au/ExportControls

----- Original Message -----

From: Namrata Ghanshamdas

Received: 28/11/2018 11:29 AM

To: Defence Export Controls

Cc: S47F

Subject: RE: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Hi Stephen,

Any update on this? I will be on leave from end of this week so would like to know the status so that I can handover?

Cheers

Nam

From: Namrata Ghanshamdas On Behalf Of Defence Trade Controls Compliance Officer

Sent: Wednesday, 14 November 2018 12:42 PM

To: 'Defence Export Controls' <ExportControls@defence.gov.au>

Cc: S47F

Subject: RE: FW: Request for further information regarding application #2018120032 [SEC=UNCLASSIFIED]

Hi Stephen,

Any update on the above?

*Kind regards,
Nam.*

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls
Compliance Officer



Research and Innovation Office

Phone: +61 (0) 2 9514 9616

Email: namrata.ghanshamdas@uts.edu.au

University of Technology Sydney
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15-73, Broadway NSW 2007

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Please consider the environment before printing this email 

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Wednesday, 24 October 2018 9:02 AM
To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: RE: FW: Request for further information regarding application #2018120032
[SEC=UNCLASSIFIED]

Good morning Namrata,

I am still waiting for one more referral before I can finalise this case. I expect that this will occur next week.

Yours sincerely,

Stephen Robinson

Defence Export Controls
R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: exportcontrols@defence.gov.au

Website: www.defence.gov.au/ExportControls

----- Original Message -----

From: Namrata Ghanshamdas

Received: 22/10/2018 12:41 PM

To: Defence Export Controls; UNK UNK

Subject: RE: FW: Request for further information regarding application #2018120032
[SEC=UNCLASSIFIED]

Hi Stephen,

Can you give me an update please re the above?

*Kind regards,
Nam.*

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls
Compliance Officer



Research and Innovation Office

Phone: +61 (0) 2 9514 9616

Email: namrata.ghanshamdas@uts.edu.au

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Please consider the environment before printing this email 

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Monday, 8 October 2018 12:43 PM
To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: RE: FW: Request for further information regarding application #2018120032
[SEC=UNCLASSIFIED]

Good afternoon Namrata,

I expect this application to be completed either tomorrow or Wednesday.

Yours sincerely,

Stephen Robinson

Defence Export Controls
R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66
Email: exportcontrols@defence.gov.au
Website: www.defence.gov.au/ExportControls

----- Original Message -----

From: Namrata Ghanshamdas
Received: 8/10/2018 11:06 AM
To: Defence Export Controls
Cc: s45(1)
Subject: FW: Request for further information regarding application #2018120032
[SEC=UNCLASSIFIED] - 15/686

Hello,

Could you please provide an update on the above application? The project is nearly complete and the prototype needs to be exported to China soon.

*Kind regards,
Nam.*

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls
Compliance Officer



Research and Innovation Office

Phone: +61 (0) 2 9514 9616

Email: namrata.ghanshamdas@uts.edu.au

University of Technology Sydney

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Attachments

 E-Mail Attachments Activity Attachment Associated View		
<input type="checkbox"/>	<u>File Name</u>	<u>File Size (Bytes)</u>
<input type="checkbox"/>	<u>image001.png</u>	26,055
<input type="checkbox"/>	<u>image002.png</u>	15,351
<input type="checkbox"/>	<u>image003.png</u>	14,751
<input type="checkbox"/>	<u>image004.png</u>	14,808
<input type="checkbox"/>	<u>image005.png</u>	14,964
<input type="checkbox"/>	<u>image006.png</u>	14,871
<input type="checkbox"/>	<u>image007.png</u>	15,099
<input type="checkbox"/>	<u>image008.png</u>	2,118
<input type="checkbox"/>	<u>image009.png</u>	10,248
<input type="checkbox"/>	<u>image010.jpg</u>	810
1 - 10 of 10 (0 selected)		
Page 1		

Notes

Details

Owner	 svc_decs_System Account	Priority	Normal
Duration		Folder	
Due		Referral	 Request for Additional Information from Namrata
Risk Assessment		Status Reason	Received
Project		Direction	Incoming
Received / Sent Date 14/01/2019 12:47 PM			

Report

The report is loading

Status Reason	Received
---------------	----------

Item 1 Serial 7

E-mail

Application To Expo...

Received / Sent Date 10/08/2018 4:09 PM

E-mail

From

 **Namrata Ghanshamdas**

To

 **Defence Export Controls Applications**

Cc

Bcc

Subject

Application To Export Controlled Goods and Technology - 15/686

Regarding

 **2018120032**

Security

Classification

Dissemination

Limitation Marker

NOTE: If you have nominated co-applicants in the application form, they have been cc'd on this email and will receive a copy of the application.

Before submitting this application you should save a copy for your own records. If you have created a separate spreadsheet file for the purposes of listing multiple items for inclusion in your application, you must attach this file.

As well as your application, you should attach any supporting documentation that is required. This may include:

- * Technical specifications and/or brochures;
- * Purchase Order;
- * Firearms licence and/or registration certificate;
- * End-User Certificates or Statements;
- * Foreign government import/export approvals;
- * Government approval to release classified material;
- * Any outcome documents obtained from assessments conducted on the Online DSGL Tool;
- * Spreadsheet listing "Bulk Line Items";
- * Evidence of an intention to demonstrate the goods or technology (such as an invitation to display); and/or
- * Additional information or statements

NOTE: You should not attach any Australian Government security-classified material to this email. Please contact Defence Export Controls to discuss how to transmit any classified material if required.

Once your application has been successfully received, you will be advised via email of the reference number for your application

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Attachments

E-Mail Attachments Activity Attachment Associated View	
<input type="checkbox"/> File Name	File Size (Bytes)
<input type="checkbox"/> SmartForm_XH_data.xdp	655,866
1 - 1 of 1 (0 selected)	
Page 1	

Title: Attachments in SharePoint

s22

[svc_decs_System Account](#) 9/09/2018 4:09 PM

Title: Attachments in SharePoint

s22

[svc_decs_System Account](#) 9/09/2018 4:09 PM

Notes

Title: Attachments in SharePoint

s22


[svc_decs_System Account](#) 9/09/2018 4:09 PM

Title: Attachments in SharePoint

s22

[svc_decs_System Account](#) 9/09/2018 4:09 PM

Details

Owner	 svc_decs_System Account	Priority	Normal
Duration		Folder	
Due		Referral	
Risk Assessment		Status Reason	Received
Project		Direction	Incoming
Received / Sent Date 10/08/2018 4:09 PM			

Report

The report is loading

Status Reason


Received





E-mail

RE: Acknowledgeme...

Received / Sent Date 19/06/2019 2:02 PM

E-mail


From  Defence Export Controls

To  Defence Export Controls;  Namrata Ghanshamdas;  Samantha McCourtie;  University of Technology Sydney

Cc

Bcc

Subject RE: Acknowledgement of receipt of application #2019123399 [SEC=UNCLASSIFIED]

Regarding  2019123399

Security Classification **Dissemination Limitation Marker**

Hi Nam,

Apologies, that was a system glitch, please disregard our initial email.

Yours sincerely,

Ye Lee

Defence Export Controls
R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: ExportControls@defence.gov.au

Internet: www.defence.gov.au/ExportControls

----- Original Message -----

From: Namrata Ghanshamdas
Received: 19/06/2019 12:01 PM
To: Defence Export Controls; Namrata Ghanshamdas; Samantha McCourtie; University of Technology Sydney
Subject: RE: Acknowledgement of receipt of application #2019123399 [SEC=UNCLASSIFIED]

Hello,

We have not submitted any application to DEC. Can you please send me a copy of what you have received?

*Kind regards,
Nam.*

Namrata Ghanshamdas
Senior Research Contracts and Risk Manager
Project Enablement Team



Research Office

Phone: +61 (0) 2 9514 9616

Email: namrata.ghanshamdas@uts.edu.au

University of Technology Sydney

CB01.14.2406, Building 1, City Campus

15-73, Broadway NSW 2007

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UTS



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Please consider the environment before printing this email 

From: Defence Export Controls <ExportControls@defence.gov.au>

Sent: Wednesday, 19 June 2019 10:05 AM

To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>

Cc: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>

Subject: Acknowledgement of receipt of application #2019123399 [SEC=UNCLASSIFIED]

UNCLASSIFIED

Dear Sir/Madam,

We refer to your application for the Export of Controlled Goods and Technology, with your reference number Not Supplied, submitted on 19/06/2019.

Your application has been received and has been issued with the reference number 2019123399.

If you contact us by phone, you will be asked for the application reference number.

Information on the time it takes us to assess your application can be found on our website. You should note that sensitive cases may require a longer period of time to be assessed.

If you have any additional information that may benefit or support your application, you should include reference number #2019123399 in the subject line of your email correspondence with us.

Yours sincerely,

Defence Export Controls
R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: exportcontrols@defence.gov.au

Website: www.defence.gov.au/ExportControls


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Attachments

E-Mail Attachments Activity Attachment Associated View	
<input type="checkbox"/> File Name	File Size (Bytes)
No E-Mail Attachment records are available in this view.	
0 - 0 of 0 (0 selected)	
Page 1	

Notes

Details

Owner	 svc_decs_System Account	Priority	Normal
Duration		Folder	
Due		Referral	
Risk Assessment		Status Reason	Received

Project

Direction

Incoming

Received / Sent Date 19/06/2019 2:02 PM

Report

The report is loading

Status Reason

Received



Australian Government
Department of Defence

Application To Export or Supply Controlled Goods and Technology

INFORMATION ABOUT THE APPLICATION TO EXPORT OR SUPPLY CONTROLLED GOODS AND TECHNOLOGY

This form should be completed if you are seeking

- a permit to export goods or supply technology,
- to renew an existing permit,
- an in-principle approval assessment, or
- a permit for yourself and other applicants as part of a project or collaboration activity.

This application will be subject to an assessment against the following legislation:

- Regulation 13E of the *Customs (Prohibited Exports) Regulations 1958*
- *Defence Trade Controls Act 2012*
- *Weapons of Mass Destruction (Prevention of Proliferation) Act 1995* (WMD Act)
- Section 112BA of the *Customs Act 1901* (Military End-Use provision)

If you are unsure whether the supply activity is controlled by the *Defence Trade Controls Act*, you should first complete the online Activity Questionnaire at <https://dsgl.defence.gov.au>.

You should familiarise yourself with the United Nations and Australian Government's implementation of sanctions against certain countries and entities. Information is available on the Department of Foreign Affairs and Trade website at www.dfat.gov.au/sanctions.

Prior to submitting your application you should ensure you have completed each of the questions and that all of the required supporting documentation is attached. An incomplete application may result in a delay of the assessment.

COLLECTION, USE AND DISCLOSURE OF BUSINESS AND FINANCIAL INFORMATION

The business and financial information you provide in your application will be treated as confidential. This information may be used to administer export controls, counter proliferation and control arms. We will not disclose this information to third parties for any other purpose, unless you have provided your consent or we are otherwise authorised to do so by law.

COLLECTION, USE AND DISCLOSURE OF PERSONAL INFORMATION

The personal information you provide in this application form is being collected by the Department of Defence for the purpose of administering export control legislation including the *Customs Act 1901*, the *Defence Trade Controls Act 2012* and the *Weapons of Mass Destruction (Prevention of Proliferation) Act 1995*.

The information you provide will be used to assess your application. Defence may also use the information when undertaking other export control functions including compliance activities, and to contact you with information regarding export controls. Defence may provide some or all of the information to other Australian Government agencies involved in the administration of export control legislation including the Department of Immigration and Border Protection, the Department of Foreign Affairs and Trade, the Department of Industry, law enforcement and intelligence agencies. In some circumstances, Defence may be required to provide some of this information to Australia's international regime partners in order to fulfil Australia's reporting and consultation responsibilities. Defence will not disclose your personal information beyond these circumstances unless authorised to do so by law.

The Department of Defence has a Defence Privacy Policy. The Defence Privacy Policy contains information on how an individual may apply for access to their personal information and how an individual may apply to have their personal information amended. The Defence Privacy Policy also contains information for individuals on how to make a privacy complaint to Defence if they consider Defence may have breached the Australian Privacy Principles. A copy of the Defence Privacy Policy can be found at www.defence.gov.au. For more information, the Defence Privacy Officer can be contacted by email at defence.privacy@defence.gov.au.

If you require further assistance please contact Defence Export Controls by telephone on 1800 66 10 66 or by email at exportcontrols@defence.gov.au.



**APPLICATION TO EXPORT OR SUPPLY
CONTROLLED
GOODS AND TECHNOLOGY**

Applicant Details

Your applicant name and DECS Client Registration Number (DCRN) details will be matched against our client records. Your client record details will appear on permits and other correspondence produced by Defence Export Controls.

To enable Defence Export Controls to seek further information during the assessment process, you must include details of a nominated contact person. This person should be able to discuss the technical attributes of the items or technology, and other details of the application. It does not have to be the same person who is completing the application.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

DECS Client Registration Number (DCRN) *

645365D

Registration for a DCRN must be done with a separate form available from www.defence.gov.au/ExportControls.

Name of Applicant (Company or Individual) *

University of Technology Sydney

Contact Person - First (Given) Name *

Namrata

Contact Person - Last (Family) Name *

Ghanshamdas

Contact Person - Position/Title *

Defence Trade Controls Compliance Officer

Contact Person - Phone *

02 9514 9616

Contact Person - Email *

dtc@uts.edu.au

Contact Person - Confirm Email *

Do you have an internal reference number for this application? *

☒ No

☐ Yes, please enter your internal reference number

Are you exporting goods or technology on behalf of someone else? *

☒ No

☐ Yes

Application Purpose

You should select the description that best describes why you are submitting this application. As the assessment of your application will consider all of the relevant export control legislation, it is important that you provide as much information as possible.

You should tell us of any previous correspondence you have had with us regarding this activity. If we have issued you with a permit or reference number in our correspondence you should quote this number.

You should tell us if your application will involve the export or supply of items to a sanctioned destination or entity. We consult with the Department of Foreign Affairs and Trade on cases that are controlled by sanctions legislation.

If this application is to *renew a permit, export control assessment or in-principle approval assessment*, you do not need to complete Sections 4-13 if there are no changes to the list of Goods or Technology, the Consignees or End Users / Recipients, and the permit was issued on the Defence Export Control System (DECS) after 1 May 2013. If any of these details need to be updated in the renewal, you must complete all the questions in the application.

What is the purpose of this application? Do you want to: *

- ☒ Apply for a new permit
- ☐ Seek an in-principle approval assessment
- ☐ Apply to export or supply items that have previously been granted in-principle approval assessment
- ☐ Renew a permit or in-principle approval assessment

Have you previously received an Outcome of Export Control Assessment letter from Defence Export Controls for the goods and technology in this application?

- ☒ No
- ☐ Yes

Do you believe or suspect the goods, technology or any services to be exported or supplied may be used in a weapons of mass destruction program? *

- ☒ No
- ☐ Yes

Are the goods or technology to be exported, or supplied, to a country or entity subject to United Nations or Australian Autonomous Sanctions? *

- ☒ No
- ☐ Yes

Details of Goods or Technology

In this section you must list all the goods, software and technology (items) that are to be assessed. Use the "Add Goods or Technology" button for each new line item. For each line item you must indicate whether it will be exported or supplied as approvals are issued under two separate pieces of legislation.

Describing your goods or technology

- In this section you must separately list each item that is to be exported or supplied.
- When entering the items, you should enter the information as you want it to appear in the approval.
- For **physical goods**, the information should be comprehensive enough that a person can compare the approval against other commercial documentation and, if required by law or enforcement officers, the information can be matched against the physical goods.
- Where applicable you must include details of the manufacturer, make, model, serial number, NATO Stock Number, quantity, unit of measure and value. If these details are not provided, the assessment may be delayed.
- For **technology (e.g. data or software)** the information should accurately describe the actual technology that is being supplied in as much detail as possible.
- You should avoid the use of initials, acronyms or abbreviations.
- Where additional information, such as brochures or technical specification, explains the design features or capabilities of the items, these should be submitted as attachments to the application.

Listing Military Equipment

- If the items are parts, components or sub-assemblies of a larger military system, describe the top level system or higher level platform that they are fitted to or used in, eg i.e. *"Parts and components for a specified super fast military aircraft, model type AB"*
- If you require a full list of parts and components to be shown on the export permit you should attach a completed [Bulk upload file for an Application to Export Controlled Goods and Technology](#) to your application instead of entering the items directly into the application form.

Exporting Firearms

- The description of every firearm must include the Type, Model, Calibre and Action
- Applications must be accompanied by documentation demonstrating the ownership of the firearms and/or ammunition. For example, a firearms dealers licence, individual firearms registration and licences.
- If the owner is NOT the applicant (i.e. an agent), written authority is required from the owner to export the firearm and / or ammunition, as well as the owner's proof of ownership and a firearm licence.
- If the firearms or ammunition are to be exported to a foreign government, a completed DEC04 End-User and Non-Transfer Certificate must be submitted.
- If the firearms or ammunition are to be exported to private individuals overseas, an import permission, issued by the foreign government, or a completed DEC09 Firearm / Ammunition End-User Certificate should be submitted to verify the end-users.

Manufacturer and Model number	Serial Number (if applicable)	NATO Stock Number (if applicable)
N/A	N/A	
Quantity	Unit of Measure	Value (AUD) or Added Value *
s47G	s47G	s47G

Enter the value of the item, if you are unsure enter an estimated value. If the item has no value, enter '0'. Only enter numbers, do not include symbols (e.g. '\$' '.' '-').

Full Description of the Goods or Technology (Max 1,000 Characters) *

The item description you enter in this field will be the description of the item that is displayed in your permit.

Note: For Firearms include Type, Model, Calibre and Action or For Chemicals include Chemical Name, CAS Number, Composition and Concentration

s47G

Will this item be

☒ Exported

☐ Supplied

Is the item software or technology?
The software or technology may be in either tangible (to be exported) form or intangible (to be supplied) form

s47G

Is the export an upgrade to a system previously exported from Australia? *

☒ No

☐ Yes, provide further details of the export including the permit or Defence Export Controls reference number (Max 20 Characters) *

Are the goods or technology specially designed for military use?

☒ No

☐ Yes

Is the item specially designed for medical end-use?

☒ No

☐ Yes

Is the item, or will the item be, incorporated into medical equipment?

Medical equipment is equipment that that is specially designed for medical end-use.

☒ No

☐ Yes

Delete

Manufacturer and Model number	Serial Number (if applicable)	NATO Stock Number (if applicable)
N/A	N/A	
Quantity	Unit of Measure	Value (AUD) or Added Value *
s47G	s47G	s47G

Enter the value of the item, if you are unsure enter an estimated value. If the item has no value, enter '0'. Only enter numbers, do not include symbols (e.g. '\$', ',', '-').

Full Description of the Goods or Technology (Max 1,000 Characters) *

The item description you enter in this field will be the description of the item that is displayed in your permit.

Note: For Firearms include Type, Model, Calibre and Action or For Chemicals include Chemical Name, CAS Number, Composition and Concentration

s47G

Will this item be

☐ Exported

☒ Supplied

Is the item software or technology?

The software or technology may be in either tangible (to be exported) form or intangible (to be supplied) form

s47G

Is the item in the public domain?

Software and technology is in the public domain if it can be downloaded, purchased by anyone, or accessed by anyone without any restrictions.

- ☒ No
☐ Yes
☐ Unsure

Is the software generally available to the public?

'Generally available to the public' is not the same as 'in the public domain'. For software to be 'generally available to the public' it must be both of the following:

- sold from stock at retail selling points, without restriction, by means of over-the counter transactions, mail order transactions, electronic transactions or telephone order transactions, and
- designed for installation by the user without further substantial support by the supplier.

- ☒ No
☐ Yes

Is the item for the installation, operation, maintenance or repair of goods (including software and technology)?

This could include

- a user manual or basic repair manual
- software normally supplied with an exported good, such as an operating system - including firmware
- a diagnostic program for fault finding in the goods

- ☐ No
☒ Yes

Has Defence Export Controls approved the export of the specific goods?

- ☒ No
☐ Yes

Is the technology for a software or firmware upgrade to a previously exported good or technology?

- ☒ No
☐ Yes, provide details as to what changes have occurred (Max 1,000 Characters)

Are the goods or technology specially designed for military use?

- ☒ No
☐ Yes

Is the item specially designed for medical end-use?

- ☒ No
☐ Yes

Is the item, or will the item be, incorporated into medical equipment?

Medical equipment is equipment that is specially designed for medical end-use.

- ☒ No
☐ Yes

Delete

Add Goods or Technology

Are there Goods and Technology listed on a separate "Bulk Line Items" list? *

A "Bulk Line Items" list spreadsheet can be used where you need to separately describe a large number of goods and technology for assessment. The spreadsheet can be downloaded from the Forms section at www.defence.gov.au/ExportControls.

- ☒ No
☐ Yes

Reason for Export or Supply of Goods and Technology

Export permits are required when controlled goods or technology are transhipped through Australia. Transshipment occurs when items are brought to Australia on a ship or aircraft, and the items are transferred to another ship or aircraft which departs Australia for the subsequent destination.

Certain technologies, including software, relating to controlled items require an export permit. If you will be providing further software releases or patches, these may be controlled. You must tell us about these so we can assess if you will require permit. In the details, you should explain the function of this software or firmware, including if it will provide an additional capability or if it incorporates encryption.

Information on the factors that we consider when assessing if items may have a 'military end-use' are listed in the Frequently Asked Questions of our website.

Select the option which best describes why the goods or technology will be exported or supplied *

- ☐ For use by the consignee or end user
- ☒ Academic research or international collaboration efforts
- ☐ To be on-sold by a distributor or retailer
- ☐ Temporary basis - demonstration or exhibit
- ☐ Temporary basis - use in a shooting competition or recreational activity
- ☐ Being returned to the Original Equipment Manufacturer or their agent (includes for repair, or at the expiration of the original equipment)
- ☐ Expiration of a foreign Government temporary export license
- ☐ Being returned to the owner after repair, modification, demonstration or exhibition in Australia
- ☐ Being exported or supplied under a Defence contract
- ☐ For integration into a larger assembly and subsequent return to Australia
- ☐ For tender evaluation or testing
- ☐ Transshipment of controlled items through Australia
- ☐ Other

Will you be exporting or supplying future software or firmware releases? *

s47G

Do you need your permit to be tailored to support: *

- ☐ An existing Defence contract
- ☐ A Multi-party permit or collaboration activity
- ☒ Not applicable

Export Details

Typically tangible items are exported when sent overseas by ship, aircraft, post, courier, or as checked-in or hand-held luggage. It includes software and technology, such as diagrams and notes, that are sent overseas in a medium such as CD, DVD, USB, computer hard drive or on paper.

Exports can be permanent (eg for sale to a foreign buyer), or temporary (eg for demonstration, exhibition, use at a conference or workshop, repair by the original equipment manufacturer, or for competition and sporting activities).

Will any of the goods or technology be exported?

- ☐ No
- ☒ Yes

You will need to tell us if the export will be a one-off shipment, or you require a permit for multiple shipments so we can determine the validity period for the permit.

What is the expected date of export?

s47G

Will there be more than one shipment?

- ☒ No
- ☐ Yes

How will the goods or technology be exported?

- ☐ Air Cargo
- ☐ Carried by a person (e.g. checked-in or hand carried luggage, documents, CD, laptop or USB)
- ☒ Post
- ☐ Sea Cargo
- ☐ Other (provide further details (Max 1,000 Characters))

Supply Details

Methods of supplying software or technology can include, but is not limited to:

- ☐ email
- ☐ fax
- ☐ electronic messaging (SMS, MMS)
- ☐ uploading software or technology to a server
- ☐ document sharing or online collaboration tools
- ☐ cloud computing

It can also include providing access through the forwarding of a login ID and password, or a link to a server or cloud facility that contains software or technology, and at the time of providing the access, the recipient is not in Australia.

If you believe the recipient already has knowledge of the software or technology being supplied, this is still a 'supply'.

Will any technology be supplied by intangible means?

- ☐ No
- ☒ Yes

What is the expected date of supply (if known)?

Over what period of time will the supply occur (if known)?

s47G

How will the technology be supplied?

- ☒ Email
- ☐ Fax
- ☐ Made available for download from website owned by applicant
- ☐ Made available for download via site not owned by applicant
- ☐ Made available for download from a secure or restricted access server or cloud facility
- ☐ Other, please specify (Max 1,000 Characters)

Consignee Details

A "consignee" is usually a third party, or an intermediary, who is part of the supply chain for the export of goods, or they could be the end user of the goods. A "consignee" is less likely to be involved in the supply of technology.

If you are exporting the goods for your own use overseas, or will retain control of goods exported temporarily, your name and overseas contact details must be provided in this section.

Post Office boxes are not acceptable.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

Name *	Number and Street Name	Suburb/Town	State
DHL Express			
Postcode	Country *	Contact - Name	Contact - Phone
	AUSTRALIA		
Contact - Fax	Contact - Email	Contact - Website	Contact - Position or Title

Add Consignee

End-User/Recipient Details

The End-User/Recipient will be the persons, companies or research/tertiary institutions that will receive and/or use the goods and technology. In

most cases, the End-User / Recipient will be located overseas at the time the export or supply occurs.

For items being sent overseas for repair, maintenance or testing, the End-User will usually be the name of the Australian owner of the goods or the entity the goods will be returned to.

If the End-User/Recipient is a large organisation, government agency or institution, you should identify the department or section within the larger entity, eg "School of Engineering, Knoxside University". If the names of the End-Users are unknown, such as when items are sent to a distributor, then enter "Unknown" in the Name field. If you will use the goods overseas, include your details.

Post Office boxes are not acceptable.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

Name *	Number and Street Name	Suburb/Town	State
s47G			
Postcode	Country *	Contact - Name	Contact - Phone
	CHINA	s47G	
Contact - Fax	Contact - Email	Contact - Website	Contact - Position or Title

Add End-User

Consignee/End-User/Recipient Questions

To conduct our assessment of your application, we need to understand what you know about the parties who will be receiving the goods and technology, and how they intend to use them.

If your application includes the export of goods or technology, you should submit an applicable End-Use Certificate, Statement by Ultimate Consignee or Purchaser, Import Permission issued by the foreign government, Work Order, Repair Order or Purchase Order.

Is the consignee/end-user/recipient in an associated/related industry to you?

- ☒ No
☐ Yes

Have you exported or supplied goods or technology to the consignee/end-user/recipient previously?

- ☒ No
☐ Yes

Will the goods or technology be used for military purposes?

Goods will be used for military purposes "if the goods are or may be for use in operations, exercises or other activities conducted by an armed force or an armed group, whether or not the armed force or armed group forms part of the armed forces of the government of a foreign country".

- ☒ No
☐ Yes

How will the end-user/recipient utilise these items and/or technology? (Max 1,000 Characters)

s47G

Do you have evidence from the end-user/recipient verifying how they will use the goods or technology, or the purpose for which they are receiving the goods or technology?

- ☒ No
☐ Yes, you must attach evidence with your application

Third Party/Foreign Government Approvals

Some countries have strict requirements on the re-export of goods they permit to be exported. One example is the United States of America. Prior to submitting your application, you should check with your supplier to confirm whether your items are subject to any requirement to obtain approval for re-export of the items.

If approval is required, you should submit evidence of that Third Country clearance. These may include documents such as a:

- Technical Assistance Agreement (TAA)
- Manufacturing Licence Agreement (MLA)
- Foreign Military Sale documentation
- a US DSP-5
- Government approval letter
- Warehouse and Distribution Licence, or
- Foreign export licence.

Are the goods or technology, including any embedded technology, data or equipment, subject to re-export controls by a foreign government, such as the United States International Traffic in Arms Regulations (ITAR) or the United States Export Administration Regulations (EAR)?

Note: Third Party clearances must be attached to this application *

- ☒ No
☐ Yes, specify the country

Were the goods or technology previously subject to the Australian-US Defense Trade Cooperation Treaty? *

- ☒ No
☐ Yes, what is the Approved Community Identification (ACID) number for this facility?

Activity Related to Australian Government Business

You must tell us if the goods or technology are owned, or were supplied to you, by the Australian Government. The provision of Government contact details will allow us to determine if approval is required from another part of the Australian Government before we can finalise our assessment.

Is the export or supply of the goods and technology related to Australian Government business? *

- ☒ No
☐ Yes

Further Information

If there is any further information that you believe we should know about in assessing your application, and we have not asked you about it, you should provide those details here. If there is insufficient space you can include those details as an attachment to your application.

Do you wish to provide additional information in support of your application? *

- ☐ No
☒ Yes

Provide further details or provide as an attachment to the application (Max 2,000 Characters)

s47G

Statement by Applicant

ACKNOWLEDGE

In applying to the Department of Defence, you consent that the information provided in this application may be provided to other Australian Government agencies.

Any person who makes a false or misleading statement in an application may be prosecuted for an offence under Section 136.1 of the *Criminal Code Act 1995*. If found guilty, penalties (including imprisonment) may be imposed by the court.

STATEMENT BY APPLICANT

I certify that the information in this application is true and correct. * ☒

I will promptly notify Defence Export Controls of any changes relating to the information provided in this application. * ☒

Use contact person details from section one? ☒

First Name *

Namrata

Last Name *

Ghanshamdas

Position/Title *

Defence Trade Controls Compliance Officer

Email *

dtc@uts.edu.au

Contact Phone Number *

02 9514 9616

Date (Auto-completed on submission)

17/01/2019

Submit

[Search Defence](#)[Search](#)[Defence](#)[Ministers](#)[Navy](#)[Army](#)[Air Force](#)

Australian Government
Department of Defence

Online DSGL Tool

[Home](#)[Questionnaire](#)[Search the DSGL](#)

Help

[Definitions](#)[Acronyms & Abbreviations](#)[Forms](#)[Information on the DSGL](#)[DECO Website](#)[Contact DECO](#)[Sanctions](#)

My DSGL Items

You have not added any
items

[Print My DSGL Items](#)

DSGL Search

Please enter your search query below. Your queries will be retained for the duration of this session and listed in the My DSGL Items output document for your reference. N.B. You can generate an output document without adding any items to My DSGL Items.



Filter by Part	Filter by Category	Filter by Sub Category	Filter by Item
PART 2 Dual Use List	CATEGORY 3 - ELE...		3A001
	CATEGORY 4 - COM...	3A - Systems, Equip...	3A002
	CATEGORY 9 - AER...	4A - Systems, Equip...	4A003
		9A - Systems, Equip...	9A004

Displayed below are the DSGL items that may match your search query. Any exact matches appear in bold. This search tool uses a database of commonly-used synonyms, so your specific search term may not appear in the item at all.

4 results

s47G

4 results

Defending Australia and its National Interests





Australian Government

Department of Defence

DEC03 – END USE STATEMENT

End User (i.e. the person/company that will receive and use the goods and/or technology)

We request that this statement, filed by the applicant listed on page 2, be considered as part of the *Application to Export or Supply Controlled Goods and Technology* for export of the goods and/or technology described below.

Company Name China Academy of Electronics and Information Technology	
Physical Address - where the goods will be delivered (PO Box not acceptable) Building No.4, Courtyard No.36, North Street of Sidaokou, Haidian District, Beijing, China.	
Phone number (86)010-60840042	Email address and/or website http://isa.cetc.com.cn
What is the nature of your usual business? (eg distributor, manufacturer, wholesaler, research) Research	
What is your business relationship with the Applicant? (eg distributor, wholesaler, regular customer) Research Collaborator	
How long has your business relationship with the Applicant existed? 2 years	

Goods / Technology

We, the End User, have placed or may place orders for the following goods and/or technology with the Applicant listed on page 2.

Quantity	Description	Value \$AUD
s47G		

What will you, as the End User, use the goods and/or technology for?

s47G

Are the goods and/or technology above being supplied by intangible means? ☐ Yes ☐ No




Intangible supply can include email, fax, video conferencing, providing access to electronic files, sharing information through a cloud or document sharing tools – refer to Defence Export Controls website for more information www.defence.gov.au/deco/Supply.asp#tools

Consignee (a third party/intermediary who is a part of the supply chain for the export of goods and/or technology for example, a distributor or a transport company. *If the goods will be sent directly to the End User, please write 'not applicable'.*)

Company Name Not applicable.	
Physical Address (PO Box not acceptable)	
Phone number	Company Seal (if available)
Email address and/or website	

Certification by End User

- I certify that all details provided in this statement are correct to the best of my knowledge.
- I certify that the imported goods and/or technology will not be diverted or re-exported for any reason, unless approval has been granted by the Australian Government to the Applicant listed below.
- Where I believe or suspect that the goods and/or technology will or may potentially be used in a weapons of mass destruction (WMD) program, or for military end use, I will immediately contact Defence Export Controls on +61 2 6266 7222 or via email exportcontrols@defence.gov.au

Name s47F	Position within Company Director
	Company Seal (if available) 
	

Certification by Applicant (i.e. the Australian exporter)

- I certify that no corrections, additions or alterations were made on this document after it was signed by the End User.
- I certify that I will obtain the consent of the Australian Department of Defence before authorising the End User to re-export the goods and/or technology to another destination or End User.
- Where I believe or suspect that the goods and/or technology will or may potentially be used in a weapons of mass destruction (WMD) program, or for military end use, I will immediately contact Defence Export Controls on 1800 661 066 or via email exportcontrols@defence.gov.au

Name NAMRATA GHANSHAMDAI	Position within Company DTC COMPLIANCE OFFICER
DCRN Number 645365D	Company Seal (if available)
Signature s47F	
Date 17/1/19	

Item 2 Serial 5

E-mail

Application To Expo...

Received / Sent Date 17/01/2019 4:15 PM

E-mail

From



Namrata Ghanshamdas

To



Defence Export Controls Applications

Cc

Bcc

Subject

Application To Export Controlled Goods and Technology

Regarding



2019121689

Security

Classification

Dissemination

Limitation Marker

NOTE: If you have nominated co-applicants in the application form, they have been cc'd on this email and will receive a copy of the application.

Before submitting this application you should save a copy for your own records. If you have created a separate spreadsheet file for the purposes of listing multiple items for inclusion in your application, you must attach this file.

As well as your application, you should attach any supporting documentation that is required. This may include:

- * Technical specifications and/or brochures;
- * Purchase Order;
- * Firearms licence and/or registration certificate;
- * End-User Certificates or Statements;
- * Foreign government import/export approvals;
- * Government approval to release classified material;
- * Any outcome documents obtained from assessments conducted on the Online DSGT Tool;
- * Spreadsheet listing "Bulk Line Items";
- * Evidence of an intention to demonstrate the goods or technology (such as an invitation to display); and/or
- * Additional information or statements

NOTE: You should not attach any Australian Government security-classified material to this email. Please contact Defence Export Controls to discuss how to transmit any classified material if required.

Once your application has been successfully received, you will be advised via email of the reference number for your application

UTS CRICOS Provider Code: 00099F
DISCLAIMER: This email message and any accompanying attachments may contain confidential information. If you are not the intended recipient, do not read, use, disseminate, distribute or copy this message or attachments. If you have received this message in error, please notify the sender immediately and delete this message. Any views expressed in this message are those of the individual sender, except where the sender expressly, and with authority, states them to be the views of the University of Technology Sydney. Before opening any attachments, please check them for viruses and defects. Think. Green. Do. Please consider the environment before printing this email.

Attachments

E-Mail Attachments Activity Attachment Associated View

<input type="checkbox"/> File Name	File Size (Bytes)
<input type="checkbox"/> SmartForm_xh_data.xdp	734,316
1 - 1 of 1 (0 selected)	
Page 1	

Title: Attachments in SharePoint

s22

[svc_decs_System Account](#) 16/02/2019 4:15 PM

Title: Attachments in SharePoint

s22

[svc_decs_System Account](#) 16/02/2019 4:15 PM

Notes

Title: Attachments in SharePoint

s22

[svc_decs_System Account](#) 16/02/2019 4:15 PM

Title: Attachments in SharePoint

s22

[svc_decs_System Account](#) 16/02/2019 4:15 PM

Details

Owner	 svc_decs_System Account	Priority	Normal
Duration		Folder	
Due		Referral	
Risk Assessment		Status Reason	Received
Project		Direction	Incoming
Received / Sent Date 17/01/2019 4:15 PM			

Report

The report is loading

Status Reason

Received

E-mail

FW: Re: Request for...

Received / Sent Date 6/03/2019 10:15 AM

E-mail

From

 Namrata Ghanshamdas

To

 Defence Export Controls

Cc

Bcc

Subject

FW: Re: Request for further information regarding application #2019121689 [SEC=UNCLASSIFIED]

Regarding

 2019121689

Security
Classification

Dissemination
Limitation Marker

Hi Komal,
Please see below response to your query.

Kind regards,
Nam

From: s47F
Sent: Tuesday, 5 March 2019 5:05 PM
To: Namrata Ghanshamdas <Namrata.Ghanshamdas@uts.edu.au>
Subject: RE: Re: Request for further information regarding application #2019121689 [SEC=UNCLASSIFIED]

Hi, Nam,

My answers to the questions are provided as follows:

s47G

From: Namrata Ghanshamdas <Namrata.Ghanshamdas@uts.edu.au>
Sent: Tuesday, 5 March 2019 3:47 PM
To: s47F
Defence Export Controls
<ExportControls@defence.gov.au>
Cc: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: FW: Re: Request for further information regarding application #2019121689
[SEC=UNCLASSIFIED]

Hi s47F

Can you please respond to the comments below from DECO?

Cheers
Nam

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Tuesday, 5 March 2019 3:40 PM
To: Namrata Ghanshamdas <Namrata.Ghanshamdas@uts.edu.au>
Cc: Defence Export Controls <ExportControls@defence.gov.au>
Subject: RE: Re: Request for further information regarding application #2019121689
[SEC=UNCLASSIFIED]

Hi Namrata,

Thanks to you and s47F for the information below.

s47G

Regards,

Komal

----- Original Message -----

From: s47F
Received: 12/02/2019 10:44 AM
To: Namrata Ghanshamdas
Cc: Defence Export Controls
Subject: Re: Request for further information regarding application #2019121689
[SEC=UNCLASSIFIED]

Hi, Nam,

Thank you very much for forwarding me the question.

s47(1)(b); s47G(1)(a)

Best regards,

s47F

On 12 Feb 2019, at 8:26 am, Namrata Ghanshamdas
<Namrata.Ghanshamdas@uts.edu.au> wrote:

Hi s47F

Please see below and advise. Please do a reply all in your reponse.

Kind regards,
Nam

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Monday, 11 February 2019 4:19:03 PM
To: Defence Export Controls; Defence Trade Controls Compliance Officer
Subject: RE: Request for further information regarding application #2019121689
[SEC=UNCLASSIFIED]

Hi Namrata,

Thank you for the information in your email below.

s47G

Thank you.

Regards,

Komal

----- Original Message -----

From: Namrata Ghanshamdas
Received: 5/02/2019 4:22 PM
To: Defence Export Controls
Cc: s47F
Subject: RE: Request for further information regarding application
#2019121689 [SEC=UNCLASSIFIED] - 18/165/3

Hi Komal,

Please see below for the relevant controls applicable to this application. I am copying in the CI incase you need further information and attaching the snapshot from the DSSL search tool.

s47G

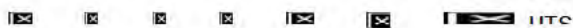
Kind regards,
Nam.

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls
Compliance Officer
Research and Innovation Office
Phone: +61 (0) 2 9514 9616
Email: namrata.ghanshamdas@uts.edu.au
University of Technology Sydney
CB01.14.2406, Building 1, City Campus
15-73, Broadway NSW 2007



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Please consider the environment before printing this email

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Tuesday, 29 January 2019 4:43 PM
To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Cc: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: Request for further information regarding application #2019121689
[SEC=UNCLASSIFIED]

UNCLASSIFIED

Dear Sir/Madam,

I refer to your application, reference number 2019121689, submitted on 17/01/2019.

In order for Defence to progress the assessment of your application, you are required to supply the following information:

We kindly request that the researchers complete a self-assessment of controls applicable to the research within the DSGL. The best method to do this is by downloading the pdf and doing a keyword search. A self-assessment would streamline the technical assessment.

Please provide the requested information to Defence by 12/02/2019. The assessment of your application cannot be completed until this information is provided.

The requested information should be sent with reference number #2019121689 in the subject line of your email response to us.

Yours sincerely,
Komal Sidhu

Defence Export Controls
R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: exportcontrols@defence.gov.au

Website: www.defence.gov.au/ExportControls

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Attachments

E-Mail Attachments Activity Attachment Associated View	
<input type="checkbox"/> File Name	File Size (Bytes)
No E-Mail Attachment records are available in this view.	
0 - 0 of 0 (0 selected)	
Page 1	

Notes

Details

Owner	 svc_decs_System Account	Priority	Normal
Duration		Folder	
Due		Referral	
Risk Assessment		Status Reason	Received
Project		Direction	Incoming

Received / Sent Date 6/03/2019 10:15 AM

Report

The report is loading

Status Reason

Received

E-mail

RE: FW: Request for...

Received / Sent Date 11/07/2019 4:40 PM

E-mail

From  Namrata Ghanshamdas

To  Defence Export Controls;  Namrata Ghanshamdas;  Samantha McCourtie;  University of Technology Sydney

Cc

Bcc

Subject RE: FW: Request for further information regarding application #2019121689 [SEC=UNCLASSIFIED]

Regarding  2019121689

Security Classification **Dissemination Limitation Marker**

Thanks a ton for letting me know Ye!

Cheers
Nam

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Thursday, 11 July 2019 1:09 PM
To: Defence Export Controls <ExportControls@defence.gov.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: RE: FW: Request for further information regarding application #2019121689 [SEC=UNCLASSIFIED]

Hi Nam,

Please note we are still progressing this case. Due to the similarities between this case and your other application to China ^{s47G} we are progressing the cases in tandem. We are still consulting other Government stakeholders, and as such I am unable to provide you with an expected timeframe, but rest assured we have not forgotten about this case.

I hope this assists, please don't hesitate to contact me if you have any questions.

Yours sincerely,

Ye Lee

Defence Export Controls
R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: ExportControls@defence.gov.au

Internet: www.defence.gov.au/ExportControls

----- Original Message -----

From: Defence Export Controls

Received: 3/05/2019 3:37 PM

To: Namrata Ghanshamdas; Namrata Ghanshamdas; University of Technology Sydney

Subject: RE: FW: Request for further information regarding application #2019121689
[SEC=UNCLASSIFIED]

Hi Nam,

Please note Jessica has moved on and I have taken carriage of this case. This is a courtesy email to let you know that we are still progressing our consultations, and I will keep you updated on any progress made.

Yours sincerely,

Ye Lee

Defence Export Controls
R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: ExportControls@defence.gov.au

Internet: www.defence.gov.au/ExportControls

----- Original Message -----

From: Namrata Ghanshamdas

Received: 12/04/2019 1:11 PM

To: Defence Export Controls; Namrata Ghanshamdas; University of Technology Sydney

Subject: RE: FW: Request for further information regarding application #2019121689
[SEC=UNCLASSIFIED]

Thanks a ton Jessica!

Cheers

Nam

From: Defence Export Controls <ExportControls@defence.gov.au>

Sent: Tuesday, 9 April 2019 4:45 PM

To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>

Subject: RE: FW: Request for further information regarding application #2019121689
[SEC=UNCLASSIFIED]

Hi Nam,

Please pass on my thanks.

This application has been identified as a complex application, and will require further consultation with additional technical, legal and policy experts.

These consultations are underway and we will endeavour to obtain a final outcome as soon as practicable.

Warm regards.

Defence Export Control

1800 661 066

----- Original Message -----

From: Namrata Ghanshamdas

Received: 9/04/2019 2:53 PM

To: Defence Export Controls

Cc: s47F

Subject: FW: Request for further information regarding application #2019121689
[SEC=UNCLASSIFIED] - 18/165/3

Hi Jessica,

Please see below response from the academic re the above.

Cheers

Nam

From: s47F

Sent: Tuesday, 9 April 2019 2:10 PM

To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>

Subject: RE: Request for further information regarding application #2019121689
[SEC=UNCLASSIFIED] - 18/165/3

Hi, Nam,

My answer to the question is provided as follows:

s47G

s47G

From: Namrata Ghanshamdas <Namrata.Ghanshamdas@uts.edu.au> On Behalf Of Defence Trade Controls Compliance Officer

Sent: Monday, 8 April 2019 11:57 AM

To: Defence Export Controls <ExportControls@defence.gov.au>; s47(1)(b); s47G(1)(a)

Subject: FW: Request for further information regarding application #2019121689
[SEC=UNCLASSIFIED] - 18/165/3

Hi Jessica,

Thank you for your email. I am including the lead academic, s47(1)(b); s47G(1)(a) who will advise re the below.

Hi s47(1)(b); s47G(1)(a)

Can you please advise re the below highlighted?

*Kind regards,
Nam.*

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls
Compliance Officer



Research Office

Phone: +61 (0) 2 9514 9616

Email: namrata.ghanshamdas@uts.edu.au

University of Technology Sydney

CB01.14.2406, Building 1, City Campus

15-73, Broadway NSW 2007

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✉ ✉ ✉ ✉ ✉ ✉ ✉ UTS



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Please consider the environment before printing this email 

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Monday, 8 April 2019 11:48 AM
To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Cc: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: Request for further information regarding application #2019121689 [SEC=UNCLASSIFIED]

UNCLASSIFIED

Hi Nam,

I refer to your application, reference number 2019121689, submitted on 17/01/2019.

In order for Defence to progress the assessment of your application, you are required to supply the following information:

s47G

The assessment of your application cannot be completed until this information is provided.

The requested information should be sent with reference number #2019121689 in the subject line of your email response to us.

**Yours sincerely,
Jessica Saladine**

Defence Export Controls
R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: exportcontrols@defence.gov.au

Website: www.defence.gov.au/ExportControls

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Attachments

E-Mail Attachments Activity Attachment Associated View	
<input type="checkbox"/> File Name	File Size (Bytes)
No E-Mail Attachment records are available in this view.	
0 - 0 of 0 (0 selected)	
Page 1	

Notes

Details

Owner	 svc_decs_System Account	Priority	Normal
Duration		Folder	
Due		Referral	 Referral to Namrata Ghanshamdas
Risk Assessment	 Risk Assessment by Jessica Saladine	Status Reason	Received

Project

Direction

Incoming

Received / Sent Date 11/07/2019 4:40 PM

Report

The report is loading

Status Reason

Received



Australian Government
Department of Defence

Application To Export or Supply Controlled Goods and Technology

INFORMATION ABOUT THE APPLICATION TO EXPORT OR SUPPLY CONTROLLED GOODS AND TECHNOLOGY

This form should be completed if you are seeking

- a permit to export goods or supply technology,
- to renew an existing permit,
- an in-principle approval assessment, or
- a permit for yourself and other applicants as part of a project or collaboration activity.

This application will be subject to an assessment against the following legislation:

- Regulation 13E of the *Customs (Prohibited Exports) Regulations 1958*
- *Defence Trade Controls Act 2012*
- *Weapons of Mass Destruction (Prevention of Proliferation) Act 1995* (WMD Act)
- Section 112BA of the *Customs Act 1901* (Military End-Use provision)

If you are unsure whether the supply activity is controlled by the *Defence Trade Controls Act*, you should first complete the online Activity Questionnaire at <https://dsgl.defence.gov.au>.

You should familiarise yourself with the United Nations and Australian Government's implementation of sanctions against certain countries and entities. Information is available on the Department of Foreign Affairs and Trade website at www.dfat.gov.au/sanctions.

Prior to submitting your application you should ensure you have completed each of the questions and that all of the required supporting documentation is attached. An incomplete application may result in a delay of the assessment.

COLLECTION, USE AND DISCLOSURE OF BUSINESS AND FINANCIAL INFORMATION

The business and financial information you provide in your application will be treated as confidential. This information may be used to administer export controls, counter proliferation and control arms. We will not disclose this information to third parties for any other purpose, unless you have provided your consent or we are otherwise authorised to do so by law.

COLLECTION, USE AND DISCLOSURE OF PERSONAL INFORMATION

The personal information you provide in this application form is being collected by the Department of Defence for the purpose of administering export control legislation including the *Customs Act 1901*, the *Defence Trade Controls Act 2012* and the *Weapons of Mass Destruction (Prevention of Proliferation) Act 1995*.

The information you provide will be used to assess your application. Defence may also use the information when undertaking other export control functions including compliance activities, and to contact you with information regarding export controls. Defence may provide some or all of the information to other Australian Government agencies involved in the administration of export control legislation including the Department of Immigration and Border Protection, the Department of Foreign Affairs and Trade, the Department of Industry, law enforcement and intelligence agencies. In some circumstances, Defence may be required to provide some of this information to Australia's international regime partners in order to fulfil Australia's reporting and consultation responsibilities. Defence will not disclose your personal information beyond these circumstances unless authorised to do so by law.

The Department of Defence has a Defence Privacy Policy. The Defence Privacy Policy contains information on how an individual may apply for access to their personal information and how an individual may apply to have their personal information amended. The Defence Privacy Policy also contains information for individuals on how to make a privacy complaint to Defence if they consider Defence may have breached the Australian Privacy Principles. A copy of the Defence Privacy Policy can be found at www.defence.gov.au. For more information, the Defence Privacy Officer can be contacted by email at defence.privacy@defence.gov.au.

If you require further assistance please contact Defence Export Controls by telephone on 1800 66 10 66 or by email at exportcontrols@defence.gov.au.



**APPLICATION TO EXPORT OR SUPPLY
CONTROLLED
GOODS AND TECHNOLOGY**

Applicant Details

Your applicant name and DECS Client Registration Number (DCRN) details will be matched against our client records. Your client record details will appear on permits and other correspondence produced by Defence Export Controls.

To enable Defence Export Controls to seek further information during the assessment process, you must include details of a nominated contact person. This person should be able to discuss the technical attributes of the items or technology, and other details of the application. It does not have to be the same person who is completing the application.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

DECS Client Registration Number (DCRN) *

645365D

Registration for a DCRN must be done with a separate form available from www.defence.gov.au/ExportControls.

Name of Applicant (Company or Individual) *

University of Technology Sydney

Contact Person - First (Given) Name *

Namrata

Contact Person - Last (Family) Name *

Ghanshamdas

Contact Person - Position/Title *

Defence Trade Controls Compliance Officer

Contact Person - Phone *

02 9514 9616

Contact Person - Email *

dtc@uts.edu.au

Contact Person - Confirm Email *

Do you have an internal reference number for this application? *

- ☒ No
☐ Yes, please enter your internal reference number

Are you exporting goods or technology on behalf of someone else? *

- ☒ No
☐ Yes

Application Purpose

You should select the description that best describes why you are submitting this application. As the assessment of your application will consider all of the relevant export control legislation, it is important that you provide as much information as possible.

You should tell us of any previous correspondence you have had with us regarding this activity. If we have issued you with a permit or reference number in our correspondence you should quote this number.

You should tell us if your application will involve the export or supply of items to a sanctioned destination or entity. We consult with the Department of Foreign Affairs and Trade on cases that are controlled by sanctions legislation.

If this application is to *renew a permit, export control assessment or in-principle approval assessment*, you do not need to complete Sections 4-13 if there are no changes to the list of Goods or Technology, the Consignees or End Users / Recipients, and the permit was issued on the Defence Export Control System (DECS) after 1 May 2013. If any of these details need to be updated in the renewal, you must complete all the questions in the application.

What is the purpose of this application? Do you want to: *

- ☒ Apply for a new permit
- ☐ Seek an in-principle approval assessment
- ☐ Apply to export or supply items that have previously been granted in-principle approval assessment
- ☐ Renew a permit or in-principle approval assessment

Have you previously received an Outcome of Export Control Assessment letter from Defence Export Controls for the goods and technology in this application?

- ☒ No
- ☐ Yes

Do you believe or suspect the goods, technology or any services to be exported or supplied may be used in a weapons of mass destruction program? *

- ☒ No
- ☐ Yes

Are the goods or technology to be exported, or supplied, to a country or entity subject to United Nations or Australian Autonomous Sanctions? *

- ☒ No
- ☐ Yes

Details of Goods or Technology

In this section you must list all the goods, software and technology (items) that are to be assessed. Use the "Add Goods or Technology" button for each new line item. For each line item you must indicate whether it will be exported or supplied as approvals are issued under two separate pieces of legislation.

Describing your goods or technology

- In this section you must separately list each item that is to be exported or supplied.
- When entering the items, you should enter the information as you want it to appear in the approval.
- For **physical goods**, the information should be comprehensive enough that a person can compare the approval against other commercial documentation and, if required by law or enforcement officers, the information can be matched against the physical goods.
- Where applicable you must include details of the manufacturer, make, model, serial number, NATO Stock Number, quantity, unit of measure and value. If these details are not provided, the assessment may be delayed.
- For **technology (e.g. data or software)** the information should accurately describe the actual technology that is being supplied in as much detail as possible.
- You should avoid the use of initials, acronyms or abbreviations.
- Where additional information, such as brochures or technical specification, explains the design features or capabilities of the items, these should be submitted as attachments to the application.

Listing Military Equipment

- If the items are parts, components or sub-assemblies of a larger military system, describe the top level system or higher level platform that they are fitted to or used in, eg i.e. *"Parts and components for a specified super fast military aircraft, model type AB"*
- If you require a full list of parts and components to be shown on the export permit you should attach a completed [Bulk upload file for an Application to Export Controlled Goods and Technology](#) to your application instead of entering the items directly into the application form.

Exporting Firearms

- The description of every firearm must include the Type, Model, Calibre and Action
- Applications must be accompanied by documentation demonstrating the ownership of the firearms and/or ammunition. For example, a firearms dealers licence, individual firearms registration and licences.
- If the owner is NOT the applicant (i.e. an agent), written authority is required from the owner to export the firearm and / or ammunition, as well as the owner's proof of ownership and a firearm licence.
- If the firearms or ammunition are to be exported to a foreign government, a completed DEC04 End-User and Non-Transfer Certificate must be submitted.
- If the firearms or ammunition are to be exported to private individuals overseas, an import permission, issued by the foreign government, or a completed DEC09 Firearm / Ammunition End-User Certificate should be submitted to verify the end-users.

Manufacturer and Model number	Serial Number (if applicable)	NATO Stock Number (if applicable)
N/A	N/A	N/A
Quantity	Unit of Measure	Value (AUD) or Added Value *
		0

Enter the value of the item, if you are unsure enter an estimated value. If the item has no value, enter '0'. Only enter numbers, do not include symbols (e.g. '\$' '.' '-').

Full Description of the Goods or Technology (Max 1,000 Characters) *
The item description you enter in this field will be the description of the item that is displayed in your permit.

Note: For Firearms include Type, Model, Calibre and Action or For Chemicals include Chemical Name, CAS Number, Composition and Concentration

s47G

Will this item be

☐ Exported

☒ Supplied

Is the item software or technology?

The software or technology may be in either tangible (to be exported) form or intangible (to be supplied) form

Is the item in the public domain?

Software and technology is in the public domain if it can be downloaded, purchased by anyone, or accessed by anyone without any restrictions.

- ☒ No
☐ Yes
☐ Unsure

Is the software generally available to the public?

'Generally available to the public' is not the same as 'in the public domain'. For software to be 'generally available to the public' it must be both of the following:

- sold from stock at retail selling points, without restriction, by means of over-the counter transactions, mail order transactions, electronic transactions or telephone order transactions, and
- designed for installation by the user without further substantial support by the supplier.

- ☒ No
☐ Yes

Is the item for the installation, operation, maintenance or repair of goods (including software and technology)?

This could include

- a user manual or basic repair manual
- software normally supplied with an exported good, such as an operating system – including firmware
- a diagnostic program for fault finding in the goods

- ☒ No
☐ Yes

Is the technology for a software or firmware upgrade to a previously exported good or technology?

- ☒ No
☐ Yes, provide details as to what changes have occurred (Max 1,000 Characters)

Are the goods or technology specially designed for military use?

- ☒ No
☐ Yes

Is the item specially designed for medical end-use?

- ☒ No
☐ Yes

Is the item, or will the item be, incorporated into medical equipment?

Medical equipment is equipment that is specially designed for medical end-use.

- ☒ No
☐ Yes

Add Goods or Technology

Are there Goods and Technology listed on a separate "Bulk Line Items" list? *

A "Bulk Line Items" list spreadsheet can be used where you need to separately describe a large number of goods and technology for assessment. The spreadsheet can be downloaded from the Forms section at www.defence.gov.au/ExportControls.

- ☒ No
☐ Yes

Reason for Export or Supply of Goods and Technology

Export permits are required when controlled goods or technology are transhipped through Australia. Transshipment occurs when items are brought to Australia on a ship or aircraft, and the items are transferred to another ship or aircraft which departs Australia for the subsequent destination.

Certain technologies, including software, relating to controlled items require an export permit. If you will be providing further software releases or patches, these may be controlled. You must tell us about these so we can assess if you will require permit. In the details, you should explain the function of this software or firmware, including if it will provide an additional capability or if it incorporates encryption.

Information on the factors that we consider when assessing if items may have a 'military end-use' are listed in the Frequently Asked Questions of our website.

Select the option which best describes why the goods or technology will be exported or supplied *

- ☒ For use by the consignee or end user
- ☐ Academic research or international collaboration efforts
- ☐ To be on-sold by a distributor or retailer
- ☐ Temporary basis - demonstration or exhibit
- ☐ Temporary basis - use in a shooting competition or recreational activity
- ☐ Being returned to the Original Equipment Manufacturer or their agent (includes for repair, or at the expiration of the original equipment)
- ☐ Expiration of a foreign Government temporary export license
- ☐ Being returned to the owner after repair, modification, demonstration or exhibition in Australia
- ☐ Being exported or supplied under a Defence contract
- ☐ For integration into a larger assembly and subsequent return to Australia
- ☐ For tender evaluation or testing
- ☐ Transshipment of controlled items through Australia
- ☐ Other

Will you be exporting or supplying future software or firmware releases? *

- ☒ No
- ☐ Yes

Do you need your permit to be tailored to support: *

- ☐ An existing Defence contract
- ☐ A Multi-party permit or collaboration activity
- ☒ Not applicable

Export Details

Typically tangible items are exported when sent overseas by ship, aircraft, post, courier, or as checked-in or hand-held luggage. It includes software and technology, such as diagrams and notes, that are sent overseas in a medium such as CD, DVD, USB, computer hard drive or on paper.

Exports can be permanent (eg for sale to a foreign buyer), or temporary (eg for demonstration, exhibition, use at a conference or workshop, repair by the original equipment manufacturer, or for competition and sporting activities).

Will any of the goods or technology be exported?

- ☒ No
- ☐ Yes

Supply Details

Methods of supplying software or technology can include, but is not limited to:

- ☐ email
- ☐ fax
- ☐ electronic messaging (SMS, MMS)
- ☐ uploading software or technology to a server
- ☐ document sharing or online collaboration tools
- ☐ cloud computing

It can also include providing access through the forwarding of a login ID and password, or a link to a server or cloud facility that contains software or technology, and at the time of providing the access, the recipient is not in Australia.

If you believe the recipient already has knowledge of the software or technology being supplied, this is still a 'supply'.

Will any technology be supplied by intangible means?

- ☒ No

☐ Yes

Consignee Details

A "consignee" is usually a third party, or an intermediary, who is part of the supply chain for the export of goods, or they could be the end user of the goods. A "consignee" is less likely to be involved in the supply of technology.

If you are exporting the goods for your own use overseas, or will retain control of goods exported temporarily, your name and overseas contact details must be provided in this section.

Post Office boxes are not acceptable.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

Name *	Number and Street Name	Suburb/Town	State
s47G			
Postcode	Country *	Contact - Name	Contact - Phone
	CHINA		
Contact - Fax	Contact - Email	Contact - Website	Contact - Position or Title

Add Consignee

End-User/Recipient Details

The End-User/Recipient will be the persons, companies or research/tertiary institutions that will receive and/or use the goods and technology. In most cases, the End-User / Recipient will be located overseas at the time the export or supply occurs.

For items being sent overseas for repair, maintenance or testing, the End-User will usually be the name of the Australian owner of the goods or the entity the goods will be returned to.

If the End-User/Recipient is a large organisation, government agency or institution, you should identify the department or section within the larger entity, eg "School of Engineering, Knoxside University". If the names of the End-Users are unknown, such as when items are sent to a distributor, then enter "Unknown" in the Name field. If you will use the goods overseas, include your details.

Post Office boxes are not acceptable.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

Name *	Number and Street Name	Suburb/Town	State
s47G			Shanghai
Postcode	Country *	Contact - Name	Contact - Phone
100041	CHINA	s47F	
Contact - Fax	Contact - Email	Contact - Website	Contact - Position or Title
	s47F		s47F

Add End-User

Consignee/End-User/Recipient Questions

To conduct our assessment of your application, we need to understand what you know about the parties who will be receiving the goods and technology, and how they intend to use them.

If your application includes the export of goods or technology, you should submit an applicable End-Use Certificate, Statement by Ultimate Consignee or Purchaser, Import Permission issued by the foreign government, Work Order, Repair Order or Purchase Order.

Is the consignee/end-user/recipient in an associated/related industry to you?

- ☒ No
☐ Yes

Have you exported or supplied goods or technology to the consignee/end-user/recipient previously?

- ☒ No
☐ Yes

Will the goods or technology be used for military purposes?

Goods will be used for military purposes "if the goods are or may be for use in operations, exercises or other activities conducted by an armed force or an armed group, whether or not the armed force or armed group forms part of the armed forces of the government of a foreign country".

- ☒ No
☐ Yes

How will the end-user/recipient utilise these items and/or technology? (Max 1,000 Characters)

s47G

Do you have evidence from the end-user/recipient verifying how they will use the goods or technology, or the purpose for which they are receiving the goods or technology?

- ☐ No
☒ Yes, you must attach evidence with your application

Third Party/Foreign Government Approvals

Some countries have strict requirements on the re-export of goods they permit to be exported. One example is the United States of America. Prior to submitting your application, you should check with your supplier to confirm whether your items are subject to any requirement to obtain approval for re-export of the items.

If approval is required, you should submit evidence of that Third Country clearance. These may include documents such as a:

- Technical Assistance Agreement (TAA)
- Manufacturing Licence Agreement (MLA)
- Foreign Military Sale documentation
- a US DSP-5
- Government approval letter
- Warehouse and Distribution Licence, or
- Foreign export licence.

Are the goods or technology, including any embedded technology, data or equipment, subject to re-export controls by a foreign government, such as the United States International Traffic in Arms Regulations (ITAR) or the United States Export Administration Regulations (EAR)?

Note: Third Party clearances must be attached to this application *

- ☒ No
☐ Yes, specify the country

Were the goods or technology previously subject to the Australian-US Defense Trade Cooperation Treaty? *

- ☒ No
☐ Yes, what is the Approved Community Identification (ACID) number for this facility?

Activity Related to Australian Government Business

You must tell us if the goods or technology are owned, or were supplied to you, by the Australian Government. The provision of Government contact details will allow us to determine if approval is required from another part of the Australian Government before we can finalise our assessment.

Is the export or supply of the goods and technology related to Australian Government business? *

- ☒ No
☐ Yes

Further Information

If there is any further information that you believe we should know about in assessing your application, and we have not asked you about it, you should provide those details here. If there is insufficient space you can include those details as an attachment to your application.

Do you wish to provide additional information in support of your application? *

- ☐ No
☒ Yes

Provide further details or provide as an attachment to the application (Max 2,000 Characters)

Please find the detailed research proposal as the technical attachment.

Statement by Applicant

ACKNOWLEDGE

In applying to the Department of Defence, you consent that the information provided in this application may be provided to other Australian Government agencies.

Any person who makes a false or misleading statement in an application may be prosecuted for an offence under Section 136.1 of the *Criminal Code Act 1995*. If found guilty, penalties (including imprisonment) may be imposed by the court.

STATEMENT BY APPLICANT

I certify that the information in this application is true and correct. * ☒

I will promptly notify Defence Export Controls of any changes relating to the information provided in this application. * ☒

Use contact person details from section one? ☒

First Name *

Last Name *

Position/Title *

Namrata

Ghanshamdas

Defence Trade Controls Compliance Officer

Email *

Contact Phone Number *

Date (Auto-completed on submission)

dtc@uts.edu.au

02 9514 9616

05/09/2018

Submit

E-mail

Application To Expo...

Received / Sent Date 5/09/2018 11:48 AM

E-mail

From



Namrata Ghanshamdas

To



Defence Export Controls Applications

Cc

Bcc

Subject

Application To Export Controlled Goods and Technology

Regarding



2018120249

Security

Classification

Dissemination

Limitation Marker

NOTE: If you have nominated co-applicants in the application form, they have been cc'd on this email and will receive a copy of the application.

Before submitting this application you should save a copy for your own records. If you have created a separate spreadsheet file for the purposes of listing multiple items for inclusion in your application, you must attach this file.

As well as your application, you should attach any supporting documentation that is required. This may include:

- * Technical specifications and/or brochures;
- * Purchase Order;
- * Firearms licence and/or registration certificate;
- * End-User Certificates or Statements;
- * Foreign government import/export approvals;
- * Government approval to release classified material;
- * Any outcome documents obtained from assessments conducted on the Online DSGL Tool;
- * Spreadsheet listing "Bulk Line Items";
- * Evidence of an intention to demonstrate the goods or technology (such as an invitation to display); and/or
- * Additional information or statements

NOTE: You should not attach any Australian Government security-classified material to this email. Please contact Defence Export Controls to discuss how to transmit any classified material if required.

Once your application has been successfully received, you will be advised via email of the reference number for your application

UTS CRICOS Provider Code: 00099F DISCLAIMER: This email message and any accompanying

attachments may contain confidential information. If you are not the intended recipient, do not read, use, disseminate, distribute or copy this message or attachments. If you have received this message in error, please notify the sender immediately and delete this message. Any views expressed in this message are those of the individual sender, except where the sender expressly, and with authority, states them to be the views of the University of Technology Sydney. Before opening any attachments, please check them for viruses and defects. Think. Green. Do. Please consider the environment before printing this email.

Attachments

E-Mail Attachments Activity Attachment Associated View	
<input type="checkbox"/> File Name	File Size (Bytes)
<input type="checkbox"/> s47G	602,457
1 - 1 of 1 (0 selected)	
Page 1	

Title: Attachments in SharePoint
s22

[svc_decs_System Account](#) 5/10/2018 11:48 AM

Title: Attachments in SharePoint
s22

11:48 AM

Notes

Title: Attachments in SharePoint
s22

[svc_decs_System Account](#) 5/10/2018 11:48 AM

Title: Attachments in SharePoint
s22

[svc_decs_System Account](#) 5/10/2018 11:48 AM

Details

Owner	 svc_decs_System Account	Priority	Normal
Duration		Folder	
Due		Referral	
Risk Assessment		Status Reason	Received
Project		Direction	Incoming
Received / Sent Date 5/09/2018 11:48 AM			

Report

The report is loading

Status Reason

Received

E-mail

RE: Request for furt...

Received / Sent Date 18/09/2018 10:35 AM

E-mail

From  **Namrata Ghanshamdas**

To  **Defence Export Controls**

Cc

Bcc

Subject RE: Request for further information regarding application #2018120249 [SEC=UNCLASSIFIED]

Regarding  **2018120249**

**Security
Classification**

**Dissemination
Limitation Marker**

Dear Darren,
Please find attached as further information as requested.

*Kind regards,
Nam.*

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls
Compliance Officer



Research and Innovation Office
Phone: +61 (0) 2 9514 9616
Email: namrata.ghanshamdas@uts.edu.au

University of Technology Sydney
CB01.14.22, Building 1, City Campus
PO Box 123, Broadway NSW 2007

Think. Change. Do

uts.edu.au



UTS Number 1 young uni banner

Please consider the environment before printing this email 

Cheers
Nam

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Friday, 7 September 2018 12:06 PM
To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Cc: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: Request for further information regarding application #2018120249 [SEC=UNCLASSIFIED]

UNCLASSIFIED

Dear Sir/Madam,

I refer to your application, reference number 2018120249, submitted on 7/09/2018.

In order for Defence to progress the assessment of your application, you are required to supply the following information:

s47G

For a copy of the DSGI go to www.legislation.gov.au and search/download a copy of the Defence and Strategic Goods List.

Please provide the requested information to Defence by 21/09/2018. The assessment of your application cannot be completed until this information is provided.


The requested information should be sent with reference number #2018120249 in the subject line of your email response to us.

Yours sincerely,

Darren March**Defence Export Controls****R1-3-A004****PO Box 7901****CANBERRA BC ACT 2610****Tel: 1800 66 10 66****Email:** exportcontrols@defence.gov.au**Website:** www.defence.gov.au/ExportControls

UTS CRICOS Provider Code: 00099F **DISCLAIMER:** This email message and any accompanying attachments may contain confidential information. If you are not the intended recipient, do not read, use, disseminate, distribute or copy this message or attachments. If you have received this message in error, please notify the sender immediately and delete this message. Any views expressed in this message are those of the individual sender, except where the sender expressly, and with authority, states them to be the views of the University of Technology Sydney. Before opening any attachments, please check them for viruses and defects. Think. Green. Do. Please consider the environment before printing this email.

Attachments



E-Mail Attachments

Activity Attachment Associated View

<input type="checkbox"/>	<u>File Name</u>	<u>File Size (Bytes)</u>
<input type="checkbox"/>	<u>image001.png</u>	26,055
<input type="checkbox"/>	<u>image002.png</u>	15,351
<input type="checkbox"/>	<u>image003.png</u>	14,751
<input type="checkbox"/>	<u>image004.png</u>	14,808
<input type="checkbox"/>	<u>image005.png</u>	14,964
<input type="checkbox"/>	<u>image006.png</u>	14,871
<input type="checkbox"/>	<u>image007.png</u>	15,099
<input type="checkbox"/>	<u>image008.png</u>	2,118
<input type="checkbox"/>	<u>image009.png</u>	10,248
<input type="checkbox"/>	<u>image010.jpg</u>	810

1 - 10 of 10 (0 selected)



Page 1

Title: Attachments in SharePoint
s22

Notes

Title: Attachments in SharePoint
s22

Details

Owner	 svc_decs_System Account	Priority	Normal
Duration	Folder		
Due	Referral	 Request for Additional Information from Namrata	
Risk Assessment	Status Reason	Received	

Project

Direction

Incoming

Received / Sent Date 18/09/2018 10:35 AM

Report

The report is loading

Status Reason

Received

Hi Nam,

Please see my response below:

s47G

If anything is not clear, or any other information needs to be provided, please just let me know.

Thank you very much again for your help.

Best regards,

s47F

From: Namrata Ghanshamdas On Behalf Of Defence Trade Controls Compliance Officer
Sent: Monday, 10 September 2018 10:30 AM
To: S47F
Subject: FW: Request for further information regarding application #2018120249 [SEC=UNCLASSIFIED]

H s47F
Please see below and respond.

Cheers
Nam

From: Defence Export Controls <ExportControls@defence.gov.au>
Sent: Friday, 7 September 2018 12:06 PM
To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Cc: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: Request for further information regarding application #2018120249 [SEC=UNCLASSIFIED]

UNCLASSIFIED

Dear Sir/Madam,

I refer to your application, reference number 2018120249, submitted on 7/09/2018.

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s47G

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Please provide the requested information to Defence by 21/09/2018. The assessment of your application cannot be completed until this information is provided.

The requested information should be sent with reference number #2018120249 in the subject line of your email response to us.

Yours sincerely,
Darren March

Defence Export Controls

R1-3-A004
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66
Email: exportcontrols@defence.gov.au
Website: www.defence.gov.au/ExportControls



Australian Government
Department of Defence

Application To Export or Supply Controlled Goods and Technology

INFORMATION ABOUT THE APPLICATION TO EXPORT OR SUPPLY CONTROLLED GOODS AND TECHNOLOGY

This form should be completed if you are seeking

- a permit to export goods or supply technology,
- to renew an existing permit,
- an in-principle approval assessment, or
- a permit for yourself and other applicants as part of a project or collaboration activity.

This application will be subject to an assessment against the following legislation:

- Regulation 13E of the *Customs (Prohibited Exports) Regulations 1958*
- *Defence Trade Controls Act 2012*
- *Weapons of Mass Destruction (Prevention of Proliferation) Act 1995* (WMD Act)
- Section 112BA of the *Customs Act 1901* (Military End-Use provision)

If you are unsure whether the supply activity is controlled by the *Defence Trade Controls Act*, you should first complete the online Activity Questionnaire at <https://dsq.defence.gov.au>.

You should familiarise yourself with the United Nations and Australian Government's implementation of sanctions against certain countries and entities. Information is available on the Department of Foreign Affairs and Trade website at www.dfat.gov.au/sanctions.

Prior to submitting your application you should ensure you have completed each of the questions and that all of the required supporting documentation is attached. An incomplete application may result in a delay of the assessment.

COLLECTION, USE AND DISCLOSURE OF PERSONAL INFORMATION

The personal information you provide in this application form is being collected by the Department of Defence for the purpose of administering export control legislation including the *Customs Act 1901*, the *Defence Trade Controls Act 2012* and the *Weapons of Mass Destruction (Prevention of Proliferation) Act 1995*.

The information you provide will be used to assess your application. Defence may also use the information when undertaking other export control functions including compliance activities, and to contact you with information regarding export controls. Defence may provide some or all of the information to other Australian Government agencies involved in the administration of export control legislation including the Department of Immigration and Border Protection, the Department of Foreign Affairs and Trade, the Department of Industry, law enforcement and intelligence agencies. In some circumstances, Defence may be required to provide some of this information to Australia's international regime partners in order to fulfil Australia's reporting and consultation responsibilities. Defence will not disclose your personal information beyond these circumstances unless authorised to do so by law.

The Department of Defence has a Defence Privacy Policy. The Defence Privacy Policy contains information on how an individual may apply for access to their personal information and how an individual may apply to have their personal information amended. The Defence Privacy Policy also contains information for individuals on how to make a privacy complaint to Defence if they consider Defence may have breached the Australian Privacy Principles. A copy of the Defence Privacy Policy can be found at www.defence.gov.au. For more information, the Defence Privacy Officer can be contacted by email at defence.privacy@defence.gov.au.

If you require further assistance please contact Defence Export Controls by telephone on 1800 66 10 66 or by email at exportcontrols@defence.gov.au.



**APPLICATION TO EXPORT OR SUPPLY
CONTROLLED
GOODS AND TECHNOLOGY**

Applicant Details

Your applicant name and DECS Client Registration Number (DCRN) details will be matched against our client records. Your client record details will appear on permits and other correspondence produced by Defence Export Controls.

To enable Defence Export Controls to seek further information during the assessment process, you must include details of a nominated contact person. This person should be able to discuss the technical attributes of the items or technology, and other details of the application. It does not have to be the same person who is completing the application.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

DECS Client Registration Number (DCRN) *

645365D

Registration for a DCRN must be done with a separate form available from www.defence.gov.au/ExportControls.

Name of Applicant (Company or Individual) *

University of Technology Sydney

Contact Person - First (Given) Name *

Namrata

Contact Person - Last (Family) Name *

Ghanshamdas

Contact Person - Position/Title *

Defence Trade Compliance Officer

Contact Person - Phone *

02 9514 9616

Contact Person - Email *

dte@uts.edu.au

Contact Person - Confirm Email *

Do you have an internal reference number for this application? *

- ☒ No
☐ Yes, please enter your internal reference number

Are you exporting goods or technology on behalf of someone else? *

- ☒ No
☐ Yes

Application Purpose

You should select the description that best describes why you are submitting this application. As the assessment of your application will consider all of the relevant export control legislation, it is important that you provide as much information as possible.

You should tell us of any previous correspondence you have had with us regarding this activity. If we have issued you with a permit or reference number in our correspondence you should quote this number.

You should tell us if your application will involve the export or supply of items to a sanctioned destination or entity. We consult with the Department of Foreign Affairs and Trade on cases that are controlled by sanctions legislation.

If this application is to *renew a permit, export control assessment or in-principle approval assessment*, you do not need to complete Sections 4-13 if there are no changes to the list of Goods or Technology, the Consignees or End Users / Recipients, and the permit was issued on the Defence Export Control System (DECS) after 1 May 2013. If any of these details need to be updated in the renewal, you must complete all the questions in the application.

What is the purpose of this application? Do you want to: *

- ☒ Apply for a new permit
- ☐ Seek an in-principle approval assessment
- ☐ Apply to export or supply items that have previously been granted in-principle approval assessment
- ☐ Renew a permit or in-principle approval assessment

Have you previously received an Outcome of Export Control Assessment letter from Defence Export Controls for the goods and technology in this application?

- ☒ No
- ☐ Yes

Do you need your permit to be tailored to support: *

- ☐ An existing Defence contract
- ☒ A particular project or collaboration activity
- ☐ Not applicable

Do you believe or suspect the goods, technology or any services to be exported or supplied may be used in a weapons of mass destruction program? *

- ☒ No
- ☐ Yes

Are the goods or technology to be exported, or supplied, to a country or entity subject to United Nations or Australian Autonomous Sanctions? *

- ☒ No
- ☐ Yes

Details of Goods or Technology

In this section you must list all the goods, software and technology (items) that are to be assessed. Use the "Add Goods or Technology" button for each new line item. For each line item you must indicate whether it will be exported or supplied as approvals are issued under two separate pieces of legislation.

Describing your goods or technology

- In this section you must separately list each item that is to be exported or supplied.
- When entering the items, you should enter the information as you want it to appear in the approval.
- For **physical goods**, the information should be comprehensive enough that a person can compare the approval against other commercial documentation and, if required by law or enforcement officers, the information can be matched against the physical goods.
- Where applicable you must include details of the manufacturer, make, model, serial number, NATO Stock Number, quantity, unit of measure and value. If these details are not provided, the assessment may be delayed.
- For **technology (e.g. data or software)** the information should accurately describe the actual technology that is being supplied in as much detail as possible.
- You should avoid the use of initials, acronyms or abbreviations.
- Where additional information, such as brochures or technical specification, explains the design features or capabilities of the items, these should be submitted as attachments to the application.

Listing Military Equipment

- If the items are parts, components or sub-assemblies of a larger military system, describe the top level system or higher level platform that they are fitted to or used in, eg i.e. *"Parts and components for a specified super fast military aircraft, model type AB"*
- If you require a full list of parts and components to be shown on the export permit you should attach a completed [Bulk upload file for an Application to Export Controlled Goods and Technology](#) to your application instead of entering the items directly into the application form.

Exporting Firearms

- The description of every firearm must include the Type, Model, Calibre and Action
- Applications must be accompanied by documentation demonstrating the ownership of the firearms and/or ammunition. For example, a firearms dealers licence, individual firearms registration and licences.
- If the owner is NOT the applicant (i.e. an agent), written authority is required from the owner to export the firearm and / or ammunition, as well as the owner's proof of ownership and a firearm licence.
- If the firearms or ammunition are to be exported to a foreign government, a completed DEC04 End-User and Non-Transfer Certificate must be submitted.
- If the firearms or ammunition are to be exported to private individuals overseas, an import permission, issued by the foreign government, or a completed DEC09 Firearm / Ammunition End-User Certificate should be submitted to verify the end-users.

Manufacturer and Model number	Serial Number (if applicable)	NATO Stock Number (if applicable)
N/A	N/A	N/A
Quantity	Unit of Measure	Value (AUD) or Added Value

Full Description of the Goods or Technology (Max 1,000 Characters)

The item description you enter in this field will be the description of the item that is displayed in your permit.

Note: For Firearms include Type, Model, Calibre and Action or For Chemicals include Chemical Name, CAS Number, Composition and Concentration

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Will this item be *

☒ Exported

☐ Supplied

Is the item software or technology?

The software or technology may be in either tangible (to be exported) form or intangible (to be supplied) form

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Is the item in the public domain?

Software and technology is in the public domain if it can be downloaded, purchased by anyone, or accessed by anyone without any restrictions.

- ☒ No
☐ Yes
☐ Unsure

Is the item for the installation, operation, maintenance or repair of goods (including software and technology)?

This could include

- a user manual or basic repair manual
- software normally supplied with an exported good, such as an operating system – including firmware
- a diagnostic program for fault finding in the goods

- ☒ No
☐ Yes

Is the technology basic scientific research?

Basic scientific research is experimental or theoretical work undertaken principally to acquire new knowledge of the fundamental principles or phenomena or observable facts, not primarily directed towards a specific practical aim or objective.

This means technology that in itself constitutes basic scientific research, or is the outcome of basic scientific research.

- ☒ No
☐ Yes

Is the technology for an actual patent application?

Technology that is in a form required for submission to a patent office, and is being submitted to a patent office, may not be controlled.

- ☒ No
☐ Yes

Are the goods or technology specially designed for military use? *

- ☒ No
☐ Yes

Is the item specially designed for medical end-use?

- ☒ No
☐ Yes

Is the item, or will the item be, incorporated into medical equipment?

Medical equipment is equipment that is specially designed for medical end-use.

- ☒ No
☐ Yes

Add Goods or Technology

Are there Goods and Technology listed on a separate "Bulk Line Items" list? *

A "Bulk Line Items" list spreadsheet can be used where you need to separately describe a large number of goods and technology for assessment. The spreadsheet can be downloaded from the Forms section at www.defence.gov.au/ExportControls.

- ☒ No
☐ Yes

Reason for Export or Supply of Goods and Technology

Export permits are required when controlled goods or technology are transhipped through Australia. Transshipment occurs when items are brought to Australia on a ship or aircraft, and the items are transferred to another ship or aircraft which departs Australia for the subsequent destination.

Certain technologies, including software, relating to controlled items require an export permit. If you will be providing further software releases or patches, these may be controlled. You must tell us about these so we can assess if you will require permit. In the details, you should explain the function of this software or firmware, including if it will provide an additional capability or if it incorporates encryption.

Information on the factors that we consider when assessing if items may have a 'military end-use' are listed in the Frequently Asked Questions of our website.

Select the option which best describes why the goods or technology will be exported or supplied *

- ☐ For use by the consignee or end user
- ☒ Academic research or international collaboration efforts
- ☐ To be on-sold by a distributor or retailer
- ☐ Temporary basis - demonstration or exhibit
- ☐ Temporary basis - use in a shooting competition or recreational activity
- ☐ Being returned to the Original Equipment Manufacturer or their agent (includes for repair, or at the expiration of the original equipment)
- ☐ Expiration of a foreign Government temporary export license
- ☐ Being returned to the owner after repair, modification, demonstration or exhibition in Australia
- ☐ Being exported or supplied under a Defence contract
- ☐ For integration into a larger assembly and subsequent return to Australia
- ☐ For tender evaluation or testing
- ☐ Transshipment of controlled items through Australia
- ☐ Other

Will you be exporting or supplying future software or firmware releases? *

- ☒ No
- ☐ Yes

What is the expected expiry date of your contract or project?

Expected expiry date *

30/04/2018

What is the name/title of your project or contract?

Document (e.g. contract) identifier *

Sale of Customised Product Agreement

You must attach a copy of your supporting documentation with your application.

Export Details

Typically tangible items are exported when sent overseas by ship, aircraft, post, courier, or as checked-in or hand-held luggage. It includes software and technology, such as diagrams and notes, that are sent overseas in a medium such as CD, DVD, USB, computer hard drive or on paper.

Exports can be permanent (eg for sale to a foreign buyer), or temporary (eg for demonstration, exhibition, use at a conference or workshop, repair by the original equipment manufacturer, or for competition and sporting activities).

Will any of the goods or technology be exported?

- ☒ No
- ☐ Yes

Supply Details

Methods of supplying software or technology can include, but is not limited to:

- ☐ email
- ☐ fax
- ☐ electronic messaging (SMS, MMS)
- ☐ uploading software or technology to a server
- ☐ document sharing or online collaboration tools
- ☐ cloud computing

It can also include providing access through the forwarding of a login ID and password, or a link to a server or cloud facility that contains software or technology, and at the time of providing the access, the recipient is not in Australia.

If you believe the recipient already has knowledge of the software or technology being supplied, this is still a 'supply'.

Will any technology be supplied by intangible means?

- ☐ No
☒ Yes

What is the expected date of supply (if known)?

s47G

Over what period of time will the supply occur (if known)?

s47G

How will the technology be supplied?

- ☒ Email
☐ Fax
☒ Made available for download from website owned by applicant
☐ Made available for download via site not owned by applicant
☐ Made available for download from a secure or restricted access server or cloud facility
☐ Other, please specify (Max 1,000 Characters)

Co-Applicant Details

In this section, you can apply on behalf of other individuals or organisations (co-applicants). Each co-applicant will receive their own versions of the permits you are issued; listing them as the permit holder.

Co-applicants will need to be separately registered with DECS to be issued a permit.

The contact for each co-applicant you nominate will receive a copy of this application when it is submitted to Defence Export Controls. On receipt of an application, Defence Export Controls will email each contact to obtain confirmation that the co-applicant is to be part of this application.

Further information regarding multi-party (Project) permits is available at www.defence.gov.au/ExportControls.

Are you applying on behalf of other individuals or organisations who will require a duplicate version of your permit?

- ☒ No
☐ Yes

Consignee Details

A "consignee" is usually a third party, or an intermediary, who is part of the supply chain for the export of goods, or they could be the end user of the goods. A "consignee" is less likely to be involved in the supply of technology.

If you are exporting the goods for your own use overseas, or will retain control of goods exported temporarily, your name and overseas contact details must be provided in this section.

Post Office boxes are not acceptable.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

Name *	Number and Street Name	Suburb/Town	State
China Electronic Technology Corp			

Postcode	Country *	Contact - Name	Contact - Phone
	CHINA		
Contact - Fax	Contact - Email	Contact - Website	Contact - Position or Title

Add Consignee

End-User/Recipient Details

The End-User/Recipient will be the persons, companies or research/tertiary institutions that will receive and/or use the goods and technology. In most cases, the End-User / Recipient will be located overseas at the time the export or supply occurs.

For items being sent overseas for repair, maintenance or testing, the End-User will usually be the name of the Australian owner of the goods or the entity the goods will be returned to.

If the End-User/Recipient is a large organisation, government agency or institution, you should identify the department or section within the larger entity, eg "School of Engineering, Knoxside University". If the names of the End-Users are unknown, such as when items are sent to a distributor, then enter "Unknown" in the Name field. If you will use the goods overseas, include your details.

Post Office boxes are not acceptable.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

Name *	Number and Street Name	Suburb/Town	State
China Electronic Technology Corp			
Postcode	Country *	Contact - Name	Contact - Phone
	CHINA		
Contact - Fax	Contact - Email	Contact - Website	Contact - Position or Title

Add End-User

Consignee/End-User/Recipient Questions

To conduct our assessment of your application, we need to understand what you know about the parties who will be receiving the goods and technology, and how they intend to use them.

If your application includes the export of goods or technology, you should submit an applicable End-Use Certificate, Statement by Ultimate Consignee or Purchaser, Import Permission issued by the foreign government, Work Order, Repair Order or Purchase Order.

Is the consignee/end-user/recipient in an associated/related industry to you?

- ☒ No
☐ Yes

Have you exported or supplied goods or technology to the consignee/end-user/recipient previously?

- ☒ No
☐ Yes

Will the goods or technology be used for military purposes?

Goods will be used for military purposes "if the goods are or may be for use in operations, exercises or other activities conducted by an armed force or an armed group, whether or not the armed force or armed group forms part of the armed forces of the government of a foreign country".

- ☒ No
☐ Yes

How will the end-user/recipient utilise these items and/or technology? (Max 1,000 Characters)

s47G

Do you have evidence from the end-user/recipient verifying how they will use the goods or technology, or the purpose for which they are receiving the goods or technology?

- ☒ No
- ☐ Yes, you must attach evidence with your application

Third Party/Foreign Government Approvals

Some countries have strict requirements on the re-export of goods they permit to be exported. One example is the United States of America. Prior to submitting your application, you should check with your supplier to confirm whether your items are subject to any requirement to obtain approval for re-export of the items.

If approval is required, you should submit evidence of that Third Country clearance. These may include documents such as a:

- Technical Assistance Agreement (TAA)
- Manufacturing Licence Agreement (MLA)
- Foreign Military Sale documentation
- a US DSP-5
- Government approval letter
- Warehouse and Distribution Licence, or
- Foreign export licence.

Are the goods or technology, including any embedded technology, data or equipment, subject to re-export controls by a foreign government, such as the United States International Traffic in Arms Regulations (ITAR) or the United States Export Administration Regulations (EAR)?

Note: Third Party clearances must be attached to this application *

- ☒ No
- ☐ Yes, specify the country

Were the goods or technology previously subject to the Australian-US Defense Trade Cooperation Treaty? *

- ☒ No
- ☐ Yes, what is the Approved Community Identification (ACID) number for this facility?

Activity Related to Australian Government Business

You must tell us if the goods or technology are owned, or were supplied to you, by the Australian Government. The provision of Government contact details will allow us to determine if approval is required from another part of the Australian Government before we can finalise our assessment.

Is the export or supply of the goods and technology related to Australian Government business? *

- ☒ No
- ☐ Yes

Further Information

If there is any further information that you believe we should know about in assessing your application, and we have not asked you about it, you should provide those details here. If there is insufficient space you can include those details as an attachment to your application.

Do you wish to provide additional information in support of your application? *

- ☒ No
- ☐ Yes

Statement by Applicant

ACKNOWLEDGE

In applying to the Department of Defence, you consent that the information provided in this application may be provided to other Australian Government agencies.

Any person who makes a false or misleading statement in an application may be prosecuted for an offence under Section 136.1 of the *Criminal Code Act 1995*. If found guilty, penalties (including imprisonment) may be imposed by the court.

STATEMENT BY APPLICANT

I certify that the information in this application is true and correct. * ☒

I will promptly notify Defence Export Controls of any changes relating to the information provided in this application. * ☒

Use contact person details from section one? ☒

First Name *

Namrata

Last Name *

Ghanshamdas

Position/Title *

Defence Trade Compliance Officer

Email *

dtc@uts.edu.au

Contact Phone Number *

02 9514 9616

Date (Auto-completed on submission)

08/03/2017

Submit



Australian Government

Department of Defence

DEC03 – END USE STATEMENT

End User (i.e. the person/company that will receive and use the goods and/or technology)

We request that this statement, filed by the applicant listed on page 2, be considered as part of the *Application to Export or Supply Controlled Goods and Technology* for export of the goods and/or technology described below.

Company Name China Electronic Technology Corporation 54th Research Institute	
Physical Address - where the goods will be delivered (PO Box not acceptable) 589, ZhongShan West Road, City of ShiJiaZhuang, HeBei Province, China	
Phone number +86 (311)-86928161	Email address and/or website s47F
What is the nature of your usual business? (eg distributor, manufacturer, wholesaler, research) Research	
What is your business relationship with the Applicant? (eg distributor, wholesaler, regular customer) Research Collaborator	
How long has your business relationship with the Applicant existed? 2 years	

Goods / Technology

We, the End User, have placed or may place orders for the following goods and/or technology with the Applicant listed on page 2.

Quantity	Description	Value \$AUD
s47G		
What will you, as the End User, use the goods and/or technology for? s47G		
Are the goods and/or technology above being supplied by intangible means? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Intangible supply can include email, fax, video conferencing, providing access to electronic files, sharing information through a cloud or document sharing tools – refer to Defence Export Controls website for more information www.defence.gov.au/deco/Supply.asp#tools		

Consignee (a third party/intermediary who is a part of the supply chain for the export of goods and/or technology for example, a distributor or a transport company. If the goods will be sent directly to the End User, please write 'not applicable'.)

Company Name s47G	
Physical Address (DO NOT put acceptable) s47G	
Phone number s47G	Company Seal (if available)
Email address and/or website s47G	

Certification by End User

- I certify that all details provided in this statement are correct to the best of my knowledge.
- I certify that the imported goods and/or technology will not be diverted or re-exported for any reason, unless approval has been granted by the Australian Government to the Applicant listed below.
- Where I believe or suspect that the goods and/or technology will or may potentially be used in a weapons of mass destruction (WMD) program, or for military end use, I will immediately contact Defence Export Controls on +61 2 6266 7222 or via email exportcontrols@defence.gov.au

Name s47F	Position within Company Associate Director
Signature s47F	Company Seal (if available)
Date 2017.3.23	

Certification by Applicant (i.e. the Australian exporter)

- I certify that no corrections, additions or alterations were made on this document after it was signed by the End User.
- I certify that I will obtain the consent of the Australian Department of Defence before authorising the End User to re-export the goods and/or technology to another destination or End User.
- Where I believe or suspect that the goods and/or technology will or may potentially be used in a weapons of mass destruction (WMD) program, or for military end use, I will immediately contact Defence Export Controls on 1800 661 066 or via email exportcontrols@defence.gov.au

Name s47F	Position within Company Associate Professor, Project Leader
DC	Company Seal (if available)
Sig	
Date 24/03/17	

E-mail

Application To Expo...

Received / Sent Date 8/03/2017 12:38 PM

E-mail


From

 Yamini Sandiran

To

 Defence Export Controls Applications

Cc

 Ye Lee;  Ye Lee

Bcc

Subject

Application To Export Controlled Goods and Technology

Regarding

 2017114582Security
ClassificationDissemination
Limitation Marker

Hello,

Please find attached an application and supporting documentation. I would appreciate it, if it can be done on a urgent basis.

Kind regards,
Nam.

Namrata Ghanshamdas

Senior Administrative Officer (Contracts) and Defence Trade Controls Compliance Officer

Research and Innovation Office

Level 14, Building 1, Broadway Campus | University of Technology, Sydney

15-73 Broadway NSW 2007

T: +612 9514 9616 | E: namrata.ghanshamdas@uts.edu.au | W: uts.edu.au

Think. Change. Do

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Research Message of the Month: The 2016 Research Outputs Collection is closing in March. Make sure your record is up to date in Symplectic. Advice on how to do this is available on Staff Connect.

NOTE: If you have nominated co-applicants in the application form, they have been cc'd on this

email and will receive a copy of the application.

Before submitting this application you should save a copy for your own records. If you have created a separate spreadsheet file for the purposes of listing multiple items for inclusion in your application, you must attach this file.

As well as your application, you should attach any supporting documentation that is required. This may include:

- * Technical specifications and/or brochures;
- * Purchase Order;
- * Firearms licence and/or registration certificate;
- * End-User Certificates or Statements;
- * Foreign government import/export approvals;
- * Government approval to release classified material;
- * Any outcome documents obtained from assessments conducted on the Online DSSL Tool;
- * Spreadsheet listing "Bulk Line Items";
- * Evidence of an intention to demonstrate the goods or technology (such as an invitation to display); and/or
- * Additional information or statements

NOTE: You should not attach any Australian Government security-classified material to this email. Please contact Defence Export Controls to discuss how to transmit any classified material if required.

Once your application has been successfully received, you will be advised via email of the reference number for your application

UTS CRICOS Provider Code: 00099F DISCLAIMER: This email message and any accompanying attachments may contain confidential information. If you are not the intended recipient, do not read, use, disseminate, distribute or copy this message or attachments. If you have received this message in error, please notify the sender immediately and delete this message. Any views expressed in this message are those of the individual sender, except where the sender expressly, and with authority, states them to be the views of the University of Technology Sydney. Before opening any attachments, please check them for viruses and defects. Think. Green. Do. Please consider the environment before printing this email.

Attachments

E-Mail Attachments		Activity	Attachment	Associated View
<input type="checkbox"/>	File Name			File Size (Bytes)
<input type="checkbox"/>	s22			65,505
<input type="checkbox"/>	SmartForm.pdf			1,125,222
1 - 2 of 2 (0 selected)				
				Page 1

Notes

Details

Owner	 svc_decs_System Account	Priority	Normal
Duration		Folder	

Due**Referral****Risk Assessment****Status Reason****Received****Project****Direction****Incoming****Received / Sent Date** 8/03/2017 12:38 PM**Report**

The report is loading

Status Reason**Received**

E-mail

RE: HPRM: Request...

Received / Sent Date 17/03/2017 4:14 PM

E-mail

From

 Yamini Sandiran

To

 Defence Export Controls;  Namrata Ghanshamdas;  Samantha McCourtie; 
University of Technology Sydney;  Yamini Sandiran

Cc

Bcc

Subject

RE: HPRM: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

Regarding

 2017114582

Security

Classification

Dissemination

Limitation Marker

Dear Timothy,

Please see attached for response from the CI regarding your query.

*Kind regards,
Nam.*

Namrata Ghanshamdas

Senior Contracts Officer and Defence Trade Controls Compliance Officer
Research and Innovation Office

Level 14, Building 1, Broadway Campus | University of Technology, Sydney

15-73 Broadway NSW 2007

T: +612 9514 9616 | E: namrata.ghanshamdas@uts.edu.au | W: uts.edu.au

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cid:image001.png@0
1CEE2F.5A205710cid:i
mag
e00
2.pncid:i
mag
e00
3.pnDescription:
http://www.mcu.uts.edu.au/images/intranet_white*Please consider the environment before printing this email*

Research Message of the Month: The 2016 Research Outputs Collection is closing in March. Make sure your record is up to date in [Symplectic](#). Advice on how to do this is available on [Staff Connect](#).

From: Defence Export Controls [mailto:ExportControls@defence.gov.au]
Sent: Friday, 17 March 2017 3:14 PM
To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Cc: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: HPRM: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

UNCLASSIFIED

Dear Sir/Madam,

I refer to your application, reference number 2017114582, submitted on 8/03/2017.

s47G

The requested information should be sent with reference number #2017114582 in the subject line of your email response to us.

**Yours sincerely,
Timothy O'Sullivan**

**Defence Export Controls
R1-1-A037
PO Box 7901
CANBERRA BC ACT 2610**

Tel: 1800 66 10 66

Email: exportcontrols@defence.gov.au

Website: www.defence.gov.au/ExportControls

UTS CRICOS Provider Code: 00099F **DISCLAIMER:** This email message and any accompanying attachments may contain confidential information. If you are not the intended recipient, do not read, use, disseminate, distribute or copy this message or attachments. If you have received this message in error, please notify the sender immediately and delete this message. Any views expressed in this message are those of the individual sender, except where the sender expressly, and with authority, states them to be the views of the University of Technology Sydney. Before opening any attachments, please check them for viruses and defects. Think. Green. Do. Please consider the environment before printing this email.

Attachments

 E-Mail Attachments Activity Attachment Associated View	
<input type="checkbox"/> File Name	File Size (Bytes)
<input type="checkbox"/> image001.png	3,726

<input type="checkbox"/>	image002.png	1,341
<input type="checkbox"/>	image003.png	1,638
<input type="checkbox"/>	image004.png	2,412
<input type="checkbox"/>	image005.jpg	810
<input type="checkbox"/>	RE Request for further information regarding application...	32,238
1 - 6 of 6 (0 selected)		Page 1

Notes

Details

Owner	 svc_decs_System Account	Priority	Normal
Duration		Folder	
Due		Referral	
Risk Assessment		Status Reason	Received
Project	 Sale of Customised Product Agreement	Direction	Incoming
Received / Sent Date 17/03/2017 4:14 PM			

Report

The report is loading

Status Reason

Received

Cretni, Ivan MR

From: s47F
Sent: Friday, 17 March 2017 4:08 PM
To: Defence Trade Controls Compliance Officer
Subject: RE: Request for further information regarding application #2017114582 [SEC=UNCLASSIFIED]

Hi Nam,

s47G

s47F

From: Namrata Ghanshamdas **On Behalf Of** Defence Trade Controls Compliance Officer
Sent: Friday, 17 March 2017 4:06 PM
To: s47F
Subject: FW: Request for further information regarding application #2017114582 [SEC=UNCLASSIFIED]

Hi s47F

Please see below for the email I have received from the DECO. Can you please answer by 31/3 as requested?

*Kind regards,
Nam.*

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls Compliance Officer
Research and Innovation Office
Level 14, Building 1, Broadway Campus | University of Technology, Sydney
15-73 Broadway NSW 2007
T: +612 9514 9616 | E: namrata.ghanshamdas@uts.edu.au | W: uts.edu.au

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Research Message of the Month: The 2016 Research Outputs Collection is closing in March. Make sure your record is up to date in [Symplectic](#). Advice on how to do this is available on [Staff Connect](#).

From: Defence Export Controls [<mailto:ExportControls@defence.gov.au>]

Sent: Friday, 17 March 2017 3:14 PM

To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>

Cc: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>

Subject: Request for further information regarding application #2017114582 [SEC=UNCLASSIFIED]

UNCLASSIFIED

Dear Sir/Madam,

I refer to your application, reference number 2017114582, submitted on 8/03/2017.

In order for Defence to progress the assessment of your application, you are required to supply the following information:

s47G

The requested information should be sent with reference number #2017114582 in the subject line of your email response to us.

Yours sincerely,
Timothy O'Sullivan

Defence Export Controls
R1-1-A037
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: exportcontrols@defence.gov.au

Website: www.defence.gov.au/ExportControls

E-mail

RE: FW: Request for...

Received / Sent Date 20/04/2017 9:37 AM

E-mail

From  Defence Export Controls

To  s47F ;  Defence Export Controls

Cc  Namrata Ghanshamdas;  Samantha McCourtie;  University of Technology Sydney;  Yamini Sandiran

Bcc

Subject RE: FW: Request for further information regarding application #2017114582 [SEC=UNCLASSIFIED]

Regarding  2017114582

Security Classification  **Dissemination Limitation Marker**

Dear s47F

Thank you for your email below, I believe we have sufficient information to make our assessment now and I hope to have a response to you as soon as possible.

Yours sincerely,

Ye Lee

Defence Export Controls
R1-1-A037
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: ExportControls@defence.gov.auInternet: www.defence.gov.au/ExportControls

----- Original Message -----

From: s47F
Received: 19/04/2017 10:38 AM
To: Defence Export Controls
Cc: Namrata Ghanshamdas; Samantha McCourtie; University of Technology, Sydney; Yamini Sandiran
Subject: RE: FW: Request for further information regarding application #2017114582

[SEC=UNCLASSIFIED]

Dear Ye,

Could you please let me know if any more clarification is needed? Otherwise, it would be greatly appreciated if you could process our permit at your earliest convenience. Our contracting with the customer has been delayed by quite some time.

Best Regards,
s47F

From: s47F
Sent: Tuesday, 11 April 2017 6:32 PM
To: 'Defence Export Controls' <ExportControls@defence.gov.au>
Cc: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: RE: FW: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

Dear Ye,

s47G

All of our information to be provided will be available from the public domain. We will not get involved in developing any of the hardware components, certainly not any of the items that you listed in your email below.

Best Regards,
s47F

From: Defence Export Controls [<mailto:ExportControls@defence.gov.au>]
Sent: Tuesday, 11 April 2017 5:30 PM
To: s47F Defence Export Controls
<ExportControls@defence.gov.au>
Cc: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: RE: FW: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

Dear s47F ,

s47G

s47G

For more information, please consult <https://dsgl.defence.gov.au/dsglcontent/Pages/3A001.aspx>

Yours sincerely,

Ye Lee

Defence Export Controls
R1-1-A037
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: ExportControls@defence.gov.au

Internet: www.defence.gov.au/ExportControls

----- Original Message -----

From: s47F

Received: 11/04/2017 11:32 AM

To: Defence Export Controls

Cc: Namrata Ghanshamdas; Samantha McCourtie; University of Technology, Sydney;
Yamini Sandiran

Subject: RE: FW: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

Hi Ye,

Thanks for your call.

The reference number for the CSIRO application is s47G

I have the original permits and can send them to you if you need.

Attached is a document briefly describing a two-stage project between UTS and CETC54. The current application, as well as our current research contract with CETC54, is for the first-stage as described in the project.

Best Regards,
s47F

From: Defence Export Controls [<mailto:ExportControls@defence.gov.au>]

Sent: Tuesday, 11 April 2017 11:18 AM

To: s47F

Defence Export Controls

<ExportControls@defence.gov.au>

Cc: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>

Subject: RE: FW: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

Dear s47F

Thank you for your time on the phone this morning. As discussed, it would be much appreciated if you could please provide the following information:

- the case reference number for your previous application with CSIRO to export goods to CETC54
- documents detailing the current project between UTS and CETC54, and any documentation outlining future collaboration.

Once I have received this information I will progress your permit as soon as possible.

Thank you for your assistance, please don't hesitate to contact me if you have any questions.

Yours sincerely,

Ye Lee

Defence Export Controls
R1-1-A037
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: ExportControls@defence.gov.au

Internet: www.defence.gov.au/ExportControls

----- Original Message -----

From: s47F

Received: 10/04/2017 11:17 AM

To: Defence Export Controls

Subject: RE: FW: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

Hi Ye,

I can be better contacted via mobile s47F . Could you please help to process our application at your earliest convenience? It has been more than one month since we submitted the application.

This project is basically an extension of a previous project that I completed in 2016 with CETC54 when I was in CSIRO. We applied and received export control permit for that project at that time.

Best Regards,
s47F

From: Namrata Ghanshamdas On Behalf Of Defence Trade Controls Compliance Officer
Sent: Thursday, 6 April 2017 11:03 AM
To: Defence Export Controls <ExportControls@defence.gov.au>
Subject: RE: FW: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

Hi Ye

That makes perfect sense! Please find below S4 details.

s47F

s47F

Title

Position

Department

Phone

Fax

Email

*Kind regards,
Nam.*

[Namrata Ghanshamdas](#)
[Senior Contracts Officer and Defence Trade Controls](#)
[Compliance Officer](#)
[Research and Innovation Office](#)
[Phone: +61 \(0\) 2 9514 9616](#)
[Email: namrata.ghanshamdas@uts.edu.au](mailto:namrata.ghanshamdas@uts.edu.au)
[University of Technology Sydney](#)
[CB01.14.22, Building 1, City Campus](#)
[PO Box 123, Broadway NSW 2007](#)

-
[Think. Change. Do](#)

[Please consider the environment before printing this email](#)

-

-
From: Defence Export Controls [<mailto:ExportControls@defence.gov.au>]
Sent: Thursday, 6 April 2017 10:58 AM

To: Defence Export Controls <ExportControls@defence.gov.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>

Subject: RE: FW: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

-

Hi Nam,

Thank you for your email. I would like to speak with s47F directly as I have a few questions and S seems like the best person to ask. Can you please pass on s4 phone number and I will clarify a few things with s4

-

Yours sincerely,

Ye Lee

Defence Export Controls

R1-1-A037

PO Box 7901

CANBERRA BC ACT 2610

-

Tel: 1800 66 10 66

Email: ExportControls@defence.gov.au

Internet: www.defence.gov.au/ExportControls

-

----- Original Message -----

From: Yamini Sandiran

Received: 5/04/2017 10:55 AM

To: Defence Export Controls

Subject: FW: Request for further information regarding application #2017114582

[SEC=UNCLASSIFIED]

Hi Ye,

Please see response below.

-

Kind regards,

Nam.

-

-

-

Namrata Ghanshamdas

Senior Contracts Officer and Defence Trade Controls

Compliance Officer

Research and Innovation Office

Phone: +61 (0) 2 9514 9616

Email: namrata.ghanshamdas@uts.edu.au

[University of Technology Sydney](#)
[CB01.14.22, Building 1, City Campus](#)
[PO Box 123, Broadway NSW 2007](#)

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-
[Research Message of the Month: The 2016 Research Outputs Collection is closing in March. Make sure your record is up to date in Symplectic. Advice on how to do this is available on Staff Connect.](#)

-
-
-
-

From: s47F
Sent: Wednesday, 5 April 2017 10:05 AM
To: [Defence Trade Controls Compliance Officer <dtc@uts.edu.au>](mailto:dtc@uts.edu.au)
Subject: [RE: Request for further information regarding application #2017114582](#)
[\[SEC=UNCLASSIFIED\]](#)

-
[Yes, there could be further collaborations in this area.](#)

-
s47F

From: [Namrata Ghanshamdas On Behalf Of Defence Trade Controls Compliance Officer](#)
Sent: Wednesday, 5 April 2017 10:00 AM
To: s47F
Subject: [FW: Request for further information regarding application #2017114582](#)
[\[SEC=UNCLASSIFIED\]](#)

-
Hi s47F
[Please respond to the below.](#)

-
[Kind regards,](#)
[Nam.](#)

-
-

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls
Compliance Officer
Research and Innovation Office
Phone: +61 (0) 2 9514 9616
Email: namrata.ghanshamdas@uts.edu.au
University of Technology Sydney
CB01.14.22, Building 1, City Campus
PO Box 123, Broadway NSW 2007

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Research Message of the Month: The 2016 Research Outputs Collection is closing in March. Make sure your record is up to date in [Symplectic](#). Advice on how to do this is available on [Staff Connect](#).

From: Defence Export Controls [<mailto:ExportControls@defence.gov.au>]
Sent: Tuesday, 4 April 2017 4:12 PM
To: Defence Export Controls <ExportControls@defence.gov.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: RE: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

Dear Nam,

Thank you for the signed document, much appreciated. Can you please clarify if UTS intends to continue this research collaboration with CETC and if any more exports are likely to occur?

Yours sincerely,

Ye Lee

Defence Export Controls
R1-1-A037
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66
Email: ExportControls@defence.gov.au
Internet: www.defence.gov.au/ExportControls

----- Original Message -----

From: Yamini Sandiran
Received: 24/03/2017 10:37 AM
To: Defence Export Controls
Subject: RE: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

Dear Ye,
Please find attached the completed form.

Kind regards,

Nam.

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls Compliance Officer
Research and Innovation Office
Level 14, Building 1, Broadway Campus | University of Technology, Sydney
15-73 Broadway NSW 2007
T: +612 9514 9616 | E: namrata.ghanshamdas@uts.edu.au | W: uts.edu.au

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Research Message of the Month: The 2016 Research Outputs Collection is closing in March. Make sure your record is up to date in [Symplectic](#). Advice on how to do this is available on [Staff Connect](#).

From: Defence Export Controls [<mailto:ExportControls@defence.gov.au>]
Sent: Thursday, 23 March 2017 4:53 PM
To: Defence Export Controls <ExportControls@defence.gov.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: RE: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

Dear Nam,

Thanks for your email below. With regards to the Certification by Applicant sections, it will need to be filled out by the owner of the goods, so in this case a relevant person in UTS.

I have a few questions regarding this export, grateful for your advice on the following:

- Is this sale the result of a collaboration between UTS and the Chinese end user CETC54? If so, is this an ongoing collaboration?
- Do you know what the goods will be used for?
- Will there be future exports as part of this project?

Please note I will be out of the office for the next few days. If you have any questions please respond via email and one of my colleague can assist.

Many thanks.

Yours sincerely,

Ye Lee

Defence Export Controls

R1-1-A037
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66
Email: ExportControls@defence.gov.au
Internet: www.defence.gov.au/ExportControls

----- Original Message -----

From: Yamini Sandiran
Received: 23/03/2017 1:06 PM
To: Defence Export Controls
Subject: RE: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

Dear Ye,
The form as you mentioned below has been filled, can you please let me know who needs to sign the certification of applicant section? Is the CI or someone from the University?

*Kind regards,
Nam.*

Namrata Ghanshamdas
Senior Contracts Officer and Defence Trade Controls Compliance Officer
Research and Innovation Office
Level 14, Building 1, Broadway Campus | University of Technology, Sydney
15-73 Broadway NSW 2007
T: +612 9514 9616 | E: namrata.ghanshamdas@uts.edu.au | W: uts.edu.au

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Please consider the environment before printing this email

Research Message of the Month: The 2016 Research Outputs Collection is closing in March. Make sure your record is up to date in [Symplectic](#). Advice on how to do this is available on [Staff Connect](#).

From: Defence Export Controls [<mailto:ExportControls@defence.gov.au>]
Sent: Tuesday, 21 March 2017 2:11 PM
To: Defence Export Controls <ExportControls@defence.gov.au>; Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: RE: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]

Dear Nam,

Thank you for the speedy response. Noting that the China Electronic Technology Corp 54th Research Institute is new to DEC, can you please seek an End User Statement from CETC54 to verify their details. You can find a copy of the form here:

<http://www.defence.gov.au/ExportControls/Master/docs/DEC03-Statement-by-Ultimate-Consignee-or-Purchaser.pdf>

Please ensure that both UTS and CETC54 sign off on the document.

If you have any questions please don't hesitate to contact me.

Yours sincerely,

Ye Lee

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R1-1-A037
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: ExportControls@defence.gov.au

Internet: www.defence.gov.au/ExportControls

----- Original Message -----

From: Yamini Sandiran

Received: 21/03/2017 11:33 AM

To: Defence Export Controls

**Subject: RE: Request for further information regarding application #2017114582
[SEC=UNCLASSIFIED]**

Dear Ye,

Please find attached response from the CI regarding the query.

*Kind regards,
Nam.*

Namrata Ghanshamdas

Senior Contracts Officer and Defence Trade Controls Compliance Officer

Research and Innovation Office

Level 14, Building 1, Broadway Campus | University of Technology, Sydney

15-73 Broadway NSW 2007

T: +612 9514 9616 | E: namrata.ghanshamdas@uts.edu.au | W: uts.edu.au

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From: Defence Export Controls [<mailto:ExportControls@defence.gov.au>]
Sent: Tuesday, 21 March 2017 10:07 AM
To: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Cc: Defence Trade Controls Compliance Officer <dtc@uts.edu.au>
Subject: Request for further information regarding application #2017114582 [SEC=UNCLASSIFIED]

UNCLASSIFIED

Dear Madam,

I refer to your application, reference number 2017114582, submitted on 8/03/2017.

In order for Defence to progress the assessment of your application, you are required to supply the following information:

s47G

The requested information should be sent with reference number #2017114582 in the subject line of your email response to us.

Yours sincerely,
Ye Lee

Defence Export Controls
R1-1-A037
PO Box 7901
CANBERRA BC ACT 2610

Tel: 1800 66 10 66

Email: exportcontrols@defence.gov.au

Website: www.defence.gov.au/ExportControls

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Attachments

 E-Mail Attachments Activity Attachment Associated View	
<input type="checkbox"/> <u>File Name</u>	<u>File Size (Bytes)</u>
No E-Mail Attachment records are available in this view.	
0 - 0 of 0 (0 selected)	
Page 1	

Notes

Details

Owner	 svc_decs_System Account	Priority	Normal
Duration		Folder	
Due		Referral	
Risk Assessment	 Risk Assessment by Ye Lee	Status Reason	Received
Project	 Sale of Customised Product Agreement	Direction	Incoming
Received / Sent Date 20/04/2017 9:37 AM			

Report

The report is loading

Status Reason

Received

Cretni, Ivan MR

From: s47F
Sent: Tuesday, 21 March 2017 10:51 AM
To: 'Defence Trade Controls Compliance Officer'
Subject: RE: Request for further information regarding application #2017114582 [SEC=UNCLASSIFIED]

Hi Nam,

s47G

s47F

From: Namrata Ghanshamdas **On Behalf Of** Defence Trade Controls Compliance Officer
Sent: Tuesday, 21 March 2017 10:47 AM
To: s47F
Subject: FW: Request for further information regarding application #2017114582 [SEC=UNCLASSIFIED]

Hi s47F

Can you please respond to the below?

Thank you,
Nam

From: Defence Export Controls [<mailto:ExportControls@defence.gov.au>]
Sent: Tuesday, 21 March 2017 10:07 AM
To: Defence Trade Controls Compliance Officer <dte@uts.edu.au>
Cc: Defence Trade Controls Compliance Officer <dte@uts.edu.au>
Subject: Request for further information regarding application #2017114582 [SEC=UNCLASSIFIED]

UNCLASSIFIED

Dear Madam,

I refer to your application, reference number 2017114582, submitted on 8/03/2017.

In order for Defence to progress the assessment of your application, you are required to supply the following information:

s47G

The requested information should be sent with reference number #2017114582 in the subject line of your email response to us.

Yours sincerely,

Ye Lee

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