



IMPORTANT INFORMATION

Sanctions are coercive or punitive measures imposed by governments as a means of influencing regimes to alter their behaviour. Australia imposes two main types of sanctions:

- multilateral sanctions (based on resolutions made by the United Nations Security Council)
- autonomous Australian sanctions

Sanctions impose restrictions on activities related to designated individuals and entities, with designated products, or in designated locations. A number of university activities may give rise to risks under sanctions laws. This form addresses these risks in the context of research training activities.

Western Sydney University and individual staff could be liable for breaching these sanctions¹ if they are unable to demonstrate that they have taken 'reasonable precautions' and 'exercised due diligence' in the development and implementation of autonomous sanctions related policies, procedures and educational/training programs. These criminal law penalties (fines and gaol) are significant.

The purpose of this form is to record the risk assessment of an application for admission to a Higher Degree Research program in order to ensure compliance with the Charter of the United Nations (UN Sanction Enforcement Law) Declaration 2008, the Australian Autonomous Sanctions Act (Cth) 2011 and the Autonomous Sanctions Regulations (Cth) 2011. More information about autonomous sanctions is available from the Department of Foreign Affairs and Trade (DFAT) at <http://dfat.gov.au/international-relations/security/sanctions/Pages/sanctions.aspx>

WHO CONDUCTS THE ASSESSMENT?

All proposed or nominated supervisors must be involved in this assessment of applications from citizens of sanctioned countries. Supervisors must sign this assessment form and the form must be endorsed by the Higher Degree Research (HDR) Director, the Dean/Institute Director and Research Studies Committee.

¹ These offences are punishable for individuals by up to 10 years in prison, and/or a fine the greater of 2500 penalty units (\$525,000 as of 1 July 2017) or three times the value of the transaction. They are punishable for bodies corporate by a fine the greater of 10,000 penalty units (\$2.1 million as of 1 July 2017) or three times the value of the transaction.

SECTION A: APPLICATION DETAILS

Student ID number

Title Family name

Given name(s)

The applicant is a citizen of the following sanctioned country[†]

Is the applicant on the 'prohibited person and entry list'?

- Yes (you must decline the admission application at section D) No - have checked the list and the applicant's name (as it appears on this form) is not on the prohibited person and entry list.

Note: The prohibited person and entry consolidated list is available at <http://dfat.gov.au/international-relations/security/sanctions/Pages/consolidated-list.aspx>

Does the applicant hold a scholarship or receive financial support from an institution/government located in a sanctioned country or a person listed on the prohibited person and entry list?

- Yes (please indicated which country/prohibited person below) No

Country/prohibited person

[†] The sanctions regimes currently implemented under Australian sanction laws are: Central African Republic, Counter-terrorism, Crimea and Sevastopol, Democratic People's Republic of Korea (North Korea), Democratic Republic of the Congo, Eritrea, Former Federal Republic of Yugoslavia, Guinea-Bissau, Iran, Iraq, ISIL (Da'esh) and Al-Qaida, Lebanon, Libya, Myanmar, Russia, Somalia, South Sudan, Sudan, Syria, The Taliban, Ukraine, Yemen, Zimbabwe. <http://dfat.gov.au/international-relations/security/sanctions/sanctions-regimes/Pages/sanctions-regimes.aspx>

SECTION B: RECOMMENDATION – OFFER OF ADMISSION

B2: The School/Institute of

wishes to offer this applicant:

- Admission only
- Admission and scholarship (i.e. we are supporting the applicant in consideration for scholarship or other financial support either through a fee waiver of tuition fees scholarship)

In the following degree program: PHD Masters by Research

B2: Title of proposed thesis

B3: Thesis description (please attach another sheet if necessary)

B4: External organisations

Does the proposed project involve or require any external organisations (e.g. in terms of funding, intellectual property, research collaboration, deliverables, etc)? If yes please provide details.

Yes

No

SECTION C: ASSESSMENT OF THE PROJECT AND THE RESEARCH ENVIRONMENT

C1: Is it possible that the research project may involve or lead to the use of, development of or training/technical advice in the use, development or maintenance of any of the following 'arms or related material'?

Yes (you must reject the application at section D) No

→ Tick any of the options that apply below:

- Weapons, ammunition, military vehicles and equipment
- Any spare parts or accessories for weapons, ammunition, military vehicles and equipment
- Paramilitary or law enforcement equipment (e.g. body armour, anti-riot gear, restraints etc)

C2: Is it possible that the research project may provide training in or lead to improvements to the use, manufacture or maintenance of any controlled goods listed in Appendix 1?

Yes (you must reject the application at section D) No

C3: Does the research project provide training in or lead to improvements in the use, extraction, manufacture or maintenance of any of the following?

- a. military or paramilitary items or items with a military or paramilitary application Yes No
- b. items with an application in nuclear, chemical or biological weapons programs or in the development of weapons delivery systems (such as missiles) Yes No
- c. technical training, advice, services or assistance (including financing and financial assistance, investment, brokering or other services and transfer of financial resources or services) related to: Yes No
1. the supply, manufacture, maintenance or use of such items
 2. military activities generally
- d. rough diamonds Yes No
- e. Iraqi cultural property or other items of archaeological, historical, cultural, rare scientific and religious importance illegally removed since August 1990 Yes No
- f. any goods on the Australia Group Common Control lists** Yes No

→ If you ticked 'Yes' to any of the above, you must reject the application at Section D.

Comments:

++ These lists include chemical weapons precursors, dual use chemical manufacturing facilities and equipment and related technology and software, dual use biological equipment and related technology and software, biological agents, plant agents, and animal pathogens.
<http://www.australiagroup.net/en/controllists.html>

While there may be some duplication with goods on the Defence and Strategic Goods List (DSGL) quick reference guide in Appendix 1, both of these lists should be consulted when assessing all applications for admission to a Higher Degree Research program.

C4: [ONLY COMPLETE IF APPLICANT IS A CITIZEN OF SYRIA]

Does the thesis provide training in or lead to improvements in the use, extraction, manufacture or maintenance of any of the following?

- a. gold, precious metals and diamonds Yes No
- b. any goods listed in Autonomous Sanctions (Export Sanctioned in Goods-Syria) Specification 2012*. Yes No
Available at <http://dfat.gov.au/international-relations/security/sanctions/sanctions-regimes/Pages/syria.aspx>
- c. newly printed or unissued Syrian denominated bank notes or newly minted or unissued Syrian denominated coinage Yes No

→ If you ticked 'Yes' to any of the above, you must reject the application at Section D.

Comments:

+ This document is subject to change and should be consulted when assessing all applications for admission to a Higher Degree Research program.

C5: [ONLY COMPLETE IF APPLICANT IS A CITIZEN OF IRAN]

Does the thesis provide training in or lead to improvements in the use, extraction, manufacture or maintenance of any of the following?

- a. gold, precious metals and diamonds Yes No
- b. any goods listed in Autonomous Sanctions (Export Sanctioned in Goods-Iran) Specification 2012^ Yes No
Available at <http://dfat.gov.au/international-relations/security/sanctions/sanctions-regimes/iran/pages/iran.aspx>
- c. newly printed or unissued Iranian denominated bank notes or newly minted or unissued Iranian denominated coinage Yes No

→ If you ticked 'Yes' to any of the above, you must reject the application at Section D.

Comments:

+ This document is subject to change and should be consulted when assessing all applications for admission to a Higher Degree Research program.

SECTION D: SUPERVISOR(S) DECLARATION AND SIGNATURE(S)

The signatures of the proposed supervisors are required below. Please choose from either option 1 (support) or option 2 (decline).

OPTION 1: Support admission application

I declare that:

- I am aware of the Australian Autonomous or United Nations Sanctions Regime and the HDR admissions and candidature management procedures and processes put in place by the University to ensure compliance with the regime
- I am aware that applicants who are subject to sanctions will not be approved as a candidate
- All information and assessments provided on or appended to this form are true and correct to the best of my knowledge, information and belief
- If the applicant is admitted, the thesis, thesis requirements and research environment will be monitored by me for compliance at confirmation of candidature and annual progress reviews
- Any proposed change in topic or supervision, or change to the status of this thesis, thesis requirements or research environment that may affect compliance with the Australian Autonomous or United Nations Sanctions Regime will be reported to the Delegated Authority and School Dean/Institute Director

Supervisor	Name	Staff ID number	School/Institute/External organisation	Signature
Principal supervisor				
Supervisor 2				
Supervisor 3				

OPTION 2: Decline admission application

I do not support admission to the University as I have answered yes to any question in section C.

Supervisor	Name	Staff ID number	School/Institute/External organisation	Signature
Principal supervisor				
Supervisor 2				
Supervisor 3				

SECTION E: HIGHER DEGREE RESEARCH DIRECTOR DECLARATION AND SIGNATURE

The signature of the Higher Degree Research Director is required below. Please choose from either option 1 (support) or option 2 (decline).

OPTION 1: Support admission application

I declare that:

- I am aware of the Australian Autonomous or United Nations Sanctions Regime and the HDR admissions and candidature management procedures and processes put in place by the University to ensure compliance with the regime
- The special assessment of the application has been completed in accordance with Western Sydney University procedures and processes by supervisors with the requisite methodological and theoretical expertise to provide a rigorous and meaningful risk assessment
- If the applicant is admitted, appropriate procedures and processes are in place to monitor the thesis, thesis requirements and research environment for compliance at confirmation of candidature and annual progress reviews
- Processes are in place to monitor any change in the status of this thesis, thesis requirements or research environment that may affect compliance with the Australian Autonomous or United Nations Sanctions Regime and to report any change to the Institute Director/Dean of School

Name School/Centre/Institute

Signature



Date

OPTION 2: Decline admission application

Upon reading the Australian Autonomous/United Nations Sanctions Regime and reflecting on the area of research in the proposed application, I do not support admission as I believe that the risk is too high for the institution.

Name School/Centre/Institute

Signature

SIGN HERE

Date

/ /

SECTION F: SCHOOL DEAN/INSTITUTE DIRECTOR DECLARATION AND SIGNATURE

The signature of the School Dean or Institute Director is required below. Please choose from either option 1 (support) or option 2 (decline).

OPTION 1: Support admission application

I declare that:

- I am aware of the Australian Autonomous or United Nations Sanctions Regime and the School/Institute has mechanisms in place to ensure that the HDR admissions and candidature management procedures and processes put in place by the University to ensure compliance with the regimes are being followed

Comments:

Name

Signature

SIGN HERE

Date

/ /

OPTION 2: Decline admission application

I am aware of the Australian Autonomous or United Nations Sanctions Regime and am not satisfied that we will be able to ensure compliance with the regimes. I therefore decline the application for admission.

Name

Signature

SIGN HERE

Date

/ /

SECTION G: RESEARCH STUDIES COMMITTEE APPROVAL

Recommend application is: Approved Declined

Name of Chair, RSC

Meeting (e.g. WESTERNRSC 06/13)

Signature

SIGN HERE

Date

/ /

RETURNING THIS FORM

Please return an approved copy of this form to grs.admissions@westernsydney.edu.au.
Electronic signatures are acceptable.

APPENDIX 1: DEFENCE AND STRATEGIC GOODS LIST (DSGL) QUICK REFERENCE GUIDE

On advice from the Department of Foreign Affairs and Trade (DFAT), Higher Degree Research projects involving nationals of countries on the United Nations (UN) and Australian Autonomous Sanctions (AS) lists should be assessed to determine whether they provide technical assistance or training that assists with the manufacture, maintenance or use of certain controlled goods.

There is no single list of controlled goods that applies to all sanctioned countries. Australian law gives effect to a variety of export control regimes including those related to 'arms and related materiel' in the Charter of the United Nations Regulations and the Autonomous Sanctions Regulations. In addition, there are country specific sanctions, regulations and controlled goods.

To assist with the special assessment of higher degree research applications, DFAT has indicated that the Defence and Strategic Goods List (DSGL) may be used as a proxy, in the first instance, for a comprehensive controlled goods list.

Below is a quick reference guide, which should be used to answer section C2 of this form. Please note the vast majority of controlled goods relevant to research projects carried out at the University will appear on the 'Part two: dual use goods list'. 'Part one: munitions list' has been included to provide a comprehensive overview.

The full DSGL is available at comlaw.gov.au/Details/F2011L02061 and may be consulted if staff assessing an application would like more detailed information on any of the goods listed in the quick reference guide.

Part one: munitions list

Military goods

ML1	<ul style="list-style-type: none"> Smooth bore weapons calibre <20mm Other weapons calibre < 12.7mm (calibre 0.50 inches) Components and accessories
ML2	<ul style="list-style-type: none"> Smooth bore weapons >20mm Other weapons calibre > 12.7mm (calibre 0.50 inches) Components and accessories
ML3	Ammunition and components for ML1, ML2 & ML12, Fuze settings for ML3
ML4	<ul style="list-style-type: none"> Bombs, torpedoes, rockets, missiles, other explosive devices and charges, components and accessories Equipment for launching, deploying, decoying, disruption, detection and jamming
ML5	<ul style="list-style-type: none"> Fire control systems, components and accessories and their countermeasure equipment Radar, surveillance, tracking systems, and their countermeasure equipment
ML6	Ground vehicles and components
ML7	Chemical or biological toxic agents, 'riot control agents', radioactive materials, related equipment, components, and materials
ML8	'Energetic materials' (explosives & chemicals) and related substances
ML9	Vessels of war, special naval equipment, accessories and components
ML10	Aircraft, unmanned airborne vehicles, aero-engines and aircraft equipment, and related equipment and components
ML11	Electronic equipment not controlled elsewhere in the Munitions List specially designed for military use
ML12	High velocity kinetic energy weapon systems and related equipment
ML13	Armour plate, body armour, and helmets and components
ML14	Simulators and training equipment
ML15	Imaging, infrared, thermal imaging and image intensifier equipment, and cameras
ML16	Forgings, castings and other unfinished products specially designed for any products controlled by ML1 - ML4, ML6, ML9, ML10, ML12 or ML19
ML17	Miscellaneous goods, including diving equipment, robots, ferries, containers specially designed or modified for military use, goods treated for or providing signature suppression
ML18	Production and test equipment
ML19	Directed energy weapon systems, countermeasure and related equipment, (e.g. lasers and particle beam systems)
ML20	Cryogenic and superconductive equipment, as follows, and specially designed components and accessories
ML21	Software for listed goods
ML22	Technology for listed goods

Non-military goods

ML901	Non-military firearms including rifles, carbines, muskets, pistols, revolvers, shotguns, and smooth bore weapons, not specified ML1
ML902	Ammunition, projectiles and specially designed for ML901
ML904	Accessories, including silencers, mountings, magazines, sights, flash suppressors, for ML901
ML905	Air guns, with specific characteristics
ML908	Energetic materials other than those in ML8, excluding those specially formulated for toys, novelty goods and fireworks
ML909	Detonators or other equipment for the initiation of non-military energetic materials specified in Item ML908
ML910	Charges and devices containing "energetic material" specified in ML908

Part two: dual use goods

0	Nuclear Materials: Facilities and Equipment Nuclear reactors, gas centrifuges, and equipment and materials especially designed for nuclear use
1	Materials, Chemicals, Micro-organisms and Toxins Toxic chemicals, viruses, bacteria, protective and detection equipment, body armour, radiation shielding windows, and metal powder production equipment
2	Materials Processing Crucibles, valves, robots, vibration test systems, vacuum pumps, chemical processing, and handling equipment
3	Electronics Microwave components, acoustic wave devices, high energy devices, switching devices, and detonators
4	Computers Radiation hardened computers, neural and optical computers, and related equipment
5	Telecommunications and Information Security Part 1 – Telecommunications: Telecommunications systems, optical fibre cables, radio equipment, jamming equipment, and telemetry and telecontrol equipment Part 2 – Information Security (Cryptography): Cryptographic equipment, and communications cables systems
6	Sensors and Lasers Marine acoustic systems, hydrophones, imaging cameras, optical mirrors, lasers, and magnetometers
7	Navigation and Avionics Gyros, accelerometers, inertial navigation systems, and flight control systems
8	Marine Submersible vehicles, remotely controlled manipulators, underwater vision systems, noise reduction systems, and air independent power systems
9	Aerospace and Propulsion Aero gas turbine engines, rocket propulsion systems, UAVs, rocket motors, ramjet engines, sounding rockets, and acoustic vibration test equipment

Note 1: Each of the above Dual-Use Goods categories (0-9) has the following divisions:

- a. Systems, Equipment and Components
- b. Test, Inspection and Production Equipment
- c. Materials
- d. Software
- e. Technology

Note 2: Materials, software and technology related to controlled goods are also controlled.

Note 3: Terms with specific meaning are enclosed in double quotation marks where they appear throughout the DSGI document. An index of these terms appears in the front pages of the full DSGI document available at comlaw.gov.au/Details/F2011L02061

Background Information

The DSGI is identified in regulation 13E of the Customs (Prohibited Exports) Regulations 1958 as the document titled 'Defence and Strategic Goods List':

- a. formulated and published for the purpose of paragraph 112 (2A) (aa) of the Customs Act 1901 by the Minister for Defence and
- b. dated November 1996
- c. as amended by the Minister for Defence and in force from time to time. The up to date DSGI is available at comlaw.gov.au/Details/F2011L02061

Goods included in the list may not be exported from Australia unless a licence or permission has been granted by the Minister or an authorised person and that licence or permission is produced to a Collector of Customs before exportation.

In addition, the Australian Autonomous Sanctions regime prohibits the provision of training to nationals of sanctioned countries in how to use, manufacture or maintain certain controlled goods, or how to improve the goods' use, manufacture or maintenance. The Department of Foreign Affairs and Trade (DFAT) has determined that higher degree research training may pose a higher than normal risk of breaching Autonomous Sanctions regulations in these areas.